



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 Performance Accountability and Standards System (PASS) issued under the FAA personnel management system regarding the performance management program, with respect to Transportation Security Officers.

REVISION: This revised directive supersedes TSA MD 1100.43-1, *Performance Accountability and Standards System (PASS)*, dated March 30, 2006, and cancels TSA MD 1100.90-2, *Annual Proficiency Review*, dated October 21, 2005.

SUMMARY OF CHANGES: This directive provides updated policy and procedures for the performance period running from October 1, 2006 through September 30, 2007, and it incorporates the policies and procedures previously established in TSA MD 1100.90-2.

1. **PURPOSE:** This directive establishes TSA policy and procedures relating to the Performance Accountability and Standards System (PASS). Employees covered by this directive will be rated under a **four-level** performance system, in which an employee will be rated (4) “Role Model of Excellence,” (3) “Exceeds Standards,” (2) “Achieves Standards”, or, (1) “Does Not Meet Standards.”
2. **SCOPE:** The provisions of this directive apply to Transportation Security Officers (TSO), Lead Transportation Security Officers (LTSO), Supervisory Transportation Security Officers (STSO), Master Transportation Security Officers (MTSO), Expert Transportation Security Officers (ETSO), and Screening/Security Managers (SM).¹

NOTE: TSO employees who are reassigned or on temporary detail to a non-TSO or Screening Manager position will not be rated under the PASS system for the period of the reassignment or detail. They will have their performance appraised under the provisions of [HRM Letter 430-5, Policy on Performance Management System](#) for the period of the re-assignment or detail. If an employee is returned to a TSO position/duties, they will be subject to Return-to-Duty Training Requirements as outlined in [TSA MD 1900.8, Transportation Security Officer Training and Initial Certification Programs](#).

3. AUTHORITIES:

- A. Sections 101 and 111(d) of the Aviation and Transportation Security Act, Pub. L. 107-71 (ATSA), November 19, 2001 (49 U.S.C. §§ 114(n), 40122, 44935, and 44935 note)
- B. The Homeland Security Act of 2002, Sections 403(2) and 423
- C. Applicable TSA and U.S. DHS delegations of authority

¹TSOs, LTSOs, STSOs, MTSOs, and ETSOs may collectively be referred to as: TSOs, Security Officers or Officers.

4. DEFINITIONS:

- A. Annual Proficiency Review (APR): The annual evaluation of Security Officers required by section 111 of ATSA (Public Law 107-71).(49 U.S.C. § 44935).
- B. Employee: For the purposes of this directive, “Employee” means TSOs, LTSOs, STSOs, MTSOs, ETSOs, and SMs.
- C. End-of-Year Review: Also called the end-of-year appraisal or annual appraisal, the meeting with an employee at the end of the performance period during which the rating official meets with the employee to discuss the employee’s performance and communicates the final performance rating to the employee.
- D. Final PASS Rating: The rating of record issued at the end-of-year review that compares an employee’s performance of assigned duties against the standards in their performance agreement over the applicable performance period.
- E. Interim Evaluation: A written evaluation of an employee’s performance prepared by the rating official when an employee moves to a position with new performance standards (e.g., promotion of LTSO to STSO) after performing in the prior position for at least 90 days. In these limited circumstances, the interim evaluation is a rating of record.
- F. Mid-Year Reviews and Quarterly Discussions: Also called progress reviews, the private face-to-face meeting between an employee and their rating official to discuss the employee’s performance to date and expectations for the remainder of the performance period. See Section 7B for more details concerning these reviews.
- G. Minimum Rating or Performance Period: The ninety (90) day period during which an employee must perform under an approved performance plan before receiving a rating of record. For newly hired Security Officers, the 90-day period will commence upon the successful completion of OJT and the initial certification.
- H. PASS Online: The TSA intranet access portal where supervisors, managers, and rating/reviewing officials enter PASS performance information - located at <https://tsa.hrservices.accenture.com/psp/tsaeprd/?cmd=login>.
- I. Pay-for-Performance Increase: The end-of-year salary increase and/or lump sum payment associated with an employee’s final PASS rating, the amount of which is linked to the four PASS Performance Rating Levels.
- J. Performance Accountability and Standards System (PASS): A pay-for-performance system that establishes the policies and requirements for setting and communicating employee performance components, metrics, standards, and expectations; monitoring performance and providing feedback; developing performance and addressing poor performance; and, rating and rewarding performance.

