

## **3 FAH-1 H-2320 PROMOTION OF FOREIGN SERVICE MEMBERS**

*(CT:POH-101; 09-15-2004)  
(Office of Origin HR/PE)*

### **3 FAH-1 H-2321 RESPONSIBILITIES**

#### **3 FAH-1 H-2321.1 Director, Office of Performance Evaluation**

*(TL:POH-90; 04-03-2003)  
(State Only)  
(Applies to Foreign Service Only)*

The Director, Office of Performance Evaluation:

- (1) Certifies to selection boards in accordance with the precepts (see 3 FAH-1 H-2321 Exhibit 2321.1 Exhibit A and 3 FAH-1 H-2321 Exhibit 2321.1 Exhibit B) and these regulations, the names of members of the Service to be considered by the boards;
- (2) Provides technical advice and staff support to the selection boards;
- (3) Prepares promotion and career extension lists of members of the Foreign Service for each class on the basis of the determination made by the Under Secretary for Management of the number of members to be promoted or extended under 3 FAM 2325 and 3 FAM 6200, respectively. Names shall be taken in order from the lists of members recommended for promotion or extension by the selection boards in accordance with the precepts;

**NOTE:** Until 3 FAM 6200 is revised and published, old 3 FAM 730 (although no longer included in 3 FAM) is still in effect.

- (4) Excludes from the lists of recommended promotions or extensions the name of any member separated from the Service for any reason and substitutes the names of other members in the order recommended for promotion or extension by the selection boards, un-

der 3 FAM 2328; and

- (5) Identifies members of the Foreign Service recommended for promotion who are still language probationers. Names of members removed from the promotion list because of language probation will be promoted subsequently if the members in question satisfy the language requirement before the convening of the next selection boards. If the member is not off language probation before the convening of the next selection boards, the member will re-compete for promotion.

### **3 FAH-1 H-2321.2 Director General of the Foreign Service**

*(TL:POH-90; 04-03-2003)*

*(State Only)*

*(Applies to Foreign Service Only)*

The Director, Office of Performance Evaluation:

- (1) Determines the number and membership of the selection boards (see 3 FAM 2326.1-1);
- (2) Approves the precepts which have been negotiated with the exclusive representative, if any, for all boards or panels established for the purpose of evaluating Foreign Service personnel (3 FAM 2326.2);
- (3) Convenes and adjourns the selection boards and assures appropriate briefings of board members;
- (4) Reviews the findings and recommendations of the selection boards to determine whether they were made in accordance with the precepts and these regulations. Any list or name may be returned for reconsideration by the selection board if questions of procedure or conformity with precepts and these regulations arise. If a part of a list is returned, the board may review the names returned or, at its discretion, the entire list;
- (5) Approves the temporary exclusion from a promotion list of any member of the Service under 3 FAM 2328;
- (6) Submits the promotion list of members of the Foreign Service recommended for promotion to class FS-1 and below to the Under Secretary for Management for approval;

- (7) Submits the lists of members recommended for limited extensions of their career appointments to the Under Secretary for Management for approval;
- (8) Submits the promotion list of members recommended for promotion into and within the Senior Foreign Service to the Under Secretary for Management for transmittal to the Secretary for recommendation to the President; and
- (9) Recommends from time to time to the Under Secretary for Management approval of a list of positions comparable to chief of mission (3 FAH-1 H-2322).

### **3 FAH-1 H-2321.3 Under Secretary for Management**

*(TL:POH-90; 04-03-2003)*  
*(State Only)*  
*(Applies to Foreign Service Only)*

The Director, Office of Performance Evaluation:

- (1) Determines the number of promotions and extensions of career appointments of members of the Foreign Service (3 FAM 2325 and 3 FAM 6200) who are subject to review by selection boards for such purposes;
- (2) Approves promotions of career and career candidate members of the Service under section 605 of the Foreign Service Act of 1980 (Act) based on recommendations and rankings of selection boards established under section 602 of the Foreign Service Act of 1980 (except for career member promotions into and within the Senior Foreign Service which require the approval of the President; and promotions of career and career candidate members of the Service in classes below the FS-4 level and categories governed by administrative promotions under 3 FAM 2329.3);
- (3) Approves limited extensions of career appointments of members of the Service (3 FAM 6200) in accordance with the recommendations and rankings of selection boards; and

**NOTE:** Until 3 FAM 6200 is revised and published, old 3 FAM 730 (although no longer included in 3 FAM) is still in effect, since this regulation was a negotiated agreement.

- (4) Approves from time to time the list of positions comparable to chief

of mission.

### **3 FAH-1 H-2322 POSITIONS COMPARABLE TO CHIEF OF MISSION**

*(TL:POH-56; 11-24-1999)*

*(State Only)*

*(Applies to Foreign Service Only)*

From time to time, the Director General of the Foreign Service will initiate a list of positions comparable in importance to "chief of mission" (as defined in section 102(3) of the Foreign Service Act of 1980, as amended). The Director General will then submit the list to the Under Secretary of Management for approval. The under secretary has approved the following list of positions as comparable in importance to that of "chief of mission".

#### **3 FAH-1 H-2322.1 Positions Abroad**

*(TL:POH-56; 11-24-1999)*

*(State Only)*

*(Applies to Foreign Service Only)*

a. Positions abroad include:

Deputy chiefs of mission (as designated by the Undersecretary for Management).

b. Positions established as chargé d'affaires :

- (1) Chiefs, U.S. interests sections;
- (2) Consul General, Hong Kong; and
- (3) Consul General, Jerusalem.

#### **3 FAH-1 H-2322.2 Positions in International Organizations**

*(TL:POH-90; 04-03-2003)*

*(State Only)*

*(Applies to Foreign Service Only)*

Positions in international organizations include:

- (1) U.S. representatives (when chief of mission level is established by the Post Classification Committee);
- (2) Deputy U.S. representatives; and
- (3) Representatives if appointed by the President with the advice and consent of the Senate.

### **3 FAH-1 H-2322.3 Positions at Department of State**

#### **3 FAH-1 H-2322.3-1 Executive Schedule Positions**

*(TL:POH-90; 04-03-2003)*  
*(State Only)*  
*(Applies to Foreign Service Only)*

Executive Schedule positions include:

- (1) Deputy secretary (5 U.S.C. 5312);
- (2) Ambassadors at large (5 U.S.C. 5313) Under secretaries (5 U.S.C. 5314);
- (3) Assistant secretaries (5 U.S.C. 5315); and
- (4) Legal Adviser (5 U.S.C. 5315).

