



Senior Executive Service (SES) Creating Executive Performance Plans

The Department of Homeland Security (DHS) expects excellence in executive performance. Executives are held accountable for their individual and organizational performance in order to improve program effectiveness and overall performance of government. Performance expectations are developed annually in a clear, measurable performance plan focused on tangible results. Effective *plans must demonstrate the following elements* in order to meet DHS policy requirements and certification by the Office of Personnel Management and Office of Management and Budget.

<i>Required</i>	<i>What it means and how to incorporate it into your performance plan</i>	
Accountability	<p>What it is: aligning subordinates' performance with organizational goals <i>and</i> appraising employee performance.</p> <p>How to incorporate: The "Performance Centered" leadership competency (1.4) describes this accountability in the standard DHS SES Performance. <i>No additional element needs to be incorporated.</i> For emphasis you may elect to add an <i>optional</i> accountability goal (see the example).</p>	<p>Example: optional "Provide leadership in staff management and ensure all employee performance goals are linked to Agency and Department goals and objectives and all employees are evaluated against clear measurable standards."</p>
Alignment	<p>What it is: clear, transparent link to strategic goals, annual performance goals, and/or budget priorities.</p> <p>How to incorporate: Performance goals must be derived from <i>current</i> DHS strategic goals, Component strategic goals, and program goals. Cascade performance objectives down from these high-level strategic documents. When preparing to develop performance goals, review available strategic plans. Determine the work (product or services) done in your organization which directly affects strategic goals and the agency's ability to accomplish its mission and meets those goals and external reporting measures. Use an action verb to state <i>what</i> work needs to be done and then <i>why</i> it needs to be done. Include a high-level description of <i>how</i> you will accomplish the goal. This is your performance goal. List <i>all</i> relevant strategic links under the performance goal.</p>	<p>Example: "Performance Objective: Create <i>[action verb]</i> an effective removal process <i>[what]</i> that secures our nation and communities <i>[why]</i> by expeditiously removing terrorists and other threats to public safety <i>[how]</i>"</p> <p>Strategic Link: DHS Strategic Goal 1.2: Protect our interior and enforce immigration laws. DHS Strategic Goal 1.4: Improve immigration services. Component Strategic Goal 2: Prevent the unlawful exploitation of the nation's people and institutions by those violating immigration laws within the homeland. Component Strategic Goal 2.1: Eliminate conditions that encourage aliens to illegally enter the U.S."</p>
Measurable results	<p>What it is: Performance goals describe what you have to do; measures describe how well you have to do it by quantifying or qualifying outcomes as specific, attainable, observable, verifiable results with specific accomplishment "targets" (the level of projected accomplishment).</p> <p>How to incorporate:</p> <ul style="list-style-type: none"> ▶ <i>All alignments to DHS goals/objectives must be demonstrated by including quantifiable performance measures.</i> Executive plans should incorporate specific FYHSP program goals and GPRA measures with specific performance "targets" for the programs they serve. <i>Every executive should have at least one FYHSP program and GPRA measure as part of his/her performance plan.</i> When all plans are completed in a Component, every FHSF program and GPRA measure for the Component should be incorporated across executive plans and performance measured for their contribution to FYHSP program and GPRA goals. ▶ <i>In general,</i> measures describe what people care about and what's important regarding the result or performance outcome of the goal. Some of your performance goals may not be reported externally and you will need to develop your own appropriate measures in addition to your relevant FYHSP/GPRA measure. 	<p>Example: "Performance Objective: Create <i>[action verb]</i> an effective removal process <i>[what]</i> that secures our nation and communities by expeditiously removing terrorists and other threats to public safety <i>[why]</i>."</p> <p>These measures describe full performance in this rating period and the employee will have "achieved expectations" with outcomes that:</p> <ul style="list-style-type: none"> • Increase the number of worksite enforcement investigations that result in criminal arrests by 50% and prosecutions from those arrests by 90% by the end of FY2011. (<i>DHS outcome "quantity" measure with your performance targets of 50% and 90%</i>) • Increase removals to 80% of final orders issued within 2 months of the order being issued. (<i>"quantity" measure with your performance target of 80% and "timeliness" measure</i>) • Beta-test the Electronic Travel Document (e-TD) system module in 3 countries by the end of FY2011 for tracking travel document requests and issuances of travel documents and reducing entry of terrorists and criminals by 90% from test countries (<i>quantity, 90% targeted level of improvement measure</i>) • Provide agency leaders real-time situational awareness of all worksite

