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# Performance Management System (PMS)

## Performance Appraisal and Recognition Matters for Support Personnel

## PERFORMANCE MANAGEMENT SYSTEM (PMS)

### FOREWORD

The Performance Management System was designed to integrate the performance-related facets of personnel management. It encompasses not only performance appraisal, but also such performance-based personnel decisions as promotions, office of preference transfers, within-grade and quality step increases, and superior accomplishment awards.

All support personnel, except those assigned to positions classified at or above grade GS 16 and supervisors and management officials in grades GS 13 through GS 15 who are covered by the provisions of the Performance Management and Recognition System (PMRS), are subject to the PMS.

The attached policy is organized into two major parts, covering appraisal and recognition matters, and several related appendices. The performance appraisal provisions effectively supersede those in the Manual of Administrative Operations and Procedures (MAOP), Part I, Section 5, pages 39 - 57, immediately. The recognition provisions must be applied in tandem with information in the MAOP as cited.

## TABLE OF CONTENTS

## FOREWORD

PART I	PERFORMANCE APPRAISAL PROVISIONS	PAGE
	A. PURPOSE . . . . .	1
	B. RESPONSIBILITIES . . . . .	1
	C. PERFORMANCE APPRAISAL PROCESS . . . . .	3
	1. Issuance of Performance Plans . . . . .	3
	2. Progress Reviews . . . . .	3
	3. Performance Appraisal Reports (PARs) . . . . .	4
	4. Issuance of PARs . . . . .	5
	5. Prior Review . . . . .	6
	6. Employee Review/Reconsideration Request . . . . .	6
	D. ACTIONS BASED ON LESS THAN FULLY SUCCESSFUL PERFORMANCE . . . . .	6
	1. Unacceptable - Warning PAR . . . . .	7
	2. Warning Resolution PAR . . . . .	8
	3. Approval of Recommendations . . . . .	9
PART II	PERFORMANCE-BASED PERSONNEL DECISIONS	
	A. PROMOTIONS AND OFFICE OF PREFERENCE TRANSFERS . . . . .	11
	B. WITHIN-GRADE INCREASES (WIGIs) . . . . .	11
	1. Making an ALOC Determination . . . . .	11
	2. Delaying an ALOC Determination . . . . .	12
	3. Notification . . . . .	13
	4. Appraisal After Denial . . . . .	13
	C. QUALITY STEP INCREASES (QSIs) . . . . .	13
	D. SUPERIOR ACCOMPLISHMENT AWARDS . . . . .	13
APPENDIX I	DEFINITIONS	
APPENDIX II	DEVELOPING PERFORMANCE PLANS	
	A. CRITICAL ELEMENTS . . . . .	1
	B. PERFORMANCE STANDARDS . . . . .	1
	C. JOINT PARTICIPATION . . . . .	2
APPENDIX III	COMBINATIONS TABLE FOR DETERMINING SUMMARY RATINGS	
APPENDIX IV	FORMS	
APPENDIX V	ABBREVIATIONS	

PART 1. PERFORMANCE APPRAISAL PROVISIONS

A. PURPOSE. The purpose of the Performance Appraisal System (PAS) in the FBI is to provide a tool for executing basic management and supervisory responsibilities by:

1. Communicating and clarifying agency goals and objectives;
2. Identifying individual accountability for the accomplishment of organizational goals and objectives;
3. Evaluating and improving individual and organizational accomplishments; and
4. Using the results of performance appraisal as a basis for adjusting basic salary and determining performance awards, training, rewarding, reassigning, promoting, reducing in grade, retaining, and removing employees.

B. RESPONSIBILITIES. The Personnel Officer is responsible for the overall administration of the FBI's PMS as it applies to support personnel. In this regard, the Personnel Officer shall ensure that the performance appraisal and recognition processes are properly administered and applied. At any time deemed appropriate, the Personnel Officer or his/her designee will conduct a substantive review and validation of any Performance Plan/Performance Appraisal Report (PAR) and institute any actions necessary to ensure compliance with applicable law, regulation, or policy as set forth herein. The specific responsibilities of other executives, management officials and supervisors follow:

1. Heads of offices (e.g., Special Agents in Charge or Assistant Directors) shall personally ensure that:
  - a. Employees under their jurisdiction are adequately informed of their rights and responsibilities under the PAS in a timely manner;
  - b. Managers and supervisors under their jurisdiction who serve as rating and/or reviewing officials are given training and periodic reminders of their duties and responsibilities under the PAS, in addition to receiving supplementary directives as necessary;
  - c. Instructions governing the identification and establishment of critical elements and performance standards, within prescribed parameters, are developed for use within, and tailored to, their respective organizations;

- d. Periodic evaluations of the performance appraisal processes within their offices are conducted and that only employees whose performance exceeds normal expectations are rated at or above Fully Successful;
- e. Ratings of record issued to employees in their offices are approved; and
- f. Performance-based personnel action recommendations are reviewed and approved.

2. Reviewing officials are normally the supervisors of rating officials and as such will ensure that:

- a. The critical elements identified and performance standards established at the beginning of the appraisal period are in furtherance of the goals of the entity served;
- b. PARs completed by rating officials are reviewed and accepted or adjusted as warranted; and
- c. Rating officials provide advice or instruction as appropriate to subordinates.

3. Rating officials are normally the employees' immediate supervisors who train, assign, and review the employees' work. In appraising subordinates, rating officials are to:

- a. Prepare, with employees' input where feasible, Performance Plans for all subordinates;
- b. Collect and maintain specific examples of employees' accomplishments and deficiencies throughout the appraisal period;
- c. Afford guidance and assistance to all subordinates;
- d. Issue PARs to employees as prescribed; and
- e. If applicable, review the performance appraisal practices of subordinate supervisors and provide advice as appropriate.

4. Employees subject to the PAS are responsible for:

- a. Participating, as requested, in the development of their Performance Plans;
- b. Actively engaging in performance discussions during progress review sessions and at other appropriate times; and
- c. Maintaining current knowledge of their rights and responsibilities under the PAS.

C. PERFORMANCE APPRAISAL PROCESS. Most performance appraisal procedures are to be accomplished through direct contact with the employee. Inasmuch as certain assignments may preclude face to face contact because of geographic location or the sensitive nature of the assignment, telephonic contact may be considered an appropriate substitute. When personal contacts are not possible for a reason other than undercover assignment, performance appraisal documents are to be forwarded to the employee in an envelope marked "Personal and Confidential," for his/her review and subsequent signing and dating.

1. Issuance of Performance Plans - Refer to Appendix II for details regarding the development of critical elements and performance standards when models issued by, or through, the Performance, Recognition and Awards Unit (PRAU) are not used. An original Plan, comprised of a Notice Page (FD-741) and Critical Element and Performance Standards Page(s) (FD-741a), is to be issued within 30 days of: (1) an employee's entry on duty, (2) change of positions due to change in grade or reassignment, and (3) the outset of a detail (temporary duty) expected to last longer than 90 days.

An employee serving in a trial assignment may not be appraised for that time period. He/she should be given the opportunity to review the Performance Plan for the position, but the Plan may not be officially issued until he/she is permanently assigned to the position. Any change in grade after the beginning of an appraisal period will result in the adjustment of the annual period to begin on the date of the issuance of the new Plan.

Critical elements and performance standards may be initiated, adjusted and/or terminated at any time in accordance with instructions on the forms. Reviewing officials are to review and certify their approval of the Plans prior to the issuance of the Plans. (NOTE: When a Plan is prepared by the head of an office, there is no reviewing official.) Should substantive changes be deemed necessary prior to or after the issuance of a Plan, the reviewing official must approve same before they are presented to the employee and become effective.

When the same Plan is being continued from one annual appraisal period to the next, the notice of critical elements and performance standards must be renewed in accordance with the instructions on the reverse of the Notice Page.

