

FOREIGN SERVICE PERSONNEL MANAGEMENT MANUAL
Subchapter 500-3
PRECEPTS FOR THE FOREIGN SERVICE SELECTION BOARDS
FOR THE U.S. DEPARTMENT OF COMMERCE FOREIGN SERVICE

SECTION 1. PURPOSE AND AUTHORITY. This Bulletin contains the policy and regulations that govern the selection board process for American Foreign Service employees of the Department of Commerce. This subchapter supersedes the policy revision issued September 25, 2007.

SECTION 2. DISTRIBUTION. A single information copy of this Bulletin will be provided to all addressees. A supplemental distribution will be made by the Office of Foreign Service Human Capital to all units that will use the Precepts.

SECTION 3. EFFECTIVE DATE. This Subchapter is effective per signature approval date.

SECTION 4. FILING. Human Resources Management/Personnel Offices should file this Bulletin with DAO 202-430 and its appendices describing the various performance appraisal systems. Foreign Service Officers should file this Bulletin in their Foreign Service Personnel Management Manual, subchapter 500.

Attachment

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SECTION 1. INTRODUCTION

.01 Purpose.

- a. Section 602 of the Foreign Service Act of 1980, (the Act) as amended, requires the Secretary to establish Selection Boards to evaluate the performance of members of the Foreign Service (FS). These Boards are required to rank-order members on the basis of relative performance and may make recommendations to the Director General, U.S. and Foreign Commercial Service (US&FCS) regarding the following:
1. Promotions;
 2. Performance Pay for the Senior Foreign Service (SFS);
 3. Meritorious Step Increases;
 4. Performance awards;
 5. Presidential awards for the SFS;
 6. Limited Career Extensions;
 7. Executive Service (ES) level adjustments for the SFS;
 8. Denial of within grade increases;
 9. Performance counseling; and
 10. Low ranking, selection out, and termination of limited appointments.
- b. The Performance Appraisal Cycle will start on June 1 and end May 31 of each year. Selection Boards will convene no later than September 30.
- c. These Precepts establish the scope, organization and procedural responsibilities for the FS Selection Boards.

.02 Composition.

- a. Each Board will be composed of five members appointed by the Director General, US&FCS. The Boards will consist of: two career FCS officers: one non-Foreign Service member from the Department of Commerce; one Foreign Service Officer from another foreign affairs agency; and one public member. If possible, at least one Board member will have had two or more years experience as an employee in the domestic field of the Commercial Service. Every effort will be made to ensure that Board members are selected at grade or the equivalent shown in the chart below. The Chairperson shall normally be a career Foreign Service Officer, and shall preside over the Board while in session and ensure that the Board carries out all assigned tasks in accordance with these Precepts. Board members can serve no more often than once every two years on a different Board; three years on the same Board (e.g., a person who served on Board IV in 2010 cannot serve again until 2013, but is allowed to serve on a different in 2012).
- b. The Director General will request that the Department Executive Resources Board provide a list of potential candidates at the GS-15 level or above for consideration to serve on the Selection Boards reviewing Senior Foreign Service members.

.03 Responsibilities.

- a. The following Boards shall review the performance folders indicated below:

Board No.	Class(es) Reviewed	Rank of Board Members
I	FS 4; FS 5; FS 6	FS 1 and FS 2/GS 14 or GS 15
II	FS 3	FS 1 and FS 2/GS 14 or GS 15
III	FS 2	SFS and FS 1/GS 14 or GS 15
IV	FS 1	SFS (OC and/or MC)/GS 15 or SES
V	SFS	SFS (CM and/or MC)/GS 15 or SES

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- b. The Human Resource Manager will determine the distribution of the performance files for Foreign Service Officer classes and secretaries/administrative assistants.

SECTION 2. GENERAL DIRECTIVES.

.01 Oath of Office.

- a. Board members must take the following oath of office, which is administered by the Director General, US&FCS, or designee:

"I, _____, do solemnly swear (or affirm) that I will, without prejudice or partiality, perform faithfully and to the best of my ability the duties of a member of a selection board; that I will preserve the confidential character of the personnel records used by the Board; that I will adhere to the Precepts; and that I will not reveal to any unauthorized person information concerning the deliberations, findings, and recommendations of the Board."

- b. The Selection Board process must be protected from improper influences. Therefore, before and during Board sessions, the Boards are instructed to avoid any contact or discussion, including social contact, with senior managers and with employees affected by their decisions.
- c. Failure to abide by this oath by any Board member may result in appropriate disciplinary action for violation of the Privacy Act and the Standards of Ethical Conduct.

.02 General Guidelines.

- a. The Director General or designee will convene the selection boards with a briefing and will dismiss each board after receiving assurance that the boards have carried out all assigned tasks in accordance with these precepts. The Vice President of AFSA will be notified of the date, time and location of the convening briefing, and a representative of AFSA may attend the briefing, if desired.
- b. The Office of Foreign Service Human Resources (OFSHR) will provide technical assistance to the Boards. The Boards will address all queries regarding their work to the OFSHR staff only.
- c. Boards will base their decisions on the performance appraisals for no more than the five most recent performance cycles counting back from the cycle ending prior to the Selection Board deliberations.

Boards may also take into account:

- (1) Relevant performance-related awards (receipt of Department of Commerce Medal Awards –i.e., Bronze, Silver, and Gold, including group awards (no more than ten individuals working together, where each person makes a specific substantive contribution to the achievement being recognized); as well as those conferred by state and other U.S. or foreign government entities, and external awards, i.e., private sector, as appropriate);
- (2) Training reports (such as language test scores);
- (3) Disciplinary Actions;
- (4) Letters from the Director General, CS, commending or criticizing officers for their preparation of performance evaluation reports for one selection board review. This may also include letters in the performance file admonishing an officer for late appraisals; and
- (5) A Personnel Audit Report (PAR) on each officer to be provided to the Selection Board by OFSHR. The PAR will include the assignment history from entry into the Foreign Service (including position just prior to entry) posts and dates served, promotion history, certified language proficiency and the date attained, and all USG awards.

While greater emphasis should be placed on the current performance year, Board members must review and consider the file as a whole.

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- d. Critical element adjective ratings, if present, should not be factors in the Boards' deliberations concerning rank ordering. The Boards should consider the complete reports, and make their determinations based on the rating narrative, the reviewing official's statement, and the employee's comments.
- e. Board members should neither seek nor receive any information about employees other than what is included in the performance file, nor should they bring to the Board's attention personal knowledge of an employee's character, personal traits, or work ability.
- f. Board members who are the rating or reviewing officials for the most recent performance appraisal in an employee's performance file must recuse themselves from any Board decisions affecting that employee to include not augmenting/clarifying the content of the appraisal for other Board members. A Board member must also recuse him or herself from deliberating on any employee where he or she cannot be impartial.
- g. The Board must review and rank all assigned employee files.
- h. The standards for inadmissible comments are contained in Section 9 of the Management Planning and Performance Appraisal System (MPPAS) policy document. The Boards should review these standards. If the Boards find an inadmissible comment in any evaluation material, the chairperson should present the material to the OFSHR staff for a final determination of whether or not to remove the comment. If the comment is removed, the Board is instructed that they cannot consider the comment.
- i. A summary score sheet of the selection board results for each class will be signed by the chairperson.

