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Performance Management System (PMS)

Performance Appraisal and Recognition Matters for Executive 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, administrative advancement, office of preference transfers, within-grade increases and performance and superior accomplishment awards.

Employees assigned to executive level positions or to positions classified at or above grade GS 16 are subject to the PMS. The attached policy is organized into two major parts, covering appraisal and recognition matters, and several related appendices. The appraisal information herein effectively cancels and supersedes that set forth in the Executive Performance Appraisal System policy statement dated March 25, 1983.

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PART I. PERFORMANCE APPRAISAL PROVISIONS

A. PURPOSE. The purpose of the Executive Performance Appraisal System (EPAS) 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. 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 EPAS 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 EPAS, 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. The Senior Executive Board (SEB) is a committee convened by the Director to develop and/or review Performance Plans and/or ratings for employees subject to the EPAS and, as requested, to review and make recommendations concerning various personnel actions influenced by appraisal information. As instructed by the Director, the SEB will:

- a. Serve in the capacity of rating or reviewing official in consonance with the responsibilities of same as described below;
- b. Review the appraisal practices of rating and reviewing officials and make recommendations to the Director; and
- c. Review and submit recommendations concerning performance-based personnel actions.

3. Reviewing officials are normally the supervisors of rating officials (see Appendix II for details) 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.

4. Rating officials are normally the employees' immediate supervisors who assign and review the employees' work (see Appendix II for details). 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.
5. Employees subject to the EPAS 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 EPAS.

C. PERFORMANCE APPRAISAL PROCESS. Most performance appraisal procedures are to be accomplished through direct contact with the employee. Inasmuch as certain assignments often 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, 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 - Each employee must be placed on notice of a Performance Plan at the beginning of each annual period and upon any position change, e.g., Inspector to SAC. Refer to Appendix V for details regarding the development of Plans when approved model Plans issued by FBIHQ are not used.

Critical elements and performance standards may be initiated and/or terminated at any time. 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 Director, 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.

An original Plan, comprised of a Notice Page (FD-751) and Critical Element and Performance Standards Page(s) (FD-751a), is to be issued within 30 days of: (1) an employee's entry into or change of positions and (2) the outset of a detail (temporary duty) expected to last longer than 120 days.

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, rating officials must conduct progress review sessions with their subordinates unless a PAR has been or will be issued within 30 days. At a minimum, employees are to be advised during the review session of their level of performance vis a vis their Plans. 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-753 and 753a, 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-752) and Evaluation Page(s) (FD-752a). All PARs are "official" and must be afforded the same consideration in their execution. An employee must have served at least 120 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 for any employee who has not received a PAR since March 1st and who has been on notice of elements and standards for at least 120 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, 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 after meeting the 120 day appraisal requirements since his/her last rating.
- 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. 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 management 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 120 days.
- g. Unacceptable - Warning - Whenever an employee's performance deteriorates below the Satisfactory 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 must be provided with respect to each element, including specific accomplishments and deficiencies. 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, change in work assignments, 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, except that the summary rating is further dependent on, and cannot exceed, the highest level assigned to the employee's critical elements addressing executive management, supervision or equivalent program areas. The summary ratings for employees subject to the EPAS are also subject to the personal approval of the Director who has the authority to increase or decrease same. 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 Director, 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 chain of command. Failing satisfaction, an employee has the right to request reconsideration of his/her PAR by the Director.

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 EPAS policy. A written communication to the employee advising of the decision on the PAR will be provided. 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 change in work assignments.

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 EPAS 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 - Narratives for each element rated Unacceptable must include specific instances of performance below the Minimally Satisfactory 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 Satisfactory 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 120 calendar days.
- b. Interruption of Period - As a rule, once an employee is given a Warning PAR, he/she should not be transferred 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.

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. 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. When the Resolution PAR satisfies the end of the annual period requirement, the rating official must consider all ratings issued during that annual period.

