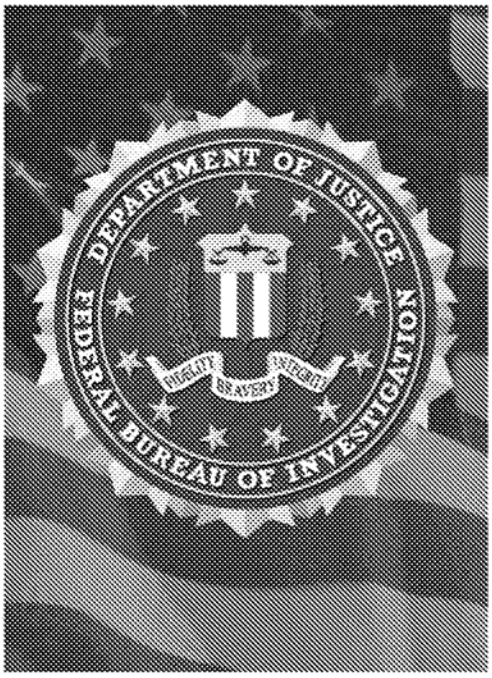
Performance and Development Program Policy Guide



Federal Bureau of Investigation

Human Resources Division

1083PG

June 8, 2020

Approvals

Policy Information	
Last Updated	N/A
Effective Date	2020-06-08
Review Date	2023-06-08
Approval Information	
Sponsoring Executive Approval	**Hayden S. Temin** Assistant Director Human Resources Division
Final Approval	**Jeffrey S. Sallet** Executive Assistant Director Human Resources Branch

General Information

Questions or comments pertaining to this policy guide can be directed to:

Federal Bureau of Investigation Headquarters, Human Resources Division

Policy point of contact: unit chief, Performance Appraisal Unit [redacted] b7E

Supersession Information

This document supersedes the *Performance Appraisal System Policy Guide* (0995PG).

This document and its contents are the property of the FBI. If the document or its contents are provided to an outside agency, it and its contents are not to be distributed outside of that agency without the written permission of the unit listed in the contact section of this policy guide.

Revision Log

The revision log documents substantive changes made to the previous version of this policy, the *Performance Appraisal System Policy Guide* (0995PG) published on October 16, 2017. The numbers and titles in the "Revised" column refer to the subsections as they currently appear in this updated policy.

Revised Section Number and Title	Deleted Section Number and Title
There have been significant changes made throughout this policy.	

Table of Contents

1. Introduction 1
1.1. Purpose 1
1.2. Scope 1
1.3. Exemptions 1
2. Roles and Responsibilities 2
2.1. Human Resources Officer (HRO) (Assistant Director [AD] of the Human Resources Division [HRD]) 2
2.2. Federal Bureau of Investigation Headquarters (FBIHQ) Division or Field Office (FO) Heads 2
2.3. Rating Officials 2
2.4. Reviewing Officials 3
2.5. Employees 4
2.6. Performance Appraisal Unit (PAU) 5
3. Policy Statement 6
4. Processes and Procedures 7
4.1. Employee Performance Plans 7
4.1.1. Creating New Employee Performance Plans 7
4.1.2. Employee Performance Plan Exceptions 8
4.1.3. Objective and Competency Rating Scale 8
4.1.4. Employee Performance Plan Development and Submission 9
4.1.5. Rating Official Employee Performance Plan Review and Approval 9
4.2. Performance Check-Ins 9
4.3. Performance Wrap-Up 10
4.3.1. Performance Wrap-Up Types 10
4.3.2. Unacceptable Overall Rating Actions 12
4.3.3. Performance Wrap-Up Overall Rating Grievance Process 13
4.4. Performance Improvement Plan 13
4.4.1. Performance Improvement Plan Letter Content 14
4.4.2. Performance Improvement Plan Opportunity Period 14
4.4.3. Conclusion of a Performance Improvement Plan Opportunity Period 14
4.5. Employee Probationary Period 15

4.5.1. Preference-Eligible Employees 15
4.5.2. Nonsupervisory Employee Probationary Period 16
4.5.3. Supervisory Probationary Period 17
4.5.4. Removal of Probationary Employees and Supervisors 17
4.6. Within-Grade Increase Denials 18
4.7. Letter of Requirement (LOR) 18
4.7.1. Letter of Requirement Document 19
4.7.2. Conclusion of the Letter of Requirement Opportunity Period 19
5. Authorities 21
6. Recordkeeping Requirements 22
6.1. Performance-Related Information and Documentation 22

List of Appendices

Appendix A: References A-1
Appendix B: Performance and Development Conversion Table B-1
Appendix C: Definitions and Acronyms C-1

1. Introduction

1.1. Purpose

This policy guide (PG) outlines the structure and implementation of the Performance and Development Program (formerly known as Performance Appraisal System [PAS]) used at the Federal Bureau of Investigation (FBI) for all General Schedule (GS) and Wage Grade (WG) employees.

1.2. Scope

This PG applies to all FBI employees.

1.3. Exemptions

Members of the Senior Executive Service (SES) and Senior Level (SL) employees are exempt from this PG. SES and SL employees are covered under a separate performance and development system.

2. Roles and Responsibilities

2.1. Human Resources Officer (HRO) (Assistant Director [AD] of the Human Resources Division [HRD])

The HRO (AD, HRD) (or designee) is responsible for:

- The overall administration and application of the Performance and Development Program, as detailed in this PG, and its performance and development processes.
- The management and direction of administrative processes governing performance-based and adverse actions.
- The authorization of performance-based reassignments, demotions, removals, and any other actions of employees covered by this PG.

At any time he or she deems appropriate, the HRO (or designee) may conduct a substantive review of the Performance and Development Program for FBI employees and institute any action necessary to ensure compliance with applicable laws, regulations, or policies. Consistent with applicable laws, regulations, settlements, court or administrative orders, and FBI or Department of Justice (DOJ) policies, the HRO (or designee) may grant a request for an exemption from requirements set forth in this PG.

2.2. Federal Bureau of Investigation Headquarters (FBIHQ) Division or Field Office (FO) Heads

FBIHQ division or FO heads (i.e., ADs, assistant directors in charge [ADIC], or special agents in charge [SAC]) must:

- Ensure that rating and reviewing officials are made fully aware of the Performance and Development Program and are given training and periodic reminders of their duties and responsibilities under the Performance and Development Program.
- Ensure that employees are adequately informed of their rights and responsibilities under the Performance and Development Program.
- Ensure that employees are informed of performance expectations through Employee Performance Plans.
- Ensure that rating and reviewing officials communicate areas in need of development to their employees and provide guidance when remediation is needed.
- Ensure that rating and reviewing officials complete all required tasks as outlined in this policy.
- Verify that all Performance Wrap-Up form grievances submitted by employees are reviewed and adjudicated.
- Provide recommendations for performance-based actions, adverse actions, and/or probationary removals.

