

Handbook 25: Employment and Promotion
Chapter 40: the Foreign Service Employee Evaluation Program

Overview of Changes

All but Supplements D and E superseded by ADS 463 Foreign Service Boards

Supplement 40D: LIMITED CAREER EXTENSION PRECEPTS FOR SENIOR FOREIGN SERVICE EMPLOYEES

A. Purpose

This Supplement provides the Consolidated Senior Foreign Service (SFS) Board (for Backstop 08 employees only) with the Precepts they will use to recommend SFS officers for Limited Career Extensions (LCEs). Handbook 25, Chapter 38K.4 provides the policies and procedures governing LCEs.

B. Limited Career Extensions (LCEs)

(Cross references on LCEs: Handbook 25, Chapters 38 and Chapter 40, and Supplements B and C of Chapter 40, plus Handbook 30, Chapter 3.)

1. The Foreign Service Act of 1980, Section 607, authorizes the Agency to grant LCEs to career employees who have reached their maximum time in-class (TIC) limitation. The Agency may offer LCEs to non promoted SFS members during the last two years of their TIC or LCE. LCEs are granted, or renewed, by the Administrator, or the Administrator's designee, in accordance with C/Board recommendations; or by the Inspector General in accordance with the IG Board recommendations. However, SFS members will be reviewed only once during the last two years of TIC or LCE. In making the final determinations on who will receive an LCE, the Senior Management Review Board (SMRB) serves as an advisory panel to the Administrator.

2. The effective date of retirement for an officer not granted an LCE is the last day of the month in which the TIC or LCE expires. (Also see Handbook 30, Chapter 3, Supplement A).

3. The chief reasons for granting LCEs are: completion of an officer's present tour and retention of specialized skills or shortage categories, taking into account the effect of the LCE on the need to provide a regular and predictable flow of talent through the ranks including into and out of the SFS. Handbook 25, Chapter 38, paragraph 4D states:

"LCEs may be granted by the Administrator or his designee only when the employee has been recommended by the C/Board (or the IG Board) for such and LCE and either:

(1)The LCE is necessary to allow the employee to complete his/her present tour, provided it is in the Agency's interest to do so. For the purpose of LCEs, overseas tours are defined as two years for one tour posts and four years for all two tour posts and SMG positions except for Mongolia, NIS assignments and Cambodia. All USAID/W assignments are for a three year period. Or

(2)To retain an employee only in connection with a programmatic need of the Agency where a position or assignment has been identified and (i) where there is a demonstrated severe shortage of personnel in the individual's backstop, or (ii) where an-term replacement is inappropriate (where there is a temporary critical need an LCE need not be for the duration of an entire tour), or (iii) where there is a critical need for specific skills, expertise and experience for a particular assignment while taking into account the effect any such LCE would have on the need to provide regular and predictable flow of talent through the ranks and into the SFS.

Except for LCEs granted in accordance with 38K(4)(d)(2) [above], SFS officers with one year or less remaining in their TIC/LCE will not be considered for an onward assignment. Such officers will be extended in their present positions to complete their careers.

C. Eligibility

The C/Board or IG Board will consider for LCEs those career members of the Senior Foreign Service whose TIC or LCE will expire at any time during the subsequent calendar year, i.e., the 1993 Boards will consider all SFS members whose TIC or LCE expires on or before December 31, 1994. If an employee up for LCE consideration receives a promotion as a result of the same Board that considered the employee for an LCE, then the Agency will assign the employee a TIC limitation date applicable to the employee's new salary class. A SFS member on a 607(d) (2) extension is ineligible for Selection Board review for promotion and LCEs.

D. Responsibilities

1. FA/HRDM/EM, or IG/RM (for Backstop 08 employees only), will annually review the SFS employees' TIC/LCE expiration dates and shall, when the C/Board convenes, advise the C/Board as to who is eligible for LCE consideration by that C/Board.

2. The Board shall review the character, quality of work, industry, usefulness and experience of employees identified for LCE consideration and compare such performance(s) with those of others in the employee's class or backstop. The Board will review all employees on a classwide basis, and may also review them by backstop (occupation Eligible for classwide LCE

- Eligible for backstop-specific LCE.

E. Procedures

1. Information and Material

The Board shall have the same information available to it as it had for promotion decisions. In addition to the list of

eligibles, the Board may receive lists of assignment decisions made before the Board adjourns on those under consideration for an LCE. HRDM/EM will provide the assignment decision lists to the C/Board only after it has made its initial (draft) LCE recommendations. IG/RM will provide the same to the IG Board.

2. Submission of Findings

The Board shall prepare the following:

- a. A rank-order list of career employees recommended for classwide LCEs;
- b. A rank-order list of career employees recommended for backstop-specific LCEs if there are any; and
- c. An alphabetical list of all employees reviewed, but not recommended for an LCE.

F. Criteria

The Board will apply the same criteria that applies to promotions (Supplement C of this chapter). Recognizing that employees granted LCEs will serve in their present class, the Board should give greater weight to the quality of performance and potential for continued substantive service in that class.