- a. Positive Resolution - If the employee consistently demonstrates performance at least at the Satisfactory level during the opportunity period, a rating of no less than Satisfactory may be assigned. The narrative for any element rated Satisfactory must include a description of the assistance to be afforded. (See introductory paragraph of this Section regarding means to assist.) If all elements are rated at or above the Satisfactory level, 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 120 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 Satisfactory 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 Performance, Recognition and Awards Unit (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 Executive Assistant Director - Administration, and will identify specific instances of less than Satisfactory 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 Director, and must specify the instances of less than Satisfactory 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 Satisfactory level. The reviewing official, subject to head of office approval where appropriate, must advise the Administrative Summary Unit at FBIHQ by written communication (teletype from field offices; memorandum from FBIHQ offices) of management'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 increases, and performance 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, ADMINISTRATIVE ADVANCEMENT, AND OFFICE OF PREFERENCE TRANSFERS. The promotion of any executive 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 or administrative advancement, an executive's most recent PAR must have a summary rating of at least Excellent with no individual critical element rated less than Fully Successful. Generally, this requirement must also be met before an executive will be considered for equivalent benefits such as transfer to an office of preference. Time periods during which the employee's overall performance is documented as being below the Excellent level will not be credited toward the minimum time required for eligibility for promotion.

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 rating and reviewing officials. See Appendix II for details and Appendix IV for a sample certification form.

- 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.

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. 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 120 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 120 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 120 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 120 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. PERFORMANCE AWARDS. Employees rated at or above the Excellent level, with no critical element rated below Fully Successful, may be considered for these awards based on nominations by the SEB, subject to the approval of the Director and the concurrence of the Department of Justice.

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 particular cases or special projects in which an employee may have been involved.

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 employees subject to the EPAS generally begins on July 1st and ends the following year on June 30th.

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 - 120 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 EPAS.

APPENDIX II - LINES OF RATING AND REVIEWING AUTHORITY

LINES OF RATING AND REVIEWING AUTHORITY

AD - Assistant Director
 ADIC - Assistant Director in Charge
 ASAC - Assistant Special Agent in Charge
 DAD - Deputy Assistant Director
 DADIC - Deputy Assistant Director in Charge
 EAD - Executive Assistant Director
 OLIA - Office of Liaison and International Affairs
 SAC - Special Agent in Charge
 SC - Section Chief
 SEB - Senior Executive Board

| <u>Employee</u> | <u>Rating Official</u> | <u>Reviewing Official</u> |
|--|-------------------------------|-------------------------------|
| EAD | Director | |
| ADs/Inspectors in Charge/ Special Assts. | Appropriate EAD | Director |
| DADs | AD | Appropriate EAD |
| Inspectors | Chief Inspector | DAD |
| SCs | DAD | AD |
| SACs/ADIC | SEB | Director |
| Sr. ASACs | SAC | EAD-Adminis- tration |
| DADIC | ADIC | EAD-Adminis- tration |
| SACs in New York | ADIC | SEB |
| Supergrade Legats | Inspector in Charge - OLIA | EAD-Investi- gations |

Note: Lines of authority are subject to change in accordance with any management reorganization. Affected officials will be notified.

Normally, rating and reviewing officials are responsible for WIGI certification approval. This responsibility has been delegated to the AD of the Administrative Services Division for those employees rated by the SEB.

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 |
| Satisfactory | 1.4 | 1.4 - 1.99 |
| Fully Successful | 2.4 | 2.0 - 2.99 |
| Excellent | 3.4 | 3.0 - 3.99 |
| Outstanding | 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.

In addition to the chart below, the summary rating is further dependent on, and cannot exceed, the highest level assigned to the employee's critical elements addressing executive management, supervision or equivalent program areas.

A: Two Critical Elements

| <u>Individual Element Rating Combination</u> | <u>Summary Rating</u> |
|--|-----------------------|
| S - S | S |
| S - FS | S |
| S - E | FS |
| S - O | FS |
| FS - FS | FS |
| FS - E | FS |
| FS - O | E |
| E - E | E |
| E - O | E |
| O - O | O |

B: Three Critical Elements

| <u>Individual Element Rating Combinations</u> | <u>Summary Rating</u> |
|---|-----------------------|
| S - S - S | S |
| S - S - FS | S |
| S - S - E | FS |
| S - S - O | FS |
| S - FS - FS | FS |
| S - FS - E | FS |
| S - FS - O | FS |
| S - E - E | FS |
| S - E - O | E |
| S - O - O | E |
| FS - FS - FS | FS |