2. Progress Reviews - Rating officials are responsible for imposing and maintaining appropriate controls which permit the assessment of employees' performance throughout the appraisal period. Approximately midway through the appraisal period, i.e., January 1st

(field)/June 1st (FBIHQ), rating officials must conduct progress review sessions with their subordinates unless a PAR has been or will be issued within 30 days of respective dates. If an employee's appraisal period is altered by a change in grade, the rating official must initiate a review session approximately midway through the newly established rating period. At a minimum, employees are to be advised of their level of performance vis a vis their Plans during the review session. Such advice is not, and shall not be construed as, an official rating.

A Progress Review Sheet and, if necessary, Progress Review Continuation Sheet(s) (FD-743 and 743a, respectively) are to be used to record the results of each progress review session. Review sheets are to be retained by the rating official in the employee's personnel folder, with other performance documentation, for use in preparing the employee's rating, and are not to be destroyed for at least 120 days after the issuance of the PAR.

3. Performance Appraisal Reports (PARs) - Each PAR is comprised of a Cover Page (FD-742) and Evaluation Page(s) (FD-742a) and, if applicable, Narrative Page(s) (FD-742b). All PARs are "official" and must be afforded the same consideration in their execution. An employee must have served at least 90 calendar days on notice of his/her elements and standards before a PAR may be issued. PARs are required in the following instances:

- a. End of Annual Period - Immediately after June 30th (field)/November 30th (FBIHQ) for any employee who has not received a PAR since April 1st/September 1st, respectively, and who has been in grade and on notice of elements and standards for at least 90 days. The rating official must consider any prior PAR issued during the appraisal period when preparing this rating. When an employee has not received and is not eligible for a rating by June 30th (field)/November 30th (FBIHQ), the annual period must be extended until the minimum appraisal requirements are met, with the next annual period beginning the first working day after the PAR is issued.
- b. Position Change - Whenever an employee is scheduled to leave his/her official position, due to reassignment, promotion, and/or demotion, after meeting the 90 day appraisal requirements since his/her last rating. PARs must also be prepared for employees beginning trial assignments.
- c. Change in Rating Official - Approximately two weeks prior to the departure of a rating official who is scheduled to leave his/her position on or after

January 1st (field)/June 1st (FBIHQ). Such PARs are not needed for any employee who has not met the minimum appraisal requirements since his/her last rating.

- d. Headquarters' Request - Self-explanatory.
- e. Current Appraisal - Whenever an office desires to update performance appraisal information for any employee. A current PAR is necessary when a within-grade increase (WIGI) decision is not supported by the rating of record. It is also required in some instances after the issuance of a Warning Resolution. (See Section D.2.a.)
- f. Details - At the expiration of a detail when an employee has been on notice of elements and standards for at least 90 days.
- g. Unacceptable - Warning - Whenever an employee's performance deteriorates below the Minimally Acceptable level in any critical element. (See Section D.1., regarding issuance of an Unacceptable - Warning PAR.)
- h. Warning Resolution - At the conclusion of an opportunity period to resolve an employee's warning status. (See Section D.2.)

4. Issuance of PARs - When an appraisal is due, the rating official must review his/her documentation of the employee's performance to determine the level achieved on each critical element in which the employee has had the opportunity to perform by comparison with the employee's Performance Plan. The appraisal of a disabled veteran may not be lowered because the veteran has been absent from work to seek medical treatment. A narrative summary of the employee's performance, including specific accomplishments and deficiencies, must be provided for elements rated at a level other than Fully Successful or Superior. The narrative for any element rated below Fully Successful must include the assistance to be afforded the employee in improving. Such assistance may include, but is not limited to, formal or informal training, counseling, reassignment, and closer supervision. (See Section D, regarding performance below the Fully Successful level.)

The summary rating is determined through the arithmetic process of adding the numeric values for the performance levels achieved on all elements and dividing that total by the number of elements rated. The placement of the resultant numeric value in ranges establishes the summary level achieved. The performance levels, equivalent numerical values and ranges, together with the computation of summary ratings with these values for combinations of up to seven critical elements, are included in Appendix III.



5. Prior Review - The PAR must be submitted to the reviewing official for approval before it is presented to the employee. The reviewing official has the authority to accept or modify any PAR in keeping with the proper application of these provisions. Modifications to a PAR must be justified in writing and such comments attached to the PAR. (NOTE: When a PAR is prepared by the head of an office, there is no reviewing official.)

6. Employee Review/Reconsideration Request - Each employee must be afforded the opportunity to review his/her PAR and the Plan upon which it is based, and to discuss any aspect of it with the rating official. An employee who is not satisfied with his/her PAR is encouraged to pursue the matter through the office chain of command. Failing satisfaction, an employee has the right to request reconsideration of his/her PAR by the Personnel Officer. (NOTE: Employees whose PARs are issued or reviewed by the Personnel Officer must direct their reconsideration requests to the Assistant Director, Administrative Services Division.)

A reconsideration request must be made in writing within fifteen calendar days of the date the PAR is presented to the employee. The written communication from the employee is to include all performance-related information which, in the opinion of the employee, supports an adjustment to the PAR. Under the reconsideration process, the contested PAR may be sustained, modified by increasing or decreasing the level assigned to any critical element, or changed in any fashion to ensure its compliance with PAS policy. A written communication to the employee advising of the decision on the PAR will be provided. In the event a PAR is adjusted through the reconsideration process, a copy of the adjusted PAR will be provided to the issuing office for the employee's review and for retention in lieu of the copy of the PAR as originally issued. To the extent appropriate, any personnel action(s) taken based on the original PAR will be modified to reflect the adjustment made.

An employee must be allowed a reasonable amount of time and access to performance-related documents to prepare a reconsideration request. Copies of classified documents, e.g., PAR, Progress Review Sheet, or the like, may be released to an employee for submission with a reconsideration request; however, employees are to be cautioned concerning the release of such material to any other individual. Rating officials are not to destroy performance documentation until at least 120 days have lapsed, to permit approval of the PARs and the exercise of the right to request reconsideration.

**D. ACTIONS BASED ON LESS THAN FULLY SUCCESSFUL PERFORMANCE.**

Assistance must be provided to employees in improving performance rated at a level below Fully Successful. In this regard, at any time an employee's performance in one or more critical elements is rated

below Fully Successful, the rating official is to provide assistance through formal or informal training, counseling, closer supervision, or other appropriate means, such as a reassignment.

In some instances, performance may be found to be of such significance, e.g., demonstrating a reasonable potential for jeopardizing physical safety, that treatment through the performance appraisal process would not be appropriate. Other situations may combine poor performance and actions subject to policy governing disciplinary matters, as set forth in the MAOP, Part I, Section 13. Except in cases meeting requirements for action under both the PAS and disciplinary policy, it is generally unnecessary and inappropriate to recommend a disciplinary action such as probation when issuing an Unacceptable - Warning PAR.

Unacceptable performance is a basis to reassign, reduce in grade or remove an employee. Such remedial action may be taken only after an employee has been provided with notice of the unacceptable performance, in the form of an Unacceptable - Warning PAR, and given a reasonable opportunity to demonstrate acceptable performance. When an employee's performance is determined to be at an Unacceptable level on any critical element, the rating official must prepare an Unacceptable - Warning PAR in accordance with the following procedures. At the conclusion of the opportunity period, a Warning Resolution PAR must be issued to complete the initial warning process.

1. Unacceptable - Warning PAR - Narrative summaries of performance must be provided for each critical element regardless of the level achieved. Narratives for each element rated Unacceptable must include specific instances of performance below the Minimally Acceptable level. The rating official must append a separate statement on plain white bond paper, as part of the PAR, regarding the assistance to be offered the employee to improve. Such assistance must, without exception, include affording the employee the opportunity to review his/her Performance Plan, thereby reconveying the requirements of the Minimally Acceptable level, for each element, which must be achieved/maintained in/throughout the opportunity period.

- a. Length of Opportunity Period - The opportunity period is uniformly set at 60 calendar days. An office may extend the opportunity period for an additional 30 calendar days, if the rating and reviewing officials determine that the employee (1) has improved and (2) may yet achieve the Minimally Acceptable level if given some additional time. Only in unusual circumstances, such as absence on extended sick/maternity/military leave, could the period ever exceed 90 days. Given concurrence by the head of the office, a communication (memorandum for FBIHQ employees/airtel for field employees) regarding such extension must be forwarded to the Performance, Recognition and Awards Unit (PRAU) as soon as possible.