In considering employees for classwide LCEs, the Board should give weight to evidence of accomplishment and competency demonstrating the capability to carry out executive responsibilities across functional lines. In reviewing employees for backstop specific LCEs, the Board should give particular credit to expertise and achievement in that field.

Attachment A to
Supplement 40D

PRECEPTS FOR LIMITED CAREER EXTENSIONS (LCEs)

A. Purpose

This document outlines the procedures and criteria to be used by the C/Board in formulating recommendations of LCEs for SFS employees.

B. Procedures

Once the Board has completed its deliberations on promotions and possible selection outs or low rankings, the Director, FA/HRDM will provide the Board with the names of all career employees who are in the last two years of their time-in-class but who were not recommended, or not ranked high enough to be reached, for promotion. The Board will not be advised of the number of LCEs that have been authorized.

The Board will review the records of all employees eligible for LCEs and, using the criteria below, will recommend those whom it deems qualified for an LCE and rank those recommended in order of merit.

If the Board recommends for LCEs an aggregate number of employees less than the number of LCE opportunities available, the Board will be advised of the number of LCEs authorized. The Board may then reopen its deliberations.

C. LCE Review Categories

Career SFS employees will be considered for LCEs either by class or by backstop. The Board will review all employees first on a classwide basis and then by backstop.

D. Criteria

The Board will apply the same criteria that applies to promotions (see Attachment 1). Recognizing that employees granted LCEs will serve in their present class, the Board should give greater weight to the quality of performance and potential for continued substantive service in that class.

In considering employees for classwide LCEs, the Board should give weight to evidence of accomplishment and competency demonstrating the capability to carry out executive responsibilities across functional lines. In reviewing employees for backstop specific LCEs, the Board should give particular credit to expertise and achievement in that field.

Supplement E

PERFORMANCE AWARDS FOR
FOREIGN SERVICE EMPLOYEES

A. Purpose

This supplement sets forth the guidelines for Performance Based Awards (cash awards and meritorious step increases (MSIs)) for Foreign Service employees. Eligible employees include: career, career candidate and time-limited Foreign Service employees, in salary classes FS-09 up through FS-01, who demonstrated sustained performance which substantially exceeded normal job requirements during the last performance rating cycle.

Such awards are made by Pool Managers based on recommendations received from supervisors in the pool. This is the only program for granting MSIs and one-time cash awards for sustained superior performance related to performance of the employee's job responsibilities during the last rating period.

B. Program Description

As soon as possible after the end of the annual rating period, the Administrator will allocate funds, based on availabilities, to each Pool Manager. Currently, the maximum funding limit for each pool is one percent of the aggregated salaries of all the employees in the pool as of March 31, the last day of the rating year.

The Inspector General will generally follow the procedures outlined in this Supplement and be considered the Pool Manager of the Office of the Inspector General (OIG) for the purposes of maintaining consistency with and adhering to Agency policies and procedures. However, the Inspector General has separate authority to maintain a separate budget allocation and awards program. Thus the Inspector General will provide specific guidance and poolsheets to OIG office heads. IG/RM/PFM will administer the program.

The Pool Managers (usually Assistant Administrators and Heads of Offices) are designated by the Administrator. The Director of the Office of Human Resources and Development (FA/HRDM/OD) will aim to provide specific guidance and the actual poolsheets to all pool managers by May 31.

Performance cash awards, ranging from \$300 to no more than \$3,500 and MSIs are made from the pool's allocation. No Pool Manager may exceed the funding allocation for his or her pool.

MSIs are limited to a set percentage of the employees in each pool (award group). The Director of HRDM will set the percentage annually and it will be the same for all pools. The charge to the pool's allocation for an MSI is the annualized cost of the MSI.

Performance awards under this supplement will be based on performance during the last rating period as documented in the Employee Evaluation Report (EER), or similar document for those employees detailed outside

of the Agency or on secondment. Fulfillment of work requirements is a primary prerequisite for a performance pay recommendation.

Each FS employee will be placed in an award group based on the organization or office the employee was assigned to on the last day of the rating period - March 31, including employees assigned to an organization from a complement. Except for OIG staff (Backstop 08) who remain in the OIG pool, employees in long term or language training, on LWOP, detail or secondment outside of AID will be placed in the Administrator's pool. The Administrator's Pool will also include those employees from Offices where the Pool membership is five or fewer FS-1 and below employees, for example, ES, LEG, OFDA, and the like. The Director, FA/HRDM, is the Pool Manager for the Administrator's pool.

At the end of each rating year, FA/HRDM/OD will distribute to Pool Managers and EMS the poolsheets for each Pool Manager. The poolsheets will list all the pool's eligible employees alphabetically, their pay plan, salary class, step-in-class, date next step increase due, their current salary, and the total funding allocated to the pool.

As soon as possible after the close of the rating period, FA/HRDM/PMES/PMA will also provide lists to the Agency's Senior Procurement Executive, the General Counsel, the Controller, the Director of Housing (PRE/H) of the FS employees in their occupational specialties and the award groups to which these employees are assigned so that they may provide supplementary comments/advice to the employees' pool managers in whose geographic region/office such specialists serve.

