



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

NOTE: Pursuant to Section 101 of the Aviation and Transportation Security Act (49 U.S.C. 114(n)), this directive establishes Transportation Security Administration (TSA) policy and supersedes the Federal Aviation Administration (FAA) orders, policies, guidance, and bulletins regarding the performance management program issued under the FAA Personnel Management System. This directive is TSA policy and must be applied accordingly.

- 1. PURPOSE:** This directive supersedes TSA MD 1100.43-2, *Performance Management System*, dated December 27, 2006, and provides TSA policy and procedures for TSA's new *Performance Management Program*.

NOTE: The provisions of this directive will become effective October 1, 2009. Until that time [TSA MD 1100.43-2, Performance Management System](#) will remain in effect. Previous release of TSA MD 1100.43-2, *Performance Management Program*, dated March 17, 2009 was rescinded March 23, 2009.

- 2. SCOPE:** This directive applies to all employees except (i) employees receiving a rating under [TSA MD 1100.43-1, Performance Accountability and Standards System \(PASS\)](#); and (ii) employees occupying Transportation Security Executive Service (TSES) positions within the TSA, who are covered by the Department of Homeland Security Senior Executive Service (SES) performance management system.

- 3. AUTHORITIES:**

- A. The Aviation and Transportation Security Act (ATSA), Pub. L. 107-71
- B. The Homeland Security Act of 2002, Pub. L. 107-296, Sections 403(2) and 423

- 4. DEFINITIONS:** For a full list of definitions, see [TSA Handbook to TSA MD 1100.43-3, Performance Management Program](#).

- A. **Higher-level Management Official:** A position at a higher organizational level and of equal or higher pay band than the reviewing official who may or may not be inside the employee's chain of command.
- B. **Rating Official:** Designated supervisory official (generally an employee's first-line supervisor) with authority to develop a specific employee's performance plan, observe and evaluate that employee's performance, and prepare the employee's rating-of-record.
- C. **Reviewing Official:** Often the rating official's supervisor, the reviewing official is the next higher level of management with direct knowledge of an employee's performance or who otherwise has sufficient information on which to base a judgment on the rated employee's level of performance.

5. RESPONSIBILITIES:

A. Assistant Administrator for Human Capital is responsible for:

- (1) Establishing policy and procedures governing performance management and administering their provisions;
- (2) Providing guidance and assistance to management officials concerning their performance management responsibilities;
- (3) Ensuring compliance with the *Performance Management Program*, as described in this directive throughout TSA; and
- (4) Ensuring that appropriate training on the *Performance Management Program* is provided to executives, managers, supervisors, and employees.

B. Higher-level Management Officials are responsible for:

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

C. Reviewing Officials are responsible for:

- (1) Reviewing and approving the performance plans for employees under their rating officials;
- (2) Reviewing and approving the end-of-year appraisals for employees under their rating officials;
- (3) Ensuring that the *Performance Management Program's* policies and requirements are adhered to in their area of responsibility;
- (4) Meeting regularly with rating officials in their area of responsibility to review and track employee performance;
- (5) Noting and resolving discrepancies in how performance standards are applied in their areas of responsibility; and

- (6) Providing regular updates to their Assistant Administrator or other management official as appropriate regarding performance results for their areas of responsibility.

D. Rating Officials are responsible for:

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

E. Employees are responsible for:

- (1) Participating in the establishment of their performance goals and standards;
- (2) Performing their work assignments according to established performance expectations, procedures, and supervisory instructions;
- (3) Informing their supervisors if they are having difficulty carrying out an assignment or seeking clarification of instructions;
- (4) Taking part in performance planning meetings, progress reviews, and end-of-year reviews with their rating official; and
- (5) Signing their performance plans.

F. Assigned Business Management Offices are responsible for:

- (1) Collecting, maintaining, and reporting program compliance data; and
- (2) Providing compliance data reports to Higher-Level Management Officials and the Office of Human Capital, Management Services and Consultation Division, Performance Management and Improvement Branch.

6. **POLICY:** The *Performance Management Program* is intended to promote a culture of high performance and accountability, and to ensure that each employee knows what is required to accomplish his or her work successfully in order to help TSA accomplish its mission.
- A. Employees shall be given ratings-of-record based on a four-tiered rating system.
 - B. Individual performance goals shall align with organizational goals.
 - C. An employee must be on a performance plan for a minimum of 90 days in order to receive a rating-of-record.
 - D. The performance appraisal period begins on October 1 or the employee's appointment date to his or her current permanent position, whichever is later, and ends on September 30, or until the employee has been on the performance plan for at least 90 days, whichever is later.
7. **PROCEDURES:** [See TSA Handbook to TSA MD 1100.43-3, Performance Management Program.](#)
8. **EFFECTIVE DATE AND IMPLEMENTATION:** This policy is effective immediately upon signature.

APPROVAL

Signed

9/3/2009

Richard A. Whitford
Assistant Administrator for Human Capital

Date

Distribution: Managers and supervisors, HR representatives, and employees
Point-of-Contact: Human Capital Policy, TSA-OHC-Policy@dhs.gov