#### **3 FAH-1 H-2322.3-2 Positions Equivalent to Assistant Secretaries**

*(CT:POH-101; 09-15-2004)*  
*(State Only)*  
*(Applies to Foreign Service Only)*

Positions equivalent to assistant secretaries include:

- (1) Director General of the Foreign Service and Director of Human Resources (M/DGHR) (section 208 of the Act);
- (2) Inspector General (OIG) (section 209 of the Act);
- (3) Director, Policy Planning Staff (S/P);
- (4) Special Assistant to the Secretary and Executive Secretary of the Department (S/ES);

- (5) Chief of Protocol (S/CPR);
- (6) *Coordinator for Communications and Information Policy (CIP);*
- (7) Chief Financial Officer (M/RM);
- (8) Chief Information Officer (IRM/CIO);
- (9) Director, Foreign Service Institute (M/FSI);
- (10) Coordinator, Office for Counter terrorism (S/CT);
- (11) Medical Director, Department of State and the Foreign Service (M/MED).
- (12) *Counselor (C)*
- (13) *Coordinator, International Information Programs (IIP)*
- (14) *Director and Chief Operating Officer, Overseas Buildings Operations (OBO)*
- (15) *Chief of Staff (COS)*
- (16) *Coordinator, Global AIDS (S/GAC)*
- (17) *Director, Office of Civil Rights (S/OCR)*

### **3 FAH-1 H-2322.3-3 Other Positions**

*(TL:POH-90; 04-03-2003)*

*(State Only)*

*(Applies to Foreign Service Only)*

Other positions include:

- (1) Principal executive assistants to the Secretary, Deputy Secretary, and the under secretaries of State;
- (2) Deputy assistant secretaries;
- (3) Deputies to positions established at a rank equivalent to assistant secretaries;
- (4) Deputies to the Legal Adviser;
- (5) Senior Foreign Service Inspectors in the Office of the Inspector General (OIG/ISP);

- (6) Dean, Professional and Area Studies (M/FSI);
- (7) Vice President, National Defense University;
- (8) Faculty Advisor, National War College;
- (9) Faculty Advisors to the Industrial College of the Armed Forces (ICAF);
- (10) Faculty Advisor, Air University;
- (11) Faculty Advisor, Army War College; and
- (12) Faculty Advisor, Naval War College.

### **3 FAH-1 H-2322.4 For Assignments To Other Agencies**

*(TL:POH-90; 04-03-2003)*  
*(State Only)*  
*(Applies to Foreign Service Only)*

- a. Assignments to other agencies include the positions of:
  - (1) Assistant secretaries (or positions established at an equivalent rank or level or higher);
  - (2) Deputy assistant secretaries (or deputies to officials whose positions are established at a level or rank equivalent or higher than assistant secretaries);
  - (3) Positions compensated under the Executive Schedule (5 U.S.C. 5311-5316) or under section 631 of the Foreign Assistance Act of 1982, as amended; and
- b. The Office of Resource Management and Analysis (HR/RMA) retains the current list of comparable positions and all previous lists.

### **3 FAH-1 H-2323 CREDITABLE PRIOR SERVICE OF REINSTATED OFFICERS**

*(TL:POH-56; 11-24-1999)*  
*(State Only)*  
*(Applies to Foreign Service Only)*

A member of the Foreign Service reapointed to the Service after separation (see 3 FAM 2130 and 3 FAM 2210) shall receive credit toward eligibility for promotion for prior service as a Foreign Service member if the member is reapointed to the same or equivalent class as the one from which separated. The period of service in class shall be calculated on the basis of total creditable service in that class.

### **3 FAH-1 H-2324 ELIGIBILITY OF RECALLED OFFICERS**

*(TL:POH-48; 06-12-1998)*  
*(State Only)*  
*(Applies to Foreign Service Only)*

A retired member of the Foreign Service who is recalled temporarily to active service, as provided in 3 FAM 2130 and 3 FAM 2210, shall be eligible for promotion in accordance with 3 FAM 2320 and 3 FAH-1 H-2320.

### **3 FAH-1 H-2325 EFFECT OF PROMOTION ON BASIC SALARY**

*(TL:POH-56; 11-24-1999)*  
*(State Only)*  
*(Applies to Foreign Service Only)*

- a. Any member of the Foreign Service promoted to a higher class in the Foreign Service Schedule established under section 403 of the Act shall receive a base salary at the lowest step rate of the higher class which exceeds the existing rate of base salary by not less than two step increases or six percent, whichever is greater, of the class from which promoted.
- b. Any member of the Foreign Service promoted from class FS-1 to the class of counselor (OC) in the Senior Foreign Service established under section 402 of the Act will receive the lowest FE salary level which exceeds the member's scheduled rate of pay by not less than two step increases or six percent, whichever is greater, of the class from which promoted. However, no such promoted member will receive a salary above the FE-4 level.
- c. Any member of the counselor class of the Senior Foreign Service promoted to the class of minister-counselor (MC) will receive a salary at the FE-4 level unless the promotee was already at that level in the counselor class. If already at the FE-4 level, the member will be promoted to the

FE-5 level.

- d. Any member of the minister-counselor class of the Senior Foreign Service promoted to the class of career minister (CM) will receive a salary at the FE-6 level.

### **3 FAH-1 H-2326 ADMINISTRATIVE PROMOTION PROCEDURES**

*(TL:POH-90; 04-03-2003)*

*(State Only)*

*(Applies to Foreign Service Only)*

- a. At least one month before completion of the time-in-class required for an administrative promotion, the Director of the Office of Performance Evaluation in the Bureau of Human Resources (HR/PE) will inform the respective post or bureau of the member's eligibility for promotion and inquire whether the member's current performance has been judged satisfactory by the supervisor.
- b. The post or bureau will advise HR/PE whether the member's performance has been satisfactory or unsatisfactory.

#### **3 FAH-1 H-2326.1 Satisfactory Performance**

*(TL:POH-90; 04-03-2003)*

*(State Only)*

*(Applies to Foreign Service Only)*

If the response indicates satisfactory performance, and pertinent evaluation material covering earlier assignments while in present class also indicates that the employee's performance has been satisfactory, the Director of HR/PE will effect the necessary administrative action to promote the member.

#### **3 FAH-1 H-2326.2 Unsatisfactory Performance**

*(POH-TL 093; 08-20-2003)*

*(State Only)*

*(Applies to Foreign Service Only)*

- a. A post or bureau may advise HR/PE that a member's performance has been unsatisfactory only if the member has previously been advised of the areas of performance which are deficient and been given a reasonable

opportunity to demonstrate satisfactory performance. A period of 60 days ordinarily will be sufficient to demonstrate needed improvement, but a lesser period may also suffice depending upon the nature and extent of responsibilities, the member's time in the position, and similar circumstances.

- b. If adequate notice and opportunity to demonstrate improvement have not been provided or if the post or bureau believes that because of limited time at post or in current function, more consideration needs to be given to a member's performance before deciding whether his or her performance is satisfactory, a delay in promotional consideration for a period not to exceed 60 days should be requested. Before making such a request, however, the responsible management officer or executive officer will discuss the post's or bureau's proposed course of action with the member, ask for the member's views, and take these into consideration. The member will be informed of the post's or bureau's action in writing with a clear indication of the reasons for the delay. The member will be given every reasonable opportunity to demonstrate satisfactory performance during the succeeding trial period.
- c. Ordinarily, a determination by the supervisor of unsatisfactory performance will be made only in connection with review for administrative promotion as outlined in paragraphs a and b in this section. However, when a member's performance is judged clearly unsatisfactory at any time after a reasonable opportunity for experience in a new position, the supervisor, in consultation with the reviewing officer and the management officer or the executive officer, may, if the situation warrants it, advise the member in writing of the unsatisfactory determination and the reasons, and provide a reasonable period, ordinarily 60 days, for the member to raise performance to a satisfactory level.
- d. In cases under 3 FAM 2329, where the post or bureau has requested that consideration for promotion be delayed or a member has been formally notified of unsatisfactory performance, the post or bureau must submit to HR/PE an employee evaluation report immediately following the trial period. The report should state either that the member's performance is judged satisfactory and, if appropriate, that the member is recommended for promotion, or that performance is judged unsatisfactory. In the case of a finding of unsatisfactory, the post or bureau may recommend either that the member be given an additional period to demonstrate satisfactory performance or that consideration be given to separation from the Service.