2.3. Rating Officials

Rating officials must:

- Confirm, periodically, that the names of rating and reviewing officials listed in Employee Performance Plans are accurate and are corrected, if needed.
- Coordinate with their current and newly assigned rating and reviewing officials and with the relevant administrative points of contact (POC) to correct inaccurate rating or reviewing official assignments.
- Ensure that all assigned employees initiate and submit their Employee Performance Plans at the beginning of each new fiscal year (FY) or when a new Employee Performance Plan is required because of a promotion, a demotion, or a reassignment to a new position or a new division.
- Use the Performance and Development Tool in HR Source to review, modify (if needed), and approve their employees' draft Employee Performance Plans within 30 calendar days of employee performance period start dates, as outlined in subsection 4.1.5. of this PG.
- Provide regular performance feedback to employees throughout a performance period via Performance Check-Ins, frequent feedback conversations, and other means of performance feedback (e.g., employee one-on-one meetings and file reviews). Complete Performance Check-Ins every 90 calendar days for probationary employees and probationary supervisors, and at least once per fiscal year for nonprobationary employees, as outlined in subsection 4.2., "Performance Check-Ins."
- Use the Performance and Development Tool in HR Source to (1) complete and submit a Performance Wrap-Up form for each employee after the end of a performance period, (2) have a Performance Wrap-Up conversation with each employee to discuss feedback and ratings documented in the form, and (3) publish a Performance Wrap-Up form for each employee.
- Ensure that employees have acknowledged their Performance Wrap-Up forms, or document their refusal to acknowledge their forms.
- Monitor and address performance issues, as outlined in subsection 4.4. "Performance Improvement Plan (PIP)."

Note: There is no minimum amount of time required for a rating official to be in place prior to completing a Performance Wrap-Up form in the Performance and Development Tool, as long as the employee being rated has been on the Employee Performance Plan for 90 calendar days. However, a rating official who did not supervise an employee throughout the entirety of a performance period should make every effort to seek input from the employee's previous rating official. Using the Performance and Development Tool in HR Source, rating officials can access and review Performance Check-In forms completed by previous rating officials that are still applicable to current Employee Performance Plans.

2.4. Reviewing Officials

Reviewing officials must:

- Confirm, periodically, that the names of the rating and reviewing officials listed in Employee Performance Plans are accurate and are corrected, if needed.

- Coordinate with their current and newly assigned rating and reviewing officials and with relevant division administrative points of contact (POC) to correct inaccurate rating or reviewing official assignments.
- Ensure that rating officials have completed their required tasks, such as approving Performance Plans, providing employees with feedback through Performance Check-Ins, and drafting Performance Wrap-Ups, as outlined in this PG.
- Use the Performance and Development Tool in HR Source to (1) review their assigned employees' Performance Wrap-Up forms (once completed by rating officials); (2) modify the ratings or the narratives or provide comments back to rating officials in Performance Wrap-Up forms for incorporation, as needed; and (3) approve finalized Performance Wrap-Up forms.
- Conduct the duties of the rating official in his or her absence, or reassign rating official duties to a formally designated acting (or replacement) rating official.

Note: There is no minimum amount of time required for a reviewing official to be in place before reviewing or approving a Performance Wrap-Up form.

2.5. Employees

Employees must:

- Confirm that the names of the rating and reviewing officials listed in their Employee Performance Plans are accurate and, if not, update the rating or reviewing official or both, as needed. Coordinate with their current and newly assigned rating and reviewing officials and with relevant division administrative points of contact (POC) to correct inaccurate rating or reviewing official assignments.
- Verify that position details are correct when their plans are created, to ensure that HR Source information accurately reflects any recent promotions, reassignments, or job changes.
- Stay informed about their rights and responsibilities under the Performance and Development Program.
- Initiate and submit their Employee Performance Plans, using the Performance and Development Tool in HR Source within 30 calendar days of the start of each performance period. The start date is either the beginning of a new fiscal year or when a new Employee Performance Plan is required (see subsection 4.1.1, "Creating New Employee Performance Plans").
- Coordinate with rating officials to modify any aspects of the objectives documented in their Performance Plans if job expectations change during a performance period. Employee Performance Plans will not be considered final until rating officials approve all edits and additions.
- Actively engage in discussions with their rating officials regarding performance throughout the performance period by having informal feedback conversations, Performance Check-In conversations, and Performance Wrap-Up conversations.

- Acknowledge that Performance Wrap-Up conversations occurred, using the Performance and Development Tool in HR Source.

2.6. Performance Appraisal Unit (PAU)

The PAU must:

- Develop, coordinate, administer, and review the Performance and Development Program.
- Provide guidance and training to all rating officials, reviewing officials, and employees concerning the Performance and Development Program.
- Provide guidance on how to manage employee performance.
- Review PIP letters and letters of requirement (LOR) to ensure compliance with applicable laws, regulations, and the Performance and Development Program.
- Review recommended adverse actions to be taken against employees who fail PIPs or LORs during the opportunity or jeopardy period.
- Review the recommended removals of probationary employees who fail to meet suitability standards, as well as the recommended demotions or removals of probationary supervisors.
- Review Performance Wrap-Up grievances submitted by employees when the deciding official will be the HRO (or designee), and make recommendations to the HRO.
- Process the denial or reinstatement of within-grade increases (WGI) for employees whose Overall Rating is at the “Inconsistent Performer” or “Unacceptable” level.

3. Policy Statement

The Performance and Development Program is an organizational process used to rate employee performance and to measure individual and organizational effectiveness in the execution of the FBI's mission and goals. The Performance and Development Program supports basic management and supervisory responsibilities by (1) communicating and clarifying FBI objectives to employees, (2) helping to ensure individual accountability to FBI objectives, (3) evaluating and improving individual and organizational accomplishments, and (4) providing a standardized benchmark for performance and a standardized basis for determining performance-based and adverse actions. All FBI employees must comply with the Performance and Development Program and with applicable laws, regulations, directives, and policies.

4. Processes and Procedures

4.1. Employee Performance Plans

An Employee Performance Plan documents the expectations for an employee's performance throughout a performance period, which typically begins at the start of a fiscal year (October 1) or on the date an employee begins in a new position or grade or in a new FBIHQ division or FO. An Employee Performance Plan includes two critical elements: (1) "Objectives," which each employee drafts based on his or her roles, and (2) "Competencies," which are automatically populated based on an employee's grade level and supervisory status.

Objectives: The employee must develop a set of customized objectives listing the following:

- Objective title
- Objective description
- Expected start and end dates
- Status of the objective

At least one objective should focus on the employee's career development plans.

Competencies: An employee's core competencies or leadership competencies and the corresponding target proficiency level for each competency are automatically populated in the Employee Performance Plan in HR Source. These competencies are based on an employee's grade level and supervisory status. The FBI Core Competency Model and the FBI Leadership Competency Model outline the competencies, target proficiency levels, and provide examples of behaviors for each grade level.

