



Transportation Security Administration

Office of Human Capital

TSA MD 1100.43-4, Handbook

Transportation Officer Performance System

Policy Effective: March 22, 2013

Handbook Published: March 22, 2013

APPROVAL

Signed

Sean J. Byrne
Assistant Administrator for Human Capital



Transportation
Security
Administration

*This Handbook and all related Appendices **and**/or Attachments contain stipulations to implement the provisions of TSA MD 1100.43-4, Transportation Officer Performance System. Until such time as TSA MD 1100.43-4 is rescinded, the Management Directive, Handbook, Appendices, and any Attachments are considered TSA policy, and must be applied accordingly.*

Table of Contents

<u>Section</u>	<u>Page #</u>
A. Definitions.....	3
B. Performance Planning.....	6
C. Progress Reviews.....	8
D. Preparation of Rating of Record.....	9
E. Summary Rating.....	11
F. Addressing Unsatisfactory Performance	13
G. Rating of Record Disputes.....	14
H. Record Keeping.....	15

A. Definitions:

1. Bargaining Unit Employees (BUEs): The following full- and part-time non-supervisory personnel carrying out screening functions under 49 U.S.C. § 44901, as that term is used in the Aviation and Transportation Security Act of 2001, § 111(d):
 - (a) Transportation Security Officers (TSOs);
 - (b) Lead Transportation Security Officers (LTSOs);
 - (c) Master and Expert Transportation Security Officers (MTSOs/ETSOs), including Behavior Detection Officers, Security Training Instructors, and Equipment Maintenance Technicians.

NOTE: Coordination Center Officers (CCOs) and Supervisory Transportation Security Officers (STSOs) are not BUEs.
2. Collective Bargaining Agreement (CBA): A collective bargaining agreement between TSA and AFGE covering bargaining unit employees in accordance with the Determination. Article 1 of the CBA establishes the performance management process that provides employees with opportunities for feedback to keep them advised of performance expectations, their current performance, and when necessary, assistance in improving that performance.
3. Competency: An observable, measurable pattern of skills, knowledge, abilities, behaviors, and other characteristics (e.g. initiative, flexibility, social orientation) that an individual needs to successfully perform work tasks and/ or occupational functions. Competencies are used in many human capital management documents and processes such as job analysis tools, training and development planning, and performance agreements and appraisals.
4. Core Competencies: The measurable or observable knowledge, skills, abilities, behaviors, and other characteristics required by a position that have been validated and which apply broadly to all or many TSA occupations including those addressed in this Handbook.
5. Critical Element: A work assignment or responsibility of such importance that unacceptable performance on the element results in a determination that an employee's overall performance is Unacceptable. All individual performance goals and core competencies established under this program are critical elements.
6. Higher Level Management Officials: A position at a higher organizational level and of an equal or higher pay band than the reviewing official who may or may not be in the employee's chain of supervision. All TSA management officials

**TSA HANDBOOK TO
MANAGEMENT DIRECTIVE No. 1100.43-4**

are responsible for complying with Article 1 (Performance Management Process) of the CBA.

7. Individual Performance Goals: Specific goals assigned to an employee by the supervisor/ manager or organization that describe specific results to be achieved and are included in the employee's performance plan. (Individual Performance Goals may also be called Performance Goals and/or Goals.)
8. Performance: Accomplishment of work assignments or responsibilities.
9. Performance-Based Actions: Actions taken by management including but not limited to a written plan of action that are intended to assist an employee to improve unacceptable performance to at least the "Achieved Expectations" level.
10. Performance Appraisal Period: The period of time established under this directive for reviewing employee performance; i.e., October 1 through September 30.
11. Performance Expectations: The core competencies, individual performance goals, and associated performance standards set forth in an employee's performance plan. They describe "what" (goals) and "how" (competencies) work will be accomplished, and how the accomplishments will be measured.
12. Performance Management: The integrated process of aligning, setting, and communicating performance expectations; monitoring performance and providing feedback; encouraging high employee performance and addressing poor performance; and, rating and rewarding performance in support of organizational goals and objectives.
13. Performance Plan: A written plan that describes the performance expectations (individual performance goals, core competencies, and associated performance standards) that are to be met during the performance appraisal period.
14. Performance Planning Meeting: A meeting at the beginning of the performance cycle between a rating official and an employee to discuss all elements of the employee's performance plan, including individual performance goals, core competencies, associated performance standards, and performance expectations for the upcoming performance appraisal period.
15. Performance Rating Level: A designation used to rate the employee's performance for each performance goal and core competency. There are four performance levels: Achieved Excellence, Exceeded Expectations, Achieved Expectations, and Unacceptable. Please refer to [Section E](#) for more information. (Performance Rating Level may also be called Performance Level.)