SECTION 3. BOARD RESPONSIBILITIES.

.01 Rank Order Procedures.

- a. Career and Career-Candidates will be reviewed and ranked by class.
- b. Each Board member shall review a performance file using the six criteria listed in Section 3.02 of this document. For each criterion listed, a value of one (lowest) to ten (highest) points shall be assigned according to the employee's performance. These numerical values will be combined with discretionary points, which may have been granted under Special Considerations to determine the overall score for the employee's file. Based on this cumulative total, the rank ordering for the class will be established. Wide variations (e.g. difference of 5 points or more) in scores among Board members and rank order ties, must be resolved by the members. This procedure produces a rank order list for each Foreign Service class.
- c. Boards shall not disadvantage any employee, directly or indirectly, for reasons of race, color, religion, sex, age, national origin, or sexual orientation; nor for reasons of disability or means of entry into the Service.
- d. Service in domestic assignments, multilateral banks, and other international organizations shall be given equal consideration as to value, contribution, and importance to the mission of the Commercial Service as is service in overseas positions at comparable grade and responsibility.
- e. Training assignments are essential for employees in the Service to carry out their increasingly broad and complex responsibilities, and for the Service to develop the skilled personnel required to meet the demands of the agency's mission and goals. Training reports (e.g. progress or end-of-training) for employees in long-term training (six months or more) should be given equal consideration with performance appraisals.

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.02 Rank Order Criteria

The six rank order criteria which are to be used by the Boards in ranking, awarding and determining promotions of Foreign Service officers are provided in the below matrix. The left column of the matrix reflects sub competencies of the core criteria. Alongside each sub competency are career level distinctions, defining the progression of career/career-candidate Foreign Service officers at junior, mid and senior class levels.

a. SUBSTANTIVE KNOWLEDGE			
(1) Industry Sector Knowledge	Junior (04-03)	Mid (02-01)	Senior (OC/MC/CM)
Industry sector knowledge – has knowledge of industry and service sectors relevant to the host country and region, including best prospect and priority growth sectors, in order to set priorities, develop effective programs, and better serve client needs; demonstrates business acumen and provides sound analysis of economic, financial, policy, market, social and cultural conditions that influence export strategies and initiatives.	Has and continues to acquire specific industry sector knowledge and uses that knowledge on the job; provides sound analyses	Has in-depth industry sector knowledge in a larger post and/or begins to become a generalist in across-sector knowledge in a smaller post.	Has generalist multi-sector knowledge; quickly learns new sectors; supports knowledge development of others.
(2) Host Country/Market/Regional Knowledge	Junior (04-03)	Mid (02-01)	Senior (OC/MC/CM)
Host country/market and/or regional knowledge – has knowledge of the host country and region's prevailing political, economic, business, trade, and investment context, as well as practices, opportunities, and limitations, in order to set priorities, develop effective programs, and meet client needs.	Seeks out and readily acquires host country and regional knowledge, and applies the knowledge to the job.	Has substantial host country and regional knowledge, and uses that knowledge to improve job performance.	Is a recognized expert in host country as well as a region; uses knowledge to provide direction to others.
(3) Trade Promotion Knowledge	Junior (04-03)	Mid (02-01)	Senior (OC/MC/CM)
Trade promotion knowledge – has knowledge to perform or directs market research in support of client export objectives; conducts promotional initiatives, such as trade events; increases the awareness of the CS and its products and services to the U.S. business community, foreign customers, and trade promotion partners; uses sales skills to generate enthusiasm in others for products and services; identifies and assesses various trade finance sources and strategies to meet specific client needs.	Seeks out and readily acquires trade promotion knowledge; uses the knowledge on the job; applies and improves marketing skills; gains and begins to apply trade financing knowledge.	Has substantial trade promotion knowledge; uses the knowledge to improve job performance; applies marketing skills effectively; identifies and assesses trade finance sources for clients.	Is a recognized expert in trade promotion knowledge; uses that knowledge to teach and provide direction to others; develops the marketing skills of others; identifies creative trade finance sources.
(4) Commercial Diplomacy/Advocacy Knowledge	Junior (04-03)	Mid (02-01)	Senior (OC/MC/CM)
Commercial diplomacy/advocacy knowledge – has knowledge of market access and compliance issues in order to leverage and coordinate programs and to	Seeks out and readily acquires commercial diplomacy/advocacy	Has substantial commercial diplomacy/advocacy knowledge; uses	Is a recognized expert in commercial diplomacy/advocacy knowledge; uses

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ensure that appropriate advice, assistance and resources are provided to U.S. companies; uses knowledge of the host country's political structure and key channels of influence in order to address barriers to market access or protect U.S. foreign direct investment; has knowledge of key U.S. competition in a foreign market to provide for better and more effective advocacy on behalf of U.S. firms, as well as general market intelligence; develops effective advocacy/market access strategies on behalf of U.S. interests; demonstrates skill as, and observes protocol norms expected of, a U.S. diplomat.	knowledge; applies that knowledge to the job, primarily by assisting to implement strategies developed by others.	that knowledge to develop and implement effective advocacy/market access strategies.	that knowledge to provide leadership, direction and to meaningfully influence advocacy/market access; uses that knowledge to teach and provide a resource to others.
(5) Commerce Department and Other Trade-related Agencies	Junior (04-03)	Mid (02-01)	Senior (OC/MC/CM)
Commerce Department and other trade-related agencies knowledge – has knowledge of the international context in which trade relations are conducted and policy decisions are shaped; has knowledge of U.S. commercial priorities, interests, and objectives pursued abroad and domestically including the policy development process; has knowledge of pertinent U.S. laws and regulations affecting exporting and international trade; has knowledge of the missions/objectives, relationships, programs, and relevant rules of other federal agencies and state and local networks of trade partners in export promotion; works as part of the country team in the Embassy or Consulate.	Seeks out and readily learns trade agency knowledge; uses the knowledge on the job; participates as a member of the country team, as required.	Has substantial trade agency knowledge; uses the knowledge to improve job performance; actively participates as a member of the country team.	Is a recognized expert in trade agency knowledge; uses that knowledge to teach and provide direction to others; provides leadership on country team.
(6) Commercial Service Practices and Procedures Knowledge	Junior (04-03)	Mid (02-01)	Senior (OC/MC/CM)
Commercial service practices and procedures knowledge – has knowledge of the practices, procedures, rules, regulations, networks, and norms needed to accomplish tasks and to fulfill the objectives of the Commercial Section of the Embassy or Consulate and the Department of Commerce.	Seeks out and readily learns CS practices and procedures; uses that knowledge correctly on the job; gets advice if uncertain to avoid mistakes.	Has sufficient CS practices and procedures knowledge to perform job effectively in all situations.	Has full CS practices and procedures knowledge and is a resource to others; teaches and supervises others on working within the CS.
(7) Information Technology Knowledge	Junior (04-03)	Mid (02-01)	Senior (OC/MC/CM)