### **3 FAH-1 H-2326.3 Action on Unsatisfactory Ratings**

*(TL:POH-90; 04-03-2003)*  
*(State Only)*  
*(Applies to Foreign Service Only)*

Whenever an unsatisfactory rating for a member subject to administrative promotion is received in HR/PE, any scheduled administrative promotion will be suspended pending completion of the review prescribed in 3 FAH-1 H-2327, and such review will be initiated forthwith.

### **3 FAH-1 H-2326.4 Career Candidate Basic Training**

*(TL:POH-90; 04-03-2003)*  
*(State Only)*  
*(Applies to Foreign Service Only)*

- a. The course supervisor will advise the candidate in overcoming difficulties in cases where it appears that a career candidate may not complete the basic training for the specialty in a satisfactory manner. Where it is determined that a candidate has not completed a basic training course satisfactorily, the course supervisor may either recommend that the candidate repeat all or part of the prescribed training or that consideration be given to immediate separation from the Service.

**NOTE:** A recommendation for separation will be documented in a completed Form DS-1106, Training Evaluation Report (TER), which will be given to the candidate for signature and comment and sent promptly to HR/PE.

- b. HR/PE will give the candidate the opportunity to submit whatever information or documents the candidate believes are pertinent to the case. The unsatisfactory TER and candidate's comments, if any, will be submitted to the Director General.
- c. The Director General may initiate any further inquiry or proceedings, as appropriate, to the issue-giving rise to the unsatisfactory TER. Upon resolution or clarification of the issues involved to the Director General's satisfaction, the Director General may either:
  - (1) Initiate immediate action to separate the candidate in accordance with section 611 of the Act and 3 FAM 2329; or
  - (2) Provide an additional period for the candidate to demonstrate satisfactory completion of basic training or satisfaction of the standards of the specialty. If the candidate fails to complete this additional training in a satisfactory manner, the candidate will be separated in accordance with section 611 of the Act and 3 FAM 2329.

## **3 FAH-1 H-2327 TEMPORARY OR PERMANENT DEFERRAL OF ADMINISTRATIVE PROMOTION**

### **3 FAH-1 H-2327.1 Grounds for Deferring Consideration**

*(TL:POH-56; 11-24-1999)*  
*(State Only)*  
*(Applies to Foreign Service Only)*

The following reasons are appropriate grounds for deferral of promotion consideration:

- (1) An appraisal of the member's performance as unsatisfactory, in accordance with 3 FAM 2329;
- (2) Issues of loyalty, security, misconduct, suitability, or malfeasance; or
- (3) Inaccurate or incomplete statements included in the member's official performance file regarding the member's performance.

### **3 FAH-1 H-2327.2 Action by Director General**

*(TL:POH-90; 04-03-2003)*  
*(State Only)*  
*(Applies to Foreign Service Only)*

The Director General will promptly inform the member concerned in writing of the action taken and will initiate, pursue, or monitor such inquiry, investigation, or proceeding as is appropriate to the issue giving rise to the deferral. The member will be given the opportunity to submit whatever information or documents the member believes are pertinent to the case. Upon disposition or resolution of the issue, the Director General will:

- (1) Determine that performance is satisfactory on the basis of the documented performance file and request that the necessary administrative action be initiated to promote the member to be effective as of the previously scheduled anniversary date;
- (2) Determine that performance is judged unsatisfactory on the basis of the documented performance file. In this case, the Director General will:
  - (a) Initiate action to separate the member in accordance with

section 612 of the Act for career candidates serving under limited appointments or section 610 of the Act for members serving under career appointments; or

- (b) Provide an additional trial period of 60 days or more for the member to demonstrate satisfactory performance, on the basis of which administrative promotion may be granted. The post or bureau must submit to HR/PE an employee evaluation report immediately following the additional period in accordance with the provisions of 3 FAM 2329.
- (3) In the case of disciplinary or other action against a member, if separation from the Service is warranted, the Director General will document that action in the performance file and initiate action under section 610 or 612 of the Act, as appropriate, to separate the member.

### **3 FAH-1 H-2327.3 Separation Action Pending**

*(TL:POH-56; 11-24-1999)*

*(State Only)*

*(Applies to Foreign Service Only)*

- a. Where the Director General has initiated separation proceedings under 3 FAH-1 H-2327.2 item (2) or (3) above, the deferred promotion will not become effective pending determination of the separation proceeding. Should the proceeding be resolved in favor of the member, the Director General will take action in accordance with 3 FAM 2329. Should the member be separated, the scheduled promotion will not become effective.
- b. The member will be given prompt notice in writing of the Director General's decision and the reasons.
- c. In the case of career members assigned to positions in new occupational fields after satisfactory performance in their primary career field, where the member's evaluated performance in the new field has been found unsatisfactory and an additional trial period is not considered warranted, the Director General will direct reassignment to a position in the former occupational category in lieu of separation.

### **3 FAH-1 H-2328 AND H-2329 UNASSIGNED**

## **3 FAH-1 H-2320 EXHIBIT A**

### ***PROCEDURAL PRECEPTS FOR THE 2004 FOREIGN SERVICE SELECTION BOARDS***

*(CT:POH-101; 09-15-2004)*

*(State Only)*

*(Applies to Foreign Service Only)*

*(Effective date: 06/20/2004)*

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## **PROCEDURAL PRECEPTS FOR THE 2004 FOREIGN SERVICE SELECTION BOARDS**

### **Equality of Consideration**

*All employees will be compared and judged solely on merit with absolute fairness and justice. In particular, no employee will be discriminated against, directly or indirectly, for reasons of race, color, religion, sex, age, marital status, national origin, disability, reasonable accommodation for disability, sexual orientation, or means of entry into the Service.*

## **PART I. PURPOSE AND SCOPE**

### **A. STATEMENT OF PURPOSE**

*These Precepts establish the scope, organization, and responsibilities of the Foreign Service Selection Boards and describe the criteria to be used by the Boards in reaching their determinations. All Boards will review the Performance Folders of eligible members of the Foreign Service to rank order members for promotion; identify members to be considered for possible separation for noncompetitive performance; and carry out related responsibilities. Boards reviewing the Performance Folders of members below the Senior Foreign Service (SFS) will, in addition, recommend conferral of Meritorious Service Increases. Boards may be asked to prepare a rank-order list of those members qualified for the conferral of Limited Career Extensions (LCEs). The criteria for promotion in the Foreign Service, set forth in the Core Precepts, are statements of policy regarding the qualities and capabilities considered essential for advancement in the Foreign Service.*