- K. Performance Agreement: The document which includes the employee's performance components, sub-components, and metrics.
- L. Performance Components and Sub-Components: Work assignments and/or primary responsibilities of a position that contribute toward accomplishing overall organizational goals. Performance components are often comprised of sub-components that are rated individually and, when aggregated, determine the overall component rating for the year. Performance components and sub-components are synonymous with performance elements and sub-elements.
- M. Performance Evaluation: Also called performance appraisal, the review and evaluation of an employee's performance compared to the PASS performance components, sub-components, and metrics. When conducted at the end of the performance period, the performance evaluation is synonymous with final PASS rating.
- N. Performance Improvement Plan (PIP): A written plan of action for improving unacceptable performance to at least the "Achieves Standards" level. Generally, the length of the PIP is set at the beginning of the PIP in increments of 30 days. Only in unusual cases, and with the concurrence of OHC's Employee Relations program office, will a PIP last for more than 90 days.
- O. Performance Period: The period of time established under PASS for reviewing employee performance. In general, the performance period is one year long running from October 1 through September 30 of the following year.
- P. Performance Metrics: The management approved criteria of the performance threshold(s), requirement(s), or expectation(s) that must be met by an employee in order to be rated at a particular performance level. A performance metric may include, but is not limited to, quality, quantity, timeliness, and manner of performance. Performance Metrics and Performance Standards are synonymous terms.
- Q. Performance Rating Levels: The four PASS performance rating levels are:
- (1) Does Not Meet Standards
 - (2) Achieves Standards
 - (3) Exceeds Standards
 - (4) Role Model of Excellence
- R. Rating Official: The manager or supervisor who observes and/or has the knowledge and authority to evaluate the employee's overall performance during the performance period and prepares the employee's final rating.

- S. Recertification: To be designated as Recertified an Officer must receive a PASS end-of-year rating of “Achieve Standards” or better; further, recertification is required for continued employment with TSA.
- T. Reviewing Official: Often the rating official’s supervisor, the reviewing official is the next higher level of management with direct knowledge of the employee’s performance or who otherwise has sufficient information on which to base a judgment as to the level of performance. The reviewing official must sign-off on the employee’s final PASS rating.
- U. TSA’s PASS SOP: Standard operating procedures (SOPs) which provide additional information and instructions concerning performance appraisal and re-certification requirements under the PASS system.
- V. Z-Card: Distributed annually by the Office of Performance Management and Improvement (OPMI) to all PASS covered employees, the Z-Card communicates the content and scoring of PASS components, sub-components and metrics and provides guidance for properly deriving component, sub-component and overall performance ratings.

5. ROLES AND RESPONSIBILITIES:

- A. Assistant Administrator, Office of Human Capital (AA/OHC) is responsible for:
 - (1) Establishing policy and procedures governing PASS;
 - (2) Administering PASS;
 - (3) Developing PASS performance agreement templates for established positions. These templates include organizational goals and objectives that are linked to TSA’s organizational plan and define elements and standards reflective of satisfactory or higher performance; and,
 - (4) Ensuring compliance with PASS throughout the organization.
- B. Rating Officials are responsible for:
 - (1) Explaining PASS performance requirements to employees;
 - (2) ,Scheduling and conducting planning meetings, quarterly discussions, mid-year reviews, and end-of-year reviews with employees;
 - (3) Initiating, discussing, signing, and obtaining employee’s signature on performance agreements;
 - (4) Observing, measuring, documenting, and rating employee performance on the Performance Rating Summary Sheet;

- (5) Maintaining performance documents in accordance with this directive;
- (6) Providing regular updates (at least quarterly) to the Reviewing Official on workforce performance; and,
- (7) Discussing employee performance ratings with the Reviewing Official and obtaining the Reviewing Official's concurrence with their employee evaluations prior to communicating those ratings to their employees.