- b. Interruption of Period - As a rule, once an employee is given a Warning PAR, he/she should not be reassigned prior to the completion of the opportunity period. Circumstances may necessitate the reassignment of an employee to protect an investigative operation or even the employee; however, generally, reassignments are supervisory options which should be exercised before issuing a Warning PAR.

To reassign an employee during his/her opportunity period nullifies that employee's chance to demonstrate positive performance with respect to the critical element(s) in question. If a reassignment is required, the warning must be considered unresolved and no recommendation for reduction in grade or removal may be made.

If an opportunity period is prematurely terminated as a result of the employee's request, e.g., for a voluntary demotion, a Resolution PAR must be prepared in accordance with the provisions below.

2. Warning Resolution PAR - At the completion of the opportunity period, a Warning Resolution PAR must be prepared. The Resolution PAR is to address the employee's performance leading to the warning as well as during the opportunity period. Narrative summaries of performance must be provided for each critical element, regardless of the level achieved. The narratives for all elements for which the employee was warned, and any element rated Unacceptable, must include specific examples of performance demonstrated and the level achieved during the opportunity period. The narrative for any element rated at the Minimally Acceptable level must include a description of the assistance to be afforded. (See Section C. 4. of this Part, regarding means to assist.) When the Resolution PAR satisfies the end of the annual period requirement, the rating official must consider all ratings issued at the same grade level during that annual period.

- a. Positive Resolution - If the employee consistently demonstrates performance at least at the Minimally Acceptable level during the opportunity period, no less than the Minimally Acceptable level may be assigned. If all elements are rated Minimally Acceptable, the warning is considered to be resolved at a positive level and no recommendation for remedial action may be made.

When a warning is resolved at a positive level, a separate statement on plain white bond paper, initialed by the employee, must be appended to the PAR indicating that the employee has been advised that further failure during the remainder of the annual appraisal period, in the critical element(s) for which the opportunity period was provided, will be cause for the immediate issuance of a PAR at the Unacceptable level. (If the Warning Resolution concludes the annual period, these conditions will apply to the first 90 days of the next annual period.) In the event of such further failure, a PAR at the Unacceptable level must be issued and forwarded with an appropriate recommendation in compliance with the provisions of 2.b., below.

- b. Unacceptable Resolution - If the employee continues to perform below the Minimally Acceptable level during the opportunity period, a recommendation in accordance with 5 U.S.C. 4302(b)(6) to reassign, reduce in grade, or remove is to be set forth in a cover communication forwarding the PAR to the PRAU, FBIHQ. The recommendation must be based on the unacceptable performance addressed by the Resolution PAR and should reflect consideration of the employee's record - a factor not addressed by the PAR but appropriate for inclusion in a recommendation for personnel action.

3. Approval of Recommendations - When FBIHQ approves a recommendation to reduce in grade or remove the employee based on a PAR at the Unacceptable level, the employee is entitled to:

- a. 30 days' advance written notice of the proposed action. This notice will be provided to the employee by the Assistant Director of the Administrative Services Division, and will identify specific instances of less than Minimally Acceptable performance as well as actions taken to assist the employee to improve, advise the employee of his/her right to representation by an attorney or other counsel, and provide the employee with 10 days to respond to the proposed action orally and in writing; and
- b. A written decision. The decision will be provided by the Executive Assistant Director - Administration, or another appropriate official, and must specify the instances of less than Minimally Acceptable performance by the employee on which the reduction in grade or removal is based.

The decision to retain, reduce in grade, or remove the employee must be made within 30 days after the date of expiration of the notice period. Furthermore, in the case of a reduction in grade or removal, the decision must be based on those instances of unacceptable performance by the employee which occurred during the one year period ending on the date of the advance written notice of the proposed action. (NOTE: Failure to issue Unacceptable - Warning and Warning Resolution PARs in a timely manner may well preclude the consideration of some of the employee's unacceptable performance in supporting reduction in grade or removal decisions.)

At the expiration of the notice period, the supervisor must certify the employee's failure to improve or prepare a current PAR at least at the Minimally Acceptable level. The head of the office must advise the Administrative Summary Unit at FBIHQ by written communication (teletype from field offices and Legal Attaches; memorandum from FBIHQ offices) of the office's final decision regarding the employee.

If, because of an improvement in performance by the employee during the notice period, the employee is not reduced in grade or removed, and the employee's performance continues to be acceptable for one year from the date of the advance written notice, the Warning Resolution PAR and any entry or other notation with reference to same must be removed from any office or FBIHQ record relating to the employee.

## PART II. PERFORMANCE-BASED PERSONNEL DECISIONS

The PMS establishes the eligibility criteria for all performance-based personnel decisions, including promotions, within-grade and quality step increases, and superior accomplishment awards. The FBI, consistent with the principles of good management, affords recognition only for performance that is clearly beyond minimum established requirements.

A. PROMOTIONS AND OFFICE OF PREFERENCE TRANSFERS. The promotion of any employee must be based on consideration of the individual's overall record and demonstrated accomplishments. The time which must be served at any grade level depends on a variety of factors; current policy governing all requirements other than performance appraisal may be found in the MAOP, Part I, Section 7, as supplemented by official communications. The provisions herein supersede those in the MAOP with regard to performance appraisal requirements.

To be eligible for promotional consideration, an employee's most recent PAR must have no individual critical element rated less than Fully Successful. Generally, this requirement must also be met before an employee will be considered for an office of preference transfer involving special positions in a career path or reassignment to a position which will afford promotional opportunity (e.g., reassignment from a File Clerk to an Investigative Assistant position).

B. WITHIN-GRADE INCREASES (WIGIs). A WIGI is a one-step increase within a salary range. To be eligible, an employee must have completed the required waiting period and be performing at an acceptable level of competence (ALOC), i. e., have a summary rating of Fully Successful or higher. Refer to the MAOP, Part I, Section 7-15.1 - 2 for a discussion of waiting periods and the effect of leave without pay.

The ALOC determination must be supported by the employee's rating of record; if the last rating does not support the decision, a new rating must be issued. See Part I for a detailed discussion of the rating process. The WIGI decision is based solely on the appraisal of an employee's performance; pending disciplinary actions and/or administrative inquiries have no impact on such decisions unless they are also performance-based.

1. Making an ALOC Determination - Approximately two weeks prior to each employee's scheduled completion of a WIGI waiting period, a certification form will be generated by the Pay and Position Management Unit (PPMU) at FBIHQ and sent to the employee's office. (See Appendix IV for a sample certification form.) The form is to be completed by the employee's rating official, approved by his/her reviewing official, and returned to the PPMU within three days of receipt.

- a. Current Performance - The rating official is to consider the employee's current performance in terms of his/her Performance Plan and compare the current level of performance to that recorded in his/her last PAR and any Progress Review Sheets issued after that PAR. If the employee's current performance is at an ALOC, the recommendation to grant the WIGI must be marked on the form. If this decision is not supported by the rating of record, a new PAR must be issued and submitted with the certification form. Any discrepancy between the WIGI recommendation and the level of the PAR may have a major impact on the validity of the pay action.

If the employee's current performance is not at an ALOC, denial of the WIGI must be recommended on the certification form. Again, if the last PAR does not support this decision, a new PAR must be prepared and submitted with the certification form. If the PAR being used to support a recommendation to deny a WIGI is six months or more old, a new PAR must be issued to ensure the currency and adequacy of the documentation used to support such a recommendation. No official action to deny a WIGI will be taken pending receipt and validation of the employee's PAR. Every effort should be made to expedite the processing of PARs to avoid unnecessary delays in effecting the pay actions. See items 3 and 4, below, for details regarding the impact of WIGI denials.

2. Delaying an ALOC Determination - If for any reason, such as absence on extended sick leave or for training purposes, the employee has not been on notice of his/her Performance Plan for at least 90 days or has not had the opportunity to demonstrate acceptable performance under such Plan, then that employee's ALOC determination must be delayed until a PAR may be issued.