### **B. SCOPE OF COVERAGE**

1. *Senior Foreign Service. Senior Boards will consider the following categories of personnel:*
  - (a) *Members serving under career or senior career candidate appointments in the classes of Career Minister (FE-CM), Minister-Counselor (FE-MC), or Counselor (FE-OC); and*
  - (b) *Career members of Foreign Service class FS-1.*
2. *Intermediate Generalist and Specialist Boards will consider career and career candidate members of the Foreign Service in classes FS-2 through FS-6, excluding untenured members serving in the Junior Officer and Mustang Programs and members in classes and occupational categories subject to administrative promotion.*
3. *Senior Foreign Service Performance Pay Boards will consider for performance pay the Performance Folders of all eligible Career Ambassadors (FE-CA) and all eligible Career Ministers (FE-CM) as well as members serving in the classes of Minister-Counselor (FE-MC) and Counselor (FE-OC) who have been designated for consideration by the appropriate Senior Board. Career members of the Senior Foreign Service whose time in class has expired but who continue to serve under career appointments under section 607(d) and work in a current assignment or in an assignment specified by HR/CDA as of the end of the rating period on April 15 will also be considered for performance and presidential pay for the final rating cycle during the period of extension of their appointments.*
4. *Employees of the Multinational Force in the Sinai, Foreign Service military reservists called to active duty or persons who have been detailed to international or other organizations will be considered if otherwise eligible.*
5. *Foreign Service members will not be eligible for promotion during the period that their maximum time-in-class or time-in-service is the subject of an extension pursuant to the annuity exception that soon will be published in 3 FAM 6200. Selection Boards nevertheless shall consider the Performance Folders of those members for low ranking and for possible referral to a Performance Standards Board.*
6. *Selection Boards will review the Performance Folders of only the Foreign Service members described above who have been assigned the following tenure codes: 01, 02, and 03. Selection Boards will not review the Performance Folders of the following categories of personnel:*

- (a) *Noncareer members of the Foreign Service other than certain Career Candidates;*
- (b) *Members holding non-worldwide tenure or skill codes;*
- (c) *Limited-Indefinite Employees of the Department;*
- (d) *Limited-Resident Appointees Abroad;*
- (e) *PIT employees;*
- (f) *Career Foreign Service employees from other foreign affairs agencies who serve on Presidential appointments;*
- (g) *Beginning with the 2003-2004 rating cycle, members on Leave Without Pay for more than eight months during the rating period except for military reservists recalled for active duty;*
- (h) *Members serving on LCEs;*
- (i) *Members recalled to Foreign Service active duty;*
- (j) *Members on interim relief from separation during the pendency of grievances;*
- (k) *Members who have been separated and transferred with re-employment rights to international or other organizations.*

## **PART II. ELIGIBILITY**

### **A. ELIGIBILITY FOR PROMOTION CONSIDERATION**

#### **1. Time-in-Class**

- a. *Members will be eligible for promotion consideration by the 2004 Selection Boards only if their last promotion took place before the following dates:*

<i>FE-MC</i>	<i>July 1, 2000 (4 years)</i>
<i>FE-OC</i>	<i>July 1, 2002 (2 years)</i>
<i>FS-1, FS-2, FS-3</i>	<i>July 1, 2002 (2 years)</i>
<i>FS-4*, FS-5, FS-6</i>	<i>July 1, 2003 (1 year)</i>

*\* FSO Career Candidates commissioned and those recommended for tenure and pending commission are exempt from time-in-class rules*

*The rating cycle runs from April to April. Promotions normally become effec-*

*tive during the following fall. The clock determining eligibility for promotion starts July 1 after the promotion takes effect, more than one full rating cycle after the last report written before promotion. For this reason, during the first year an employee is eligible for promotion consideration, Boards may find more than one, and as many as four or five, reports that have not been reviewed by any previous Board.*

- b. In the case of members who have converted into the SFS or to the FS Salary Schedule from non-FS pay plans, time spent in previous equivalent grades will be included in determining eligibility for review.*
- c. Beginning in 2007, employees must complete required leadership and management courses to be considered for promotion. FS-3 employees must have completed PK245 – Basic Leadership Skills. FS-2 employees must have completed PT207 – Intermediate Leadership Skills. FS-1 employees must have completed PT210 – Advanced Leadership. FE-OC employees must have completed PT133 – Senior Executive Threshold Seminar.*

## **2. Postponement of Effective Date of Separation**

*The Performance Folder of a member whose effective date of separation has been postponed to permit resolution of a grievance, or by the Director General in the public interest, shall not be reviewed by Selection Boards which convene during the period of such postponements, nor will the Performance Folder of a member whose date of separation has been postponed due to service in a Presidential Appointment requiring Senate confirmation.*

## **3. Special Eligibility Requirements**

### **a. Conferral of the Personal Rank of Career Ambassador.**

*The personal rank of Career Ambassador shall be conferred only on a career member of the Senior Foreign Service whose promotion to FE-CM took place before July 1, 2001 (3 years) and who has, as of July 1, 2004.*

- (1) Served at least 15 years in positions of significant responsibility while in Class FS-1 or above;*
- (2) Sustained a record of extraordinary achievement, having fulfilled one of the following three criteria:
  - (a) One appointment as Chief of Mission and one appointment as Assistant Secretary;*
  - (b) One appointment as Chief of Mission and one appoint-**

*ment as the Equivalent of Assistant Secretary; or*

*(c) Two or more appointments as Chief of Mission.*

*(3) Is available for continued service in the most important positions in the Department and abroad.*

**b. Promotion into the Senior Foreign Service**

*Only the Performance Folders of eligible career members of the Foreign Service of class FS-1 who have formally applied for threshold review by March 31, 2004, will be considered by the 2004 SFS-IV and SFS-V Boards. The Performance Folders of officers whose requests are received in HR/PE after that date will not be certified for consideration unless earlier application was not possible.*

**B. LIMITED CAREER EXTENSIONS**

**1. Eligibility**

*The Foreign Service Act of 1980 authorizes the Secretary to grant limited career extensions (LCEs) to members in their last year of time in class (TIC) if they are career members of the SFS or Specialists for whom there are no promotion opportunities at the next higher grade. Only members as described above whose maximum time-in-class will expire between July 1, 2004, and June 30, 2005, are eligible for consideration. The limited number of LCEs which may be granted will be determined by specific Service needs to retain expertise and experience in short supply. LCEs are distributed consistent with the Selection Board's recommendations.*

**2. Selection Board Procedures**

*The Board will first complete its consideration of the Performance Folders of members for promotion and possible selection out or low ranking. If the Director General has determined that because of Service needs Management may grant a limited number of LCEs, the Director of the Office of Performance Evaluation (HR/PE) will provide the Board the names of all career members in the class who are in their last year of time-in-class but who were not reached for promotion. The Director General will provide the Board information on the particular specialized skills, which Management has determined to be in short supply for the subsequent three-year period. The Board will review the records of all members and, based on the criteria below, will list in rank order, by skill code, those whom it deems qualified for a limited career extension and additionally classwide for FE-OC and FE-MC generalists. The Director General will grant LCEs only to members whom the Board has found qualified and to those members in the rank order estab-*