B. Three Critical Elements (Continued)

| Individual Element Rating Combinations | Summary Rating |
|--|----------------|
| FS - FS - E | FS |
| FS - FS - O | E |
| FS - E - E | E |
| FS - E - O | E |
| FS - O - O | E |
| E - E - E | E |
| E - E - O | E |
| E - O - O | O |
| O - O - O | O |

C. Four Critical Elements

| Individual Elements Rating Combinations | Summary Rating |
|---|----------------|
| S - S - S - S | S |
| S - S - S - FS | S |
| S - S - S - E | S |
| S - S - S - O | FS |
| S - S - FS - FS | S |
| S - S - FS - E | FS |
| S - S - FS - O | FS |
| S - S - E - E | FS |
| S - S - E - O | FS |
| S - S - O - O | FS |
| S - FS - FS - FS | FS |
| S - FS - FS - E | FS |
| S - FS - FS - O | FS |
| S - FS - E - E | FS |
| S - FS - E - O | FS |
| S - FS - O - O | E |
| S - E - E - E | FS |
| S - E - E - O | E |
| S - E - O - O | E |
| S - O - O - O | E |
| FS - FS - FS - FS | FS |
| FS - FS - FS - E | FS |
| FS - FS - FS - O | FS |
| FS - FS - E - E | FS |
| FS - FS - E - O | E |
| FS - FS - O - O | E |
| FS - E - E - E | E |
| FS - E - E - O | E |
| FS - E - O - O | E |
| FS - O - O - O | E |

C. Four Critical Elements (Continued)

| Individual Element Rating Combinations | Summary Rating |
|---|-------------------|
| E - E - E - E | E |
| E - E - E - O | E |
| E - E - O - O | E |
| E - O - O - O | O |
| O - O - O - O | O |

D. Five Critical Elements

| Individual Element Rating Combinations | Summary Rating |
|---|-------------------|
| S - S - S - S - S | S |
| S - S - S - S - FS | S |
| S - S - S - S - E | S |
| S - S - S - S - O | FS |
| S - S - S - FS - FS | S |
| S - S - S - FS - E | FS |
| S - S - S - FS - O | FS |
| S - S - S - E - E | FS |
| S - S - S - E - O | FS |
| S - S - S - O - O | FS |
| S - S - FS - FS - FS | FS |
| S - S - FS - FS - E | FS |
| S - S - FS - FS - O | FS |
| S - S - FS - E - E | FS |
| S - S - FS - E - O | FS |
| S - S - FS - O - O | FS |
| S - S - E - E - E | FS |
| S - S - E - E - O | FS |
| S - S - E - O - O | E |
| S - S - O - O - O | E |
| S - FS - FS - FS - FS | FS |
| S - FS - FS - FS - E | FS |
| S - FS - FS - FS - O | FS |
| S - FS - FS - E - E | FS |
| S - FS - FS - E - O | FS |
| S - FS - FS - O - O | E |
| S - FS - E - E - E | FS |
| S - FS - E - E - O | E |
| S - FS - E - O - O | E |
| S - FS - O - O - O | E |
| S - E - E - E - E | E |
| S - E - E - E - O | E |
| S - E - E - O - O | E |
| S - E - O - O - O | E |

D. Five Critical Elements (Continued)

| Individual Element Rating Combinations | Summary Rating |
|---|-------------------|
| S - O - O - O - O | E |
| FS - FS - FS - FS - FS | FS |
| FS - FS - FS - FS - E | FS |
| FS - FS - FS - FS - O | FS |
| FS - FS - FS - E - E | FS |
| FS - FS - FS - E - O | E |
| FS - FS - FS - O - O | E |
| FS - FS - E - E - E | E |
| FS - FS - E - E - O | E |
| FS - FS - E - O - O | E |
| FS - FS - O - O - O | E |
| FS - E - E - E - E | E |
| FS - E - E - E - O | E |
| FS - E - E - O - O | E |
| FS - O - O - O - O | O |
| E - E - E - E - E | E |
| E - E - E - E - O | E |
| E - E - E - O - O | E |
| E - E - O - O - O | O |
| E - O - O - O - O | O |
| O - O - O - O - O | O |