C. Reviewing Officials are responsible for:

- (1) Discussing employee final ratings with rating officials and providing concurrence in end-of-year evaluations;
- (2) Ensuring PASS provisions are being adhered to in their area of responsibility;
- (3) Meeting regularly (at least quarterly) with their rating officials to review and track the performance of employees throughout their area of responsibility;
- (4) Noting and resolving discrepancies in how standards are applied in their area of responsibility; and,
- (5) Providing regular updates (at least quarterly) to higher level management regarding PASS results for their area of responsibility.

D. Higher-level Management Officials (that is, those higher than the Reviewing Official) are responsible for:

- (1) Reviewing results and ensuring consistency in application of PASS standards across larger units of the organization;
- (2) Analyzing trends and implementing actions needed to ensure that PASS program goals are being met, including ensuring employees are being provided with the resources needed to succeed under PASS; and,
- (3) Reporting to top management officials regarding PASS results for their area of responsibility.

E. Employees are responsible for:

- (1) Performing their work assignments according to established PASS performance standards, procedures, and supervisory instructions;
- (2) Informing their supervisors if they are having difficulty carrying out an assignment and seeking clarification of instructions, if necessary; and,

- (3) Participating in PASS and letting their local management team know if something is preventing them from completing all PASS requirements.

6. POLICY:

- A. The objective of PASS is to promote and sustain a culture of high performance and accountability in TSA and to help achieve the organizational goals that support TSA's mission, vision and core values.
- B. PASS is designed to ensure that employees know what they need to do to accomplish their work successfully and to help TSA accomplish its mission through the use of a pay-for-performance system.
- C. PASS will evaluate the following performance components:
 - (1) For TSOs, LTSOs, MTSOs, and ETSOs:
 - (a) Technical Proficiency
 - (b) Competencies
 - (c) Readiness for Duty
 - (d) Training and Development
 - (e) Collateral Duties
 - (2) For STSOs:
 - (a) Technical Proficiency
 - (b) Competencies
 - (c) Readiness for Duty
 - (d) Supervisory Accountability
 - (e) Training and Development
 - (f) Collateral Duties
 - (3) For SMs:
 - (a) Management and Technical Proficiency
 - (b) Competencies

- (c) Readiness for Duty – Dependability only
 - (d) Supervisory Accountability
 - (e) Training and Development
 - (f) Collateral Duties
- D. The performance appraisal period begins on October 1, or on the employee’s appointment date, whichever is later, and ends on September 30.
- E. An employee must work a minimum of ninety (90) days under a performance agreement before the employee can be rated.
- F. TSA will perform an annual proficiency review (APR) of its Security Officer workforce in accordance with the requirements of Section 111 of ATSA (Public Law 107-71). The specific requirements are:
- “The Under Secretary shall provide that an annual evaluation of each individual who is assigned screening duties is conducted and documented. An individual employed as a security Screener may not continue to be employed in that capacity unless the evaluation demonstrates that the individual
- 1. continues to meet all qualifications and standards required to perform a screening function;
 - 2. has a satisfactory record of performance and attention to duty based on the standards and requirements in the security program; and,
 - 3. demonstrates the current knowledge and skills necessary to courteously, vigilantly, and effectively perform screening functions.”
- H. The PASS SOP provides additional program policy and guidelines, particularly with reference to the procedures by which the APR is conducted and how the results of the APR are incorporated in the PASS appraisal process.
- I. The Z-Card supplements this directive. The Z-Card:
- (1) Is distributed by OPMI annually, with enough copies for all PASS-covered employees. Questions or requests for additional copies should be directed to OPMI@dhs.gov;
 - (2) Communicates the PASS components, sub-components, and metrics;
 - (3) Establishes the scoring of components and sub-components by position; and,

- (4) Provides guidance to rating officials for properly applying all component and sub-component performance ratings, including an employee's final PASS rating.