**TSA HANDBOOK TO
MANAGEMENT DIRECTIVE No. 1100.43-4**

16. Performance Standards: The performance requirements that must be met to be appraised at a particular performance level. Performance Standards are documented at the Achieved Expectations and Achieved Excellence performance levels.
17. Progress Review: A formal, documented discussion between an employee and his or her rating official about the employee's actual performance as compared to the performance expectations set forth in the employee's performance plan and expectations for the remainder of the performance appraisal period.
18. Rating of Record: A written performance appraisal prepared at the end of the performance appraisal period that covers an employee's performance of assigned duties against performance expectations over the applicable performance appraisal period and includes the assignment of a summary rating.
19. Rating Official: Designated supervisory official (generally an employee's first-line supervisor) with authority to develop a specific employee's performance plan, observe and evaluate that employee's performance, and prepare the employee's rating of record.
20. Reviewing Official: Designated supervisory official with authority to make a final decision on an employee's rating of record. Often the Rating Official's supervisor, the Reviewing Official is the next higher level of management with direct knowledge of an employee's performance or who otherwise has sufficient information to judge the rated employee's level of performance.
21. Self-Assessment: An employee's narrative review of his or her performance of assigned duties and responsibilities against established performance plan requirements.
22. Summary Rating: The performance rating level (Achieved Excellence, Exceeded Expectations, Achieved Expectations, or Unacceptable) summarizing the employee's overall performance during the period appraised.

B. Performance Planning:

1. The information in this Handbook should be applied in conjunction with the requirements of Article 1 of the CBA.
2. Each individual performance goal and core competency is a critical element.

NOTE: Please visit [the TSA Transportation Officer Performance System iShare site](#) for Employee Performance Plan and Appraisal forms that have been prefilled with core competencies and individual performance goals for each

**TSA HANDBOOK TO
MANAGEMENT DIRECTIVE No. 1100.43-4**

BUE position of record. A sample form is attached that has not been prefilled with the nationally approved goals and competencies and should not be used in meetings with employees.

3. Specific performance standards for each individual performance goal and core competency have been established. These standards provide specific performance details associated with each goal and core competency. Written performance standards for both the Achieved Expectations and the Achieved Excellence levels have been developed. These performance standards will be used to evaluate progress in achieving performance goals.
4. Variable weights have been assigned to each individual performance goal. In assigning weights to individual performance goals, the scope of the goal is considered, as well as the amount of time expected to be devoted to the goal and the impact of the goal on organizational operations. Weights for all core competencies are equal.
5. These performance expectations must be communicated in writing to an employee before he/she can be held accountable for them.
6. The performance plan shall consist of pre-established core competencies and pre-established, results-focused individual performance goals including associated performance standards.
7. The Rating Official should explain to the employee the core competencies and the associated performance standards related to each competency. Specific competencies, goals, and standards that are part of an employee's performance plan must be communicated in writing.
8. At the conclusion of the performance planning meeting, the employee and the Rating Official will sign the performance plan. If the employee does not comply with Article 1 Section D.7 of the CBA and sign the performance plan, the Rating Official will so annotate the performance plan and will advise the employee that he/she is still obligated to meet the requirements of his/her performance plan. The same instruction applies at any time during the performance cycle that an employee is asked to initial or sign a performance appraisal document.

C. Progress Reviews:

For information on progress reviews, refer to Article 1 of the CBA.

D. Preparation of Ratings of Record:

1. Refer to Article 1 of the CBA for timeframes and information regarding self-assessments and other considerations.

**TSA HANDBOOK TO
MANAGEMENT DIRECTIVE No. 1100.43-4**

2. Before the rating of record can be finalized, the Rating Official must submit the proposed rating of record to the Reviewing Official for review and a determination of whether the proposed rating of record is warranted. The Rating Official may not discuss the rating of record with the employee before it is approved by the Reviewing Official.
3. Forced distribution of ratings of record and/or quotas for ratings of record is/are not permitted at any performance rating level. This prohibition does not prevent a management official from making performance-based distinctions for other purposes among employees or groups of employees (e.g., for award determinations).
4. When preparing the rating of record for an employee who also serves as a union representative, the Rating Official must appraise only the performance of official TSA duties, provided the employee is covered by a performance plan for at least the minimum 90-day period. The Rating Official shall not consider authorized official time spent by a union representative on representational matters when appraising the employee's performance. For example, positions taken by a representative while engaging in representational activity shall not be considered and shall have no effect on the rating of record.
5. Refer to Article 1 of the CBA, Section H(4)(a), for information regarding presumed ratings of record.