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Information Technology knowledge – has knowledge to select, access, and use information, data, and communications technologies; uses technological resources and electronic media to gather trade data and information, perform analyses, prepare work products, and deliver services.	Has sufficient IT knowledge to perform job and applies that knowledge effectively; learns CS systems and keeps up with developments; may serve as resource to others.	Has sufficient IT knowledge to perform job and applies that knowledge effectively; keeps up with developments; trains or supports training of subordinates; supports innovation in technology use.	Has sufficient IT knowledge to perform job without excessive reliance on delegation to subordinates; keeps up with developments; supports the training of subordinates; provides resources for innovation in technology.
b. LEADERSHIP COMPETENCE			
(1) Initiative and Results Orientation	Junior (04-03)	Mid (02-01)	Senior (OC/MC/CM)
Initiative and results orientation – shows leadership in working with partner agencies, U.S. businesses, foreign customers, and trade promotion partners to advance U.S. commercial and international trade interests in order to meet program/client needs and leverage programs and resources; produces results by identifying business outcomes and setting performance goals, developing a corresponding program strategy, aligning assets to strategy, modifying strategy based on results, and discarding low-result activities.	Demonstrates initiative in all ways appropriate to the job; has a results orientation that yields outcomes and other accomplishments to fulfill and exceed job requirements.	Also demonstrates clear leadership of CS unit and within the Mission as appropriate; ensures that the CS unit achieves results, meeting or exceeding goals and objectives.	Demonstrates broad leadership beyond the CS unit; enhances results of the CS unit by ensuring it has a meaningful impact on overall CS and Mission objectives.
(2) Influence and Advocacy Skill	Junior (04-03)	Mid (02-01)	Senior (OC/MC/CM)
Influence and advocacy skill – has skill in motivating, guiding, and influencing others toward effective individual or teamwork performance, goal attainment, and personal development; has skill in advocating for a policy, position, or product by using persuasion, appeal, mutual benefit, and persistence, including influencing events through the actions of others; shows presence through self presentation, determination, energy, and self-confidence.	Has influence on peers and LE Staff and sometimes senior management that improves job performance; develops advocacy skill; demonstrates presence.	Has influence on peers, subordinates, and senior management that improves CS unit performance; advocates effectively; demonstrates presence despite obstacles.	Also has significant influence outside chain of command and outside CS; achieves important successes in advocacy; is a model of persistence and inspires others.
(3) Negotiating Skill	Junior (04-03)	Mid (02-01)	Senior (OC/MC/CM)
Negotiating skill – negotiates and builds consensus among individuals or groups both within and outside the Commercial Service by presenting and defending a set of interests in developing an agreement, by facilitating agreements that involve	Negotiates and builds consensus among peers and LE Staff on issues within scope of job that improves	Negotiates and builds consensus among peers, subordinates, and senior management on CS unit issues	Also negotiates and builds consensus outside chain of command and outside CS on major issues that achieve

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sharing or exchanging resources to promote mutual goals and interests, by perceiving alternative courses that will satisfy one's own requirements but will offer greater acceptability to others, by persuading others to change their point of view or behavior without losing their future support, and by resolving conflicts, confrontations, and disagreements.	performance.	that improves performance.	important objectives.
(4) Teamwork Skill	Junior (04-03)	Mid (02-01)	Senior (OC/MC/CM)
Teamwork skill – works cooperatively and collaboratively with others to achieve goals by sharing or integrating ideas, knowledge, skills, information, support, resources, responsibility, and recognition, and by taking into account the perspectives, goals, and communication styles of others; participates in overseas, domestic, and headquarters team initiatives; builds teams of members with diverse skills and interests; leads teams to achieve success, including managing the resources and organizational relationships to support that team.	Cooperates and collaborates on teams at all levels; does full share of workload; contributes to and accepts team decisions; takes on the task leadership of teams as assigned.	Also builds and leads industry and regional teams of colleagues and subordinates; distributes workload fairly; resolves team conflicts; communicates to the team.	Also inspires teamwork and sense of pride in a team effort; builds and leads regional teams; recognizes and addresses inter-organizational team issues; garners resources for teams.
(5) Change Management Skill	Junior (04-03)	Mid (02-01)	Senior (OC/MC/CM)
Change management skill – Demonstrates continuous intent to improve customer service, program performance, work environment, quality standards, flexibility, and creative thinking; develops and implements an organizational vision, including balancing innovation and change with continuity.	Is open to change; cooperates and actively contributes to change initiatives; encourages others to do the same.	Supports and implements change initiatives in unit; works to improve the change initiative; overcomes resistance to change among subordinates and peers.	Recognizes the need to , initiates, and leads change initiatives; builds support for change within and across organizational units; addresses obstacles to change.
(6) Ethical Compliance and Leadership	Junior (04-03)	Mid (02-01)	Senior (OC/MC/CM)
Ethical compliance and leadership - Demonstrates the highest level of personal and professional ethical standards; understands and complies with U.S. Government ethics guidance, rules and procedures and ensures the compliance of those under ones supervision; understands the ethical issues involved in business and trade; explains and conveys the need for compliance with U.S. Government ethics-related legislation including, but not limited to, the Foreign Corrupt Practices Act, boycotts, anti-boycotts and human rights issues to CS clients and others; deals with/reports ethical violations if, and	Demonstrates personal and professional ethics; gains understanding of and complies with U.S. Government ethics guidance; gains an understanding of the ethical issues involved in business and trade; explains and conveys the need for compliance with U.S. Government ethics-	Demonstrates a high level of personal and professional ethical standards; fully understands the ethical issues involved in business and trade; expertly explains and conveys the need for compliance with U.S. Government ethics-related legislation to CS clients and others; ensures that LE and	Demonstrates the highest level of personal and professional ethical standards and serves as a role model for others; has a deep understanding of the ethical issues involved in business and trade; expertly explains and conveys the need for compliance with U.S. Government