J. Long-Term Assignment to Non-PASS Covered Position and/or Duties:

- (1) When an Officer/Security Manager is on a reassignment/detail to a non-PASS covered position and/or duty, to retain their PASS coverage, with its pay for performance features, the Officer/Security Manager must perform at least the following non-overtime hours of PASS duties per week subject to the provisions noted below:
 - (a) 8 hours per week for TSOs, LTSOs, MTSOs, and ETSOs
 - (b) 20 hours per week for STSOs
 - (c) 30 hours per week for SMs
- (2) The duties performed during the required weekly assignment (e.g., eight (8) hours for TSOs, LTSOs, etc.) must be those of the employee's position of record.
- (3) The requirement to perform the specified duties for the required number of hours per week (required weekly assignments) begins at the start of the reassignment/detail to non-PASS covered position and/or duty.
- (4) The required weekly assignments may not be worked all at one time and then pro-rated over the period of time the employee is assigned to non-PASS covered duties.
- (5) The longest period an employee may go without performing required weekly assignments is two weeks.
- (6) For example, a TSO assigned to non-PASS covered duties for six months (26 weeks) needs to work 26 days of PASS covered duties during that six month period. Those 26 days must be spread relatively evenly throughout the six month period. One method would be to alternate two weeks of non-PASS covered duties and two days of PASS covered duties.
- (7) At the conclusion of the reassignment/detail to non-PASS covered position and/or duty the employee will be subject to any Return-to-Duty Training Requirements as outlined in TSA MD 1900.8.

7. PROCEDURES:

A. Performance Agreements, Progress Reviews, and Appraisals:

- (1) Performance agreements must be issued within 30 days after October 1 of each fiscal year; newly appointed employees must be given their performance agreement within 30 days after their enter on duty date.

- (2) When issuing the performance agreement, the rating official must meet with each employee to discuss the contents of their performance agreement. After the discussion, both the employee and rating official will sign and date the agreement in the designated block of the PASS Performance Rating Summary Sheet.
- (3) Rating officials will conduct three progress reviews with employees throughout the performance period. These progress reviews should occur once in each quarter with sufficient time between reviews to provide meaningful feedback (for example, in the months of January, April, and July). During these progress reviews, in addition to the employee and rating official signing and dating the agreement in the designated blocks of the PASS Performance Rating Summary Sheet, the rating official and employee will discuss:
 - (a) The employee's performance to date;
 - (b) Performance expectations for the remainder of the performance period; and,
 - (c) Modifications to the employee's Collateral Duty or Duties and/or Career Plan, if necessary.
- (4) End-of-year performance reviews will be conducted within 30 days following the end of the performance period. Before meeting with employees, rating officials will discuss the proposed ratings with the reviewing official. If the reviewing official agrees with the rating, he/she will sign the agreements indicating their concurrence. Rating officials will then meet with employees individually to discuss the rating and conduct the end-of-year performance review. After the discussion, both parties will sign and date the performance agreement.
- (5) An employee newly appointed to TSA after July 3, will not have performed under his/her performance agreement for at least 90 days before the end of the fiscal year, and, therefore, will not receive a final PASS rating for that fiscal year. For example, an employee hired on August 1, 2007, will be placed on their performance agreement not later than August 30, 2007. They will not be rated in October 2007. Their first annual appraisal will be given in October 2008.
- (6) During the quarterly reviews employees must be given the opportunity to provide information on their performance prior to the supervisor issuing the rating of record.

B. Actions Affecting the Annual Appraisal Process:

- (1) Permanent Changes in Position (Reassignment/Promotion/Reduction in Pay Band).
 - (a) A new PASS performance agreement will be provided to, and discussed with, an employee within 30 calendar days after a reassignment, promotion, or reduction in pay band into a PASS covered position which has different performance standards

from the previously held position (whether or not the previous position was covered by PASS). For example, an SM demoted to a STSO will be given new PASS standards; or, an employee reassigned from an Administrative Officer into a SM position will be given PASS standards.