4.1.1. Creating New Employee Performance Plans

Employees must create and initiate new Employee Performance Plans within 30 calendar days of the start date of a new performance period (see subsection 4.1.2., "Employee Performance Plan Exceptions"). A new performance period must begin if:

- It is the beginning of a new fiscal year.
- An employee is promoted or demoted to a different grade.
- An employee is reassigned to a new job title or the same job title in a new FBIHQ division or FO.
- An employee is assigned to a temporary duty (TDY) assignment for a Headquarters Staffing Initiative (HSI) position, a lead inspector assignment, or a term assignment of one year or greater.
- An employee's supervisory status is changing to become (or will no longer be) a front-line or senior leader.

A new Employee Performance Plan is not required if:

- An employee or a rating official updates or creates new objectives in the existing Employee Performance Plan during the course of the current performance period.

- An employee is assigned to a TDY assignment, with the exception of an HSI TDY, a lead inspector assignment, or a term assignment of greater than one year, as referenced above.
- An employee is given a temporary promotion or an acting assignment for less than one year.
- An employee's rating or reviewing official changes.

4.1.2. Employee Performance Plan Exceptions

External circumstances may require exceptions for creating Employee Performance Plans:

- Employees on extended leave (e.g., maternity/paternity leave, military leave, or long-term sick leave) or in suspension status do not need to complete Employee Performance Plans until they return from leave.
- Employees on delayed performance periods at the start of the fiscal year because they are on PIPs or because they were placed on new Employee Performance Plans within 90 calendar days of the end of the fiscal year will not be placed on new Employee Performance Plans until the previous performance period is complete.

4.1.2.1. Joint Duty Assignments (JDA)

Employees on JDAs (with the exception of FBI employees detailed to the National Counterterrorism Center [NCTC]) must participate in the Performance and Development Program by drafting their Employee Performance Plans and participating in the Performance Check-In and Performance Wrap-Up processes with their assigned FBI rating and reviewing officials.

As set forth in employee JDA memorandums of understanding (MOU), employees and their rating officials must coordinate with the relevant JDA supervisors to ensure that employees understand the Performance and Development Program processes and what is expected of them throughout the performance period.

Employees must work with their JDA supervisors to draft initial objectives in their Employee Performance Plans that are relevant to employee roles in JDAs. Employees and rating officials must review the relevant core or leadership competencies autopopulated in their plans. Employees must work with their FBI rating officials to review and approve their plans.

FBI rating officials must complete Performance Check-Ins and Performance Wrap-Ups, as outlined in this PG. FBI rating officials should also coordinate with employees' JDA supervisors to collect input on employee performance for Performance Check-Ins and Wrap-Ups.

4.1.3. Objective and Competency Rating Scale

Rating officials must use Performance Check-In forms and Performance Wrap-Up forms to document employee performance against their objectives and competencies throughout the performance period. Objectives and competencies are rated on a four-level rating scale:

1. **Exemplary Performer** (substantially exceeds performance expectations)
2. **Consistent Performer** (consistently meets performance expectations)
3. **Inconsistent Performer** (partially meets performance expectations)

4. **Unacceptable** (does not meet expectations)

For definitions and guidance on these rating levels, see "How to Determine Ratings for Performance Check-Ins and Wrap-Ups." For definitions, proficiency level descriptions, and example behaviors for each competency, see the Core Competency Model or the Leadership Competency Model.

4.1.4. Employee Performance Plan Development and Submission

Employees must draft their Employee Performance Plans, using the Performance and Development Tool in HR Source at the start of the fiscal year or when other circumstances determine that a new plan is necessary (refer to subsection 4.1.1., "Creating New Employee Performance Plans"). The Employee Performance Plan documents the two critical elements (Objectives and Competencies) that an employee will be evaluated on throughout a performance period. Employees may upload attachments, if relevant, that further describe their planned activities (e.g., a Field Office Strategic Plan [FOSP] cascade from the Integrated Program Management [IPM] Tool or an MOU for a JDA).

Employees must classify their Employee Performance Plans appropriately and submit them to their rating officials for review and approval.

4.1.5. Rating Official Employee Performance Plan Review and Approval

After an employee submits a draft Employee Performance Plan, the rating official must review the employee's submitted plan in the Performance and Development Tool and ensure that the listed performance period is accurate. The rating official also must review the employee's submitted objectives to ensure that they are relevant and include appropriate expectations based on the employee's grade, position, supervisory status, and FBIHQ division/FO. As needed, the rating official must modify the submitted plan or provide comments back to the employee, via the Employee Performance Plan, for incorporation prior to approval. If necessary, the rating official can upload attachments to the Employee Performance Plan (e.g., a FOSP cascade from the IPM Tool or an MOU for a JDA). Certain attachments must not be uploaded, including those containing information about the employee's leave, medical records, or participation in protected activities. When the rating official determines that the Employee Performance Plan has been finalized, the rating official must approve the Employee Performance Plan in the Performance and Development Tool in HR Source. The Employee Performance Plan is official and active upon the rating official's approval.

If an Employee Performance Plan requires changes after its initial submission, the rating official must approve all edits and additions to the objectives before they are considered final.

4.2. Performance Check-Ins

Rating officials must conduct at least one Performance Check-In with each employee during each performance period.

- Rating officials are required to conduct Performance Check-Ins every 90 calendar days for probationary employees and supervisors.
- Rating officials are encouraged to conduct quarterly Performance Check-Ins, although they are not required to do so, for nonprobationary employees and supervisors.

If an employee's role requires other periodic evaluations (e.g., 90-day case file reviews for SAs or quarterly reviews for intelligence analysts [IA] pursuant to the *Intelligence Analyst Quarterly Review Policy Directive* [0897D]), the rating official can conduct both check-ins at the same meeting, documenting performance information on the Performance Check-In form in the Performance and Development Tool in HR Source.

If an employee's performance period is changed because of the initiation of a new Employee Performance Plan, the rating official must, at minimum, conduct a Performance Check-In midway through the newly established performance period.

Rating officials must schedule and conduct Performance Check-In conversations with employees to review documented Performance Check-Ins.

Performance Check-In ratings are not considered final ratings of record and therefore cannot be grieved.

4.3. Performance Wrap-Up

A Performance Wrap-Up serves as an employee's official rating of record for the performance period. A Performance Wrap-Up must be given once the fiscal year has ended, as long as the employee has been on a Performance Plan for at least 90 calendar days. If the employee has not been on a Performance Plan for 90 calendar days, the performance period will be extended to meet the 90-calendar-day minimum requirement. In some circumstances, a Performance Wrap-Up may also be given at other times throughout the fiscal year (see subsection 4.3.1., "Performance Wrap-Up Types").