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as, appropriate.	related legislation to CS clients and others as appropriate.	American staff are trained in and comply with the broad range of ethical issues.	ethics-related legislation to CS clients and others; ensures that the entire CS unit is trained in and complies with the broad range of ethical issues.
c. MANAGEMENT COMPETENCE			
(1) People Management Skill	Junior (04-03)	Mid (02-01)	Senior (OC/MC/CM)
People management skill – manages and elevates individual and team performance through directing work activities, setting goals, providing feedback, serving as a role model, holding individuals accountable, rewarding performance, resolving conduct and performance problems, and applying other people management techniques; prepares performance appraisals and personnel actions objectively, on time, and in accordance with established laws and regulations; uses knowledge of people management principles (e.g., teamwork, motivation, leadership, conflict resolution, communication, etc.) in order to effectively supervise officers and local staff.	Professionally manages LE staff by applying people management techniques to accomplish the work; prepares personnel administrative actions correctly and on time; learns and applies people management principles.	Professionally manages subordinate officers, LE staff, and others within the unit; improves the performance of the unit through effective people management; uses personnel administrative actions to motivate employees; masters people management principles.	Manages all levels of employees professionally and effectively, both within and across units; uses people management techniques to maximize performance; resolves people management problems; practices and teaches outstanding people management principles.
(2) Program Management Skill	Junior (04-03)	Mid (02-01)	Senior (OC/MC/CM)
Program management skill – uses knowledge of basic administrative procedures and practices in areas of budget, personnel, travel, and property in order to effectively manage an office; is operationally effective in getting a job done efficiently, on time, and with mastery of all essential details; proactively contributes toward streamlining administrative processes and/or improving product and service delivery; allocates fiscal and personnel resources in an efficient and productive manner; adapts projects/programs/services to align with changing U.S. business needs and methods of operation.	Manages programs by correctly applying procedures and practices; is operationally effective; seeks to streamline processes; allocates resources appropriately; adapts programs to change.	Manages all programs efficiently and effectively; improves processes and practices; maximizes return on resources; proactively adapts programs to change.	Manages or oversees the management of programs; ensures optimal efficiency and effectiveness; identifies and supports improvements; finds additional resources; anticipates need to adapt to change.
(3) Creativity and Innovation	Junior (04-03)	Mid (02-01)	Senior (OC/MC/CM)
Creativity and innovation – develops new ideas or sees opportunities to improve programs and other actions to further the mission of the Commercial Service,	Shows creativity and innovation in identifying potential ideas or	Shows creativity and innovation in identifying realistic ideas or	Shows exceptional creativity and innovation in identifying ideas or

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including ensuring that the projects, programs, and services are in line with changing U.S. business trends; develops and delivers new products and services that better meet the needs of U.S. businesses, such as customized counseling, information, and services.	opportunities for improvement, and then seeks to develop the new ideas or improvements.	opportunities for improvement, including ideas that better align programs with changing business trends; develops and delivers new ideas or improvements.	opportunities for improvement; recognizes and fosters creativity in others; anticipates and ensures alignment with changing business trends; defends and promotes new ideas or improvements.
(4) Customer Service Skill	Junior (04-03)	Mid (02-01)	Senior (OC/MC/CM)
Customer service skill – Provides effective customer service with the goal of helping clients, including individual companies as well as partner organizations, achieve concrete export results. Has or acquires knowledge of customer needs, goals, capabilities, and expectations; analyzes client export potential and readiness to compete in overseas markets; acquires and furnishes appropriate trade opportunity and contact information to client firms; provides sound client-focused export counseling; responds in a timely manner to customer queries and requests for assistance; responds creatively to changing or urgent customer requirements; takes into account client feedback for purposes of enhancing program and product quality.	Provides effective customer service by learning and understanding customer needs; analyzes export potential; provides information and counseling; responds in a timely manner; seeks and utilizes customer feedback;	Also, fully understands and anticipates customer needs; supervises and teaches others how to provide effective market and business counseling and customer service; uses customer feedback to improve quality of service within unit.	Also, fully understands and anticipates customer needs, including those of partner organizations; provides leadership and mentoring to enhance the quality of customer service; uses customer feedback to ensure the quality of service provided by the entire unit.
(5) Partnering/Leverage Skill	Junior (04-03)	Mid (02-01)	Senior (OC/MC/CM)
Partnering/leveraging skill – finds, builds, and maintains relationships with globally dispersed individuals, companies, and other organizations uniquely positioned to promote U.S. business and other Commerce Department policy objectives. Develops and maintains strong working relationships with other sections within the Mission.	Learns how to partner and leverage; begins to build network of contacts.	Shows great skill in partnering and leveraging; has established network of contacts.	Also, teaches partnering/leveraging skill to others; has extensive network of contacts; helps others make contacts.
d. INTELLECTUAL COMPETENCE			
(1) Conceptual Skill	Junior (04-03)	Mid (02-01)	Senior (OC/MC/CM)
Conceptual skill – thinks clearly; understands complex rules and procedures; organizes data sensibly and translates them into practical implications; thinks logically by reaching sound conclusions from explicit assumptions and communicates the reasons clearly and rationally; exhibits foresight by identifying	Understands complex rules and procedures; organizes data sensibly; reaches rational conclusions and can explain reasoning; foresees	Also derives practical implications from data; reaches insightful conclusions and can help others understand; foresees potential	Also, gains deep insight from data; guides others into reaching sound conclusions; shows great foresight based on experience;

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opportunities, anticipating problems and consequences, and then planning or initiating actions accordingly.	potential opportunities and problems.	opportunities and problems and plans actions.	identifies opportunities and avoids problems.
(2) Problem Solving/Decision Making Skill	Junior (04-03)	Mid (02-01)	Senior (OC/MC/CM)
Problem solving and decision making skill – anticipates or identifies problems and their causes; develops and analyzes potential solutions or improvements using rational and logical processes; makes decisions and judgments that consider relevant facts and information, potential risks and benefits, applicable rules, regulations, and procedures, ethical considerations, potential impact on other USG priorities, reputation of the USG, and short-and long-term consequences or alternatives.	Identifies problems when they occur; suggests possible solutions; suggests decisions based on sound reasoning; demonstrates good judgment.	Identifies problems and their causes; develops and analyzes possible solutions; makes decisions based on sound reasoning; demonstrates excellent judgment.	Anticipates problems and causes in advance; helps others develop and analyze possible solutions; makes and clearly communicates decisions based on all relevant considerations; demonstrates seasoned judgment.
(3) Organizing and Planning Skill	Junior (04-03)	Mid (02-01)	Senior (OC/MC/CM)
Organizing and planning skill – organizes and structures work for effective performance and goal attainment; anticipates obstacles; judges and establishes realistic priorities in projects, goals, and workloads among multiple competing demands, formulates plans consistent with available human, financial, and physical resources; modifies plans or adjusts priorities given changing goals or conditions and available time; plans strategically to optimize short and long-range outcomes and minimize tradeoffs.	Organizes own work; establishes priorities sensibly; formulates plans; modifies plans as needed; learns how to plan strategically.	Organizes work of others; establishes realistic priorities based on competing demands; formulates plans that consider available resources; modifies plans quickly; plans strategically.	Organizes work of entire unit; establishes realistic priorities based on all competing demands; formulates plans that optimize available resources; anticipates need to modify plans in advance; leads strategic planning.
(4) Interpreting Authority Relationships Skill	Junior (04-03)	Mid (02-01)	Senior (OC/MC/CM)
Interpreting authority relationships skill – discerns relationships of authority in varying contexts; understands the dynamics of how organizations operate and make decisions, including recognition of formal and informal communication channels; works within a hierarchical organization with multiple "bosses" in order to achieve results within a bureaucratic or political context; understands the effective range and use of one's own authority.	Discerns obvious relationships of authority; learns how organizations operate; works with more than one boss if needed; understands limits of own authority.	Discerns all relationships of authority; understands how organizations operate; works effectively with multiple bosses; understands effective range of own authority.	Discerns subtle nuances in relationships of authority; teaches others how organizations operate; works effectively in highly political contexts with numerous bosses; understands but expands range of own authority.
e. INTERPERSONAL COMPETENCE			