- (b) An employee who transfers from one airport to another, and who remains in the same job, will have their PASS performance information forwarded to their new duty location.
- (c) An employee, who is reduced in pay band for unacceptable performance prior to the end of the performance period and is under the new standards for at least 90 days, will be rated based on performance under the new standards.
- (d) An employee who is reduced in pay band for other than unacceptable performance (e.g., due to restructuring/reorganization, etc.) prior to the end of the performance period, whether under the new standards for 90 days or not, will be rated based on a combination of performance in the new position and the former position.
- (f) Interim Evaluations for permanent changes of position.
 - (i) Except for reductions in pay band due to unacceptable performance, an employee will receive an interim evaluation when the employee is reassigned, promoted, or reduced in pay band to a new position that has different performance standards and the employee has been under the previous standards for at least 90 days before the change in position.
 - (ii) An interim evaluation consists of assigning a rating and completing the forms as if it was an end-of-year appraisal.
 - (iii) The interim evaluation should be discussed with the employee and provided to the employee and new rating official for consideration in the end-of-year performance review.
- (2) Change in Rating Official (non-temporary assignments).
 - (a) A new performance agreement is not required when a change in rating official occurs and the employee remains under the same performance standards.
 - (b) The new rating official is encouraged to discuss the existing performance agreement with the employee.
 - (c) At the end of the performance cycle, the new rating official will obtain performance input from the previous supervisor(s), if possible. This input may be oral or written.
- (3) Temporary Assignments (including details and temporary promotions) Not-To-Exceed (NTE) 90 Days.

- (a) Employees on temporary assignments NTE 90 days will not be given performance agreements for that assignment, nor will they receive a formal written evaluation.
 - (b) The rating official of the temporary assignment is encouraged to provide comments, oral or written, to the employee and rating official.
 - (c) Employees on a temporary assignment (including details and temporary promotions) during the performance period but who have performed at least 90 days or more under their performance agreement will be rated based on their performance during the period they were present at work.
- (4) Temporary Assignments (including details and temporary promotions) Exceeding 90 Days.
- (a) New performance agreements and formal written evaluations are not required for temporary assignments exceeding 90 days, however, written performance feedback must be provided in accordance with these following two provisions:
 - (b) If the temporary assignment is to a PASS covered position, the rating official of the temporary assignment will provide written performance feedback concerning the performance components and/or sub-components under which the employee is performing. This feedback will be given to the employee and rating official for consideration in assigning the end-of-year evaluation.
 - (c) If the temporary assignment is to a non-PASS covered position, the rating official for the temporary assignment must provide written performance feedback to the employee and rating official on the major duties the employee performed while on temporary assignment.
 - (d) Employees on a temporary assignment (including details and temporary promotions) during the performance period but who have performed at least 90 days or more under their performance agreement will be rated based on their performance during the period they were present at work.
- (5) Extended Leave Approved for Any Reason, But Excluding AWOL.
- (a) Employees with an extended absence during the performance period but who have performed at least 90 days or more under their performance agreement will be rated based on their performance during the period they were present at work.
 - (b) Employees with an extended absence during the performance period and who have not performed under their performance agreement for at least 90 days will be “presumed” to have attained the same performance level they earned in the most recent appraisal of record which was not “presumed.” For example: an employee works for the entire appraisal period for FY 2007 and earns a rating of ‘Exceeds

Standards'. The following year (FY 2008) they are absent the entire year due to military service. This employee will be presumed to have earned the same rating as the previous year (the most recent rating of record that was not "presumed") so they will be rated 'Exceeds Standards' for the appraisal period of FY 2008.

- (c) Employees on an extended absence (currently absent and expected to be absent for at least 30 days or more) at the time of the end-of-year appraisal will have their performance evaluation delayed until such time as they are able to return to duty.
- (6) Other Actions (PASS Rating Exceptions): See ["Explanation of PASS Exceptions"](#) on the TSA Web for additional information regarding how other actions affect the annual appraisal process, including: Limited Duty, Light Duty, New Hires, missing scores/measures, and more detail on extended leave and its impact on PASS ratings.