The rating official must create a Performance Wrap-Up form, digitally sign it, and submit it to the reviewing official for approval. For Year-End Wrap-Ups, FBIHQ divisions and FOs must conduct calibration sessions to ensure that performance standards are applied fairly and consistently. Calibration sessions are reviews conducted by each FBIHQ division/FO head to ensure that ratings standards are being applied consistently and as defined in the expectations set out in each employee's Performance Plan. Once the reviewing official gives final approval to the Performance Wrap-Up form (or after the calibration session if it is a Year-End Wrap-Up) and digitally signs it, the form will be released back to the rating official in the Performance and Development Tool. The rating official must conduct a Performance Wrap-Up conversation with the employee in person, whenever possible, to discuss the documented ratings and feedback for the performance period. The Performance Wrap-Up must then be published to the employee, using the Performance and Development Tool in HR Source. The employee must digitally sign the Performance Wrap-Up form to acknowledge receipt of the form. If the employee refuses to sign, this does not negate the Performance Wrap-Up rating. The rating of record is official once the reviewing official gives his or her final approval.

See "When Do I Create a New Performance Plan?" for further information on determining if a new Employee Performance Plan is needed.

4.3.1. Performance Wrap-Up Types

4.3.1.1. Year-End Wrap-Ups

All employees must receive Year-End Wrap-Ups if they have been on Employee Performance Plans for at least 90 calendar days during the fiscal year. A Year-End Wrap-Up must be based on

an employee's performance from the date the Employee Performance Plan was approved until September 30 of that year, except for the scenarios below:

- **Early Year-End Performance Wrap-Ups**: If needed, a Year-End Wrap-Up can be submitted as early as August 15 and still represent the rating of record for the FY. This might be necessary if the employee is changing positions between August 15 and September 30, the rating official is leaving between August 15 and September 30, or the employee needs a Wrap-Up to be eligible for an Exceptional Performance Award. In these scenarios, the rating of record date must be August 15 or later, and it must be the final date the employee will be evaluated for that FY.
    - ***Example:*** a rating official is transferring to a different squad or FO on September 1. The rating official should do early Year-End Wrap-Ups for his or her subordinates, with a rating of record date of August 31.
- **Delayed Year-End Performance Wrap-Up:** If an employee has not been on an Employee Performance Plan for at least 90 calendar days prior to the end of the performance period, the performance period will be extended to meet the 90-calendar-day requirement, and an extended Performance Wrap-Up form should be submitted within 30 calendar days.
    - ***Example***: If an employee had a new Employee Performance Plan approved on July 15, the performance period's end date would be October 15, with the Performance Wrap-Up due by November 15. The employee would then create a new Employee Performance Plan for the new fiscal year performance period, with a start date of October 16 and an end date of September 30.
- If an employee is on (or is about to be placed on) a PIP at the end of the fiscal year, the employee will not receive a Performance Wrap-Up form. The performance period will be extended to grant the employee a 90-day PIP opportunity period to demonstrate performance above the "Unacceptable" level. If the employee improves to at least an overall "Inconsistent Performer" level of performance during a PIP opportunity period, the employee may receive a Delayed Year-End Performance Wrap-Up at the end of the PIP opportunity period (see subsection 4.4., "Performance Improvement Plan (PIP)" for additional information on this process).
- If any employee is out of the office for an extended period of time at the end of a fiscal year (e.g., extended sick, maternity/paternity, or military leave), the employee will still receive a Year-End Performance Wrap-Up, provided that he or she was on an Employee Performance Plan for at least 90 calendar days during the fiscal year prior to the extended absence. In this case, the Year-End Performance Wrap-Up should be drafted after September 30 and published to the employee, but the conversation to deliver the Wrap--Up can take place when the employee returns.

4.3.1.2. Out-of-Cycle Performance Wrap-Ups

If an employee has been on an Employee Performance Plan for 90 calendar days, the employee may receive an Out-of-Cycle Performance Wrap-Up only for the reasons described below. Employees must not receive Out-of-Cycle Performance Wrap-Ups for any other reason. An Out-of-Cycle Performance Wrap-Up is an official rating of record, but it does not eliminate the need

for a Year-End Performance Wrap-Up. When creating the Out-of-Cycle Wrap-Up, the creator must select "Out-of-Cycle" from the drop-down menu as the wrap-up type. Below are the only reasons for giving an employee an Out-of-Cycle Performance Wrap-Up:

1. If the employee's performance was previously "Fully Successful" ("Successful" or above summary rating in FY18 or before; "Consistent Performer" or above as an Overall Rating in FY19 and later) and has dropped to the "Inconsistent Performer" overall level according to this ratings guidance, an Out-of-Cycle Performance Wrap-Up must be conducted at the overall "Inconsistent Performer" level.
2. If the employee's last rating of record was less than "Fully Successful" ("Minimally Successful" or below summary rating in FY18 or before; "Inconsistent Performer" or below in FY19 and later) and has improved to the overall "Consistent Performer" level according to this ratings guidance, an Out-of-Cycle Performance Wrap-Up must be conducted at the overall "Consistent Performer" level.
3. If the employee successfully passes a PIP, an Out-of-Cycle Performance Wrap-Up must be conducted at the appropriate rating level once the PIP is complete.
4. If the employee needs a rating of record at the current grade level to be eligible for a promotion or an Exceptional Performance Award, an Out-of-Cycle Performance Wrap--Up may be conducted.

See "Exception Cases for Off-Cycle Performance Wrap-Ups" for further information on Out-of-Cycle or exception cases for Wrap-Ups.

4.3.1.3. Overall Rating

Rating officials must use the Performance and Development Program's four-level rating scale, as outlined in subsection 4.1.3., "Objective and Competency Rating Scale." Based on the Objectives Rating and the Competencies Rating, a single, overall summary rating—the "Overall Rating"—is autopopulated and documented on the Performance Wrap-Up form. If "Exemplary Performer" is selected for one critical element and "Inconsistent Performer" is selected for the other critical element, the rating official must manually choose the appropriate Overall Rating of "Inconsistent Performer" or "Consistent Performer."

4.3.2. Unacceptable Overall Rating Actions

If a finalized Performance Wrap-Up form contains an Overall Rating of "Unacceptable," the rating official must contact PAU about placing the employee on a PIP or a probationary removal prior to finalizing the Overall Rating and publishing the Performance Wrap-Up form to the employee.

- The rating official and PAU will create and implement a PIP by following the steps outlined in subsection 4.4., "Performance Improvement Plan (PIP)."
- The rating official and employee **do not** complete the steps listed in subsection 4.3., "Performance Wrap-Up."

The PIP provides the employee with an opportunity to improve his or her performance before receiving an Overall Rating of "Unacceptable" on the Performance Wrap-Up. For an employee on a PIP, the performance period will be extended by an additional 90 calendar days, and the

employee will receive his or her Performance Wrap-Up form at the conclusion of the PIP, if necessary. It should be noted that the system will not allow a rating of "Unacceptable" to be published without PAU's approval.