*lished by the Board.*

### **3. Criteria**

*In reviewing the performance records of members for an LCE, the Board will apply the same criteria as for promotion. However, recognizing that members extended will serve only in their present class, the Board will give considerably less weight to evidence of potential to perform at the next higher class and substantial weight to the quality of performance and potential for continued outstanding service in the class in which the member is being considered for an LCE.*

## **PART III. PROCEDURES**

### **A. MAJOR RESPONSIBILITIES**

#### **1. Promotion**

*Promotion is recognition that a member has demonstrated the capability of performing the duties and responsibilities required at a higher level. It is not a reward for prior service, although the performance of present and past duties usually indicates the degree to which an employee has developed the qualities needed for successful performance at higher levels. Creditable performance under unusually difficult or dangerous circumstances is particularly relevant, as is willingness to risk disciplined and sensible dissent and the constructive advocacy of policy alternatives. Boards are encouraged to weigh positively creditable performance at hardship and danger pay posts because of the unique and challenging work environment, including service in areas of widespread warfare with U.S. combat troop involvement and with a danger pay designation, i.e., Iraq and Afghanistan. Another illustration of unusually difficult circumstances is the managerial environment and resource constraints generally present at Special Embassy Program (SEP) posts, which are particularly demanding and require most employees to assume a broad range of responsibilities. Equally important at these posts is demonstrated discipline to limit mission activities to highest priority U.S. Government objectives.*

*A primary purpose and goal of the Foreign Service is to represent professionally and competently abroad a wide range of U.S. interests. While a Foreign Service career will consist of both services abroad and in the United States, a significant portion of the career must be spent in assignments abroad. Given the nature of assignment patterns, it may not be possible for all members to match the Service's ideal of having each member serve abroad at each grade prior to promotion from one grade level to the next, but it is the Department's intention to have all members serve a substantial number of years abroad during both the middle and senior grades. While*

*-serving a stated number of years abroad is not a prerequisite for promotion at any particular grade, Boards are instructed to consider the importance of demonstrated competence in service abroad when reviewing members for promotion. (See also page 25, Board S-II, regarding the special circumstances of Diplomatic Security (DS) Officers.)*

*An employee's leadership and management skills should be given particular importance when s/he is being considered for promotion. Strong leadership and management skills enhance our ability as an organization to meet critical foreign policy goals and objectives, and maintain the highest morale.*

*Training and professional skill development are of vital importance to the Foreign Service. The Department seeks to provide employees with the necessary specialized training to carry out their duties and to help ensure diplomatic readiness. Individual employees are an integral part of diplomatic readiness. For example, an essential component of diplomatic readiness is building and supporting a skilled, diverse workforce to meet the changing challenges and opportunities of U.S. foreign policy objectives.*

*Selection Boards should attach special value to an employee's demonstrated commitment to upgrading their professional skills through long-term (e.g., language and academic) or other training.*

*Boards are reminded of the importance to U.S. interests of such transnational/global issues as terrorism, international crime, environment/science/technology, narcotics, refugees, human rights and labor. Selection Boards should acknowledge expertise and accomplishments of employees in these areas and give them full consideration for promotion. Boards also are reminded of the importance of outstanding service at international organizations and at U.S. Missions to multilateral organizations.*

*Boards also are reminded that the proper management and handling of classified material and information is a key element for all employees. Addendum 2 to these Precepts contains additional information on the subject.*

*In accordance with Public Law 102-138 of October 28, 1991, "end-of-training reports for employees in full-time language training shall be weighted as heavily as the annual employee efficiency reports." Public Law 103-236 (April 30, 1994) requires that "significant consideration be given to foreign language competence and use in the evaluation, assignment, and promotion of all Foreign Service Officers" The Boards are also instructed to bear in mind the benefits which accrue to the Service when a member returns to a post abroad where he or she can utilize language or other skills gained on a previous assignment.*

*Boards will identify members who are qualified for promotion, without regard*

*to the number of promotion opportunities that may be available. Boards should recommend for immediate advancement only those members whose records indicate superior long-range potential and an ability to perform at a higher level now. Upon identification of the members it deems qualified for promotion, the Board will notify the Director of the Office of Performance Evaluation. The Director will then inform the Board of the number of promotion opportunities authorized for the competition category.*

*If a Board recommends fewer members for promotion than the number of promotion opportunities available, the Board may reconsider its findings and identify additional members to be ranked. Boards must base such recommendations solely on the determination, in accordance with the Precepts and without regard to the number of promotion opportunities available, that each member has demonstrated the capability to carry out successfully the responsibilities required at the next higher level.*

*Boards will rank in order of merit those members recommended for immediate promotion. Promotions will be granted according to the number authorized by the Director General and in the rank order established by the Boards.*

## **2. Low Ranking and Referral to the Performance Standards Board**

- a. *All career members of the Service who are reviewed for promotion shall also be reviewed for low ranking and for possible referral to a Performance Standards Board (PSB). Boards also will review the files of members who were eligible to apply for promotion consideration but who did not elect to do so, in order to identify those who should be low-ranked and/or referred to a Performance Standards Board. The Selection Boards are required to designate five percent of members as low ranked for all competition groups of 20. In competition groups of fewer than 20, Boards may nonetheless low rank and refer employee(s) directly to a PSB.*

*Low ranking is an indication to the member and the Department of problem areas or inadequacies in needed skills, performance, and/or potential, and may not be based on such secondary considerations as relatively recent promotion, type or pattern of assignments, including service out of generalist cone or specialist skill code, less extensively documented successful performance, or level of multifunctionality. Inadequacies that lead to low ranking must be documented by one or more examples of performance from the most recent five years. In that regard, Boards must not rely solely on critical comments in an Areas for Improvement section unless supported by one or more examples there or elsewhere in evaluations from the most recent five years in the Official Performance Folder. Boards are reminded that the area for improvement section*

*is a mandatory requirement for all employees.*

*Weakness in one or more of the areas listed below should adversely affect the Selection Board's determinations as to whether members are qualified for promotion and may, of themselves, be grounds for a low ranking or for direct referral to a Performance Standards Board at any grade:*

- (1) Reluctance to accept responsibility.*
- (2) Failure to carry out properly assigned tasks within a reasonable time.*
- (3) Low productivity or work poorly done.*
- (4) Failure to adapt to the office environment or to a foreign culture.*
- (5) Refusal to accept or carry out legitimate directives from properly authorized officials.*
- (6) A pattern of failure to safeguard properly classified material and information.*
- (7) Inability to work effectively and cooperatively with supervisors, colleagues, teammates, or subordinates.*
- (8) A lack of EEO sensitivity.*
- (9) Indifference/failure to carry out supervisory responsibilities.*

*b. The Board will review the Performance Folder of each low-ranked member and specifically identify those whose records indicate they may not have met the standards of performance for their class. These members will be referred to a PSB, which will independently make selection-out determinations after reviewing the files of the members referred to it. Selection Boards should be scrupulous in identifying and referring to the Performance Standards Board employees who are obviously sub-standard performers.*