The determination must also be delayed if the employee has been reduced in grade because of unacceptable performance on, or within 90 days of, completion of his/her waiting period. In either of these instances, the employee must be advised that the WIGI determination will be postponed until the completion of 90 days on notice of his/her Performance Plan. If the employee has not been placed on such notice, it must be accomplished as soon as possible.

As soon as practicable following the completion of the 90 day period, a PAR must be issued and forwarded to the PRAU. The WIGI determination supported by the PAR must be forwarded to the PPMU. The pay action, either to grant or deny, will be made retroactive to the original eligibility date. A WIGI may not be delayed for any reason other than absence of notice/opportunity to perform or demotion for unacceptable performance.

3. Notification - An employee is notified of a positive decision through the issuance of a Notification of Personnel Action Form (SF-50). An employee is informed of a negative determination by a written communication from the Personnel Officer advising of the denial of the WIGI, the reason for the negative determination, the steps necessary to improve his/her performance, and the right to request reconsideration of the determination. Reconsideration requests are processed in accordance with the provisions in the MAOP, Part I, Section 7-15.6.

4. Appraisal After Denial - If an employee's performance improves after a denial, a new PAR may be prepared to support a positive ALOC determination and a formal recommendation to grant the WIGI. Such a determination should be made whenever an employee has demonstrated sustained performance at the Fully Successful level overall. Rating and reviewing officials are strongly urged to allow four, eight, and twelve months for the demonstration of sustained performance by employees whose original waiting periods were one, two, and three years, respectively. In no case may a recommendation be submitted less than 90 days after the original eligibility date or, in the case of a delayed decision, the date of the PAR.

No action will be taken by the PPMU to grant a WIGI absent a formal recommendation, supported by a current PAR, affirming that the performance documented in that PAR has been demonstrated for a sustained period of time. After a WIGI has been denied, a new ALOC determination must be made, with a recommendation to grant or deny, no later than 52 weeks after the original eligibility date.

C. QUALITY STEP INCREASES (QSIs). The policy concerning QSIs as set forth in the MAOP, Part I, Section 5-14, continues in effect except that the criteria for the approval of QSIs require that the summary rating of the PAR satisfying the end of the annual period requirement be Exceptional, with no critical element rated below Fully Successful.

D. SUPERIOR ACCOMPLISHMENT AWARDS. These awards are designed to improve Government efficiency, economy and effectiveness by motivating employees to increase their productivity and creativity by rewarding them for their efforts which benefit the Government. Awards may be based on contributions such as suggestions, inventions, or special



acts or service in the public interest connected with or related to official employment. Superior Accomplishment Awards are basically the same as the Special Achievement Awards as described in the MAOP, Part I, Section 5-15 and those criteria continue. (Awards for suggestions and inventions will continue to be processed under the Suggestion Program as set forth in the MAOP, Part I, Section 5-19.) Superior Accomplishment Awards may be granted for performance in connection with a particular case, i.e., RICO, Kidnaping, etc., or special projects in which an employee may have been involved, i.e., implementation of new office procedures, computerization of specific programs, etc.

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**APPENDIX I - DEFINITIONS**

## DEFINITIONS

Appraisal - The act or process of reviewing and evaluating the performance of an employee against the described performance standard(s).

Appraisal Period - The period of time established for which an employee's performance will be reviewed. The annual period for support employees subject to the PAS generally begins on July 1st (field)/December 1st (FBIHQ) and ends the following year on June 30th (field)/November 30th (FBIHQ).

Appraisal System - A performance appraisal system which provides for the identification of critical elements, establishment of performance standards, communication of elements and standards to employees, establishment of methods and procedures to appraise performance against established standards, and appropriate use of appraisal information in making personnel decisions.

Critical Element - A component of a position consisting of one or more duties and responsibilities which contributes toward accomplishing organizational goals and objectives and which is of such importance that unacceptable performance on the element would result in unacceptable performance in the position.

Minimum Appraisal Period - 90 calendar days, the minimum amount of time that employees must be on notice of their critical elements and performance standards before they can be appraised.

Performance - An employee's accomplishment of assigned work as specified in the critical elements of the employee's Performance Plan.

Performance Plan - The aggregation of all of an employee's written critical elements and performance standards.

Performance Standard - A statement of the expectations or requirements established by management for a critical element at a particular rating level. A performance standard may include, but is not limited to, factors such as quality, quantity, timeliness, and manner of performance.

Progress Review - A review of the employee's progress toward achieving the performance standards. A progress review is not in itself an official rating.

Rating of Record - The summary rating required at the end of the annual period or at such other times as specified for special circumstances.

Summary Rating - The written record of the appraisal of each critical element and the assignment of a summary rating level. This record is to be issued in the form of a Performance Appraisal Report (PAR) with specific forms as required by the PAS.

**APPENDIX II - DEVELOPING PERFORMANCE PLANS**

## DEVELOPING PERFORMANCE PLANS

Employees and rating officials are, whenever feasible, to jointly participate in developing Plans, i.e., identifying critical elements and establishing performance standards; however, rating officials are responsible for the contents and propriety of the Plans.

A. CRITICAL ELEMENTS. Critical elements are to be determined through consideration of the organizational goals of the entity served and the requirements set forth in employees' official position descriptions. Each element must be of such importance that the rating official would, in the face of unacceptable performance, recommend the reduction in grade or removal of the employee.

B. PERFORMANCE STANDARDS. Performance standards, expressed in terms of quality, quantity, timeliness or other appropriate measurement criteria, must be consistent with the information in employees' official position descriptions as well as with the appropriate definition of the performance level as set forth below. For each critical element, performance standards are to be written for the Minimally Acceptable, Fully Successful, and Superior levels. The absence of a written standard for the highest and lowest performance levels shall not preclude the assignment of ratings at those levels.

1. Unacceptable - Repeated failure to substantially meet the Minimally Acceptable level described on the employee's Performance Plan in that the employee continually required closer supervision than specified in his/her official position description, and/or did not produce a sufficient amount of work at acceptable accuracy and/or quality levels, and/or exceeded time limits identified by supervisor.

2. Minimally Acceptable - Throughout the appraisal period, the employee achieved the minimum level set forth on his/her Performance Plan in that, under the level of supervision set forth in the employee's official position description, he/she completed a satisfactory amount of assigned projects at acceptable accuracy and/or quality levels, within time limits identified by supervisor.

3. Fully Successful - Throughout the appraisal period, the employee achieved the journeyman level of performance for his/her position in that, under less than the normal degree of supervision received as set forth in the employee's official position description, the employee exceeded the production, accuracy and/or quality requirements which were set for the Minimally Acceptable level, and completed assignments in advance of established deadlines. The employee's performance served as a model for other employees engaged in the same or similar operations.

4. Superior - Throughout the appraisal period, the employee's performance exceeded the journeyman level for his/her position in that, under substantially less than the normal degree of supervision received as set forth in his/her official position description, the employee's performance reflected a high degree of achievement with respect to the quality, quantity, and timeliness measurements applied in evaluating work performed. In addition, the employee's performance showed significant contributions to the overall effectiveness of the organizational entity to which assigned, as evidenced by increased cost effectiveness, more efficiency, reduction in paperwork, reduced staffing levels, or the like.

5. Exceptional - Throughout the appraisal period, the employee's performance exceeded the Superior level described on his/her Performance Plan, going beyond the scope of assigned duties and responsibilities in terms of valuable innovations and improvements introduced. The employee continually demonstrated extraordinary proficiency typical of expert status within the scope of assigned duties and responsibilities.