E. Summary Rating:

1. Each employee will receive a summary rating that will be used to determine his or her rating of record for the performance appraisal period.
2. An employee's summary rating is derived from the sum of his/her performance goal and core competency subtotals using the calculations demonstrated below.
3. A weight may have been assigned to each individual performance goal in an employee's performance plan as described in Section B. 4 (above) and demonstrated below.
4. Weights are not assigned to core competencies as they are pre-established and equally weighted. Therefore, if there are five core competencies, each will be weighted at 20% (.20).
5. The performance rating level for each individual performance goal or core competency is converted to a score as follows:

**TSA HANDBOOK TO
MANAGEMENT DIRECTIVE No. 1100.43-4**

<u>Rating</u>	<u>Score</u>
Achieved Excellence	5
Exceeded Expectations	4
Achieved Expectations	3
Unacceptable	1

- (a) Individual Performance Goals account for 60 percent of the summary rating: The point value or score assigned to the rating for each goal is multiplied by the assigned weight. The sum of that calculation is multiplied by 60 percent (.60) to determine the performance goals subtotal.

Example: On the employee's performance plan there are 3 performance goals. Performance Goal A has a weight of 40% within the performance goal category, Goal B has a weight of 40%, and Goal C has a weight of 20%. The employee receives a performance rating level of Achieved Excellence for Goal A (a score of 5), and a performance rating level of Exceeded Expectations (a score of 4) for both Goal B and C. In order to calculate the performance goal subtotal (or 60%) of the summary rating, each score is multiplied by the assigned weight, and the total is multiplied by 60% as follows:

$(5*(.40) \text{ for Goal A}) + (4* (.40) \text{ for Goal B}) + (4*(.20) \text{ for Goal C}) \times .60 = 2.64$

Therefore, the performance goal subtotal portion of the employee summary rating is 2.64.

- (b) Core Competencies account for 40 percent of the summary rating. The performance rating level assigned to each core competency is multiplied by the assigned weight. The sum of that calculation is multiplied by 40 percent (.40) to determine the core competencies subtotal.

Example: On the employee's performance plan the employee has five core competencies, and therefore, all five core competencies are given a weight of 20%. The employee receives a performance rating level of Achieved Excellence (a score of 5) for Competencies A and B, and a performance rating level of Exceeds Expectations (a score of 4) for Competencies C, D, and E. In order to calculate the core competency subtotal (or 40%) of the summary rating, each score is multiplied by the assigned weight, and the total is multiplied by 40% as follows:

$(5*(.20) \text{ for A})+(5* (.20) \text{ for B})+(4*(.20) \text{ for C})+(4*(.20) \text{ for D})+(4*(.20) \text{ for E}) \times .40 = 1.76$
--

**TSA HANDBOOK TO
MANAGEMENT DIRECTIVE No. 1100.43-4**

Therefore, the core competency subtotal portion of the employee summary rating is 1.76.

- (c) After the individual performance goals subtotal and the core competencies subtotal are calculated individually, they are then added together and converted to arrive at the employee's Summary Rating as follows:

<u>Point Scale</u>	<u>Summary Rating Descriptions</u>
4.5 or more	Achieved Excellence
3.5 - 4.4	Exceeded Expectations
2.5 - 3.4	Achieved Expectations
< 2.5	Unacceptable

Example: For the employee in the example above, the Summary Rating is Exceeded Expectations.

$2.64 \text{ (Performance Goals)} + 1.76 \text{ (Core Competencies)} = 4.4 \text{ (Summary Rating)}$
--

- (d) If one or more critical elements are rated as "Unacceptable," then the employee's summary rating will be "Unacceptable."
6. A Rating Official must provide written justification to support a summary rating above or below Achieved Expectations.

NOTE: For further guidance how to calculate an employee's summary rating, please access the Rating Summary and Calculation Sheet located on the [TSA Transportation Officer Performance System iShare site](#).

F. Addressing Unsatisfactory Performance:

1. Once a Rating Official determines that an employee's performance is unacceptable, appropriate action must be taken immediately. The performance improvement process should be according to Article 1 of the CBA. Management is strongly advised to contact their local Employee Relations point-of-contact and their local field counsel; and/or the Employee Relations staff at TSA HQ Office of Human Capital for guidance.
2. Performance-based actions must be taken in accordance with the provisions of TSA MD 1100.75-3 *Addressing Unacceptable Performance and Conduct*. Management is strongly advised to contact their local Employee Relations point-of-contact and their local field counsel; and/or the Employee Relations staff at TSA HQ Office of Human Capital for guidance. For information on improving performance, please see Article 1 of the CBA.