C. Addressing Unsatisfactory Performance:

- (1) Unsatisfactory Performance that is a result of poor performance on a Technical Proficiency assessment
 - (a) Remediation instructions are part of the Technical Proficiency guidance: Many PASS FY 2007 Technical Proficiency assessment tools will contain detailed guidance on short-term remediation activities designed to address the poor performance on the assessment and assist the employee with meeting at least the "Achieves Standards" level of performance. This guidance will be used to assist the employee to improve their performance, in addition to or instead of other possible actions, such as a performance improvement plan (PIP).
 - (b) Remediation instructions are not part of the Technical Proficiency guidance: If remediation instructions are not present, the instructions in Section 7C(2) below will be used.
- (2) Unsatisfactory performance that is NOT a result of Technical Proficiency assessment or disciplinary problems (see 7C(3) next): In these cases, the most appropriate remedial response will often be a PIP. A PIP is used to assist the employee with achieving at least an "Achieves Standards" level of performance by providing the employee with assistance in acquiring the knowledge, skills, and/or abilities which are lacking and likely causing the unsatisfactory performance.
- (3) Addressing poor performance resulting from the employee's unwillingness to adhere to established procedures or supervisory guidance (i.e., misconduct): This may require a disciplinary response designed to motivate the employee to demonstrate the required behaviors. If they will not correct the misconduct, management should refer to MD 1100.75-3, Addressing Performance and Conduct Problems and, if necessary, discuss the matter with their HR representative in order to pursue an appropriate course of action.

- (4) Formal Action if Unsatisfactory Performance continues: Disciplinary actions and/or actions based on continuing unsatisfactory performance will be taken in accordance with the provision of TSA MD 1100.75-3, referred to above. Management should contact their HR representative or their Field Counsel for guidance.

NOTE: Because a single error in some instances may have the potential to cause significant consequences, such as a breach of security, or physical harm to the employee or to others, immediate steps should be taken to ensure that such errors are not repeated. If the performance deficiency is sufficiently serious, management needs to determine whether remedial action would be appropriate or whether the employee should be removed.

D. Recognizing and Rewarding Performance:

- (1) The PASS performance management system is designed to involve employees in accomplishing TSA's mission and increasing its ability to secure the nation's transportation systems. To this end, PASS:
- (a) Gives employees specific performance goals and expectations that are derived from and linked to the agency's goals and mission;
 - (b) Encourages employees, as individuals and as a group, to participate in the development of their goals and expectations;
 - (c) Provides objective measurements to evaluate an employee's contribution; and,
 - (d) Provides incentives for employee growth and performance by providing a more direct link between their performance and their compensation.
- (2) Pay-for-Performance increases may take several forms and may be based on a variety of factors from year to year.
- (a) The forms of payment can be paid in whole or in part as a salary increase, a lump sum payment, and/or a combination of both. .
 - (b) Various factors affecting the amount and/or form of salary increase and/or lump sum payment may include, but are not limited to: the Administrator's evaluation of TSA's overall mission and goal accomplishments that year; budget availability;; time in position,; and/or any statutory requirements that may have been imposed by the authorizing legislation that year.

E. Grievances: Employees may grieve their final PASS rating in accordance with TSA MD 1100.77-2. However, whenever possible, any concerns regarding the rating of record should be resolved in an informal manner between an employee and the rating official.

F. Record-keeping:

- (1) Each rating official will establish a locally maintained Employee Performance Folder (EPF) for each employee.
- (2) The original completed PASS Performance Agreement Signature Sheet and Performance Rating Summary Sheet will be filed in the EPF and a copy of each will be given to the employee.
- (3) An employee may review the contents of his/her EPF.
- (4) Offices/Airports will establish procedures to maintain the EPF in a secure location (e.g., a locked file cabinet). The EPF is a Privacy Act system of records and all performance documents are protected by the Privacy Act, 5 U.S.C. § 552a, and must be maintained in accordance with its provisions.
- (5) FY 2007 PASS Sign-Off Sheets and PASS Performance Rating Summary Sheets shall be retained in accordance with TSA's Records Disposition Schedules.
- (6) If an employee transfers from one office or airport to another, the employee's EPF shall be forwarded to the gaining location.
- (7) If an employee separates from TSA, the employee's EPF shall be forwarded to TSA HR Services.

8. EFFECTIVE DATE AND IMPLEMENTATION: This policy is effective immediately upon signature.

APPROVAL



12/04/06

Richard A. Whitford
Assistant Administrator for Human Capital

Date

Filing Instructions: File 200.1.1

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Review Date: Two years from Effective Date

Distribution: Assistant Secretary, Deputy Assistant Secretary, Associate Administrator, Assistant Administrators, Area Directors, and Federal Security Directors

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