C. Nomination Procedures

Pool Managers will make award determinations based on written nominations of no more than two paragraphs and the nominee's EER. The rating officer will submit the nomination to the Pool Manager through the appropriate channels. Pool Managers will also consider advice provided by the "home office" for FS employees who are legal advisors, housing specialists, controllers or financial officers, contract or commodity specialists working outside their "home office."

Except for OIG, Pool Managers will return the poolsheets annotated and signed on each page by the pool manager to FA/HRDM/PMES/PMA for approval by FA/HRDM/OD. The annotation will show eligible employees who are to receive cash awards and in what amounts, and who are to receive MSIs and the cost of each MSI for one year. Pool Managers must stay within the budgetary allocation for their pool. FA/HRDM/PMES/PMA will return for rework any pool that exceeds the pool allocation. Upon FA/HRDM/OD approval and IG/I&S/IPS/I and IG/I&S/ISD clearances, FA/HRDM/PMES/PMA will notify Pool Managers (except OIG) that they may inform employees of award decisions. IG/RM/PFM will handle all the administrative duties for the OIG pool.

Supervisors and management officials are advised that excessive security violations, when properly charged to any A.I.D. Foreign Service employee represents performance inconsistent with the expectations and criteria for the awarding of a performance bonus. An excessive number of security violations is defined as accumulation of three or more valid security violations within a two-year period, which

in addition to strongly mitigating against a performance bonus, also requires the proposal of a formal disciplinary action against the employee in accordance with the Foreign Affairs Manual, 3 FAM 760.

Foreign Service employees sustaining a disciplinary action for accumulating three or more valid security violations shall not be recommended nor awarded a performance bonus (either a cash award or an MSI) for the rating cycle in which the disciplinary action is sustained. Moreover, supervisors should carefully consider whether to recommend a performance bonus during the cycle in which the employee has sustained one or more valid security violations.

D. Types of Awards

1. Cash Awards: Line managers recommend eligible employees for cash awards to pool managers who make the final determinations. Cash awards are for superior sustained performance. Awards for sustained superior performance may not be granted under other awards procedures. Pool managers may approve cash awards in any amount from \$300 to \$3,500. However, the pool manager cannot exceed the funds allocated to the pool.

2. Meritorious Service Increases (MSIs). Performance-based MSIs are granted based on line manager nominations submitted to and approved by Pool Managers. Pool Managers make the final determinations after consulting with the line managers (rating and reviewing officers.) MSIs are not granted under any other awards programs or procedures. An MSI is for truly outstanding performance that is so characteristic of the employee that the supervisor expects it to continue into the future.

Each year FA/HRDM/OD will issue a table of MSI values for pool offset purposes along with the instructions to the pool managers. An employee may not receive a promotion and an MSI in the same calendar year. An employee may receive a promotion and a cash award. Therefore if an employee is recommended for an MSI and subsequently promoted, the employee will receive a cash award equivalent to the annualized cost of the MSI.

MSIs will be effected as soon as the promotion results are known, but no case before the beginning of the first pay period of the new fiscal year.

Because there is no financial remuneration associated with MSIs granted to employees in Class 1, steps 10 and above, or at step 14 for all other classes, pool managers consider these employees for cash awards only. Also, for employees at Step 9 of Class 1, and Step 13 of the other salary classes, Pool Managers should take into account the due date of the employee's next regularly scheduled within-class increase. If such an increase is due in less than a year, a cash equivalent of the MSI may be more appropriate as it would provide the greater financial remuneration.

E. Awards Criteria

Employees designated for mandatory retirement based on relative performance or pending separation for cause are ineligible for a

performance award. Employees who the Selection Board for that rating period identifies as less (Category C) or least (Category D) competitive will not be eligible for performance awards.

An employee may not receive a performance based cash award and a MSI for the same rating period. Granting a cash award under this supplement and an honor or special act cash award under Handbook 29, Chapter 5, Incentive Awards Program, for performance during the same rating period is permissible provided that each award recommendations meet the appropriate criteria established for each, and the employee isn't being awarded twice for the same act or service.

1. Cash Awards: Cash awards may be recommended for employees whose performance during the rating period substantially exceeded normal job requirements and, when viewed in connection with that period, is of a high level of effectiveness; overcame unusual difficulties; and/or resulted in major improvements in organizations, policies, procedures, methods or products which bring about financial or other savings.

2. Meritorious Service Increases (MSIs): An MSI is appropriate when performance is of the type noted for a cash award but has been sustained to the extent that it may be considered characteristic of the individual's performance and expected to continue.

An MSI is for truly outstanding performance that is so characteristic of the employee that the supervisor expects it to continue into the future. The performance must substantially exceed that which is normally expected for the position and the employee's rank, and thus merits a faster-than-usual salary increase. In other words, the performance should be of such exceptional quality that those familiar with the employee's duties would universally recognize it as superior performance. An employee may only receive one MSI in any 52-week period.