**TSA HANDBOOK TO
MANAGEMENT DIRECTIVE No. 1100.43-4**

3. Because a single performance deficiency in some instances may cause significant harm to TSA operations, such as a breach of security, or physical harm to the employee or to others, immediate steps should be taken to ensure that such errors are not repeated. If the performance deficiency seriously compromises TSA operations, the employee may be removed from TSA employment without remedial action being taken. In such instances, management should contact local field counsel and/or the Employee Relations staff at TSA HQ Office of Human Capital for guidance.

G. Record of Rating Disputes:

For information on record of rating disputes, refer to Article 1 of the CBA.

H. Record-Keeping:

1. Offices/airports will establish procedures to maintain the Employee Performance Folder (EPF) in a secured location. Performance documents are Privacy Act records and must be maintained in accordance with 5 U.S.C. §552a and [*TSA MD 200.7 Records Management Program*](#).
2. Performance appraisals will be retained in accordance with TSA's Records Disposition Schedules as provided in TSA MD 200.7.
3. If an employee transfers from one office/airport to another, the employee's EPF will be forwarded to the gaining location.
4. If an employee separates from TSA, the employee's EPF will be maintained at the local office and dispositioned in accordance with applicable policies, regulations, and operating instructions.
5. See Article 1 of the CBA for information regarding documentation.

Department of Homeland Security Employee Performance Plan and Appraisal Form

General Information

This section allows the Employee or Rating Official to enter the employee appraisal period and the Employee, Rating Official, and Reviewing Official information. Please use the tab key to navigate from field to field.

Employee Information			
Start - End Employee Performance Appraisal Period			
Last Name	First Name	Middle Initial	
Employee Identification Number <small>(consult component for specific use)</small>	Pay Plan	Occupational Series	Grade
Organization	Position Title	Duty Location	
Rating Official Information			
Last Name	First Name	Middle Initial	
Organization		Position Title	
Reviewing Official Information			
Last Name	First Name	Middle Initial	
Organization		Position Title	
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 Employee Performance Plan and Appraisal Form

Core Competencies

This section allows you to view the pre-established, *critical* core competencies and associated performance standards. Each core competency is *critical* which means that an Unacceptable determination in *any one competency* results in an overall Unacceptable Rating. These behavioral competencies were *validated* by the DHS workforce population. You cannot update or modify any of the information in this section. Please use the tab key to navigate through each of the *critical* competencies. Please refer to the Performance Appraisal Rating Summary and Calculation Sheet (i.e., the Ratings Calculator) to view the rating given to each critical core competency.

Each *critical* competency is weighted equally and, together, makeup 40% of the overall performance rating. The *critical* 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" standard.
- 4 – **Exceeded Expectations.** The employee performed at a level between "Achieved Excellence" standard and the "Achieved Expectations" standard.
- 3 – **Achieved Expectations.** The employee performed as described by the "Achieved Expectations" standard.
- 1 – **Unacceptable.** The employee performed below the "Achieved Expectations" standard; action is required.

CORE COMPETENCY 1:
Performance Standards
<ul style="list-style-type: none"> • Achieved Expectations • Achieved Excellence
CORE COMPETENCY 2:
Performance Standards
<ul style="list-style-type: none"> • Achieved Expectations • Achieved Excellence
CORE COMPETENCY 3:
Performance Standards
<ul style="list-style-type: none"> • Achieved Expectations • Achieved Excellence
CORE COMPETENCY 4:
Performance Standards
<ul style="list-style-type: none"> • Achieved Expectations • Achieved Excellence
CORE COMPETENCY 5:
Performance Standards
<ul style="list-style-type: none"> • Achieved Expectations • Achieved Excellence

Department of Homeland Security Employee Performance Plan and Appraisal Form

Performance Goals

This section allows entry for up to 5 *critical* Performance Goals for the employee. Each performance goal is *critical*, which means that an Unacceptable determination in *any one goal* results in an overall Unacceptable Rating. If more than 5 Performance Goals need to be added, please use the "Additional Goals/Comments" section located at the end of this document. Please use the tab key to navigate from field to field. Please refer to the Performance Appraisal Rating Summary and Calculation Sheet (i.e., the ratings calculator) to view the rating given to each critical performance goal.

Each *critical* 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 *critical* goals, they might be weighted as follows: 25%, 25%, and 50%. The *critical* 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" standard.
- 4 – **Exceeded Expectations.** The employee performed at a level between "Achieved Excellence" standard and the "Achieved Expectations" standard.
- 3 – **Achieved Expectations.** The employee performed as described by the "Achieved Expectations" standard.
- 1 – **Unacceptable.** The employee performed below the "Achieved Expectations" standard; action is required.