E. Six Critical Elements

| Individual Element Rating Combinations | Summary Rating |
|---|-------------------|
| S - S - S - S - S - S | S |
| S - S - S - S - S - FS | S |
| S - S - S - S - S - E | S |
| S - S - S - S - S - O | S |
| S - S - S - S - FS - FS | S |
| S - S - S - S - FS - E | S |
| S - S - S - S - FS - O | FS |
| S - S - S - S - E - E | FS |
| S - S - S - S - E - O | FS |
| S - S - S - S - O - O | FS |
| S - S - S - FS - FS - FS | S |
| S - S - S - FS - FS - E | FS |
| S - S - S - FS - FS - O | FS |
| S - S - S - FS - E - E | FS |
| S - S - S - FS - E - O | FS |
| S - S - S - FS - O - O | FS |
| S - S - S - E - E - E | FS |
| S - S - S - E - E - O | FS |

E. Six Critical Elements (Continued)

| Individual Element Rating Combinations | Summary Rating |
|---|-------------------|
| S - S - S - E - O - O | FS |
| S - S - S - O - O - O | FS |
| S - S - FS - FS - FS - FS | FS |
| S - S - FS - FS - FS - E | FS |
| S - S - FS - FS - FS - O | FS |
| S - S - FS - FS - E - E | FS |
| S - S - FS - FS - E - O | FS |
| S - S - FS - FS - O - O | FS |
| S - S - FS - E - E - E | FS |
| S - S - FS - E - E - O | FS |
| S - S - FS - E - O - O | FS |
| S - S - FS - O - O - O | E |
| S - S - E - E - E - E | FS |
| S - S - E - E - E - O | FS |
| S - S - E - E - O - O | E |
| S - S - E - O - O - O | E |
| S - S - O - O - O - O | E |
| S - FS - FS - FS - FS - FS | FS |
| S - FS - FS - FS - FS - E | FS |
| S - FS - FS - FS - FS - O | FS |
| S - FS - FS - FS - E - E | FS |
| S - FS - FS - FS - E - O | FS |
| S - FS - FS - FS - O - O | FS |
| S - FS - FS - E - E - E | FS |
| S - FS - FS - E - E - O | FS |
| S - FS - FS - E - O - O | E |
| S - FS - FS - O - O - O | E |
| S - FS - E - E - E - E | FS |
| S - FS - E - E - E - O | E |
| S - FS - E - E - O - O | E |
| S - FS - E - O - O - O | E |
| S - FS - O - O - O - O | E |
| S - E - E - E - E - E | E |
| S - E - E - E - E - O | E |
| S - E - E - E - O - O | E |
| S - E - E - O - O - O | E |
| S - E - O - O - O - O | E |
| S - O - O - O - O - O | E |
| FS - FS - FS - FS - FS - FS | FS |
| FS - FS - FS - FS - FS - E | FS |
| FS - FS - FS - FS - FS - O | FS |
| FS - FS - FS - FS - E - E | FS |
| FS - FS - FS - FS - E - O | FS |
| FS - FS - FS - FS - O - O | E |
| FS - FS - FS - E - E - E | FS |

E. Six Critical Elements (Continued)

| Individual Element Rating Combinations | Summary Rating |
|---|-------------------|
| FS - FS - FS - E - E - 0 | E |
| FS - FS - FS - E - 0 - 0 | E |
| FS - FS - FS - 0 - 0 - 0 | E |
| FS - FS - E - E - E - E | E |
| FS - FS - E - E - E - 0 | E |
| FS - FS - E - E - 0 - 0 | E |
| FS - FS - E - 0 - 0 - 0 | E |
| FS - FS - 0 - 0 - 0 - 0 | E |
| FS - E - E - E - E - E | E |
| FS - E - E - E - E - 0 | E |
| FS - E - E - E - 0 - 0 | E |
| FS - E - E - 0 - 0 - 0 | E |
| FS - E - 0 - 0 - 0 - 0 | E |
| FS - 0 - 0 - 0 - 0 - 0 | O |
| E - E - E - E - E - E | E |
| E - E - E - E - E - 0 | E |
| E - E - E - E - 0 - 0 | E |
| E - E - E - 0 - 0 - 0 | E |
| E - E - 0 - 0 - 0 - 0 | O |
| E - 0 - 0 - 0 - 0 - 0 | O |
| 0 - 0 - 0 - 0 - 0 - 0 | O |