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(1) Sensitivity to Others	Junior (04-03)	Mid (02-01)	Senior (OC/MC/CM)
Sensitivity to others – always interacts professionally with others in ways that are respectful, courteous, and tactful; demonstrates appreciation for individual differences and for the attitudes and feelings of others; understands the points of view of others and behaves in a manner that will gain their cooperation.	Is professional and courteous to others; appreciates individual differences; tries to understand the points of views of others.	Serves as a role model of professionalism, courtesy and tact; shows appreciation of individual differences; understands the points of views of others.	Also, ensures everyone in unit is professional, courteous and tactful; teaches others to appreciate individual differences; helps others understand different points of view.
(2) Adaptability	Junior (04-03)	Mid (02-01)	Senior (OC/MC/CM)
Adaptability – is open and receptive to new information, ideas, or strategies to achieve goals; changes one's own behavior or work methods to adjust to other people or to changing situations or work demands; helps others adapt to change; enhances positive, and reduces negative, impact of change on organizational effectiveness.	Is open to new ideas; changes behavior as needed; encourages others to adapt; contributes to enhancing the positive, and reducing the negative, impact of change on the organization.	Serves as model of openness to new ideas; willingly adapts behavior to changing needs; helps others to adapt; takes steps to enhance positive, and reduce negative, impact of change on organization.	Inspires openness to new ideas; anticipates behavioral changes required to advance organizational effectiveness; helps others adapt their behavior to changing needs; and proactively takes steps to enhance positive, and reduce negative, impact of change on organization.
(3) Cross-cultural Skill	Junior (04-03)	Mid (02-01)	Senior (OC/MC/CM)
Cross-cultural skill – learns and clearly interprets relevant information about another society, its values, beliefs, customs, and institutional processes, and relates such information to U.S. interests and objectives; respectfully and effectively interacts and works with other cultures, including supervising subordinates in those cultures by building rapport, managing relationships, and accommodating differences; understands and applies the principles of fair treatment and equal opportunity to all employees, colleagues, and host country citizens; furthers the Department's diversity and affirmative action goals and objectives.	Learns about and respects other cultures and how to interpret the information; interacts effectively with other cultures; understands and complies with principles of fair treatment, equal opportunity, and diversity.	Understands and respects other cultures and correctly interprets the information; effectively supervises employees from other cultures; applies principles of fair treatment and equal opportunity, and supports diversity goals.	Has deep insight into, and respect for, other cultures and uses the information to enhance unit effectiveness; teaches others how to interact with and supervise those from other cultures; enhances equal opportunity and diversity goals.
(4) Teaching/Coaching/Mentoring Skill	Junior (04-03)	Mid (02-01)	Senior (OC/MC/CM)

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Teaching, coaching, and mentoring skill – teaches and guides others; coaches others by listening to them, winning their confidence, and making realistic and supportive recommendations; allows others autonomy and responsibility without recourse to constant supervision; mentors other officers and staff for their development.	Teaches and coaches LE Staff; shares knowledge and experience with peers; and readily accepts and learns from mentoring.	Teaches and coaches LE and American staff; allows appropriate autonomy; mentors employees and accepts mentoring from senior management; shares knowledge and experience with peers.	Teaches and coaches all others; empowers others through autonomy and challenging assignments; devotes considerable attention to mentoring.
(5) Positive Attitude	Junior (04-03)	Mid (02-01)	Senior (OC/MC/CM)
Positive attitude – is resilient in remaining optimistic in challenging and often difficult environments. Maintains confidence in oneself; supports organizational goals even during difficult times; instills or encourages by example similar qualities in others.	Is resilient and optimistic in difficult situations; has self-confidence in most situations; encourages others.	Serves as a role model of resilience and optimism for others; has self-confidence in all situations; monitors and encourages others.	Leads others by remaining resilient and optimistic through all situations; builds self-confidence, resilience, and optimism in others; maintains morale of entire unit.
f. COMMUNICATION COMPETENCE			
(1) Written Communication Skill	Junior (04-03)	Mid (02-01)	Senior (OC/MC/CM)
Written communication skill – expresses ideas and information in written form clearly, succinctly, accurately, and in an organized manner; uses correct English language conventions of spelling, punctuation, grammar, and sentence and paragraph structure; tailors written communication to the intended purpose and audience; edits the work of others correctly; conveys nuances of meaning in order to interact effectively with foreign and domestic governments and businesses, other officers, and staff.	Writes clearly; uses correct English; tailors to the audience adequately; edits work of others correctly; continues to improve own writing skill.	Writes clearly and succinctly; uses correct English and appropriate style; tailors to the audience well; edits work and teaches others; conveys nuances of meaning.	Writes with exceptional clarity and brevity; uses language and style that is interesting and convincing; tailors to all audiences perfectly; improves writing of others through editing and coaching; conveys subtle nuances of meaning to any audience.
(2) Oral Communication Skill	Junior (04-03)	Mid (02-01)	Senior (OC/MC/CM)
Oral communication skill – expresses ideas and facts orally in a clear and understandable manner that sustains listener attention and interest, and that is sensible and persuasive; understands and uses suitable styles of communication (e.g., formal versus	Speaks clearly and understandably; uses suitable styles of communication; adequately tailors message and style to audiences.	Speaks clearly, understandably, and succinctly; uses best styles of communication; demonstrates skill in tailoring message	Also speaks in manner that sustains attention and is persuasive; adjusts style as necessary; demonstrates

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informal, concise versus detailed, written versus oral, etc.) to fit the purpose; tailors oral communication to the intended audience.		and style to audiences.	expertise in tailoring message and style to audiences.
(3) Listening Skill	Junior (04-03)	Mid (02-01)	Senior (OC/MC/CM)
Listening skill – attends to, receives, and correctly interprets oral communications and directions; correctly interprets the context of messages and tone, as well as non-verbal cues of speakers.	Listens and understands oral communication; usually interprets context and non-verbal cues correctly.	Demonstrates skill in listening and understanding oral communications; interprets context and non-verbal cues correctly.	Demonstrates great skill in listening and understanding oral communications; interprets context and non-verbal cues correctly even in complex situations.
(4) Foreign Language Skill	Junior (04-03)	Mid (02-01)	Senior (OC/MC/CM)
Foreign language skill – learns and uses foreign languages as appropriate in order to more effectively interact with foreign businesses, governments, and the public, as well as to enhance understanding of the host country and region.	Learns and attempts to use foreign language at every appropriate opportunity. Continues to improve language skills.	Learns and uses foreign language at every appropriate opportunity. Continues to improve effective use of language skills.	Learns and uses foreign language at every appropriate opportunity. Continues to improve effective use of language skills. Encourages and provides opportunities for others to enhance foreign language skills.

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.03 Special Considerations

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To ensure that appropriate consideration is factored into the overall score for officers encountering diverse assignments or with documentation of excellence in the categories listed below under special consideration, the board may give discretionary numerical points of no more than one point for each element below not to exceed a total of five special consideration points.