For each performance goal, please describe expected performance at the "Achieved Expectations" and "Achieved Excellence" levels. These "performance standards" should include measures such as quality, quantity, timeliness, and/or cost effectiveness.

Performance Goal 1 (provide a brief statement of what is to be achieved – Outcomes/Results):

Please insert the higher level Goal, Objective, or Mission of the organization and/or of the supervisor to which this goal *aligns*:

Achieved Expectations:

Achieved Excellence:

Weight: %

Comments (If appropriate):

Performance Goal 2 (provide a brief statement of what is to be achieved – Outcomes/Results):

Please insert the higher level Goal, Objective, or Mission of the organization and/or of the supervisor to which this goal *aligns*:

Achieved Expectations:

Achieved Excellence:

Weight: %

Comments (If appropriate):

Performance Goal 3 (provide a brief statement of what is to be achieved – Outcomes/Results):

Please insert the higher level Goal, Objective, or Mission of the organization and/or of the supervisor to which this goal *aligns*:

Achieved Expectations:

Achieved Excellence:

Weight: %

Comments (If appropriate):

Department of Homeland Security Employee Performance Plan and Appraisal Form

Performance Goal 4 (provide a brief statement of what is to be achieved – Outcomes/Results):

Please insert the higher level Goal, Objective, or Mission of the organization and/or of the supervisor to which this goal *aligns*:

Achieved Expectations:

Achieved Excellence:

Weight: %

Comments (If appropriate):

Performance Goal 5 (provide a brief statement of what is to be achieved – Outcomes/Results):

Please insert the higher level Goal, Objective, or Mission of the organization and/or of the supervisor to which this goal *aligns*:

Achieved Expectations:

Achieved Excellence:

Weight: %

Comments (If appropriate):

Additional Goals (as appropriate)

This section shall be used for any *goal* overflow throughout the document (i.e. performance goals, comments). If additional performance goals are entered here, please use the format below.

Performance Goal (provide a brief statement of what is to be achieved – Outcomes/Results):

Please insert the higher level Goal, Objective, or Mission of the organization and/or of the supervisor to which this goal *aligns*:

Achieved Expectations:

Achieved Excellence:

Weight: %

Comments (If appropriate):

Performance Goal (provide a brief statement of what is to be achieved – Outcomes/Results):

Please insert the higher level Goal, Objective, or Mission of the organization and/or of the supervisor to which this goal *aligns*:

Achieved Expectations:

Achieved Excellence:

Weight: %

Comments (If appropriate):

**Department of Homeland Security
Employee Performance Plan and Appraisal Form**

Performance Plan Acknowledgements & Comments

This acknowledges the start of the employee performance plan and the employee appraisal period.

I certify that the performance goals have been reviewed and approved by the Reviewing Official.

Rating Official Signature _____ Date _____

Rating Official Comments:

I have discussed my performance plan with my Rating Official.

Employee Signature _____ Date _____

Employee Comments:

Mid-Cycle Review Acknowledgements

At least one formal mid-cycle review is required during the appraisal period.

I certify that the mandatory formal mid-cycle progress review and discussion occurred.

Rating Official Signature _____ Date _____

Rating Official Comments:

Employee Signature _____ Date _____

Employee Comments:

**Department of Homeland Security
Employee Performance Plan and Appraisal Form**

Progress Review Acknowledgements & Comments (optional)

This section is provided for any additional progress reviews that may occur throughout the performance cycle.

A progress review discussion occurred.

Employee Signature _____ Date _____
Employee Comments:

Rating Official Signature _____ Date _____
Rating Official Comments:

Interim Evaluation Acknowledgements & Comments (as appropriate)

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. Under certain circumstances supervisors will prepare "Interim Evaluations" of performance prior to the conclusion of the Rating Cycle. Please consult your Human resources Office for an explanation of when Interim Evaluations are to be prepared. Interim Evaluations will be considered by employees' permanent supervisors-of-record when preparing a final Ratings of Record.

An Interim Evaluation discussion occurred.

Rating Official Signature _____ Date _____
Rating Official Comments:

Employee Signature _____ Date _____
Employee Comments:

**Department of Homeland Security
Employee Performance Plan and Appraisal Form**

Please use the **Rating Summary and Calculation Sheet** (i.e., **FY 2013 Ratings Calculator**) located on the DHS Intranet (or your Component's Intranet) to document the Determinations for each **Core Competency** and **Performance Goal**, as well as the employee's overall, final **Rating of Record**.

The completed Ratings Calculator sheet must be attached to this document in order to complete the employee's record.