- (1) For each member specifically identified for referral to a PSB for sub-standard performance, the Board will prepare a statement to justify the referral, citing specific examples from the performance record of the most recent five years. Such statements shall draw on material preferably from more than one rating period and, preferably, from more than one rating officer. To assist the PSB in evaluating the employee's overall career record, Boards should identify em-*

*ployee strengths and positive accomplishments to the extent they determine appropriate; however, Boards must fully describe the employee weaknesses in performance that have resulted in referral to a PSB.*

- (2) *For each member low ranked but not referred to a PSB, Boards will prepare statements explaining the reasons for the low ranking, through a balanced presentation of the member's strengths and weaknesses, and addressing areas in which performance or potential might be improved. These statements shall draw where possible on material from more than one rating period and from more than one rating officer. Such statements will include specific examples of performance given in reports from the most recent five years. Statements will be prepared for members low ranked who are in their final year of time in class (TIC) or subject to mandatory retirement for age (65) and who will not be reviewed by another Selection Board. (This will include members in their final year of TIC who are not recommended for an LCE.)*

**NOTE:** *Members identified for low ranking who were also low ranked in one or more of the years 2000-2003 will be automatically referred to a PSB, provided the member had a different rating officer in at least two of the years s/he was low ranked. The determination of automatic PSB referral will be made subsequently by HR/PE and requires no action by Selection Boards.*

- c. *For any adverse action, such as low ranking or referral to a Performance Standards Board, an absolute majority of Board members must concur.*
- d. *The records of members low-ranked or referred to a Performance Standards Board will be reviewed on a confidential basis within the Bureau of Human Resources and the Office of Medical Services (M/DGHR/MED) before Selection Board recommendations are implemented. The Director General may, on the basis of a recommendation by M/DGHR/MED or the Office of Career Development and Assignments (HR/CDA), determine that for compelling medical or compassionate reasons, a member should not be certified to the PSB or given a copy of the board's low ranking statement. In this event, the individual will be considered as having been "non-rated" by the 2004 Selection Board and the cumulative data card will be so annotated in accordance with these precepts, but the member will not be granted any additional period of time-in-class.*

### **3. Additional Authorities and Responsibilities**

#### **1. Non-Rates**

*Boards must review and reach a decision with regard to any member for*

*whom periods of performance over the most recent five years or time in class, whichever is longer, are covered by evaluation or training reports or memoranda documenting any unevaluated period of performance. When periods of performance have not been evaluated, the Boards shall assume comparability with rated performance. If a Board determines that there is not a pattern of consistent performance, with the concurrence of the Director of HR/PE, the Board may determine that the file is insufficiently documented and non-rate a member. Boards will prepare a written justification in each case, with a copy to the non-rated member. When a member is non-rated by a Board, the member's time in class is extended by one additional year.*

## **2. Meritorious Service Increase**

*Senior Generalist and Specialist Threshold and Intermediate Boards may recommend conferral of Meritorious Service (within-grade) Increases (MSIs) for employees who are rank ordered by those Selection Boards but who are not promoted because of limited promotion opportunities. Those employees shall be recommended for MSIs in accordance with their rank order. MSIs thus are awarded for the quality of cumulative and competitive performance. The number of MSIs should not exceed ten percent of members in the competition group. A statement noting MSI recognition will be placed in each member's OPF.*

*A Meritorious Service Increase shall not be granted to a member recommended for one if, after the Board is dismissed, the member is determined to have been ranked within the number of available promotion opportunities. Those recommended who were granted a step increase in the previous 52 weeks cannot be awarded the increase. Those recommended who have reached the highest salary step of their grade will be granted a cash award of \$2500, subject to the availability of funding. In both cases, the recommendation will become part of the employee's Official Performance Folder (OPF).*

*If Department funds are not available, the Bureau of Human Resources (HR) will contact the Bureau of any employee recommended for an MSI by the Selection Boards who is already at the top step of his/her grade. HR will encourage the Bureau to recognize the employee's outstanding performance for the rating period by nominating him/her for a cash performance award equal to the dollar amount of the MSI.*

*Any employee responsible for a delinquent Employee Evaluation Report (EER) will not be eligible to receive a Meritorious Service Increase during the 12 months following the due date of the delinquent EER (3 FAH-1 H-2819).*

**Note:** *The Bureau of Human Resources will implement all Meritorious Service Increases as of the effective date of the promotions.*

### **3. Counseling Function**

*The Selection Boards have an important role to play in counseling employees. Members mid-ranked by the Board may include individuals whose performances, though fully competent and within the standards of the class, nevertheless exhibit potential problems that could lead to career difficulties in the future. For example, the Board may notice a small but noteworthy performance flaw, an unproductive assignment pattern, or the lack of an important skill which training could remedy. From its unique perspective viewing the broad range of a competition group, the Board should take the responsibility of counseling any such employee coming to its attention, issuing a counseling statement explaining the problem. These counseling statements are deemed private communications between the Board and the employee and have no formal career consequences.*

### **4. Commendations and Criticism**

#### **a. Rating and Reviewing Officers**

*Boards will identify rating and reviewing officers and Inspectors who merit commendation or criticism for the quality of evaluations they prepared in the most recent rating period. A statement of commendation will be placed in the Official Performance Folder (OPF) of each employee so commended.*

*Boards should take special care to identify reports in which recommendations for promotion or additional experience are not adequately supported by the narrative statement; in which comments in the "Areas for Improvement" of the Employee Evaluation Report (EER) (i.e., Section V C of DS-1829 or VIII B of DS-5055), are superficial or absent; or in which a reviewing officer has failed to review the ratings adequately for thoroughness, objectivity, soundness, and compliance with evaluation instructions.*

*In each case where a member is criticized, the Board will prepare a written official statement citing deficiencies. A Board's statement of criticism will be placed in the member's Performance Folder and a copy of the statement will be provided to the member, who will have the right to reply in writing for inclusion in the Performance Folder if s/he so requests. Statements of criticism regarding deficient evaluations remain in the member's Performance Folder for two years so that future Boards may identify members who fail to carry out their supervisory responsibilities adequately.*

#### **b. Review Panels**

*Boards may identify Review Panels which merit commendation or criticism for their efforts, or lack thereof, to have EERs comply with the regulations and instructions. Where a Review Panel is criticized for failure to perform*

*fully its duties, the Board will prepare a written statement to the chairperson citing the deficiencies. The Board's statement of criticism will be placed in the chairperson's Official Performance Folder and a copy of the statement will be provided to the member, who will have the opportunity to provide a rebuttal for inclusion in the Performance Folder if s/he so requests. If, in the judgment of the Office of Performance Evaluation, a satisfactory rebuttal is offered, the statement and any rebuttal will be removed from the chairperson's Performance Folder. Statements of criticism regarding deficient performance on Review Panel chairpersons remain in the chairperson's Performance Folder for two years so that future Boards may identify members who fail to carry out their responsibilities adequately. A statement of commendation will be placed in the Official Performance Folder (OPF) of each chairperson so commended.*

## **5. Special Recommendations**

*Selection Boards shall make to the Director General any recommendations they consider appropriate concerning the members under consideration, the materials used in the evaluation process, or improvements to the evaluation and selection process. If a Board has no recommendations to make, it shall so state. Recommendations or comments, other than those concerning individuals, will be made available to appropriate officials of the American Foreign Service Association on a confidential basis.*