- a. Service in One-Officer Post
- b. Service in a Difficult Job or Post Environment
- c. Service in Domestic Field Outside Headquarters
- d. Commendation Letters for Appraisal;
- e. Honor/USG Awards; and
- f. Excellence in Training Assignments

The Board may subtract points (not to exceed five overall) for documented disciplinary action (e.g., letter of reprimand for security violations).

**.04 Promotions.**

- a. After ranking a class, the Board, at its discretion, may determine a cut-off point in the rank order above which employees are recommended for promotion. The cut-off point should be determined based on the criteria in Section 3.02, Rank Order Criteria.
- b. The Selection Boards are free to rank order Career and Career Candidate officers for promotion in any given year; however, an officer is not eligible for consecutive promotions.
- c. Career candidates employees at the FS-01 and 02 classes who entered the service after March 1, 1995 are not eligible for promotion until they have been recommended for Commissioning and Tenure.
- d. Employees in class FS-01 and below who are recommended for promotion, but cannot receive one will, budget permitting, receive either an MSI or a Performance Award, whichever is most advantageous to the employee.
- e. When making recommendations for promotions, the Boards should be guided by the degree to which employees' performance is characterized by the following:
  - (1) Development and implementation of strategies to enhance U.S. commercial opportunities.
  - (2) Effective use of oral and written communications skills to achieve program objectives.
  - (3) Extent of demonstrated foreign language and area expertise.
  - (4) Degree of difficulty inherent in successful achievement of program objectives considering the working conditions, particularly under unusually complex or difficult commercial and economic environments.
  - (5) Flexibility and skill in non-traditional assignments or above average skill in a one-officer post.
- f. In considering officers for promotion within and into the SFS, the Senior Board should give due credit to evidence of achievement in the following areas:
  - (1) The development and implementation of an innovative organizational vision(s) which shows highly advanced knowledge of U.S. commercial interests and policy by integrating key national and program goals, priorities and values with the ability to balance change and continuity and strive to improve customer service and program performance, while ensuring quality standards.
  - (2) The design and implementation of strategies that maximize employee potential and foster high ethical standards in meeting the organization's vision, mission, and goals.



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- (3) Timely and effective decisions that produce results through strategic planning and the implementation and evaluation of policies and programs.
- (4) The accomplishment of the organization's mission by effectively using human, financial, material and information resources as well as by using technology to enhance decision-making.
- (5) The ability to explain, advocate, and express facts and ideas in a convincing manner, to negotiate with individuals and groups internally and externally, and to develop an expansive professional network with other organizations and identify external policies that impact the work of the organization.
- (6) Demonstration of effective use of foreign language, sectoral and regional expertise.
- (7) Recognition by the organization of an officer's contributions and abilities.

**.05 Senior Foreign Service Promotion Eligibility Requirements.**

Following are the eligibility requirements that OFSHR will use to evaluate the Board's recommendations:

- a. To be eligible for promotion to the class of Career Minister, an officer must have served:
  - (1) In the class of Minister-Counselor for at least two years; and
  - (2) In at least two positions classified at the Minister-Counselor or higher level (or the SES equivalent).
- b. To be eligible for promotion to the rank of Minister-Counselor, an officer must have served:
  - (1) In the class of Counselor for at least two years; and
  - (2) As a Senior Commercial Officer in two countries, one of which was designated at the Counselor or higher level; or as an SCO in at least one country and in another position classified at the Counselor or higher level. Note: Any officer promoted to the Counselor class by the FY-95 Selection Board or previous Boards must have served as an SCO in two countries, regardless of grade level.
- c. For promotion into the Senior Foreign Service, to the class of Counselor, an officer must:
  - (1) Be a career member of the Foreign Service of class FS-01, have served in class FS-01 for at least one year, and not have been promoted by the previous year's board;
  - (2) Have formally requested, in accordance with established procedures, consideration for promotion into the Senior Foreign Service;
  - (3) Have been assigned as a Senior Commercial Officer (SCO) at a post for at least one continuous year. Note: Those officers that opened their Senior Threshold Window prior to the convening of the FY 03 Selection deliberations are not subject to this eligibility requirement.
  - (4) Have served in either a) a language designated position; or b) a country where the officer is language qualified in the national language of that country.
- d. Long term training assignments at the War College, Senior Seminar, etc., do not meet the position eligibility criteria for promotion into or within the Senior Foreign Service.
- e. Senior Foreign Service employees who are similarly recommended but who cannot receive a promotion will, budget permitting, be recommended by the Senior Board for a Presidential Award, or an Executive Schedule level increase or Senior Foreign Service performance pay. The Board may also recommend monetary awards for those employees who are recommended for promotion.

**.06 Limited Career Extensions.**

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- a. Limited Career Extensions (LCEs) are extensions of Senior Foreign Service appointments beyond the time-in-class limits, and are considered only in rare and unusual circumstances. Approval of LCEs are based on the need for expertise and experience in the Service, balanced against the need to provide a regular and predictable upward flow through the ranks and into and within the SFS. The Director General determines the number of LCEs which may be authorized in each class. The decision is made in conjunction with the determination of annual promotion opportunities. LCEs are distributed in accordance with the Selection Board's recommendations, which shall be made in accordance with the Precepts.
- b. After ranking, career members in the classes of Career Minister, Minister Counselor and Counselor whose maximum time-in-class will expire during the next year, are eligible for consideration by the Senior Board for any available limited career extensions. Officers will be reviewed for LCEs by class.
- c. LCEs will be granted by class strictly in the rank-order recommended by the Selection Board. Names may be removed from the Board's LCE rank-order list only under the conditions and procedures established in Section 5 of these Precepts.
- d. LCEs will be up to 3 years in duration, during which the extended officers will have full career status, consideration for promotion and performance pay, if otherwise eligible, and the possibility of further LCEs to the mandatory retirement age.

**.07 Performance Recognition.**

- a. A Performance Award is appropriate when the employee's most recent 12 months performance appraisal supports the conclusion that overall performance substantially exceeds an acceptable level of competence.
- b. All employees, FS-01 and below, may be considered for a Meritorious Step Increase (MSI) or Performance Award (PA).
- c. A MSI is appropriate when, in addition to having met all of the requirements for a Performance Award, the employee's performance has been sustained at a superior level for a sufficient time that it is considered characteristic of the individual's performance and is, therefore, expected to continue in the future.

**.08 Senior Foreign Service Awards and Pay Adjustments**

**a. Presidential Awards**

There are two Presidential Awards, the Distinguished Service Award and the Meritorious Service Award (Foreign Affairs Manual, Vol. 3).

The Distinguished Service Award may be conferred on no more than one percent of the SFS members, based on sustained extraordinary accomplishment, and carries a payment of 35 percent of base salary.

The Meritorious Service Award may be granted to no more than five percent of the SFS members, based on sustained accomplishment, and carries a payment of 20 percent of base salary.

Where the number of SFS members is too few to permit at least one Distinguished and one Meritorious Service Award within the percentage limits established by the Foreign Service Act of 1980, as amended, the SFS members may be granted one Distinguished Service Award and one Meritorious Service Award.