F. Seven Critical Elements

| Individual Element Rating Combinations | Summary Rating |
|---|-------------------|
| S - S - S - S - S - S - S | S |
| S - S - S - S - S - S - FS | S |
| S - S - S - S - S - S - E | S |
| S - S - S - S - S - S - 0 | S |
| S - S - S - S - S - FS - FS | S |
| S - S - S - S - S - FS - E | S |
| S - S - S - S - S - FS - 0 | S |
| S - S - S - S - S - E - E | S |
| S - S - S - S - S - E - 0 | FS |
| S - S - S - S - S - 0 - 0 | FS |
| S - S - S - S - FS - FS - FS | S |
| S - S - S - S - FS - FS - E | S |
| S - S - S - S - FS - FS - 0 | FS |
| S - S - S - S - FS - E - E | FS |
| S - S - S - S - FS - E - 0 | FS |
| S - S - S - S - FS - 0 - 0 | FS |
| S - S - S - S - E - E - E | FS |
| S - S - S - S - E - E - 0 | FS |

F. Seven Critical Elements (Continued)

| Individual Element Rating Combinations | Summary Rating |
|---|-------------------|
| S - S - S - S - E - O - O | FS |
| S - S - S - S - O - O - O | FS |
| S - S - S - FS - FS - FS - FS | S |
| S - S - S - FS - FS - FS - E | FS |
| S - S - S - FS - FS - FS - O | FS |
| S - S - S - FS - FS - E - E | FS |
| S - S - S - FS - FS - E - O | FS |
| S - S - S - FS - FS - O - O | FS |
| S - S - S - FS - E - E - E | FS |
| S - S - S - FS - E - E - O | FS |
| S - S - S - FS - E - O - O | FS |
| S - S - S - FS - O - O - O | FS |
| S - S - S - E - E - E - E | FS |
| S - S - S - E - E - E - O | FS |
| S - S - S - E - E - O - O | FS |
| S - S - S - E - O - O - O | FS |
| S - S - S - O - O - O - O | E |
| S - S - FS - FS - FS - FS - FS | FS |
| S - S - FS - FS - FS - FS - E | FS |
| S - S - FS - FS - FS - FS - O | FS |
| S - S - FS - FS - FS - E - E | FS |
| S - S - FS - FS - FS - E - O | FS |
| S - S - FS - FS - FS - O - O | FS |
| S - S - FS - FS - E - E - E | FS |
| S - S - FS - FS - E - E - O | FS |
| S - S - FS - FS - O - O - O | FS |
| S - S - FS - E - E - E - E | FS |
| S - S - FS - E - E - E - O | FS |
| S - S - FS - E - E - O - O | FS |
| S - S - FS - E - O - O - O | E |
| S - S - FS - O - O - O - O | E |
| S - S - E - E - E - E - E | FS |
| S - S - E - E - E - E - O | FS |
| S - S - E - E - E - O - O | E |
| S - S - E - E - O - O - O | E |
| S - S - E - O - O - O - O | E |
| S - S - O - O - O - O - O | E |
| S - FS - FS - FS - FS - FS - FS | FS |
| S - FS - FS - FS - FS - FS - E | FS |
| S - FS - FS - FS - FS - FS - O | FS |
| S - FS - FS - FS - FS - E - E | FS |
| S - FS - FS - FS - FS - E - O | FS |
| S - FS - FS - FS - FS - O - O | FS |
| S - FS - FS - FS - E - E - E | FS |