C. JOINT PARTICIPATION. Rating officials are to encourage employees' input in the development of Plans through any of the following, or other appropriate, means:

1. Employee and rating official may discuss and develop Performance Plans together;

2. Employee may provide the rating official with a draft Performance Plan;

3. Employee may comment on a draft Performance Plan prepared by the rating official; or

4. A Performance Plan may be prepared by a group of employees occupying similar positions.

**APPENDIX III - COMBINATIONS TABLE FOR DETERMINING  
SUMMARY RATINGS**

## COMBINATIONS TABLE FOR DETERMINING SUMMARY RATINGS

<u>Performance Level</u>	<u>Element Value</u>	<u>Summary Range</u>
Unacceptable	0	N/A
Minimally Acceptable	1.4	1.4 - 1.99
Fully Successful	2.4	2.0 - 2.99
Superior	3.4	3.0 - 3.99
Exceptional	4.4	4.0 - 4.4

NOTE: A rating of Unacceptable on any critical element results in a summary rating of Unacceptable, regardless of the performance levels achieved on other critical elements.

## A. TWO CRITICAL ELEMENTS

Individual Element Rating Combinations	Summary Rating
MA - MA	MA
MA - FS	MA
MA - S	FS
MA - E	FS
FS - FS	FS
FS - S	FS
FS - E	S
S - S	S
S - E	S
E - E	E

## B. THREE CRITICAL ELEMENTS

Individual Element Rating Combinations	Summary Rating
MA - MA - MA	MA
MA - MA - FS	MA
MA - MA - S	FS
MA - MA - E	FS
MA - FS - FS	FS
MA - FS - S	FS
MA - FS - E	FS
MA - S - S	FS
MA - S - E	S
MA - E - E	S
FS - FS - FS	FS
FS - FS - S	FS



## B. THREE CRITICAL ELEMENTS (CONTINUED)

FS - FS - E	S
FS - S - S	S
FS - S - E	S
FS - E - E	S
S - S - S	S
S - S - E	S
S - E - E	E
E - E - E	E

## C. FOUR CRITICAL ELEMENTS

Individual Element Rating Combinations	Summary Rating
MA - MA - MA - MA	MA
MA - MA - MA - FS	MA
MA - MA - MA - S	MA
MA - MA - MA - E	FS
MA - MA - FS - FS	MA
MA - MA - FS - S	FS
MA - MA - FS - E	FS
MA - MA - S - S	FS
MA - MA - S - E	FS
MA - MA - E - E	FS
MA - FS - FS - FS	FS
MA - FS - FS - S	FS
MA - FS - FS - E	FS
MA - FS - S - S	FS
MA - FS - S - E	FS
MA - FS - E - E	S
MA - S - S - S	FS
MA - S - S - E	S
MA - S - E - E	S
MA - E - E - E	S
FS - FS - FS - FS	FS
FS - FS - FS - S	FS
FS - FS - FS - E	FS
FS - FS - S - S	FS
FS - FS - S - E	S
FS - FS - E - E	S
FS - S - S - S	S
FS - S - S - E	S
FS - S - E - E	S
FS - E - E - E	S
S - S - S - S	S
S - S - S - E	S
S - S - E - E	S
S - E - E - E	E
E - E - E - E	E

## D. FIVE CRITICAL ELEMENTS

Individual Element Rating Combinations	Summary Rating
MA - MA - MA - MA - MA	MA
MA - MA - MA - MA - FS	MA
MA - MA - MA - MA - S	MA
MA - MA - MA - MA - E	FS
MA - MA - MA - FS - FS	MA
MA - MA - MA - FS - S	FS
MA - MA - MA - FS - E	FS
MA - MA - MA - S - S	FS
MA - MA - MA - S - E	FS
MA - MA - MA - E - E	FS
MA - MA - FS - FS - FS	FS
MA - MA - FS - FS - S	FS
MA - MA - FS - FS - E	FS
MA - MA - FS - S - S	FS
MA - MA - FS - S - E	FS
MA - MA - FS - E - E	FS
MA - MA - S - S - S	FS
MA - MA - S - S - E	FS
MA - MA - S - E - E	S
MA - MA - E - E - E	S
MA - FS - FS - FS - FS	FS
MA - FS - FS - FS - S	FS
MA - FS - FS - FS - E	FS
MA - FS - FS - S - S	FS
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MA - FS - S - S - S	FS
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MA - FS - S - E - E	S
MA - FS - E - E - E	S
MA - S - S - S - S	S
MA - S - S - S - E	S
MA - S - S - E - E	S
MA - S - E - E - E	S
MA - E - E - E - E	S
FS - FS - FS - FS - FS	FS
FS - FS - FS - FS - S	FS
FS - FS - FS - FS - E	FS
FS - FS - FS - S - S	FS
FS - FS - FS - S - E	S
FS - FS - FS - E - E	S
FS - FS - S - S - S	S
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FS - S - S - E - E	S
FS - S - E - E - E	S
FS - S - S - S - S	S
FS - S - S - S - E	S
FS - S - S - E - E	S
FS - S - E - E - E	S

## D. FIVE CRITICAL ELEMENTS (CONTINUED)

FS - E - E - E - E	E
S - S - S - S - S	S
S - S - S - S - E	S
S - S - S - E - E	S
S - S - E - E - E	E
S - E - E - E - E	E
E - E - E - E - E	E

## E. SIX CRITICAL ELEMENTS

Individual Element Rating Combinations	Summary Rating
MA - MA - MA - MA - MA - MA	MA
MA - MA - MA - MA - MA - FS	MA
MA - MA - MA - MA - MA - S	MA
MA - MA - MA - MA - MA - E	MA
MA - MA - MA - MA - FS - FS	MA
MA - MA - MA - MA - FS - S	MA
MA - MA - MA - MA - FS - E	FS
MA - MA - MA - MA - S - S	FS
MA - MA - MA - MA - S - E	FS
MA - MA - MA - MA - E - E	FS
MA - MA - MA - FS - FS - FS	MA
MA - MA - MA - FS - FS - S	FS
MA - MA - MA - FS - FS - E	FS
MA - MA - MA - FS - S - S	FS
MA - MA - MA - FS - S - E	FS
MA - MA - MA - FS - E - E	FS
MA - MA - MA - S - S - S	FS
MA - MA - MA - S - S - E	FS
MA - MA - MA - S - E - E	FS
MA - MA - MA - E - E - E	FS
MA - MA - FS - FS - FS - FS	FS
MA - MA - FS - FS - FS - S	FS
MA - MA - FS - FS - FS - E	FS
MA - MA - FS - FS - S - S	FS
MA - MA - FS - FS - S - E	FS
MA - MA - FS - FS - E - E	FS
MA - MA - FS - S - S - S	FS
MA - MA - FS - S - S - E	FS
MA - MA - FS - S - E - E	FS
MA - MA - FS - E - E - E	S
MA - MA - S - S - S - S	FS
MA - MA - S - S - S - E	FS
MA - MA - S - S - E - E	S

## E. SIX CRITICAL ELEMENTS (CONTINUED)

MA - MA - S - E - E - E	S
MA - MA - E - E - E - E	S
MA - FS - FS - FS - FS - FS	FS
MA - FS - FS - FS - FS - S	FS
MA - FS - FS - FS - FS - E	FS
MA - FS - FS - FS - S - S	FS
MA - FS - FS - FS - S - E	FS
MA - FS - FS - FS - E - E	FS
MA - FS - FS - S - S - S	FS
MA - FS - FS - S - S - E	FS
MA - FS - FS - S - E - E	S
MA - FS - FS - E - E - E	S
MA - FS - S - S - S - S	FS
MA - FS - S - S - S - E	S
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MA - S - S - S - S - S	S
MA - S - S - S - S - E	S
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MA - S - E - E - E - E	S
MA - E - E - E - E - E	S
FS - FS - FS - FS - FS - FS	FS
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S - S - S - E - E - E	S
S - S - E - E - E - E	E
S - E - E - E - E - E	E
E - E - E - E - E - E	E