**(1) Eligibility Criteria**

Members of the Senior Foreign Service who are serving under career or career candidate appointments or limited appointments with reemployment rights under Section 310 of the

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Foreign Service Act of 1980, as amended, as career appointees in the Senior Executive Service (SES) are eligible to compete for Presidential Awards in the Senior Foreign Service.

To be eligible for Presidential Awards, the Senior Foreign Service member must also be a member of the Senior Foreign Service at the end of the rating cycle and must have appraisal reports in the member's official performance folder covering performance of three or more years while in SFS or Foreign Service (FS) classes.

Members of the Senior Foreign Service who are appointed to any position in the Executive Branch by the President under section 302 of the Act, and who elect to receive the salary of that position instead of continuing to receive the salary for their SFS salary class are not eligible to compete for Presidential Awards (Section 302(b) of the Act).

Members who have been serving at the SFS level, or equivalent, on detail or transfer to an international organization will have such service considered for eligibility and performance purposes.

In reviewing officers for nomination for Presidential Awards, the Board will establish that the nominee has consistently demonstrated qualities of integrity and creativity, and will seek evidence of sustained accomplishment. The minimum requirement for nomination is three years of SFS or "equivalent" career or career-type Federal civilian service (such as the Senior Executive Service, executive assignment system or "administratively-determined" executive classification) at the time of nomination.

**(2) Nomination Process**

Nominations of officers for Presidential Awards must be approved by the Secretary. They are then sent to the Interagency Selection Board (IASB), which reviews the nominations of all of the foreign affairs agencies for forwarding to the President.

- (a) The IASB will base its recommendations solely on the nominating memoranda and summaries of Federal employment submitted to it.
- (b) In reviewing the achievement of the eligibility criteria, the IASB will also satisfy itself that the nominee has consistently demonstrated qualities of integrity and creativity that warrant a high degree of public confidence and trust.

**(3) Nomination Criteria**

Nominees for Meritorious Service Awards must have demonstrated a sustained record of superior accomplishment and for Distinguished Service Awards, sustained extraordinary accomplishment as follows:

- (a) Significant contributions to the national interest in the field of foreign affairs, including public diplomacy and international trade and development; or, for SFS members on detail, in areas of foreign or domestic policy;
- (b) Managerial accomplishments in cooperative efforts with other foreign affairs agencies, with other Federal agencies, other government entities and/or the private sector; and
- (c) Achievements of agency-wide importance in policy, technical, program, and/or human or material resource terms.

**b. Performance Pay Awards.**

- (1) The Selection Board may recommend a performance pay award based on performance during the current rating period.

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(2) OFSHR will review records to ensure that officers have received a commendable rating or better on each critical element.

(3) Funding for SFS performance pay awards will be limited to six percent of the aggregate salaries for career Senior Foreign Service officers on board at the end of the fiscal year. The minimum SFS performance pay award is five percent of an individual's salary.

**c. Executive Schedule Pay Adjustments.**

(1) The Board may recommend either an increase or decrease in the executive level salary schedule of a Senior Foreign Service officer, based on the officer's performance file.

(2) A recommendation for an increase in the ES level should be based on a finding that the officer excels in the performance criteria for rank ordering. An officer must have received a rating of commendable for the past three performance cycles for all elements.

(3) A recommendation for a decrease in ES level should be based on a finding that performance has been at a level below the standards for that senior officer class. It would be expected that this individual was below a low ranking line drawn by the Board in the rank order and that the Board recommended counseling or selection out.

**d. Relationship of Awards and Pay Adjustments.**

Members of the Senior Foreign Service may not receive a performance pay award or pay adjustment and a Presidential Award in the same competitive year. Any SFS nominee who does not receive a Presidential award is eligible for a performance award or executive schedule pay adjustment if initially recommended as a backup recognition by the Board.

e. The Boards should list their recommendations in the order in which they would like them conferred, in the event budgetary considerations limit the number that can be given.

**.09 Low Ranking.**

The Board may, at its discretion, determine a cut-off point in the rank order list below which employees are designated as being less competitive than their class peers. This low ranking placement of an employee reflects that the employee has demonstrated a relative weakness in performance or lack of potential for career growth to advance in the Service.

Any of the following factors may be grounds for low ranking at any grade level:

- a. Reluctance to accept responsibility;
- b. Failure to carry out properly assigned tasks within a reasonable time;
- c. Low productivity or work poorly done;
- d. Lack of adaptability;
- e. Refusal to accept or carry out legal directives from properly authorized officials;
- f. Inability or lack of willingness to work fairly and cooperatively with supervisors, colleagues, or subordinates;
- g. Lack of reliability under conditions of hardship and danger; or
- h. Failure or lack of willingness to meet affirmative action goals or support equal opportunity requirements.

Boards should give due weight in evaluating a member's performance and potential to indications in the performance file that the member, particularly one with management responsibilities, has not properly used and/or protected assigned resources against waste, loss, unauthorized use or misappropriation.

The Board will prepare a statement for each low ranked employee citing examples that support the low ranking determination, and quoting from the appropriate performance records. Such statements should draw on material from more than one rating and reviewing official to the extent possible. These

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statements will be used for counseling purposes only, and shall not be included in the employee's performance file. Low ranked employees will be advised of their standing in writing by the Director General.

**.10 Performance Counseling.**

The Board, at its discretion, and based on the contents of the performance file, may identify employees for performance counseling. Any employee recommended for performance counseling will be notified in writing that his/her performance is below an acceptable level. The Board will include the following in its written justification:

- a. Specific examples, arranged by performance element, of incidents (within the last year) of deficient performance;
- b. Where relevant, a description of the negative consequences of the performance deficiencies;
- c. Based on the employee's performance file, a suggestion of steps the employee may take which would be expected to lead to improved performance, e.g., better work organization, time management, more thorough proofreading, more follow-up; and
- d. Based on the employee's performance file, a statement of the steps the manager may take to assist the employee to improve, e.g., to sponsor training, offer counseling or personal assistance, or monitor work more closely.

**.11 Selection Out/Termination of Appointment.**

- a. All career Foreign Service employees are subject to selection out under Section 608 of the Act. Selection out may be recommended when the Board determines that an employee, compared with peers, of the same class has shown a pattern of performance problems sufficient to warrant a recommendation for selection out.

The Selection Boards will prepare a detailed statement which will be sent to the Director General justifying the referral through a balanced presentation of the member's strengths and weaknesses, citing examples, and as appropriate, quoting from the performance records. The statement shall draw on material from more than one rating period and, to the extent possible, from more than one rating official.

After the concurrence of the Director General, the performance files will be sent to the Performance Standards Board (PSB) which will independently make selection out determinations after reviewing the files of the members referred. (See Personnel Bulletin 430-5, Performance Standards Board).

Employees designated for selection-out by the PSB have the rights to appeal with a full evidentiary hearing either before a Special Review Board or through the grievance process, but not both.