4.3.3. Performance Wrap-Up Overall Rating Grievance Process

If one of an employee's two critical elements ("Objectives" or "Competencies" rating) is at the "Inconsistent Performer" or "Unacceptable" rating level, the employee may submit a Performance Wrap-Up grievance to his or her FBIHQ division or FO head. An employee may not file a grievance based solely on a disagreement with the narratives documented in the Performance Wrap-Up form or because of the absence of a Performance Check-In. At the discretion of management, an employee must be allowed a reasonable amount of work time to prepare a grievance. An employee's grievance must be submitted to the appropriate FBIHQ division head or FO head via the Performance and Development Tool. If the division head was the employee's rating or reviewing official during the performance period, the grievance must be submitted to the HRD deputy assistant director (DAD) instead.

- All grievances are limited to 8000 characters and must be submitted within the Performance and Development Tool to the appropriate official within ten business days of the Performance Wrap-Up having been published to the employee. If an extension is requested, it must be requested from the Performance Appraisal Unit.
- Within a Performance Wrap-Up grievance, an employee must:
  - Identify the critical element rating that the employee disputes.
  - Identify the performance rating that the employee believes he or she should have received.
  - Provide the rationale for supporting the request for the new performance rating with examples and justification(s) from the performance period.
- A grievance may be rejected if it does not follow this protocol.

The FBIHQ division or FO head or the DAD of HRD must reply, in writing, to the employee who filed the grievance as soon as practicable. The decision regarding a Performance Wrap-Up Overall Rating grievance is final and cannot be appealed.

If a Performance Wrap-Up rating is modified or upheld, an e-mail will be sent to notify the employee of such. If the DAD of HRD signed the letter, the employee and the FBIHQ division/FO head will be sent an e-mail.

4.4. Performance Improvement Plan

A PIP is a tool used to address "Unacceptable" performance. If it is determined that an employee's performance is at the "Unacceptable" level in either critical element, the rating official should place the employee on a PIP, which will give the employee a 90-calendar-day opportunity period to raise his or her performance to at least the "Inconsistent Performer" overall level. A rating official must submit a PIP letter to PAU for approval. Once approved, the PIP letter will be provided to the employee, thereby initiating the 90-calendar-day PIP opportunity period.

4.4.1. Performance Improvement Plan Letter Content

The PIP letter must document the following information:

1. The start and end dates of the opportunity period (90 calendar days).
2. The individual objectives or competencies or both that the rating or reviewing official identified as the reason the employee was performing at the "Unacceptable" level.
3. Specific and clear examples from the current performance period (after the Employee Performance Plan was approved) of deficient performance in the relevant objectives or competencies or both, and the counseling previously given to the employee to address these deficiencies.
4. The expectations for the objectives and/or proficiency level for the competencies to be considered an "Inconsistent Performer."
5. A development plan, including necessary training, with the specific steps outlined.
6. Possible consequences if the employee's performance does not improve to the "Inconsistent Performer" level or higher. When communicating possible consequences, the rating official must inform the employee that if his or her performance against the relevant objectives and competencies does not improve to at least the "Inconsistent Performer" level or higher, the employee may be demoted, reassigned, demoted and reassigned, or removed.

4.4.2. Performance Improvement Plan Opportunity Period

An opportunity period is a 90-calendar-day period. An extension to an opportunity period may be requested if the FBIHQ division or FO head, with concurrence from PAU, determines that the employee requires additional time due to extenuating circumstances (e.g., extended sick, maternity/paternity, or military leave). The FBIHQ division or FO head must submit a written request to PAU for the approval of an extension to the PIP period.

The employee should not be reassigned or transferred, as this terminates the PIP before the opportunity period has been completed, except in the extenuating circumstance of the reassignment or transfer of an employee to protect an operation or to protect the employee.

An employee is not eligible to apply for a transfer, a promotion, or an assignment to another position if the employee:

- Is currently on a PIP.
- Failed a PIP.
- Is currently awaiting the final action by HRD as the result of a failed PIP.

For instances in which PIPs are terminated prematurely, no recommendations for performance-based actions can be made. Rating officials must notify PAU immediately of such terminations.

4.4.3. Conclusion of a Performance Improvement Plan Opportunity Period

At the conclusion of an opportunity period, the rating official must notify the employee with either a PIP pass letter or a PIP failure letter. PAU must forward a copy of the letter to the FBIHQ division or FO head.

If an employee passes a PIP by improving performance to at least the "Inconsistent Performer" level, the rating official must notify the employee via a PIP pass letter, which specifies the end date of the PIP jeopardy period (one year from the date the PIP was issued).

If the employee fails to achieve at least an "Inconsistent Performer" level of performance, the employee will have failed the PIP, and the rating official must notify the employee with a PIP fail letter. The PIP fail letter must advise the employee that he or she failed the PIP and that consideration is being given for a possible performance-based action to be taken.

After the employee receives the PIP fail letter, the FBIHQ division or FO head must submit a document in the format of an electronic communication (EC) to PAU, providing details of the employee's "Unacceptable" performance (during the opportunity period or the jeopardy period, if applicable) and must make a recommendation for one of the following performance-based actions to be taken against the employee:

1. Demotion. All recommended demotions will be to step 1 of the lower grade. The executive assistant director (EAD), Human Resources Branch (HRB) has the authority to consider a higher step if the employee appeals.
2. Reassignment, with a demotion to step 1 of the lower grade.
3. Removal from the FBI.

The initial draft of the EC should be submitted to PAU within 30 calendar days of the conclusion of the PIP period. Once PAU approves the EC, the supervisory chain, up to the FBIHQ division or FO head, will sign the EC and send it back to PAU.

Upon receipt of the FBIHQ division or FO head's recommendation, PAU must generate a proposed action letter for the office to present to the employee, explaining the proposed performance-based action. The employee will be given notice of the chance to provide an oral or written appeal to the EAD, HRB (or designee), concerning the proposed action. An employee must respond with his or her intent to appeal and provide any written appeals within ten business days of receipt of the letter. The employee will be offered the option to request an extension from PAU. If requested, an oral appeal will be scheduled later with the EAD, HRB (or designee). Once a decision is made by the EAD, HRB (or designee), the employee will receive a letter advising of the final decision.

4.5. Employee Probationary Period

As described in subsection 4.5.2., "Nonsupervisory Employee Probationary Period," and in subsection 4.5.3., "Supervisory Probationary Period," all probationary employees must complete their designated probationary periods.

Probationary employees must not be placed on PIPs.

4.5.1. Preference-Eligible Employees

Preference-eligible employees who have completed one year of current, continuous service are entitled to certain procedural rights outlined in subsection 4.5.1.2., "Preference-Eligible Employee Procedural Rights," which would preclude the FBI from conducting a probationary removal in the second year of the employee's service.

4.5.1.1. Preference-Eligible Employees with Some or Similar Prior Service

A preference-eligible employee may not be required to serve a probationary period, if all three of the following requirements are met:

1. The employee transfers to the FBI from another federal agency with no break in federal service.
2. The employee is deemed to be performing in the same or a similar position as the previous one.
3. The employee is a preference-eligible veteran.