## F. SEVEN CRITICAL ELEMENTS

Individual Element Rating Combinations	Summary Rating
MA - MA - MA - MA - MA - MA - MA	MA
MA - MA - MA - MA - MA - MA - FS	MA
MA - MA - MA - MA - MA - MA - S	MA
MA - MA - MA - MA - MA - MA - E	MA
MA - MA - MA - MA - MA - FS - FS	MA
MA - MA - MA - MA - MA - FS - S	MA
MA - MA - MA - MA - MA - FS - E	MA
MA - MA - MA - MA - MA - S - S	MA
MA - MA - MA - MA - MA - S - E	FS
MA - MA - MA - MA - MA - E - E	FS
MA - MA - MA - MA - FS - FS - FS	MA
MA - MA - MA - MA - FS - FS - S	MA
MA - MA - MA - MA - FS - FS - E	FS
MA - MA - MA - MA - FS - S - S	FS
MA - MA - MA - MA - FS - S - E	FS
MA - MA - MA - MA - FS - E - E	FS
MA - MA - MA - MA - S - S - S	FS
MA - MA - MA - MA - S - S - E	FS
MA - MA - MA - MA - S - E - E	FS
MA - MA - MA - MA - E - E - E	FS
MA - MA - MA - FS - FS - FS - FS	MA
MA - MA - MA - FS - FS - FS - S	FS
MA - MA - MA - FS - FS - FS - E	FS
MA - MA - MA - FS - FS - S - S	FS
MA - MA - MA - FS - FS - S - E	FS
MA - MA - MA - FS - FS - E - E	FS
MA - MA - MA - FS - S - S - S	FS
MA - MA - MA - FS - S - S - E	FS
MA - MA - MA - FS - S - E - E	FS
MA - MA - MA - FS - E - E - E	FS
MA - MA - MA - S - S - S - S	FS
MA - MA - MA - S - S - S - E	FS
MA - MA - MA - S - S - E - E	FS
MA - MA - MA - S - E - E - E	FS
MA - MA - MA - E - E - E - E	S
MA - MA - FS - FS - FS - FS - FS	FS
MA - MA - FS - FS - FS - FS - S	FS
MA - MA - FS - FS - FS - FS - E	FS
MA - MA - FS - FS - FS - S - S	FS
MA - MA - FS - FS - FS - S - E	FS
MA - MA - FS - FS - FS - E - E	FS
MA - MA - FS - FS - S - S - S	FS
MA - MA - FS - FS - S - S - E	FS
MA - MA - FS - FS - S - E - E	FS
MA - MA - FS - FS - E - E - E	FS
MA - MA - FS - S - S - S - S	FS

## F. SEVEN CRITICAL ELEMENTS (CONTINUED)

MA - MA - FS - S - S - S - E	FS
MA - MA - FS - S - S - E - E	FS
MA - MA - FS - S - E - E - E	S
MA - MA - FS - E - E - E - E	S
MA - MA - S - S - S - S - S	FS
MA - MA - S - S - S - S - E	FS
MA - MA - S - S - S - E - E	S
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MA - MA - S - E - E - E - E	S
MA - MA - E - E - E - E - E	S
MA - FS - FS - FS - FS - FS - FS	FS
MA - FS - FS - FS - FS - FS - S	FS
MA - FS - FS - FS - FS - FS - E	FS
MA - FS - FS - FS - FS - S - S	FS
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MA - FS - FS - FS - FS - E - E	FS
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FS - FS - FS - FS - E - E - E	S
FS - FS - FS - S - S - S - S	FS
FS - FS - FS - S - S - S - E	S

## F. SEVEN CRITICAL ELEMENTS (CONTINUED)

FS - FS - FS - S - S - E - E	S
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FS - FS - S - S - S - E - E	S
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FS - S - S - S - S - S - E	S
FS - S - S - S - S - E - E	S
FS - S - S - S - E - E - E	S
FS - S - S - E - E - E - E	S
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S - S - S - S - E - E - E	S
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APPENDIX IV - FORMS



**Federal Bureau of Investigation  
Performance Management System - Support Personnel  
Performance Plan - Notice Page**

[SEE INSTRUCTIONS ON REVERSE]

1. Payroll Name of Employee	2. Social Security Number
3. Position Title, Grade and Number	4. Office of Assignment

This Performance Plan is consistent with the position description of the employee and is in furtherance of the mission and goals of the FBI.

5. \_\_\_\_\_  
Signature of Rating Official \_\_\_\_\_  
Date

6. \_\_\_\_\_  
Signature of Reviewing Official \_\_\_\_\_  
Date

I have been advised of my critical element(s) and performance standards for the forthcoming appraisal period and am aware that performance below the Fully Successful level on any element may preclude me from consideration for promotion and/or office of preference transfer and that a summary rating below the Fully Successful level may preclude me from consideration for a within-grade increase (WIGI). In addition, I am aware that Unacceptable performance on any element may be the basis for my reassignment, reduction in grade, or removal.

7. \_\_\_\_\_  
Signature of Employee \_\_\_\_\_  
Date

**Plan Modification**

The attached modification to this Plan is consistent with the position description of the employee and is in furtherance of the mission and goals of the FBI.

8. \_\_\_\_\_  
Signature of Rating Official \_\_\_\_\_  
Date

9. \_\_\_\_\_  
Signature of Reviewing Official \_\_\_\_\_  
Date

I have been advised of this modification to my Plan and am aware that the consequences of my performance as specified above continue to apply.

10. \_\_\_\_\_  
Signature of Employee \_\_\_\_\_  
Date

**PRAU USE ONLY**

Logged: \_\_\_\_\_

CE	Type	Code	Cat.	Reviewed	Accepted/ Rejected

Review not completed due to:

- Plan superseded \_\_\_\_\_
- Grade change \_\_\_\_\_
- Reassignment \_\_\_\_\_
- Ceased duty \_\_\_\_\_

**THREE**

A Performance Plan is comprised of a Notice Page and Critical Element and Performance Standards Page(s), FD-741a. This Notice Page is used to document the communication of one or more critical elements (CEs) and their performance standards (PSs) to an employee. A Plan is to be issued within 30 days after an employee (1) enters on duty, (2) assumes new responsibilities due to reassignment, or (3) is promoted or demoted. Failure to provide or renew notice of the Plan in accordance with this schedule invalidates the appraisal process.

With the exception of signatures and dates, the information on this form must be typewritten. While items 1-7 are self-explanatory, it is noted that the rating and reviewing officials must sign and date before presenting this form to the employee for signing and dating. If the employee refuses to sign, the rating official must document the refusal and the date of same in the space for item 7. A copy of the Plan must be retained by the rating official. The original Plan, in its entirety, must be submitted to FBIHQ, Attention: Performance, Recognition and Awards Unit (PRAU).

When the same Plan is continued from one appraisal period to the next, the rating and reviewing officials and the employee are to review the Plan (including each CE and PSs Page) within 30 days after the beginning of the new period. The annual renewal of notice of the Plan must be documented by the rating and reviewing officials and the employee by initialing and dating this form near items 5, 6, and 7, respectively. The employee is also to initial and date each CE and PSs Page. No submission to the PRAU is necessary.

Items 8-10 of the retained office copy are to be completed when the Plan as originally issued is modified through the addition, deletion, or adjustment of CE(s)/PS(s). Once completed, a new copy is to be made for retention by the rating official and the original copy with current signatures and dates thereon is to be submitted with appropriate CE and PSs Page(s) to the PRAU. Plans may not be modified more than one time. If additional modifications become necessary, the Plan must be reissued in its entirety.

Employees are to be afforded access to their Performance Plans. Upon request, employees are to be provided copies of their Plans, unless the classification of the information therein prohibits release. The rating official's copy of a Plan is to be included in a field employee's personnel file when the Plan is terminated or when the employee is transferred to another office.

**Federal Bureau of Investigation  
Performance Management System - Support Personnel  
Performance Plan - Critical Element and Performance Standards Page**

[SEE INSTRUCTIONS ON REVERSE]

1. Payroll Name of Employee	2. Social Security Number
-----------------------------	---------------------------

3. Critical Element # \_\_\_\_\_:

4. (a) \_\_\_\_\_ Initial Assignment; (b) \_\_\_\_\_ Adjustment; (c) \_\_\_\_\_ Addition; (d) \_\_\_\_\_ Termination

5. **Performance Standards**  
Minimally Acceptable

Fully Successful

Superior

6. Initials of Employee

Date

## **Instructions for Preparing the Critical Element and Performance Standards Page**

This Page is used to record a single critical element (CE) and its performance standards (PSs) and must be attached to a Notice Page (FD-741). Together these Pages comprise a Performance Plan. With the exception of initials and dates, the information on this form must be typewritten.

