

## Department of Homeland Security Performance Plan and Appraisal

### General Information

This section allows the employee or Rating Official to enter the rating cycle and complete the employee, Rating Official, and Reviewing Official information. Please use the tab key to navigate from field to field.

### Employee Information

10/25/2010 - 9/30/2011

#### Rating Period Start - End

Eric	Van Buren	T	
<b>Last Name</b>	<b>First Name</b>	<b>Middle Initial</b>	
	GS	301	
		12	
<b>Employee Identification Number</b> (consult component for specific use)	<b>Pay Plan</b>	<b>Occupational Series</b>	<b>Grade</b>
ICE/CFO/OFM/BFC	Management Information Analyst	Williston, Vermont	
<b>Organization</b>	<b>Position Title</b>	<b>Duty Location</b>	

### Rating Official Information

Heil	Peter	B
<b>Last Name</b>	<b>First Name</b>	<b>Middle Initial</b>
ICE/CFO/OFM/BFC	Supervisory Management Information Analyst	
<b>Organization</b>	<b>Position Title</b>	

### Reviewing Official Information

Payne	Deanna	
<b>Last Name</b>	<b>First Name</b>	<b>Middle Initial</b>
ICE/CFO/OFM/BFC	Chief, FORABB Branch	
<b>Organization</b>	<b>Position Title</b>	

**PRIVACY ACT STATEMENT:** Authority: 49 U.S.C. § 114(n). Principal Purpose(s): This information will be used to document your performance appraisal and to certify that the rating official has discussed your performance appraisal with you. Routine Use(s): This information may be shared in response to a request for discovery or for appearance of a witness, information that is relevant to the subject matter involved in a pending judicial or administrative proceeding, or for routine uses identified in the Office of Personnel Management's system of records, OPM/GOVT-2 Employee Performance File System Records. Disclosure: Voluntary.

## Department of Homeland Security Performance Plan and Appraisal

### Core Competencies

This section allows you to view the pre-established core competencies, behaviors, and associated performance standards. You cannot update or modify any of the information in this section. Please use the tab key to navigate through the competencies. Please refer to the Annual Appraisal and Rating of Record section of this document to view the rating given to each competency.

Each core competency is weighted equally and, together, makeup 40% of the overall performance rating. The performance goals makeup the other 60% of the overall performance rating and appear under the Performance Goals section of this document.

- 5 – Achieved Excellence. The employee performed as described by the “Achieved Excellence” standards.
- 4 – Exceeded Expectations. The employee performed at a level between “Achieved Excellence” standards and the “Achieved Expectations” standards.
- 3 – Achieved Expectations. The employee performed at as described by the “Achieved Expectations” standards.
- 1 – Unacceptable. The employee performed below the “Achieved Expectations” standards; corrective action is required.

### Core Competency 1: Communication

Actively listens and attends to nonverbal cues when responding to the questions, ideas, and concerns of others. Communicates in an influential or persuasive manner, as appropriate. Writes in a clear and concise manner. Orally communicates in a clear and concise manner. Tailors communication (e.g., language, tone, level of specificity) to the audiences’ level of understanding and to the communication medium.

#### Performance Standards

- **Achieved Expectations** Applies effective listening skills and appropriately responds when communicating with others. Solicits, shows respect for, and carefully considers others ideas, comments, and questions within scope of work. Effectively explains or defends viewpoint when necessary. Independently prepares and delivers communications that are clear, concise, and timely. Writes communications that generally require few substantive or editorial revisions.
- **Achieved Excellence** Additions at the Achieved Excellence level: Accurately reads and assesses more ambiguous situations and responds effectively. Effectively explains or defends viewpoint to audiences who hold opposing views. Independently and effectively tailors communication style (e.g., language, tone, and level of specificity) and customizes communications to the audience.

### Core Competency 2: Customer Service

Communicates with customers to understand their needs. Works with customers to set expectations and keeps them informed of issues or problems. Provides timely, flexible, and responsive services to customers.

#### Performance Standards

- **Achieved Expectations** Reaches out to customers to gather information about their requirements and needs; develops and delivers products or provides services to meet those needs in a timely manner. Discusses expectations with customers, keeps customers informed of problems that could impede progress, and suggests workable solutions. Responds to questions or requests from customers within reasonable time frames. Displays flexibility in responding to changing customer needs.
- **Achieved Excellence** Additions at the Achieved Excellence level: Independently develops creative and useful ideas that add significant value to products and services. Anticipates customer needs and resolves or avoids potential problems, maximizing customer satisfaction.

