



TSA MANAGEMENT DIRECTIVE No. 1100.43-3
EMPLOYEE PERFORMANCE MANAGEMENT PROGRAM

To enhance mission performance, TSA is committed to promoting a culture founded on its values of Integrity, Innovation and Team Spirit.

NOTE: Pursuant to Section 101 of the Aviation and Transportation Security Act (49 U.S.C. 114(n)), this directive and all related Handbooks, Attachments, and Appendices establish Transportation Security Administration (TSA) policy and must be applied accordingly.

REVISION: This revised directive supersedes TSA MD 1100.43-3, *Employee Performance Management System*, dated December 20, 2012.

SUMMARY OF CHANGES: Section 2, Scope, clarified the employees who are exempt from this directive; Section 3, Authorities, removed reference to Homeland Security Act; and Section 6, Policy, modified the performance appraisal period; and administrative and formatting changes throughout the document.

1. **PURPOSE:** This directive provides TSA policy and procedures for TSA *Employee Performance Management Program* (EPMP).
2. **SCOPE:** This directive applies to all employees except employees receiving a rating under other TSA Performance Management Programs, such as those employees occupying Transportation Security Executive Service (TSES) positions within the TSA, who are covered by the DHS Senior Executive Service (SES) performance management system. Employees who are covered under the Transportation Officer Performance System (TOPS) are also exempt from the provisions of this directive.
3. **AUTHORITIES:** The Aviation and Transportation Security Act (ATSA), Pub. L. 107-71.
4. **DEFINITIONS:** For a full list of definitions, see [TSA Handbook to TSA MD 1100.43-3, *Employee Performance Management Program*](#).
 - A. **Higher-Level Management Official:** A position at a higher organizational level and of equal or higher pay band than the Reviewing Official who may or may not be in the employee's chain of supervision.
 - B. **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.
 - C. **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. The final decision on an L and M band employee's rating of record is made by the Administrator, per the Performance Review Board's (PRB) recommendation.

5. RESPONSIBILITIES:

- A. Administrator or Deputy Administrator is responsible for assigning an annual summary rating for each L and M band employee, in writing, after considering the Performance Review Board (PRB) recommendations.

- B. Assistant Administrator for Human Capital is responsible for:
 - (1) Establishing policy and procedures governing performance management and administering their provisions;
 - (2) Providing guidance and assistance to management officials concerning their performance management responsibilities;
 - (3) Ensuring compliance with the EPMP, as described in this directive throughout TSA; and
 - (4) Ensuring appropriate training on the EPMP is provided to executives, managers, supervisors, and employees.

- C. Higher-Level Management Officials are responsible for:
 - (1) Reviewing results and ensuring consistency in application of performance management and performance standards across larger units of the organization;
 - (2) Analyzing trends and recommending/implementing actions needed to ensure that performance goals are being met;
 - (3) Ensuring EPMP policies and requirements are adhered to in their areas of responsibility, including that employees are being provided the resources needed to achieve their performance goals and objectives; and
 - (4) Reporting to top management officials regarding performance management results for their areas.

- D. Assistant Administrators (AAs) are responsible for:
 - (1) Communicating the final rating to L and M band employees; and
 - (2) Providing L and M band employees with their final performance appraisal document upon conclusion of the PRB process.

- E. Reviewing Officials are responsible for:
 - (1) Reviewing and approving performance plans of employees under their Rating Officials prior to the performance plan meeting;
 - (2) Reviewing and approving end-of-year appraisals for employees under their Rating Officials;

NOTE: The final decision on a rating of record for L and M band employees is made by the Administrator or Deputy Administrator based on PRB recommendation.

- (3) Ensuring that EPMP policies and requirements are adhered to in their area of responsibility;
- (4) Meeting regularly with Rating Officials in their area of responsibility to review and track employee performance;
- (5) Identifying and resolving discrepancies in applying performance standards in their areas of responsibility; and
- (6) Providing regular updates to their AA or other management official as appropriate regarding performance results for their areas of responsibility.

F. Rating Officials are responsible for:

- (1) Establishing performance goals, weights, and standards that align with organizational goals for their direct report employees;
- (2) Scheduling and conducting performance planning meetings, progress reviews and end-of-year reviews;
- (3) Signing and obtaining employee signatures on performance plans;
- (4) Observing, coaching, and providing feedback to employees;
- (5) Documenting and rating employees' performance;
- (6) Maintaining performance documents in accordance with this directive;
- (7) Providing regular updates to Reviewing Officials on workforce performance; and
- (8) Obtaining Reviewing Officials' concurrence on employee appraisals prior to communicating those ratings to employees.

G. Employees are responsible for:

- (1) Participating in establishing their performance goals and standards, as applicable;
- (2) Performing their work assignments according to established performance expectations, procedures, and supervisory instructions;
- (3) Seeking clarification of instructions and informing their supervisors if they are having difficulty carrying out an assignment;
- (4) Participating in performance planning meetings, progress reviews, and end-of-year reviews with their Rating Official;

- (5) Signing their performance plans; and
- (6) Voluntarily completing a narrative self-assessment of their performance for inclusion in their end-of-year review.

NOTE: Narrative self-assessments are mandatory for L and M band employees.

H. Business Management Offices are responsible for:

- (1) Collecting, maintaining, and reporting program compliance data;
- (2) Providing compliance data reports to Higher-Level Management Officials and the Office of Human Capital; and
- (3) Providing final L and M band employee performance appraisals in preparation for the PRB.

I. PRB is responsible for overseeing the L and M band employee performance review process.

6. POLICY: EPMP is intended to promote a culture of high performance and accountability, and to ensure that each employee knows what is required to successfully accomplish his or her work in order to help TSA accomplish its mission.

A. An employee shall receive a rating of record based on a four (4)-tiered rating system.

B. Individual performance goals shall align with organizational goals.

C. An employee must be on a performance plan for a minimum of 90 days in order to receive a rating of record.

D. The performance appraisal period begins on October 1 (or the employee's appointment date to his or her current permanent position, whichever is later) and ends on September 30 (or after the employee has been on his or her performance plan for at least 90 days, whichever is later).

7. PROCEDURES: [See TSA Handbook to TSA MD 1100.43-3, *Employee Performance Management Program*.](#)

8. APPROVAL AND EFFECTIVE DATE: This policy is approved and effective the date of signature unless otherwise specified.

APPROVAL

Signed

May 30, 2014

Karen Shelton Waters
Assistant Administrator for Human Capital

Date

EFFECTIVE

Date

Distribution: Administrator, Deputy Administrator, Assistant Administrators, Regional Directors, Federal Security Directors, Supervisory Air Marshals in Charge, Business Management Division Directors, Administrative Officers, and Human Resources Specialists

Point of Contact: HRAccess Helpdesk: HelpDesk@tsa-hraccess.com