**Items 1-2** Self-explanatory.

**Item 3** Assign an identifying number. CEs are to be numbered consecutively. A CE may be added or deleted during the appraisal period as necessary (see item 4 below). If a CE is deleted, that number is not to be reassigned to any element subsequently added. Upon submission of an entirely new Plan, at the outset of an appraisal period or upon reassignment, CEs should be numbered consecutively beginning with #1.

Define the CE. It must **(1)** be consistent with the employee's position description, but not a complete restatement of the duties/responsibilities contained therein, and **(2)** specifically state those duties, responsibilities, tasks or functions of the job that are essential to its successful accomplishment, using action verbs such as process, maintain, review, direct, supervise, control, etc.

**Item 4** Item 4(a) must be marked when an entirely new Plan is communicated to an employee.

Item 4(b) must be marked when an existing CE and/or its PSs are adjusted to expand or clarify previously expressed information but there is no substantive change in the performance level requirements. Reuse the original CE number.

Item 4(c) must be marked when a CE is added to an existing Plan.

Item 4(d) must be marked when an existing CE is deleted. Execution of a new CE and PSs Page is not necessary in this instance. A copy of the Page for the CE being deleted must accompany the Notice Page sent to the Performance, Recognition and Awards Unit.

**Item 5** Record the PSs for the Minimally Acceptable, Fully Successful and Superior levels for this CE.

In developing PSs, the rating official, with input from the employee, must **(1)** consider the employee's role in accomplishing the goals and objectives of the organizational entity, **(2)** use available resources (e.g., employee's position description, office MBO statement, etc.) to establish specific levels of achievement for the CE, **(3)** state PSs as succinctly, specifically and concretely as possible to enable the accurate measurement of the employee's actual performance in comparison to the PS, and **(4)** state the PSs in terms reflecting quality, quantity, timeliness, amount of review or revision required, compliance with applicable regulations and procedures, and other measurements of performance as appropriate.

**Item 6** Self-explanatory.

Employees are to be afforded access to their Performance Plans. Upon request, employees are to be provided copies of their Plans, unless classification of the information therein prohibits release. The rating official's copy of a Plan is to be included in a field employee's personnel file when the Plan is terminated or when the employee is transferred to another office.

FD-742 (10-19-87)

**Federal Bureau of Investigation  
Performance Management System - Support Personnel  
Performance Appraisal Report - Cover Page**

[SEE INSTRUCTIONS ON REVERSE]

1. Payroll Name of Employee	2. Social Security Number
3. Position Title, Grade and Number	4. Office of Assignment

5. General Nature of Assignment

---

6. Summary Rating

---

7. \_\_\_\_\_  
Signature of Rating Official \_\_\_\_\_  
Date

I have reviewed and approved this appraisal. ( ) See my comments attached.

8. \_\_\_\_\_  
Signature of Reviewing Official \_\_\_\_\_  
Date

I am aware that a rating of less than Fully Successful on any critical element may preclude me from consideration for promotion and/or office of preference transfer. In addition, I am aware that my summary rating, if below the Fully Successful level, may preclude my consideration for a within-grade increase (WIGI) and that a summary rating of Unacceptable may be the basis for my reassignment, reduction in grade, or removal. My signature only indicates that I have reviewed this appraisal, not that I am necessarily in agreement with the information herein or that I am relinquishing my right to request reconsideration of it.

9. \_\_\_\_\_  
Signature of Employee \_\_\_\_\_  
Date

10. Basis/Reason for Issuance

A	<input type="checkbox"/>	End of Annual Period	
T	<input type="checkbox"/>	Position Change	Date _____
O	<input type="checkbox"/>	Change in Rating Official	Date _____
N	<input type="checkbox"/>	Current Appraisal	Date _____
Q	<input type="checkbox"/>	Requested by FBIHQ	Date _____
D	<input type="checkbox"/>	Conclusion of Detail	Date _____
W	<input type="checkbox"/>	Unacceptable - Warning	Date _____
F	<input type="checkbox"/>	Warning Resolution	Date _____

<b>PRAU USE ONLY</b>	
Logged	_____
Reviewed	_____
Entered	_____
Verified	_____
Printout	_____

## Instructions for Preparing the Performance Appraisal Report Cover Page

Rating official is to prepare the necessary Evaluation and Narrative Pages prior to completing this form. With the exception of signatures and dates, the information on this form is to be typewritten. To improve legibility, the names and titles of rating and reviewing officials may be typewritten below their signatures. This Page is the first of any Performance Appraisal Report (PAR). All subsequent Pages are to be numbered consecutively.

Preprinted form FD-742 will be furnished at the end of the annual period by the Performance, Recognition and Awards Unit (PRAU). The biographical data on this form should be verified, with any discrepancies being corrected in ink.

- Items 1-4     Self-explanatory.
- Item 5        Record the major duties/responsibilities assigned to the employee during the appraisal period. Do not simply insert the position title.
- Item 6        Complete item(s) 4 on the Evaluation Page(s) prior to determining the summary rating. The summary rating is determined by reference to the Combinations Table in policy material. (Note: When any CE is rated Unacceptable, the summary rating must be Unacceptable.)
- Item 7        Rating official is to sign and date the PAR before submitting it to a higher level official for review.
- Item 8        Reviewing official is to sign and date the PAR before it is presented to the employee. He/she must assure the validity and fairness of the appraisal and attach comments, on plain white bond paper, to justify any modifications made.
- Item 9        Self-explanatory. If the employee refuses to sign the PAR, the rating official must document the refusal and the date of same in the space allowed for this item.
- Item 10       Record the reason(s) the PAR is being issued and enter the date of the action causing the issuance. (Example: A PAR required due to the departure of a rating official would be marked as "change in rating official" and the last working day of the supervisor would be used for the date.)

The date of the action causing the PAR does **not** need to match the signature dates. No date is necessary for PARs issued at the end of the annual period **unless** the period is extended past June 30th (field)/November 30th (FBIHQ) for reasons set forth in policy material.

In most cases, if an employee received a PAR after April 1st (field)/September 1st (FBIHQ), no separate PAR for the end of the annual period will be necessary. For this reason, "end of annual period" is to be marked **as well as** the initial reason for the PAR, e.g., "position change", and the date of that action.

Refer to policy material for additional guidance on the preparation of PARs for employees rated below Fully Successful.

Employees are to be afforded access to their PARs. Upon request, employees are to be provided copies of their PARs, unless the classification of the information therein prohibits release.

FD-742a (10-19-87)

Federal Bureau of Investigation  
Performance Management System - Support Personnel  
Performance Appraisal Report - Evaluation Page

[SEE INSTRUCTIONS ON REVERSE]

1. Payroll Name of Employee	2. Social Security Number
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3. Critical Element # \_\_\_\_\_ as noted on the Plan.      3a. Title and/or brief summary of element:

4. Rating level:       Exceptional \*       Minimally Acceptable \*  
 Superior       Unacceptable \*  
 Fully Successful      \*See attached Narrative Page.

3. Critical Element # \_\_\_\_\_ as noted on the Plan.      3a. Title and/or brief summary of element:

4. Rating level:       Exceptional \*       Minimally Acceptable \*  
 Superior       Unacceptable \*  
 Fully Successful      \*See attached Narrative Page.

3. Critical Element # \_\_\_\_\_ as noted on the Plan.      3a. Title and/or brief summary of element:

4. Rating level:       Exceptional \*       Minimally Acceptable \*  
 Superior       Unacceptable \*  
 Fully Successful      \*See attached Narrative Page.

3. Critical Element # \_\_\_\_\_ as noted on the Plan.      3a. Title and/or brief summary of element:

4. Rating level:       Exceptional \*       Minimally Acceptable \*  
 Superior       Unacceptable \*  
 Fully Successful      \*See attached Narrative Page.

5. Initials of Employee \_\_\_\_\_ Date \_\_\_\_\_

### **Instructions for Preparing the Performance Appraisal Report Evaluation Page**

With the exception of the employee's initials and date, the information on this form is to be typewritten.