### Core Competency 3: Representing the Agency

Represents the agency and its interests in interactions with external parties. Ensures that interactions with and information provided to outside parties reflect positively on the agency. Enhances trust and credibility in the agency and its mission through effective professional interactions with others outside the organization. Deals professionally and tactfully with external parties in difficult, tense, or emergency situations.

#### Performance Standards

- **Achieved Expectations** Presents a professional image of the agency when interacting with others, fostering trust and credibility. In unpredictable situations, stays calm and handles somewhat difficult, tense, or emergency situations with good judgment and professionalism. Takes effective steps to defuse or resolve confrontational situations in a manner that reflects positively on the agency.
- **Achieved Excellence** Additions at the Achieved Excellence level: Takes action to effectively manage difficult, tense, or emergency situations. Engages with others in a manner that earns their respect and helps to advance the Agency’s goals and objectives.

## Department of Homeland Security Performance Plan and Appraisal

### Core Competency 4: Teamwork and Cooperation

Makes positive contributions to achieving team goals. Develops and maintains collaborative working relationships with others. Builds effective partnerships that facilitate working across boundaries, groups, or organizations. Respects and values individual differences and diversity by treating everyone fairly and professionally. Works constructively with others to reach mutually acceptable agreements to resolve conflicts.

#### Performance Standards

- **Achieved Expectations** Contributes to achieving goals by working collaboratively with others and building effective partnerships across organizational boundaries. Independently offers assistance and provides support to advance goals. Deals with everyone fairly, equitably, and professionally, respecting and valuing individual differences and diversity. Effectively handles disagreements or conflicts, resolving them in a constructive manner. Consults with senior team members or supervisors when appropriate and makes viable recommendations for resolving differences.
- **Achieved Excellence** Additions at the Achieved Excellence level: Collaborates beyond what is expected resulting in high-impact contributions. Contributes to a climate of trust and skillfully develops productive relationships and networks that advance goals. Anticipates situations with potential for conflict and takes effective steps to minimize escalation. Considers all sides of issues and develops effective compromises or resolutions.

### Core Competency 5: Technical Proficiency

Demonstrates and applies relevant knowledge and skills to perform work in accordance with applicable guidelines. Uses appropriate and available technology or tools to perform work activities. Acquires, develops, and maintains relevant and appropriate job skills through training or other opportunities for learning and development. Stays up-to-date on developments related to own work. Demonstrates an understanding of the organization's mission, functions, and systems. Collects relevant information that is needed to identify and address problems or issues. Analyzes and integrates information to identify issues and draw sound conclusions. Identifies and evaluates alternative solutions to problems. Makes sound, well-informed, and timely decisions or recommendations. Identifies and utilizes innovative or creative methods and solutions to accomplish work, as appropriate. Maintains an awareness of available resources and the process for acquiring resources. Identifies and advocates for resources required to accomplish work activities or projects. Makes effective and efficient use of available resources. Safeguards available resources to prevent fraud, waste, and abuse.

#### Performance Standards

- **Achieved Expectations** Successfully applies knowledge and skills (including use of technology and tools) to independently perform a full range of assignments; seeks guidance as appropriate. Uses formal or informal feedback on own performance to develop job skills that facilitate achieving results. Demonstrates an understanding of the applicable organizations mission, functions, and values, the interrelationships between various units and organizations, and relevant policies/procedures (to include, as appropriate, responsibilities toward the protection of classified national security information); uses this knowledge to carry out a full range of work assignments. Demonstrates working knowledge of the resources available to perform work; identifies and acquires needed resources, and ensures that use of resources is efficient and consistent with the planned project or activity. Effectively gathers complete and relevant information from appropriate sources to address issues or problems. Effectively analyzes information to identify issues, weigh alternatives, and draw logical conclusions; anticipates and resolves a full range of problems or issues. Makes well-reasoned, timely decisions and recommendations affecting own work.
- **Achieved Excellence** Additions at the Achieved Excellence level: Successfully applies depth and breadth of knowledge to independently perform even highly complex or varied assignments at this level. Accomplishes tasks in a highly efficient and effective manner and makes high impact contributions. Continually broadens and enhances expertise, resulting in performing more complex work activities. Takes initiative to expand knowledge about resources available and makes useful suggestions that increase efficiency. Identifies and uses effective methods to gather information in a highly efficient manner. Regularly and correctly identifies key issues; anticipates and identifies alternative solutions for problems that have a variety of viable solutions. Seeks opportunities to participate in addressing more complex problems.