F. Seven Critical Elements (Continued)

| Individual Element Rating Combinations | Summary Rating |
|---|-------------------|
| S - FS - FS - FS - E - E - O | FS |
| S - FS - FS - FS - E - O - O | FS |
| S - FS - FS - FS - O - O - O | E |
| S - FS - FS - E - E - E - E | FS |
| S - FS - FS - E - E - E - O | FS |
| S - FS - FS - E - E - O - O | E |
| S - FS - FS - E - O - O - O | E |
| S - FS - FS - O - O - O - O | E |
| S - FS - E - E - E - E - E | FS |
| S - FS - E - E - E - E - O | E |
| S - FS - E - E - E - O - O | E |
| S - FS - E - E - O - O - O | E |
| S - FS - O - O - O - O - O | E |
| S - E - E - E - E - E - E | E |
| S - E - E - E - E - E - O | E |
| S - E - E - E - E - O - O | E |
| S - E - E - E - O - O - O | E |
| S - E - E - O - O - O - O | E |
| S - E - O - O - O - O - O | E |
| S - O - O - O - O - O - O | E |
| FS - FS - FS - FS - FS - FS - FS | FS |
| FS - FS - FS - FS - FS - FS - E | FS |
| FS - FS - FS - FS - FS - FS - O | FS |
| FS - FS - FS - FS - FS - E - E | FS |
| FS - FS - FS - FS - FS - E - O | FS |
| FS - FS - FS - FS - FS - O - O | FS |
| FS - FS - FS - FS - E - E - E | FS |
| FS - FS - FS - FS - E - E - O | FS |
| FS - FS - FS - FS - E - O - O | E |
| FS - FS - FS - FS - O - O - O | E |
| FS - FS - FS - E - E - E - E | FS |
| FS - FS - FS - E - E - E - O | E |
| FS - FS - FS - E - E - O - O | E |
| FS - FS - FS - E - O - O - O | E |
| FS - FS - FS - O - O - O - O | E |
| FS - FS - E - E - E - E - E | E |
| FS - FS - E - E - E - E - O | E |
| FS - FS - E - E - E - O - O | E |
| FS - FS - E - O - O - O - O | E |
| FS - FS - O - O - O - O - O | E |
| FS - E - E - E - E - E - E | E |

F. Seven Critical Elements (Continued)

| Individual Element Rating Combinations | Summary Rating |
|---|-------------------|
| FS - E - E - E - E - E - 0 | E |
| FS - E - E - E - E - 0 - 0 | E |
| FS - E - E - E - 0 - 0 - 0 | E |
| FS - E - E - 0 - 0 - 0 - 0 | E |
| FS - E - 0 - 0 - 0 - 0 - 0 | E |
| FS - 0 - 0 - 0 - 0 - 0 - 0 | O |
| E - E - E - E - E - E - E | E |
| E - E - E - E - E - E - 0 | E |
| E - E - E - E - E - 0 - 0 | E |
| E - E - E - E - 0 - 0 - 0 | E |
| E - E - E - 0 - 0 - 0 - 0 | E |
| E - E - 0 - 0 - 0 - 0 - 0 | O |
| E - 0 - 0 - 0 - 0 - 0 - 0 | O |
| 0 - 0 - 0 - 0 - 0 - 0 - 0 | O |

APPENDIX IV - FORMS

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

[SEE INSTRUCTIONS ON REVERSE]

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

This Performance Plan is consistent with the employee's assigned duties and responsibilities 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 I am aware that my summary rating must be at the Excellent level, with no rating less than Fully Successful (FS) on any critical element, in order to be considered for promotion, administrative advancement, and/or office of preference transfer. In addition, I am aware that my summary rating, if below the FS level, may preclude me from 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.

7. _____
Signature of Employee Date

PRAU USE ONLY

Logged: _____

| CE | Type | Code | Reviewed |
|----|------|------|----------|
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |

Instructions for Preparing the Notice Page

A Performance Plan is comprised of a Notice Page (FD-751) and Critical Element and Performance Standards Page(s) (FD-751a). 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 assumes new responsibilities requiring the communication of new CE(s) and/or PS(s). 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. To improve legibility, the names and titles of rating and reviewing officials may be typewritten below their signatures. While all items 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 (FD-751a)) within 30 days after the beginning of the new period. The annual renewal 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. In addition, the employee is to initial and date each CE and PSs Page.