## **B. BRIEFINGS, MATERIALS AND GENERAL GUIDANCE FOR THE BOARDS**

- 1. Members of the Office of Performance Evaluation (HR/PE) will guide the Boards on the technical procedures to be followed; HR/PE will provide Board members an oral briefing on voting and related procedures at the outset of Board deliberations. The Boards will address all queries regarding their work only to the staff of that office.*
- 2. No information will be provided about a member to be reviewed except the Official Performance Folder, an abbreviated Employee Profile, and, at grades FS-02 and above, the security incident record and employee responses described in Addendum 2 to these Precepts. Board members should observe the caution that information on Employee Profile sheets may not be fully accurate and that the sole official source of information to be weighed by the Board is the member's Performance Folder. At the appropriate point in the Board's deliberations, the number of promotions Management can authorize for each competition group in the current promotion cycle will be given to the Board. In addition, Board members will have available relevant reference materials, including the Core Precepts and the Procedural Precepts, Instructions for the Preparation of*

*Employee Evaluation Reports, a copy of the Foreign Service Act of 1980, as amended, and the Foreign Affairs Manual.*

3. *Boards will base their decisions on a member's promotability only on material that is properly a part of the member's Performance Folder and, at grades FS-02 and above, on the security incident record and employee responses described in Addendum 2 to these Precepts. Boards may review the entire Performance Folder; placing greatest emphasis on the most recent five years of service or time in class, whichever is longer. They should not give undue weight to any single evaluation report in isolation from other reports covering the last five years or time in class, whichever is longer.*
  - (a) *Foreign language excellence is one of the hallmarks of the Foreign Service and a key feature distinguishing members of the Foreign Service from other federal employees. The Boards are instructed to duly consider foreign language excellence, which enhances the member's contribution to the Mission.*
  - (b) *Boards are instructed not to penalize employees for taking periodic assignments out-of-cone or out of specialized skill group.*
  - (c) *The Department places considerable value on periodic training to enhance professional skills and ensure diplomatic readiness. Selection Boards should attach special value to an employee's demonstrated commitment to professional skill development via appropriate training opportunities.*
  - (d) *Files of some members who entered the Service in classes above customary levels of entry or after prior service in another foreign affairs agency or the private sector, or whose service was interrupted, may contain information from previous periods of Government employment; other members, with similar prior experience, may have files relatively lacking in evidence of extended past performance. Members should not be disadvantaged because of such differences in their performance records or because information on earlier work experience may be lacking through no fault of the member reviewed. Boards should, however, give full consideration to documented periods of relevant prior service.*
  - (e) *Selection Boards should not discount a member's overall standing in any way because of a period of performance not*

*rated by an evaluation report.*

- (f) Board members may be acquainted with members under review. Board members will not reveal information about a member or a member's performance not properly included in the Performance Folder. Boards shall disregard any disciplinary letters in a member's Performance Folder, which by their terms should have been removed from the folder, and should bring the existence of such letters promptly to the attention of the HR/PE staff.*
- (g) A Board member who was the rating or reviewing officer of the member under review while such member was in his/her present class will be excused from participating in the Board's consideration of that file, if the member being reviewed so requests.*
- (h) When a member of a Board believes that s/he may be unable to render a fair and unbiased judgment of an individual, that member shall state that fact in writing and will be excused from further consideration of the individual. That Board member shall continue to participate in the other activities of the Board and shall not be required to state a reason for not participating in the consideration of a particular individual.*
- (i) To the extent consistent with these Precepts and relevant supplementary technical guidance, Boards will establish the internal organization of their workload, deliberations, discussions, and decisions, as they deem appropriate.*

### **C. SUBMISSION OF FINDINGS AND RECOMMENDATIONS**

*Each Board's findings will be forwarded to the Director General under cover of a transmittal letter signed by the Board members. The Director General may return the Board's findings for reconsideration if there are questions regarding the procedures used by the Board or conformity with the Precepts. If the findings are not returned for one of these reasons, the Director General shall accept the Board's findings. Each Board will prepare the following reports, as applicable:*

- 1. A rank-order list for each competition category of all members whom the Board deems qualified for immediate promotion.*
- 2. Except as provided in Part III (A) paragraph two (b)(2) on page ten, an alphabetical list of the members low ranked with a counseling statement for each member who was not referred to a Performance Standards*

*Board.*

3. *Except as provided in Part III (A) paragraph two (b)(2) on page ten, an alphabetical list of members to be referred to a Performance Standards Board with a statement explaining the reason for each referral.*
4. *Alphabetical lists of other members in each competition category (where appropriate) who were reviewed.*
5. *Separate rank-order lists, for each competition group reviewed for LCEs, of all members the Board finds qualified for limited career extensions.*
6. *An alphabetical list for each competition group of all other members reviewed for LCEs.*
7. *A list of rating and reviewing officers who merit commendation or criticism for the quality of the evaluation reports they prepared in the most recent rating period or, if there is none, then a statement that no rating or reviewing officer merited commendation or criticism. In each case where an officer is criticized, the Board shall prepare a written statement citing deficiencies.*
8. *A list of Review Panel chairpersons who merit commendation, or criticism for their efforts to ensure compliance with regulations and instructions governing preparation of EERs or, if there is none, then a statement that no Review Panel chairperson merited commendation or criticism. In each case where a chairperson is criticized, the Board shall prepare a written statement citing deficiencies.*
9. *A list of members who could not be rated for promotion, if such a decision was approved by the Director, HR/PE. A statement of the reasons for the non-rate must be provided.*
10. *A list of members who could not be rated for LCE, with a statement for each.*
11. *Recommendations on the training, assignment, counseling, or related personnel matters for any member or group of members reviewed.*
12. *An alphabetical list of SFS members recommended for consideration for Performance Pay Awards.*
13. *An alphabetical list of all other members reviewed for Performance Pay Awards.*
14. *An alphabetical list of SFS members nominated for consideration for Presidential Awards.*

15. *Recommendations concerning policies and procedures for subsequent Boards and improvements to the performance evaluation system, except that if a Board has no recommendation to make, it shall so state.*

#### **D. OATH OF OFFICE**

*Board members will heed the following oath of office and adhere to the Precepts. Failure to observe these instructions may result in disciplinary action or penalties as prescribed by the Privacy Act. Board members should report to the Director, Office of Performance Evaluation, any attempt to provide them information not authorized by the Precepts.*

#### **OATH**

*"I, \_\_\_\_\_, do solemnly swear (or affirm) that I will perform the duties of a member of a Selection Board faithfully and to the best of my ability; that I will adhere to the Precepts; that I will apply the Precepts and promotion criteria without prejudice or partiality; and that I will not reveal to unauthorized persons any information concerning the personnel records used or the deliberations and recommendations of the Board (so help me God)."*

#### **ORGANIZATION OF THE BOARDS**

*Selection Boards are organized into Generalist and Specialist Boards to consider separately Foreign Service members with primary skill codes in (1) generalist occupational categories and (2) specialist occupational categories. Generalist occupational categories include the following skill codes:*