- b. In exceptional cases a career candidate or noncareer employee's appointment may be terminated, prior to Board review, if the candidate proves unable to perform assigned duties satisfactorily, including satisfactory completion of basic training courses. In such instances, the Director General will terminate the candidate's appointment without delay as authorized by Section 612 of the Act.
- c. Process for Terminating Career Candidates for Deficient Performance:
  1. If termination is recommended by the Selection Board, the employee will receive written notice from OFSHR providing the specific performance deficiencies identified by the Board. The employee will have 15 calendar days from receipt of the notice to provide a written response with any supporting documentation to the Director General. Upon receipt and consideration of the employee's response, or at the end of the 15-day time limit if no response is filed, the Director General will provide the employee with a written decision taking one of the following actions:
    - (a) Support the Board's recommendation and terminate the appointment;
    - (b) Allow for a performance improvement period and make a final decision based on the employee's improvement or lack thereof; or

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- (c) Retain the employee.
    - (i) If terminated, the termination will be effective no earlier than 30 calendar days after receipt by the employee of the written decision.
    - (ii) If provided an improvement period, the procedures in Section 10 of the Management Planning and Performance Appraisal System (MPPAS) policy document will be followed. The period for improvement will be a minimum of 90 calendar days.
    - (iii) If the employee is retained, he/she may also be provided guidance to improve performance during the next rating period.
2. If termination is recommended by a management official, the following procedures will apply:
- (a) The employee must have received counseling and be given 90 calendar days to improve performance prior to the recommendation for termination. The counseling and improvement actions must be documented in writing and included in the recommendation for termination.
  - (b) The Rating Official will notify the employee, in writing, of the proposal to terminate his/her appointment, including the specific performance deficiencies.
  - (c) The employee will have 15 calendar days from receipt of the proposal notice to respond, in writing, with any supporting documentation, to the Reviewing Official.
  - (d) The Reviewing Official will then recommend a course of action to the Director General, in writing, and forward the proposal notice, the employee's response, and a detailed description of the reasons for the recommendation. A copy of the recommendation is provided to the employee at the same time it is forwarded to the Director General.
  - (e) The Director General can accept, reject, or amend the recommendation resulting in one of the three options as outlined in paragraph 1. above, except that the length of performance improvement period will be for a minimum of 30 days.

**.12 Denial of Within-Grade Increase.**

The Selection Board may recommend the denial of the next within-grade salary increase to any employee in class FS-01 or below whose performance during the most recent rating period does not merit advancement to the next step. The Board is particularly instructed to consider this option in the event of a selection out or low ranking. The Board may take into account evaluated material and disciplinary actions related to the period in question. The Board will prepare a detailed written statement supporting each recommendation.

**SECTION 4. FINAL REPORT.**

- .01 Each Board Chairperson will submit a memorandum to the Director General that the Board has arrived at its final recommendations, and adjourned. All Board members will sign this memorandum, and the Board's recommendations and results will be attached. Attachments from each Board must include:
- a. A rank order of each class.
  - b. A written justification for each recommendation for a Presidential award, Performance Pay award (for SFS only), low-ranking, performance counseling, denial of within-grade, increase or decrease in ES Level, and selection out, using the criteria for each action as described in this document.
- .02 The Board may also make:
- a. Recommendations to the Director General, for promotions, performance awards and LCE's, using criteria as described in this document.
  - b. A list of recommendations that they consider appropriate for improvements to the FS performance appraisal process, the Selection Board process, or the FS precepts.

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- c. Recommendations on assignments and/or training that are designed to improve the performance of an employee or class of employees.
- d. Recommendations regarding rating and reviewing officials who merit commendation or criticism for the quality of evaluations they prepared in the most recent rating period. These recommendations should be supported with examples.

**SECTION 5. TEMPORARY OR PERMANENT REMOVAL OF NAMES FROM PROMOTION LISTS.**

The procedures governing the removal of names from promotion lists, as authorized by Section 605 of the Act, are as follows:

- a. At any time prior to the forwarding to the President of a promotion list of members of Class 1 and of the Senior Foreign Service, the Secretary of Commerce or designee may order the temporary exclusion from such a list of any members, if he/she determines on the basis of notification by an appropriate office that a reason(s) exists to believe such promotion would be inconsistent with the national interest or the efficiency of the Service. The Director General may temporarily remove a member from the promotion list by informing the Under Secretary for International Trade Administration and the employee, when appropriate, in writing. Such reasons must be based upon written documentation of either:
  - (1) Issues of loyalty, security, misconduct, suitability or malfeasance; or
  - (2) Indications that documentation available to the Board regarding the member's performance may be significantly inaccurate or incomplete.
- b. If an individual on a promotion or awards list is the subject of a current investigation or disciplinary process, his/her name is pulled from the list and the promotion or award is held until the completion of the investigation or disciplinary action. If the investigation results are favorable, the individual will be promoted retroactively to the date on which the others on the list were promoted. Awards will be processed as soon as possible upon completion of a favorable investigation. If the results are unfavorable, appropriate action will be taken based on the record. If the individual remains employed, any resulting disciplinary action will be forwarded to the original Selection Board members for a determination as to whether each member recommends that the employee be promoted in view of the disciplinary record. The actions and rights of the Director General are unchanged from those at the time of the initial Board recommendations. Any resulting promotions will be retroactive to the date on which the others on the list were promoted.
- c. Following action under Section (a) above, the Secretary or designee, Under Secretary for International Trade, or Director General will initiate, pursue, or monitor such inquiry, investigation, or proceedings as are appropriate to the issue giving rise to the removal. Upon disposition or resolution of the issue, the Secretary or the Under Secretary for International Trade or the Director General will take one of the following actions:
  - (1) Reinstate the original recommendation retroactive to the effective date of the promotion list from which the name was initially removed.
  - (2) Make permanent the exclusion from the promotion list.

**SECTION 6. APPROVAL AUTHORITY.**

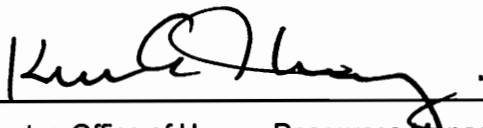
- .01 The Director General has final authority to approve:
  - a. Promotions into Class FS-01 and below;
  - b. Meritorious step increases;
  - c. Performance awards of \$4,000 and below; and,
  - d. Temporary removal of a name from a promotion list or the denial of an award or step increase.
- .02 Promotions into and within the Senior Foreign Service require approval by the Director General, with concurrence by the Under Secretary for International Trade, and the Secretary of Commerce or designee. Approved SFS promotions also require Senate confirmation and Presidential attestation.

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- .03 Performance awards of \$4,001-\$10,000 for member of Class FS-01 and below require approval by the Director General and final approval by the Under Secretary, International Trade Administration.
- .04 Performance pay awards for the Senior Foreign Service, Presidential Awards and Executive Schedule pay adjustments, require approval by the Director General, the Under Secretary, International Trade Administration, and the Secretary of Commerce or designee. Presidential Awards also require review by the Interagency Selection Board, which makes a final recommendation for approval/disapproval to the Secretary of State. Final decision on Presidential Awards requires the approval of the President of the United States.
- .05 The Director General and Department senior management may deny or not take action on an award recommendation when the award would be inconsistent with national interest, efficiency of the Service or needs of the Department.

Approved:



Director, Office of Human Resources Management

7/13/15

Date