## Department of Homeland Security Performance Plan and Appraisal

### Performance Goals

This section allows entry for up to 5 Performance Goals for the employee. If more than 5 goals need to be added, please use the Additional Goals/Comments section located on the last page of this document. Please use the tab key to navigate from field to field. Please refer to the Annual Appraisal and Rating of Record section of this document to view the rating given to each goal.

Each performance goal must be assigned a share to equal 100% and, together, makeup 60% of the overall performance rating. For example, if the employee has 3 goals, they might be weighted as follows: 25%, 25%, and 50%. The core competencies makeup the other 40% of the overall performance rating and appear under the Core Competencies section of this document.

- 5 – Achieved Excellence. The employee performed as described by the "Achieved Excellence" standards.
- 4 – Exceeded Expectations. The employee performed at a level between "Achieved Excellence" standards and the "Achieved Expectations" standards.
- 3 – Achieved Expectations. The employee performed at as described by the "Achieved Expectations" standards.
- 1 – Unacceptable. The employee performed below the "Achieved Expectations" standards; corrective action is required.

***For each goal performance standard, describe the level of performance at the Achieved Expectations and Achieved Excellence level by using such terms as quality, quantity, timeliness, and cost effectiveness.***

**Performance Goal 1 (Outcomes/Results):** Maintain and enhance current web-based applications to increase functionality, provide better performance and improve the users' experience:

Insert the higher level goal, objective, or mission of the organization and/or of the supervisor to which this goal aligns:

Weight: 40%

Achieved Expectations: Incumbent is considered supportive and responsive to the objectives, however, primary identification and direction of projects comes from superiors. The incumbent completes the project/analysis with little supervisory intervention during the quarter after initial discussions. Incumbent independently provides supervisor with status reports on progress within established due dates, and identifies issues that could affect completion of project/analysis at the earliest possible stage. Final products are complete and require no substantive changes or modifications based on review with respect to either form or substance. It is clear from presentation and discussions with incumbent at the completion of project/analysis that all relevant and available sources of data/information have been reviewed and considered. Incumbent capably presents end product to supervisor and/or intended audience and handles all questions/comments on its content. This level of performance indicates incumbent's ability to identify the most effective means, including automated tools (e.g., Excel, Access, Word, SQL Server, Web etc.) to complete assignment in most efficient way. Advice, guidance and work product are technically and procedurally accurate, complete, and applicable. Displays and demonstrates an awareness of what is important to supervisor and other higher level managers and generally insures only key/significant items/issues are brought to their attention.

Specific projects to support in FY2011:

- implement changes to the P-Card reallocation tool to take advantage of AJAX and other techniques
- improve the performance of the G-269 web application
- support OCIO implementation of internet access for BFC reports
- provide support, within resources and based on HQ OFM request, for DHS' efforts to implement a new financial system, as well as for internal BFC projects and initiatives including data/analytical reports
- assume responsibility for other TAS web-based applications to include Vendor Research, RM021 verification, DHS Analysis Tool, etc.

Achieved Excellence: Incumbent demonstrates a continual commitment to assignment. In addition to fully successful performance, individual initiative displayed is a critical evaluation aspect for this level. The incumbent completes the project/analysis without supervisory intervention during the reporting period after initial discussions. Incumbent recommends substantive changes to scope of project/analysis identified by supervisor, resulting in a more effective and efficient use of available time and in the end, a better product. In addition, incumbent recommends projects/analyses that clearly fall outside of his/her assigned areas that result in valuable information/data for use by all offices. A strong take charge attitude and complete independence from the start to completion of projects/analyses characterize this level of performance. In addition, incumbent self-initiates at least two program/project which strives to improve the quality of the BFC mission. Accurately assesses (and advises higher level management of) potential impact of such changes on program areas. Provides written and oral guidance, and otherwise services as technical expert in assigned area. Accurately identifies, analyzes, and applies pertinent information. Advice and guidance is fully coordinated with other affected offices and BFC managers.

In addition to the performance objectives listed under achieved expectations:

- assumes day-to-day responsibilities for all database administrative functions for each database on the BFC development server.
- independently recommends and implements at least four significant enhancements to existing SQL applications to include performance optimization on the server, client-side user experience, and reporting functionality.

