



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

NOTE: Pursuant to Section 101 of the Aviation and Transportation Security Act (49 U.S.C. 114(n)), this directive and all related Handbooks, Attachments, and Appendices, establish Transportation Security Administration (TSA) policy and must be applied accordingly.

1. PURPOSE: This directive provides TSA policy and procedures for TSA *Transportation Officer Performance System (TOPS)*, and cancels and supersedes TSA MD 1100.43-1, *Performance Accountability and Standards System (PASS)*, dated December 4, 2006.

2. SCOPE: This directive applies to all Bargaining Unit Employees as defined herein.

3. AUTHORITIES:

- A. The Aviation and Transportation Security Act (ATSA), Pub. L. 107-71
- B. The Homeland Security Act of 2002, Pub. L. 107-296, Sections 403(2) and 423
- C. [Decision Memorandum, Determination, Transportation Security Officers and Collective Bargaining, dated February 4, 2011](#)
- D. [Collective Bargaining Agreement \(CBA\) between TSA and the American Federation of Government Employees \(AFGE\), effective December 9, 2012](#)

4. DEFINITIONS:

- A. **Bargaining Unit Employee (BUE):** Full and part-time nonsupervisory personnel carrying out screening functions as Transportation Security Officers (TSOs); Lead Transportation Security Officers (LTSOs); Master Transportation Security Officers (MTSOs), which include Behavior Detection Officers (BDOs), Security Training Instructors (STIs), and Equipment Maintenance Technicians (EMTs); and Expert Transportation Security Officers (ETSOs), which also include BDOs, STIs and EMTs.

NOTE: Coordination Center Officers (CCOs) and Supervisory Transportation Security Officers are not BUEs.

- B. **Collective Bargaining Agreement (CBA):** Contract between TSA and the American Federation of Government Employees (AFGE), signed by both parties on August 1, 2012, and ratified by BUEs on November 9, 2012.

NOTE: Article 1 of the CBA establishes the performance management process that provides employees with opportunities for feedback to keep them advised of performance expectations, their current performance, and when necessary, assistance in improving that performance.

- C. Higher-level Management Official: A position at a higher organizational level and of an equal or higher pay band than the Reviewing Official who may or may not be in the employee's chain of supervision.
- D. Rating Official: Designated supervisory official (generally an employee's first-line supervisor) with authority to develop a specific employee's performance plan, observe and evaluate that employee's performance, and prepare the employee's rating of record.
- E. Reviewing Official: Designated supervisory official with authority to make a final decision on an employee's rating of record, and typically the Rating Official's supervisor. The Reviewing Official is the next higher level of management with direct knowledge of an employee's performance or who otherwise has sufficient information to judge the rated employee's level of performance.
- F. TOPS Coordinator: Designated employee at the local level selected by Federal Security Directors (FSDs) to perform TOPS duties, as defined herein and to communicate TOPS information to airport hubs and/or spokes.

5. RESPONSIBILITIES:

- A. Assistant Administrator for Human Capital (AA/OHC) is responsible for:
 - (1) Establishing policy and procedures governing performance management and administering their provisions;
 - (2) Providing guidance and assistance to management officials concerning their performance management responsibilities;
 - (3) Ensuring compliance with TOPS, as described in this directive, throughout TSA;
 - (4) Ensuring that appropriate training on TOPS is provided to executives, managers, supervisors, and applicable employees; and
 - (5) Providing AFGE National Headquarters a report of the rating level distribution by airport at the end of the Performance Cycle.
- B. Higher-level Management Officials are responsible for:
 - (1) Reviewing results and ensuring consistency in application of performance management and performance standards across larger units of the organization;
 - (2) Analyzing trends and recommending/implementing actions needed to ensure that individual performance goals are being met;
 - (3) Ensuring that TOPS policies and requirements are adhered to in their areas of responsibility, to include that employees are being provided the resources needed to achieve their performance goals and objectives; and

- (4) Reporting to the Office of Security Operations (OSO) regarding performance management results for their areas.

C. Reviewing Officials are responsible for:

- (1) Reviewing and approving performance plans of employees under their Rating Officials prior to the performance plan meeting;
- (2) Reviewing and approving end-of-year appraisals for employees under their Rating Officials;
- (3) Ensuring that TOPS policies and requirements are adhered to in their area of responsibility;
- (4) Meeting regularly with Rating Officials in their area of responsibility to review and track employee performance;
- (5) Identifying and resolving discrepancies in applying performance standards in their areas of responsibility;
- (6) Providing regular updates to the Assistant Administrator for Security Operations or other management official, as appropriate, regarding performance results for their areas of responsibility; and
- (7) Complying with Article 1 (Performance Management Process) of the CBA.

D. Rating Officials are responsible for:

- (1) Scheduling and conducting performance planning meetings, progress reviews, and end-of-year reviews for their employees;
- (2) Signing and obtaining employee signatures on performance plans;
- (3) Conducting informal discussions (observing, coaching, and providing feedback) with employees;
- (4) Documenting and rating employees' performance;
- (5) Maintaining performance documents in accordance with this directive;
- (6) Providing regular updates to reviewing officials on workforce performance;
- (7) Addressing performance deficiencies with employees as soon they become evident;
- (8) Obtaining Reviewing Officials' concurrence on employee appraisals prior to communicating those ratings to employees; and
- (9) Complying with Article 1 of the CBA.

E. Employees are responsible for:

- (1) Attending the meeting with their Rating Official to discuss the contents of their performance agreement;
- (2) Performing their work assignments according to the established performance agreement, expectations, procedures, and supervisory instructions;
- (3) Promptly notifying Rating Officials about factors that interfere with the ability to perform duties at the level of performance required by their performance elements;
- (4) Attending progress reviews, and end-of-year reviews with their Rating Official;
- (5) Signing their performance plans;
- (6) Voluntarily, and at the employees discretion, completing a narrative self-assessment of their performance for consideration in their end-of-year review;
- (7) Attending informal discussions initiated by the supervisor, Rating Official or employee to discuss their performance; and
- (8) Complying with the TOPS performance requirements of the CBA.

F. TOPS Coordinators are responsible for:

- (1) Collecting, maintaining, and reporting program compliance data; and
- (2) Providing compliance data reports to Higher-level Management Officials and to the Office of Human Capital (OHC).

6. POLICY: TOPS is intended to promote a culture of high performance and accountability and to ensure that each employee knows what is required to successfully accomplish his or her work in order to help TSA accomplish its mission.

- A. An employee shall receive a rating of record based on a four-tiered rating system.
- B. Individual performance goals shall align with organizational goals and performance standards shall be specific, measurable, achievable, realistic, and time-bound (SMART).
- C. Generally, an employee must be on a performance plan for a minimum of 90 days in order to receive a rating of record.
- D. The performance appraisal period begins on October 1 or the employee's current permanent position appointment date, whichever is later, and ends on September 30, or until the employee has been on the performance plan for at least 90 days, whichever is later.

7. **PROCEDURES:** [See TSA Handbook to TSA MD 1100.43-4, *Transportation Officer Performance System*](#) and Article 1 of the CBA.
8. **APPROVAL AND EFFECTIVE DATE:** This policy is approved and effective the date of signature unless otherwise specified.

APPROVAL

Signed

March 22, 2013

Sean Byrne
Assistant Administrator for Human Capital

Date

EFFECTIVE

Date

Distribution: Administrator, Deputy Administrator, Assistant Administrators, the Chief Counsel, Regional Directors, Federal Security Directors, Supervisory Air Marshals in Charge, Business Management Office Directors, Administrative Officers, and Human Resource Specialists

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