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.

Federal Bureau of Investigation
Performance Management System - Executive 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. **Performance Standards**
Satisfactory

Fully Successful

Excellent

**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-751). 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.

Define the CE. It must (1) be consistent with the duties and responsibilities of the employee's position, 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 develop, plan, direct, supervise, control, review, appraise, etc.

Item 4 Record the PSs for the Satisfactory, Fully Successful and Excellent levels for the 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) 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 (3) 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 5 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.

FD-752 (Rev. 1-20-88)



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

[SEE INSTRUCTIONS ON REVERSE]

| | |
|-----------------------------|--|
| 1. Payroll Name of Employee | 2. Office of Assignment |
| 3. Social Security Number | 5. Summary Rating <input type="checkbox"/> Outstanding <input type="checkbox"/> Excellent <input type="checkbox"/> Fully Successful <input type="checkbox"/> Satisfactory <input type="checkbox"/> Unacceptable |
| 4. Position Title and Grade | |

6. Rating of Critical Element(s)

| | | | | | | |
|-----|-----|-----|-----|-----|-----|-----|
| # 1 | # 2 | # 3 | # 4 | # 5 | # 6 | # 7 |
|-----|-----|-----|-----|-----|-----|-----|

7.

| | |
|------------------------------|------|
| Signature of Rating Official | Date |
|------------------------------|------|

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

| | |
|---------------------------------|------|
| Signature of Reviewing Official | Date |
|---------------------------------|------|

9. I am aware that my summary rating must be at the Excellent level, with no rating less than Fully Successful (FS) on any critical element, in order to be considered for promotion, administrative advancement, and/or office of preference transfer. In addition, I am aware that my summary rating, if below the FS level, may preclude me from 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.

| | |
|-----------------------|------|
| 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 _____ |

| | |
|----------------------|-------|
| PRAU USE ONLY | |
| Logged | _____ |
| Reviewed | _____ |
| Entered | _____ |
| Verified | _____ |
| Printout | _____ |

Instructions for Preparing the Performance Appraisal Report Cover Page

Rating official is to complete the necessary Evaluation Page(s) 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.

Preprinted form FD-752 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, and the form returned to the PRAU as the first page of the Report.

Items 1-4 Self-explanatory.

Item 5 Complete item 6 prior to determining the summary rating. The summary rating is determined by reference to the Combinations Table in policy material, with due consideration given to the weight assigned to elements described therein. (Note: When any critical element (CE) is rated Unacceptable, the summary rating must be Unacceptable.)

Item 6 Record the rating level assigned to each CE on the Evaluation Page(s). List the ratings according to their respective CE numbers.

Item 7 Rating official is to sign and date the appraisal before submitting to higher level official for review.

Item 8 Reviewing official is to sign and date the appraisal before it is presented to the employee. He/she must assure the validity and fairness of the appraisal. Any modifications made must be justified with comments on plain white bond paper.

Item 9 Self-explanatory. If the employee refuses to sign the appraisal, the rating official is to document the refusal and the date of same in the space allowed for this item.

Item 10 Record the reason(s) the Performance Appraisal Report (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 for reasons set forth in policy material.

In most cases, if an employee received a PAR after March 1st, no separate PAR for the end of the annual period will be necessary. For this reason, "end of the 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-752a (Rev. 1-20-88)

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

[SEE INSTRUCTIONS ON REVERSE]

| | |
|--|---|
| 1. Payroll Name of Employee | 2. Social Security Number |
| 3. Critical Element # _____ as listed on the Plan: | 4. Rating level: <input type="checkbox"/> Outstanding <input type="checkbox"/> Satisfactory <input type="checkbox"/> Excellent <input type="checkbox"/> Unacceptable <input type="checkbox"/> Fully Successful |

Narrative Comments

5.