**Performance Goal 2 (Outcomes/Results):** Develop new web-based applications with back-end connectivity to SQL Server to support OFM-wide requirements. Becomes familiar with the financial management business principals within OFM

## Department of Homeland Security Performance Plan and Appraisal

Insert the higher level goal, objective, or mission of the organization and/or of the supervisor to which this goal aligns:

Weight: 60%

**Achieved Expectations:** Incumbent is considered supportive and responsive to the objectives, however, primary identification and direction of projects comes from superiors. The incumbent completes the project/analysis with little supervisory intervention during the quarter after initial discussions. Incumbent independently provides supervisor with status reports on progress within established due dates, and identifies issues that could affect completion of project/analysis at the earliest possible stage. Final products are complete and require no substantive changes or modifications based on review with respect to either form or substance. It is clear from presentation and discussions with incumbent at the completion of project/analysis that all relevant and available sources of data/information have been reviewed and considered. Incumbent capably presents end product to supervisor and/or intended audience and handles all questions/comments on its content. This level of performance indicates incumbent's ability to identify the most effective means, including automated tools (e.g., Excel, Access, Word, SQL Server, Web etc.) to complete assignment in most efficient way. Advice, guidance and work product are technically and procedurally accurate, complete, and applicable. Displays and demonstrates an awareness of what is important to supervisor and other higher level managers and generally insures only key/significant items/issues are brought to their attention.

- Develops 3 new web-based applications tied to SQL Server backend using Microsoft .NET development environment
- Assists with Sharepoint application development in support of the OFM collaboration environment

**Achieved Excellence:** Incumbent demonstrates a continual commitment to assignment. In addition to fully successful performance, individual initiative displayed is a critical evaluation aspect for this level. The incumbent completes the project/analysis without supervisory intervention during the reporting period after initial discussions. Incumbent recommends substantive changes to scope of project/analysis identified by supervisor, resulting in a more effective and efficient use of available time and in the end, a better product. In addition, incumbent recommends projects/analyses that clearly fall outside of his/her assigned areas that result in valuable information/data for use by all offices. A strong take charge attitude and complete independence from the start to completion of projects/analyses characterize this level of performance. In addition, incumbent self-initiates at least two program/project which strives to improve the quality of the BFC mission. Accurately assesses (and advises higher level management of) potential impact of such changes on program areas. Provides written and oral guidance, and otherwise services as technical expert in assigned area. Accurately identifies, analyzes, and applies pertinent information. Advice and guidance is fully coordinated with other affected offices and BFC managers.

In addition to the tasks described in achieved expectations section:

- Converts at least 3 high-profile legacy Access database applications to web-based/SQL Server implementation (i.e., QA database, performance metrics databases, etc.)
- Develops 2 Sharepoint applications on the OFM collaborative site to support BFC, DFC, or OFM requirements.

### **Performance Goal 3 (Outcomes/Results):**

Insert the higher level goal, objective, or mission of the organization and/or of the supervisor to which this goal aligns:

Weight: %

Achieved Expectations:

Achieved Excellence:

### **Performance Goal 4 (Outcomes/Results):**

Insert the higher level goal, objective, or mission of the organization and/or of the supervisor to which this goal aligns:

Weight: %

Achieved Expectations:

Achieved Excellence:

### **Performance Goal 5 (Outcomes/Results):**

Insert the higher level goal, objective, or mission of the organization and/or of the supervisor to which this goal aligns:

Weight: %

Achieved Expectations:

Achieved Excellence:

## Department of Homeland Security Performance Plan and Appraisal

### Interim Evaluation Acknowledgements & Comments

An Interim Evaluation is defined as a narrative description of an employee's performance as measured against the performance expectations set forth in a Performance Plan or Statement of Performance Expectations. Under certain circumstances supervisors will prepare "Interim Evaluations" of performance prior to the last 90 days of the rating cycle. See Appendix B in Chapter 43, Instruction 255-03-001 for an explanation of when Interim Evaluations are to be prepared. Interim Evaluations will be considered by employees' permanent supervisors when preparing a Ratings of Record. If a Statement of Performance Expectations was completed, please attach a copy to this document.

#### An Interim Evaluation discussion occurred.

Employee Signature \_\_\_\_\_ Date \_\_\_\_\_  
Employee Comments:

Rating Official Signature \_\_\_\_\_ Date \_\_\_\_\_  
Rating Official Comments:

Eric has been an extremely valuable asset to the Burlington Finance Center. Since his arrival, he has taken on many key projects and excelled in providing accurate, easy to use, and time saving applications.

Eric quickly took over the maintenance and development of the Purchase Card Reallocation Tool. He quickly mastered the application design and made many significant improvements such as: dramatically improved the performance of the screens by implementing AJAX techniques, modified the way in which users enter item and line designators, and implemented paging techniques to assist users with large amounts of data manage the transactions details better. His enhancements resulted in a 70% decrease in the error rates for reallocated transactions. Not only did this minimize the amount of time end-users need to perform their tasks, but it greatly reduced the amount of reconciliation required during the system reallocation process.