Items 1-2    Self-explanatory.

Item 3        Record the critical element (CE) by its identifying number from the Performance Plan and provide, in item 3a., its title and/or a brief summary of the element.

Item 4        Review and compare the documentation collected during the appraisal period for the CE with its performance standards to determine the rating level achieved and check the appropriate box.

If the employee's performance is at the Exceptional, Minimally Acceptable, or Unacceptable level, a Narrative Page (FD-742b) must be completed.

When the Performance Appraisal Report (PAR) is issued as an Unacceptable-Warning or as a Warning Resolution, a Narrative Page must be provided for each CE **regardless** of the level achieved.

Although not necessary when an employee's performance meets the Fully Successful or Superior level, except as required above, the rating official may choose to provide a Narrative Page and so indicate by entering an asterisk when marking the rating level achieved.

Item 5        Self-explanatory.

Employees are to be afforded access to their PARs. Upon request, employees are to be provided copies of their PARs, unless the classification of the information therein prohibits release.





## Instructions for Preparing the Performance Appraisal Report Narrative Page

This Page is required for any critical element (CE) rated at the Exceptional, Minimally Acceptable, or Unacceptable level. It is also required for each CE, **regardless** of the level achieved, when the Performance Appraisal Report (PAR) is issued as an Unacceptable-Warning or as a Warning Resolution.

With the exception of the employee's initials and date, the information on this form is to be typewritten.

Items 1-2    Self-explanatory.

Item 3       Record the (CE) by its identifying number from the Performance Plan. The rating official must summarize in narrative fashion the employee's demonstrated performance concerning the CE, including **specific examples** of positive/negative performance noted during the appraisal period, supportive of the assigned level.

Although this Page is not necessary when a CE is rated at the Fully Successful or Superior level, except as required above, the rating official may choose to summarize the employee's performance in the manner described above.

**Narratives for CEs rated below Fully Successful must include a description of the assistance to be afforded the employee to improve.** Refer to policy material for additional guidance on the preparation of PARs for employees rated below Fully Successful.

Item 4       Self-explanatory.

Employees are to be afforded access to their PARs. Upon request, employees are to be provided copies of their PARs, unless the classification of the information therein prohibits release.

FD-743 (10-19-87)

Page 1 of \_\_\_\_\_

**Federal Bureau of Investigation  
Performance Management System - Support Personnel  
Progress Review Sheet**

[SEE INSTRUCTIONS ON REVERSE]

1. Payroll Name of Employee	2. Social Security Number
3. Payroll Name of Rating Official	4. Date of Progress Review Session

5. Comments:

6. Signature of Employee

7. Signature of Rating Official

## Instructions for Preparing the Progress Review Sheet

During the progress review, the rating official must, at a minimum, advise the employee of his/her performance level based on comparison of demonstrated performance with the employee's assigned critical element(s) and performance standards. According to Federal regulations, such advice is not, and shall not be construed as, an official rating.

Preprinted form FD-743 will be furnished approximately midway through the annual period by the Performance, Recognition and Awards Unit (PRAU). (Note: If an employee's appraisal period was altered by a change in grade, the rating official must initiate a review session approximately midway through the newly established rating period.)

This form may be handwritten in ink.

Items 1-4    Self-explanatory.

Item 5       Summarize the employee's performance for each critical element, including representative **specific examples** of positive/negative performance, and assign the appropriate rating level. Record any guidance afforded the employee concerning means to improve his/her performance. Use Progress Review Continuation Sheets (FD-743a) as necessary.

Items 6-7    Self-explanatory.

Review sheets are to be retained by the rating official in the employee's personnel folder for use in preparing the employee's next Performance Appraisal Report and for at least 120 days after that Report is presented to the employee.

Employees are to be afforded access to the forms used to document their progress review, i.e., FD-743 and FD-743a, if any. Upon request, employees are to be provided copies of these forms, unless the classification of the information therein prohibits release.



## **Instructions for Preparing the Progress Review Continuation Sheet**

This form may be handwritten in ink.

**Items 1-2**     Self-explanatory.

**Item 3**        Refer to instructions for item 5 on the Progress Review Sheet (FD-743).

**Item 4**        Self-explanatory.

Employees are to be afforded access to the forms used to document their progress review, i.e., FD-743 and FD-743a, if any. Upon request, employees are to be provided copies of these forms, unless the classification of the information therein prohibits release.

3-815

UNITED STATES DEPARTMENT OF JUSTICE  
FEDERAL BUREAU OF INVESTIGATION

To: \_\_\_\_\_ Date: \_\_\_\_\_

From: Director, FBI Return to: FBIHQ, Room 6159, TL #234

Subject: \_\_\_\_\_

Grade/Step: \_\_\_\_\_ Salary: \_\_\_\_\_

WITHIN-GRADE INCREASE (WIGI) CERTIFICATION

IMPORTANT: RETURN THIS FORM WITHIN 3 DAYS OF RECEIPT TO THE PAY AND POSITION MANAGEMENT UNIT, ADMINISTRATIVE SERVICES DIVISION, WHERE FINAL CERTIFICATION WILL BE EFFECTED.

Captioned employee is eligible for WIGI on \_\_\_\_\_. He/she has used \_\_\_\_\_ hours of leave without pay (LWOP). Additional use of LWOP may necessitate a change in the eligibility date.

Under Federal regulations, an employee must be performing at or above the Fully Successful (FS) level, as evidenced by his/her most recent Performance Appraisal Report (PAR), for the WIGI to be granted.

The employee's rating and reviewing officials\* are to complete this form by: making pen and ink adjustments to update any of the personal data shown; checking the appropriate statements on the reverse; and signing and dating in the spaces provided.

If the level of the employee's performance requires a recommendation to deny the WIGI, specific comments detailing how the employee must improve his/her performance in order to be eligible for a WIGI must be provided on a separate sheet of paper.

\*The rating official is the person currently responsible for appraising the employee's performance. The reviewing official is the person currently responsible for reviewing and approving any appraisal issued to the employee.

(CONTINUED - OVER)

[Employee's name]

PAR: \_\_\_\_\_ Date: \_\_\_\_\_

Administrative Warning as of: \_\_\_\_\_ for: \_\_\_\_\_

Check the appropriate boxes:

[ ] GRANT WIGI since employee's current performance is at or above the Fully Successful level as indicated by:

[ ] previously submitted PAR (information preprinted or as corrected, above); or

[ ] attached current PAR.

[ ] DENY WIGI\* since employee's current performance is below Fully Successful as indicated by:

[ ] pending administrative warning or previously submitted PAR (information preprinted or as corrected, above), which was issued within the last six months; or

[ ] attached current PAR (REQUIRED if last PAR is more than six months old).

\*ADDITIONAL PAGE with specific comments detailing how the employee must improve his/her performance in order to be eligible for a WIGI is ATTACHED.

[ ] DELAY WIGI\*\* since there is no PAR that can be used for a determination because employee:

[ ] was demoted on \_\_\_\_\_ based on Unacceptable performance; or

[ ] entered on duty as of \_\_\_\_\_ and has no PAR on record.

\*\*Employee will be issued a PAR on \_\_\_\_\_.

\_\_\_\_\_  
Signature of Rating Official

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of Reviewing Official

\_\_\_\_\_  
Date



**APPENDIX V - ABBREVIATIONS**

ABBREVIATIONS

ALOC - Acceptable Level of Competence  
CE - Critical Element  
FS - Fully Successful  
GS - General Schedule  
LWOP - Leave Without Pay  
MA - Minimally Acceptable  
MAOP - Manual of Administrative Operations and Procedures  
MSPB - Merit Systems Protection Board  
PAR - Performance Appraisal Report  
PAS - Performance Appraisal System  
PMRS - Performance Management and Recognition System  
PMS - Performance Management System  
PP - Performance Plan  
PPMU - Pay and Position Management Unit  
PRAU - Performance, Recognition and Awards Unit  
PS - Performance Standard  
QSI - Quality Step Increase  
WIGI - Within-grade Increase