- 7 -

6. Initials of Employee

Date

FBI/DOJ

Instructions for Preparing the Performance Appraisal Report Evaluation Page

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

- Items 1-2 Self-explanatory.
- Item 3 Record each critical element by its identifying number and title from the Performance Plan. No more than one element may be recorded on the Evaluation Page. Use additional pages as required.
- Item 4 Review documentation collected during the appraisal period and compare with the element's performance standards to determine the rating level that best describes the employee's performance. Indicate the assigned rating level by placing an X in the appropriate box.
- Item 5 Summarize in narrative fashion the employee's demonstrated performance concerning the critical element. The summary provided should include **specific examples** of positive/negative performance noted during the appraisal period.
- Item 6 Self-explanatory.

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

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

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

[SEE INSTRUCTIONS ON REVERSE]

| | |
|-----------------------------|---------------------------|
| 1. Payroll Name of Employee | 2. Social Security Number |
| 3. Position Title | 4. Office of Assignment |

5. Comments:

6. Signature of Employee

7. Signature of Rating Official

Date

Date

Instructions for Completing the Progress Review Sheet

During the progress review, the rating official must, at a minimum, advise each 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.

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-753a) as necessary.

Items 6-7 Self-explanatory.

Employees are to be afforded access to the forms used to document their progress review, i.e., FD-753 and FD-753a, if any. Upon request, employees are to be provided copies of these forms, unless the classification of the information therein prohibits release.

FD-753a (1-20-88)

Page _____ of _____

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

[SEE INSTRUCTIONS ON REVERSE]

| | |
|-----------------------------|---------------------------|
| 1. Payroll Name of Employee | 2. Social Security Number |
| 3. Comments Continued: | |

4. Initials of Employee _____ Date _____

**Instructions for Completing 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-753).

Item 4 Self-explanatory.

Employees are to be afforded access to the forms used to document their progress review, i.e., FD-753 and FD-753a, if any. Upon request, employees are to be provided copies of these forms, unless the classification of the information therein prohibits release.



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)

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 - 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. All rating officials are to consider and, to the extent applicable, include in the Plans for employees who serve as executive management officials, the responsibility and measurement criteria for (1) equal employment opportunity and affirmative action matters and (2) establishment or maintenance of controls to prevent or eliminate the waste, fraud and abuse or mismanagement of government resources.

A. CRITICAL ELEMENTS. Critical elements are to be determined through consideration of the organizational goals of the entity served and the requirements established for the employees' official position. 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 requirements of employees' official positions 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 Satisfactory, Fully Successful, and Excellent 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 Satisfactory level described on the employee's Performance Plan in that the employee continually required greater supervision/guidance than appropriate and/or did not exercise sufficient controls to maintain effective management/supervision of assigned program(s) and/or personnel.

2. Satisfactory - Throughout the appraisal period, the employee achieved the minimum level set forth on his/her Performance Plan in that, with only minimum supervision, he/she ensured compliance with applicable laws, regulations, policies, and guidelines in effectively managing/supervising designated program(s) and personnel while maintaining cost-effectiveness.

3. Fully Successful - Throughout the appraisal period, with only general guidance, the employee's performance exceeded the Satisfactory level in that the quality of the program(s) administered was enhanced through policy modifications and/or personnel actions while cost-effectiveness was maintained or increased.

4. Excellent - Throughout the appraisal period, the employee's performance continually exceeded the Fully Successful level in that highly significant enhancements were made to the program(s) administered without increasing costs, thereby directly resulting in more effective management of the field office or Division to which assigned.

5. Outstanding - Throughout the appraisal period, the employee's performance significantly exceeded the Excellent level, as described on his/her Performance Plan, by introducing extremely valuable innovations and improvements which resulted in greatly increased program efficiency and effectiveness and decreased costs. The benefits of the changes introduced extended to numerous entities within the Bureau.

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 VI - ABBREVIATIONS

ABBREVIATIONS

ALOC - Acceptable Level of Competence
CE - Critical Element
E - Excellent
EPAS - Executive Performance Appraisal System
FS - Fully Successful
GS - General Schedule
LWOP - Leave Without Pay
MAOP - Manual of Administrative Operations and Procedures
O - Outstanding
PAR - Performance Appraisal Report
PMS - Performance Management System
PP - Performance Plan
PPMU - Pay and Position Management Unit
PRAU - Performance, Recognition and Awards Unit
PS - Performance Standard
S - Satisfactory
U - Unacceptable
WIGI - Within-grade Increase