Eric worked with FARS to implement a new Validation and Verification website that allows external users to make determinations on obligation status. One of the major goals of this project was to eliminate the need to e-mail large data files to program offices. Not only did this application satisfy that requirement, but it also ensured data integrity was preserved. The initial roll out of this application was met with great enthusiasm throughout FARS and the program office community. This applications saved untold hours usually spent reconciling data sent to the field with the data received in return.

Eric also redesigned the G-269 application to enhance performance and accuracy of the data. In addition to the quarterly G-269 application enhancements, he also configured and deployed a similar system to support bond focused reviews. The bond focused reviews have also been successful resulting in a positive reconciliation between bond records maintained in the law enforcement tracking system and the financial system.

Eric has also prototyped a new ticketing system to be used by BFC to log problems or enhancement requests for the applications and tools developed locally. Not only will this system work for BFC, but the open ended design can easily be adapted to use throughout OFM.

I appreciate all of the hard work Eric has contributed to BFC so far this year. He has the skills and knowledge to take application development at BFC to the next level.

Interim rating: Exceeds Expectations.

## Department of Homeland Security Performance Plan and Appraisal

### Annual Appraisal and Rating of Record Acknowledgements & Comments

Please manually enter below from the Ratings Calculator the individual and overall rating for the core competencies, weights and ratings for the individual and overall rating for goals and overall performance rating. Note: Rating Officials must provide a full written justification to support an 'Unacceptable' summary rating of overall performance. Please consult your Component HR point of contact for more information regarding these circumstances.

#### Core Competency Ratings (40% of overall rating)

Competency 1: Communications	Rating: 3
Competency 2: Customer Service	Rating: 4
Competency 3: Representing the Agency	Rating: 4
Competency 4: Team Work Cooperation	Rating: 4
Competency 5: Technical Proficiency	Rating: 4

Overall Competency Rating: 3.8

#### Performance Goal Ratings (60% of overall rating)

Performance Goal 1	Weight: 40%	Rating: 4
Performance Goal 2	Weight: 60%	Rating: 4
Performance Goal 3	Weight: %	Rating:
Performance Goal 4	Weight: %	Rating:
Performance Goal 5	Weight: %	Rating:
Performance Goal 6	Weight: %	Rating:
Performance Goal 7	Weight: %	Rating:
Performance Goal 8	Weight: %	Rating:
Performance Goal 9	Weight: %	Rating:
Performance Goal 10	Weight: %	Rating:

Overall Performance Goal Rating: 4

#### Overall Performance Rating

Overall Performance Rating: 3.92

The Annual Appraisal discussion occurred.

Reviewing Official Signature

Date

Reviewing Official Comments:

Employee Signature

Date

Employee Comments:

Rating Official Signature

Date

Rating Official Comments:

In addition to the achievements which Eric accomplished during the interim rating period he continued to provide a high level of support. Eric continued to make great enhancements and improve performance to the web based applications such as the G-269, the Validation and Verification (V&V) application as well as Focused Bond Review application. Eric also designed, developed and implemented the USCIS Field Deposit Receivables Tracking Tool which has provide a huge benefit in the ability to manage and track the field deposits for the USCIS on a daily basis. He fully assumed the day to day maintenance and support for these functions and provided excellent customer relations and support for all these tools as well.

## **Department of Homeland Security Performance Plan and Appraisal**

During this period Eric finalized the New IMPROVE Ticketing and tracking tool. The IMPROVE tool has become an invaluable resource for managing both problem and maintenance requirements as well as the ability to manage and prioritize new enhancements for existing and new application solutions. The IMPROVE tool has enabled the FORSS team to manage workload and prioritize resources to maximize output and provide quick turn around times for problem resolutions. The tool has provided a invaluable customer service benefit to the entire BFC organization and is being looked at both at the DFC and HQ level for implementation. Additionally Eric has created a backend reporting capability utilizing Crystal reporting to provide a series of reports for analyzing and reporting on the various ticket type metrics.

Eric's unique skills and abilities have provided a technological advantage not only to BFC but to OFM and ICE as well in the development and design of many state of the art web based applications. Eric is a valuable asset and is a driving force behind the innovations provided by the FORSS team.

Unfortunately Eric has decided to pursue other opportunities outside of DHS/ICE and will be moving to a new federal agency for the upcoming year. Eric will be missed and we wish him well and know he will continue to exceed expectations in all the endeavors he decides to pursue.

Eric has achieved a full year rating of Exceeds Expectations.