If all three requirements are met, the employee may not be proposed for a probationary removal and must be placed on a PIP before a performance-based action may be proposed. PIPs are not to be utilized in any other circumstances with probationary employees.

4.5.1.2. Preference-Eligible Employee Procedural Rights

After the first year of employment with the FBI, specific preference-eligible veteran employees have certain procedural rights set forth under Title 5 United States Code (U.S.C.) Section (§) 7513.

Preference-eligible employees who have two-year probationary periods and who have completed one year of current, continuous service are entitled to the following:

- At least 30-calendar-days' advance, written notice stating the specific reasons for the proposed action, unless there is a reasonable cause to believe that the employee has committed a crime for which a sentence of imprisonment may be imposed.
- A reasonable time of not less than seven calendar days to answer the notice of proposed action, orally and in writing, and to furnish affidavits and other documentary evidence.
- The right to be represented by an attorney or another representative.
- A written decision that includes the specific reasons for the agency's action.
- The right to appeal to the Merit Systems Protection Board (MSPB).
- The right to inspect the documents upon which the FBI relied to arrive at its decision.

4.5.2. Nonsupervisory Employee Probationary Period

Nonsupervisory probationary employees include new FBI employees, reinstated FBI employees, and onboard employees converting to special agents (SA), forensic examiners (FE), intelligence analysts (IA), investigative specialists (IS), and surveillance specialists (SS). All probationary employees must satisfactorily complete a two-year probationary period. The probationary period for a new or a reinstated FBI employee will begin on the employee's entry on duty (EOD) date and will end at the close of business on the day prior to the end of the employee's probationary period. Onboard employees converting to SA, FE, IA, IS, or SS positions will have new two-year probationary periods that will begin on the effective dates of their reassignments and will end at the close of business on the day prior to the end of their probationary periods.

During probationary periods for employees in nonsupervisory positions, rating officials must confirm that their respective employees possess the qualities and abilities necessary for successful service, based on the FBI's "Suitability Standards for Probationary Employees."

FBIHQ division or FO heads must ensure that all rating officials evaluate the ability of their employees to successfully complete their probationary periods and that they maintain and review the appropriate documentation.

Employees may be promoted during their probationary periods; however, they will remain in their probationary periods until they have served two full years as new FBI employees.

Rating officials are not required to wait until the end of minimum performance periods (90 calendar days) to propose performance-based actions for probationary employees. FBIHQ division or FO heads may consider the benefits of management-directed reassignments to other positions, but serious consideration should be given, based on the FBI's suitability standards, to the suitability of probationary employees.

Probationary employees deemed deficient in any of the six suitability standards:

- May be removed from their positions.
- Should not be placed on PIPs.
- Have no appeal rights.

Concerns regarding probationary employees' suitability and/or performance must be brought to the attention of PAU immediately and must be addressed in accordance with the guidance received (see subsection 4.5.4., "Removal of Probationary Employees and Supervisors").

4.5.3. Supervisory Probationary Period

A probationary supervisor must satisfactorily complete a one-year probationary period as a first-time supervisor every time he or she is promoted to a higher grade and for all supervisory moves between FBIHQ, legal attaché (Legat) offices, and FOs when moving to a position that the supervisor has not previously held in that same category of location. (Example: An FBIHQ supervisory special agent [SSA]) who later becomes a field SSA would have a new one-year supervisory probationary period in the field role.)

If a probationary supervisor was an onboard FBI employee at the time he or she became a supervisor, and that supervisor is not successfully performing his or her supervisory responsibilities during the supervisory probationary period, the employee may be recommended for reassignment to a nonsupervisory position based on failure to meet the suitability standards for probationary employees. The proposed nonsupervisory position does not need to be the employee's previous position, but it must be at the same grade and step of the previous position. The employee will not receive the highest previous rate (HPR) of pay. Concerns regarding a probationary supervisor's suitability and/or performance must be brought to the attention of PAU immediately and must be addressed in accordance with the guidance received (see subsection 4.5.4., "Removal of Probationary Employees and Supervisors").

4.5.4. Removal of Probationary Employees and Supervisors

A proposed probationary removal must be thoroughly documented and submitted to PAU in the format of an EC, using a sample EC provided by PAU. The EC must explain why the proposed

action is necessary and must provide specific references to the employee's failure to meet the suitability standards. The EC should be submitted to PAU at least 30 calendar days prior to the end of the employee's probationary period. Although a submission will be accepted until the end of the probationary period, time constraints may prevent a proposed dismissal from proceeding.

The EAD, HRB serves as the authority for evaluating suitability dismissal requests and for ensuring that removals based on failure to meet suitability standards are fair and equitable. The probationary removal letter from the EAD, HRB must be issued to the employee before the close of business of the last day of the probationary period. If the letter is not issued, the employee automatically completes probation and the probationary removal process may not be executed. In such an instance, the FBIHQ division/FO must consult with PAU regarding a PIP.

Probationary removal may not be appealed within the FBI.

4.6. Within-Grade Increase Denials

A WGI is an increase in an employee's basic rate of pay because of the employee's advancement from one step in grade to the next, based on length of service and satisfactory performance. A personnel action involving a WGI is generated automatically, unless there is documentation that the employee is currently performing at the "Unacceptable" or "Inconsistent Performer" ("Minimally Successful" in FY18 and prior) Overall Rating level. "Unacceptable" performance is usually documented through a PIP instead of an Overall Rating in the Performance Wrap-Up form.

If an employee's performance has dropped from the previously documented "Exemplary Performer" or "Consistent Performer" Overall Rating (or "Outstanding," "Excellent," or "Successful" in FY18 and prior) since the last Performance Wrap-Up form (or Performance Appraisal Report [PAR] for FY18 and prior) submission, and the employee's WGI is due in the near future, the rating official must promptly contact PAU and the FO or FBIHQ division administrative office. A new Performance Wrap-Up form must be submitted with an Overall Rating of "Inconsistent Performer," or a PIP must be initiated to document "Unacceptable" performance before the WGI is due so that the WGI can be denied.

In all instances, PAU must generate the WGI denial letters that are issued to employees.

An employee has the right to appeal a WGI denial to the HRO (or the designee listed in the WGI denial letter). If the denial is sustained, the employee has the right to appeal to the MSPB. An employee must appeal to the HRO (or the designee listed in the WGI denial letter) before appealing to the MSPB.

When an employee improves his or her performance to the "Consistent Performer" or "Exemplary Performer" level of performance, the rating official may reinstate the WGI by submitting a new Performance Wrap-Up form in the Performance and Development Tool in HR Source, with a documented Overall Rating of "Consistent Performer" or "Exemplary Performer." The rating official must contact PAU to reinstate the WGI after submitting the new Performance Wrap-Up form.