Measurable results, Cont.	<p>Typically, people care about:</p> <ul style="list-style-type: none"> • Quality: level of <i>accuracy</i> with the result compared with a known standard; <i>effectiveness</i> in meeting a defined standard; <i>approval or acceptance</i> of the outcome by a person, organization, regulatory standard; targeted <i>level of satisfaction</i> demonstrated by survey • Quantity: <i>total number</i> of services or products or targeted <i>level of improvement</i> to achieve expressed in numbers, percentages, frequencies, etc • Timeliness: <i>completion times</i> describe speed or date by which work must be done • Cost effectiveness: maintaining or reducing <i>cost</i>, saving <i>time</i> or <i>personnel</i>, reducing <i>waste</i> that can be documented in a fiscal year budget. <p>► Tips for writing your own measures:</p> <ul style="list-style-type: none"> • Numeric measures are the easiest to verify and are objective. Use ranges rather than exact numbers or percentages. • Write “Achieved Expectations” measures to allow for a higher level of performance. • Descriptive measures can be used if the goal cannot be measured with numbers. This type of measure needs to include a judge (who determines accomplishment), the factors considered by the judge (what the judge looks for), and a verifiable description of satisfactory accomplishment. 	<p>and enforcement operations to include arrest and processing data via the Hardings processing site operating “24/7” (Internal descriptive measure: judge = leaders, factors = arrest and processing data, accomplishment description = “real-time” and “24/7” operation)</p> <ul style="list-style-type: none"> • Increase Justice Prisoner and Alien Transportation System (JPATS) removal by 10% by the end of FY2011 (internal “quantity” measure)
Customer perspective	<p>What it is: goals and measures describe two-way communication with customers/stakeholders to keep focus on customer needs</p> <p>How to incorporate: Customer perspectives can be obtained through customer surveys, focus groups, stakeholder meetings, or any method that allows customers to provide feedback and input to products and services.</p>	<p>Example: “Expand community outreach efforts and promote awareness of emerging methods and issues in terrorist removal procedures through at least 6 roundtable discussions, one every other month by the end of fiscal year 2011, with organizations in the agency’s state and local service community for feedback and recommendations on communication products and services which would support their organizational efforts.”</p>
Employee perspective	<p>What it is: goals and measures describe two-way communication with employees on internal processes, employee development and executives leadership</p> <p>How to incorporate: Employee perspectives can be obtained through workforce surveys, focus groups, one-on-one or small group discussions, staff meetings, town hall meetings, and/or methods which involve employees in decision-making.</p>	<p>Example: “Conduct 3 regional video teleconferences, one every 4 months by the end of fiscal year 2011, to solicit feedback on worklife initiatives to enhance retention and develop region-specific follow-on actions.”</p>
Timeframes	<p>What it is: timeframe for accomplishing goals; timeframes should be spread out over the rating period whenever possible.</p> <p>How to incorporate: Whether you use timeliness as a measure or not, include when the outcome must occur (month, fiscal quarter, or end of fiscal year).</p>	<p>Example: “Train and deploy quality assurance reviewers in the top 40 pre-deportment facilities used by the agency prior to March 31, 2011; in 75% of all facilities by June 30, 2011; and full deployment by September 30, 2011.”</p>

EXAMPLE: Completed performance goal and measures

Develop **3-5 aggressive goals** each with **3-7 significant measures** which reflect relevant **external expectations (GPRA, PMA)** and **internal DHS performance goals**

Performance Objective: Create an effective removal process that secures our nation and communities by expeditiously removing terrorists and other threats to public safety. These measures describe full performance in this rating period and the employee will have “achieved expectations” with outcomes that:

- Increase the number of worksite enforcement investigations that result in criminal arrests by 50% and prosecutions from those arrests by 90% by the end of FY2011.
- Increase removals to 80% of final orders issued.
- Beta-test the Electronic Travel Document (e-TD) system module in 3 countries by the end of FY2011 for tracking travel document requests and issuances of travel documents and reducing entry of terrorists and criminals by 90% from test countries
- Provide agency leaders real-time situational awareness of all worksite and enforcement operations to include arrest and processing data via the Hardings processing site operating “24/7”
- Increase Justice Prisoner and Alien Transportation System (JPATS) removal by 10% by the end of FY2011
- Expand community outreach efforts and promote awareness of emerging methods and issues in terrorist removal procedures through at least 6 roundtable discussions, one every other month by the end of fiscal year 2011, with organizations in the agency’s state and local service community **for feedback and recommendations on communication products and services** which would support their organizational efforts.

Strategic Link: **DHS Strategic Goal 1.2:** Protect our interior and enforce immigration laws; **DHS Strategic Goal 1.4:** Improve immigration services; **Component Strategic Goal 2:** Prevent the unlawful exploitation of the nation’s people and institutions by those violating immigration laws in the US; **Component Strategic Goal 2.1:** Eliminate conditions that encourage aliens to illegally enter the U.S.