4.7. Letter of Requirement (LOR)

An LOR is a tool used to address an employee's leave issues.

When a rating official identifies an employee who has leave issues that negatively impact the operation of an FBIHQ division or an FO, the rating official should meet with the employee to discuss the issues and to ensure that the expectations about the *Leave Policy Guide* (0341PG) and expectations about the proper use of leave are clear. Leave issues include, but are not limited to, not adhering to leave policies, abusing all types of leave, and frequent absences and/or tardiness.

A rating official who has identified an employee with leave issues must consult with PAU to determine if an LOR is appropriate. An LOR must be approved by PAU and issued to the employee within five business days of PAU's approval. The opportunity period for the employee to satisfactorily resolve his or her leave issues under the LOR is 90 calendar days.

4.7.1. Letter of Requirement Document

At the start of an LOR, the employee is issued a letter outlining the leave expectations that the employee must follow during the 90-calendar-day opportunity period. The letter must be signed and dated by the rating official and the employee. An employee's refusal to sign does not indicate agreement or disagreement with the LOR and does not void the LOR. The rating official must document an employee's refusal to sign the LOR on the last page of the LOR, where the employee's signature would have appeared. The original signed and dated letter is to be provided to the employee on the day it is issued. A copy of the signed and dated letter must be sent to PAU, and a copy must be maintained by the rating official, separate from the employee's performance documentation.

At the time the LOR is issued, the rating official and the employee must discuss the LOR and its requirements. If the employee does not follow the requirements of the LOR, the employee will be charged absent without leave (AWOL).

In most instances, failure to comply with an LOR will result in the employee's removal from the FBI. Due to the nature of the penalty of a failed LOR, it is critical that (1) the employee understands the significance of being placed on an LOR, (2) the rating official maintains thorough documentation, and (3) the employee and the rating official maintain communication throughout the process.

An employee who follows the requirements of an LOR but exhausts all available leave, thereby accruing AWOL during the LOR or jeopardy period (see subsection 4.7.2., "Conclusion of the Letter of Requirement Opportunity Period"), may be subject to removal. If this occurs, the rating official should consult with PAU for guidance.

LOR opportunity periods will not be extended except under extenuating circumstances. All extensions must be approved by PAU.

Should an employee or the employee's rating official transfer while the employee is on an LOR or during the employee's jeopardy period, the outgoing rating official must provide background information to the new rating official and must alert PAU.

4.7.2. Conclusion of the Letter of Requirement Opportunity Period

Whether an employee passes or fails an LOR, there is an LOR jeopardy period. The jeopardy period will begin at the conclusion of the opportunity period and will end one year from the date the LOR was issued (usually nine months). Consequently, at the conclusion of the LOR, the

employee must continue to comply with the all leave policies and with the LOR requirements for the jeopardy period. If an employee fails to comply with all leave policies and with the LOR requirements during the jeopardy period, a proposed removal action may be taken without providing the employee with another opportunity to improve attendance.

Within ten business days of the conclusion of the opportunity period, the rating official must notify the employee if he or she passed the LOR. If the pass letter is delayed, the jeopardy period will not be extended; it will commence whether or not notification to the employee has occurred and will conclude nine months after the LOR is complete. The letter will notify the employee of the jeopardy period.

If an employee fails an LOR, the rating official must submit a document in the format of an EC to PAU, providing details of the employee's LOR failure (during the opportunity period or the jeopardy period, if applicable). The EC must also make a recommendation for an adverse action (usually removal) to be taken against the employee. The EC must be submitted to PAU within 30 calendar days of the conclusion of the LOR period. When approved by PAU, the EC must be signed by the supervisory chain up to the FBIHQ division or FO head and returned to PAU.

Upon receipt of the FBIHQ division or FO head's recommendation EC, PAU will initiate the process for taking an adverse action against the employee. PAU must generate a proposed action letter to the employee. The employee will be advised of the opportunity to provide an oral or written appeal to the EAD, HRB (or designee) concerning the proposed action. The employee must respond with his or her intent to appeal and must provide any written appeal within ten business days of receipt of the proposed-action letter. The employee will be offered the option to request an extension from PAU. If so requested, an oral appeal will be scheduled with the EAD, HRB (or designee) at a later date. Once a decision has been made by the EAD, HRB (or designee), the employee will receive a letter with the final decision of the EAD, HRB.

5. Authorities

United States Code

- 5 U.S.C. Chapter 43, Performance Appraisal
- 5 U.S.C. § 4302, Establishment of Performance Appraisal Systems
- 5 U.S.C. § 2108, Veteran; Disabled Veteran; Preference Eligible

Code of Federal Regulations (CFR)

- 5 CFR Parts 430 and 432, Performance Management and Performance Based Reduction in Grade and Removal Actions
- 28 CFR § 0.76 and 28 CFR § 0.138, Classification of GS Positions
- 5 CFR § 211.102 (d), Veterans' Preference

DOJ Departmental Orders

- DOJ Order 1200.1, Part 2, Chapter 15, *Performance Management System for General Schedule and Prevailing Rate Employees*
- DOJ Order 1430.3A, *Performance Management System for General Schedule and Prevailing Rate Employees*

6. Recordkeeping Requirements

6.1. Performance-Related Information and Documentation

Performance-related information and documentation is defined as any material gathered, prepared, and/or maintained by an employee's rating official or reviewing official or both for the exclusive purpose of evaluating the employee under the FBI's Performance and Development Program.

Rating officials must maintain and update documentation of both positive and negative performance throughout a performance period for all employees, including probationary employees. Documentation should be timely and thorough in order to properly assess an employee's performance or nonperformance. Proper documentation is essential when proposing a performance-based or an adverse action or when completing Performance Check-In forms and Performance Wrap-Up forms.

Unless otherwise instructed by FBIHQ, all performance-related information and documentation, including, but not limited to, information maintained in any performance folder other than the employee's official FBIHQ or FO personnel file or in the employee's Employee Performance Folder in the Performance and Development Tool in HR Source, must be maintained by the employee's rating official for a period of one calendar year from the date of the Performance Wrap-Up form submission (or from the employee's separation or transfer). All performance-related information and documentation maintained elsewhere by the rating official (outside of the performance folder in the Performance and Development Tool) that is not part of the employee's official FBIHQ or FO personnel file should be reviewed annually, and any remaining documents or superseded documents destroyed within 30 calendar days of the expiration of the one-year period specified above. Information or documentation maintained by the rating official and relevant to a pending performance action, a complaint, a charge, or an internal investigation must be maintained by the rating official until final resolution of the matter and must be destroyed one year from the date the case is closed. The above provision, however, does not apply to original file review sheets, which must be maintained for inspection and other purposes not related to the Performance and Development Program.

Appendix A: References

- See the PAU BuNet site for more information.
- See the Performance Management Wiki for more information.

Appendix B: Performance and Development Conversion Table

Performance and Development Program (FY 2019 and Later)	Performance Appraisal System (FY 2018 and Earlier)
Consistent Performer Rating	Successful and Excellent Ratings
Employee Performance Plan	Performance Plan
Exemplary Performer Rating	Outstanding Rating
Inconsistent Performer Rating	Minimally Successful Rating
Objectives	Achieving Results Critical Element Addendum
Overall Rating	Overall Summary Rating
Performance Check-In	Progress Review, Mid-Year Progress Review (MYPR), 90-Day File Review
Performance Period	Performance Appraisal Cycle
Performance Wrap-Up	Performance Appraisal Report
Two Critical Elements: Performance Objectives and Competencies	Critical Element
Unacceptable Rating	Unacceptable Rating

Appendix C: Definitions and Acronyms

Definitions

Adverse action: An adverse action is the reassignment, demotion, or removal of an employee, proposed by his or her management, to be implemented at the conclusion of a failed opportunity period for an LOR. An adverse action may also be proposed during the jeopardy period of an LOR or against an employee who continues to abuse FBI leave policies or who fails to comply with FBI leave policies.

Competencies: Competencies define expected behaviors based on how employees across the FBI perform against their performance objectives. There is a uniform set of competencies: six "Core Competencies" for nonsupervisors and nine "Leadership Competencies" for front-line supervisors and senior leaders. Expected proficiency levels are based on grade levels.

Critical elements: objectives and competencies. Objectives define "what" an employee does, while competencies describe "how" an employee performs his or her work.

Demotion: A demotion is an adverse action that results in the reduction of an employee's pay and grade level.

Employee Performance Plan: An Employee Performance Plan details an employee's objectives and assigned competency proficiency level targets that will be used to rate the employee's performance during a performance period.

Entry on duty: the date an employee officially reports for duty at the FBI.

FBIHQ division or field office head: An FBIHQ division or FO head includes the AD, ADIC, SAC, or an individual officially acting on behalf of the FBIHQ division or FO head.

Jeopardy period: A jeopardy period is the period after the conclusion of the opportunity period of a PIP or an LOR. It is one year from the start of a PIP or an LOR opportunity period.

Letter of requirement: An LOR is the written notification issued to an employee that a determination has been made by the employee's rating official that the employee is abusing leave and is not complying with the FBI's leave policies.

Objectives: Objectives serve as the first critical element in all employees' Employee Performance Plans. Objectives should represent the key things employees need to accomplish throughout a performance period so that divisions, units, squads, as well as employees, can be successful.

Opportunity period: An opportunity period is the 90-day period that is applicable to a PIP and an LOR. For a PIP, the opportunity period provides an employee with a chance to demonstrate at least an "Inconsistent Performer" level of performance. For an LOR, the opportunity period provides an employee with a chance to address identified leave issues. Opportunity periods are subject to extensions if extenuating circumstances arise.

Performance-based action: A performance-based action is the reassignment, demotion, or removal of an employee, proposed by his or her management, to be taken against the employee at the conclusion of a failed opportunity period for a PIP. A performance-based action may also be proposed during the jeopardy period of a PIP against an employee who continues to perform at the "Unacceptable" level.

Performance check-in: Performance check-ins occur throughout the year between employees and their rating officials to measure the progress of employee objectives and competencies documented in Employee Performance Plans. Performance check-ins must be used to provide employees with performance feedback throughout the year to identify the areas in which they are doing well and to develop the areas that they need to improve upon in order to reach satisfactory levels of performance at the end of a performance period.

Performance Folder: An employee's Performance Folder is housed in the Performance and Development Tool in HR Source and contains performance-related materials used to assist a rating official in accurately assessing an employee's performance. The materials may include (1) the employee's Performance Plan; (2) the employee's most recent Performance Wrap-Up form; (3) the employee's Performance Check-In forms from the current performance period; (4) positive and negative examples of the employee's performance captured in Performance Check-In forms, private notes, and quick feedback; (5) any input provided by the employee, including a self-assessment; and (6) any documented counseling session(s).

Performance improvement plan: A PIP is a written plan that outlines specific examples of (1) an employee's "Unacceptable" performance, (2) actions the employee must complete to meet the performance expectations of at least the "Inconsistent Performer" level, and (3) assistance and support to be given to the employee by the rating official.

Performance period: The performance period runs from October 1 to September 30, coinciding with the fiscal year.

Performance rating: A performance rating is the rating level attributed to an employee's performance during the performance period and can include the Objectives Rating, Competencies Rating, or Overall Rating that is documented in a Performance Check-In form or a Performance Wrap-Up form or both.

Probationary period: A probationary period is a one- or two-year period (depending upon the employee) that begins with an employee's EOD and ends at the close of business on the day prior to the end of that period.

Rating official: A rating official is an employee's first-line supervisor who is responsible for monitoring and rating that employee's performance.

Rating of record: The rating of record is the Overall Rating issued with the Performance Wrap-Up form at the end of a performance period.

Reassignment: A reassignment is the transfer of an employee from one position to another position or from one FBIHQ division or FO to another FBIHQ division or FO without a change in grade or salary and having the same career ladder potential.

Removal: Removal is the termination of employment.

Reviewing official: The reviewing official is the supervisor responsible for reviewing and approving a rating official's performance evaluation of an employee.

"Unacceptable" performance: "Unacceptable" performance is performance that fails to meet the "Inconsistent Performer" level in any Objective or Competency elements within an Employee Performance Plan.

Within-Grade Increase: A WGI is an increase in an employee's rate of basic pay from one step to the next step in that grade.

Acronyms

AD	assistant director
ADIC	assistant director in charge
AWOL	absent without leave
CFR	Code of Federal Regulations
DAD	deputy assistant director
DOJ	Department of Justice
EAD	executive assistant director
EC	Electronic Communication
EOD	entry on duty
FBI	Federal Bureau of Investigation
FBIHQ	Federal Bureau of Investigation Headquarters
FE	forensic examiner
FO	field office
FOSP	Field Office Strategic Plan
FY	fiscal year
GS	General Schedule
HPR	highest previous rate
HRB	Human Resources Branch
HRD	Human Resources Division
HRO	human resources officer
HSI	Headquarters Staffing Initiative
IA	intelligence analyst

IPM	Integrated Program Management
IS	investigative specialist
JDA	joint duty assignment
Legat	legal attaché [office]
LOR	letter of requirement
MOU	memorandum of understanding
MSPB	Merit Systems Protection Board
MYPR	Mid-Year Progress Review
NCTC	National Counterterrorism Center
PAR	Performance Appraisal Report
PAS	Performance Appraisal System
PAU	Performance Appraisal Unit
PG	policy guide
PIP	performance improvement plan
POC	point of contact
SA	special agent
SAC	special agent in charge
SES	Senior Executive Service
SL	Senior Level
SS	surveillance specialist
SSA	supervisory special agent
TDY	temporary duty [assignment]
U.S.C.	United States Code
WG	Wage Grade

WGI	within-grade increase