<i>Management</i>	<i>2010</i>
<i>Consular</i>	<i>3001</i>
<i>Public Diplomacy</i>	<i>4400</i>
<i>Economic</i>	<i>5015, 5025</i>
<i>Political</i>	<i>5505, 5520</i>
<i>Labor</i>	<i>5535</i>
<i>Environment, Science &amp; Technology</i>	<i>6020</i>
<i>Multifunctional (Secondary Skill Code)</i>	<i>0060</i>

*Specialist occupational skill codes are listed in the paragraphs describing the organization of the Specialist Boards (below).*

### **PART IV. SENIOR BOARDS**

*In creating the Senior Foreign Service, the Foreign Service Act of 1980 intended to establish a Service "characterized by leadership qualities and highly developed functional, foreign language, and area expertise." In considering officers for promotion within and into the SFS, Boards should give*

*due credit to evidence of achievement and competency in these areas. Most senior positions require broad leadership and managerial skills spanning functional divisions. In considering officers for promotion on a class-wide basis, Boards should give weight to evidence of competency and accomplishment in carrying out executive responsibilities (i.e., the ability to plan, organize, administer, and evaluate programs) in both the member's primary career field and, particularly, across functional lines.*

#### **A. PROMOTION INTO THE SENIOR FOREIGN SERVICE**

*Promotion across the threshold into the SFS represents a determination that the officer promoted is capable of carrying out the very demanding and responsible duties in senior level positions of the Foreign Service. Some employees under review may not have demonstrated the potential to serve in the SFS but should more appropriately complete their careers at the FS-1 level. Class 1 Generalist officers must have achieved a tested competence of S-3/R-3 proficiency level in a foreign language to be eligible for promotion into the Senior Foreign Service. Beginning in 2009, generalists and specialists will be required to serve at least one full tour after tenure at a post with a differential of five percent or greater at time of service before promotion into the Senior Foreign Service, with appropriate waivers.*

#### **B. FS-1 MEMBERS WHO CHOOSE NOT TO COMPETE FOR SENIOR FOREIGN SERVICE PROMOTION**

*The Senior Generalist and Specialist Threshold Boards will review the files of FS-1 members with primary skill codes in the occupational categories under review who were eligible to apply for promotion consideration but did not, to identify those who should be low ranked and/or referred to a Performance Standards Board. No negative implication shall be drawn from the fact that a member eligible to request promotion consideration chose not to do so.*

#### **C. PERFORMANCE PAY AND PRESIDENTIAL AWARDS FOR SENIOR FOREIGN SERVICE MEMBERS**

*The Performance Folders of employees eligible for consideration for performance pay and Presidential Awards, with the exception of those for Career Ambassadors (FE-CA) and Career Ministers (FE-CM) for performance pay, will be subject to a preliminary review by the appropriate generalist or specialist Board. Those Boards may recommend up to 50 percent of eligible employees in alphabetical order for final review for performance pay by Senior Foreign Service Performance Pay Boards, one for generalists and one for specialists. Senior Foreign Service Performance Pay Boards then will consider for performance pay the Performance Folders of all eligible Career Ambassadors (FE-CA) and all eligible Career Ministers (FE-CM) as well as members serving in the classes of Minister-Counselor (FE-MC) and Counselor (FE-*

*OC) who have been designated for consideration by the appropriate Senior Board. The Under Secretary for Management will determine the number and amounts of performance pay awards authorized. Senior Foreign Service Performance Pay Boards will be advised of the number of awards available and will review the files for performance pay. Both the preliminary and the final reviews will consist of the recently concluded rating period only.*

*Performance pay is based on superior performance in the most recent rating period. While promotion is based on multiple years of accomplishments, performance pay is awarded for a single year's accomplishments. As such, competition groups for performance pay are different from those used for promotion. Some outstanding members have held Presidential appointments and have elected the pay and benefits of their positions; therefore, those members are not eligible for performance pay.*

*The Boards are encouraged to weigh positively participation in outreach or "community service" activities that contribute to employee welfare and strengthen the Department as an institution. For example, Diplomat-in-Residence work is now focused on support of the Department's recruiting initiatives, which is a top management priority. The Boards are also encouraged to weigh positively evidence that an employee actively promotes leadership and management training at the organizational level, enhances that training, and applies the principles of leadership and management training to foster organizational improvement.*

*For Presidential Awards, the review will encompass the last three annual rating cycles while the member was in the Senior Foreign Service or equivalent grades.*

*SFS Selection Boards will recommend Presidential Award candidates to the Department's Senior Review Board (DSRB). SFS Selection Boards may nominate up to 15 percent of eligible SFS employees for consideration by the DSRB. The DSRB then will nominate candidates for the Presidential Distinguished Service and Meritorious Service Awards to the Interagency Selection Board, which will nominate candidates to the Secretary.*

*Any employee responsible for a delinquent Employee Evaluation Report (EER) will not be eligible to receive a Presidential award or performance pay during the 12 months following the due date of the delinquent EER (3 FAH-1 H-2819).*

*Decision criteria for performance pay and Presidential Awards are attached as an addendum (1) to these Precepts.*

#### **D. DENIAL OF FE SALARY LEVEL INCREASES**

*Senior Boards must recommend denial of a salary increase in any case in which they low rank or refer a member to a Performance Standards Board.*

## **E. SPECIAL DIRECTIVES**

1. *Selection Boards that determine promotions, performance pay, Presidential Awards, and low ranking will be utilized to make the base pay adjustments authorized under the Senior pay reform legislation.*

### **2. MINISTER-COUNSELOR BOARD (SFS-II)**

*The Minister-Counselor Board will review on a class-wide basis the files of all eligible members of the class of Minister-Counselor. The Board should bear in mind that relatively few members demonstrate the exceptional qualifications warranting advancement to the class of Career Minister. No member should be recommended for consideration who has not already clearly demonstrated, through superior achievement in positions demanding broad leadership, policy direction, and program and resource management, that the officer is fully qualified to fill the most senior and responsible positions in the Service. In making its determinations, the Board should give particular weight to outstanding performance as Chief of Mission or in positions of comparable importance, such as Deputy Assistant Secretary and above, as well as to the member's ability to continue to perform at this level of responsibility.*

### **3. COUNSELOR BOARD (SFS-III)**

*The Counselor Board will review the files of all eligible members in the class of Counselor (Class FE-OC) who have generalist primary skill codes. In addition, the Performance Folders of all members with a primary skill code in one of the administrative sub-functions (General Services-2301, Human Resources 2201) will be reviewed with management generalists. Files will be reviewed both on a class-wide and a functional (by cone) basis, unless the members are reached for promotion on the class-wide rank-order list.*

### **4. SENIOR SPECIALIST AND SPECIALIST THRESHOLD BOARD (SFS-IV)**

*The Senior Specialist Board and Specialist Threshold Board will review the files of all eligible members in the class of Counselor and in class FS-1, who have primary skill codes in the following specialist occupational categories:*

<i>Category</i>	<i>Skill Codes</i>
<i>Financial Management Officer</i>	<i>2101</i>
<i>Security Officer</i>	<i>2501</i>
<i>Security Engineering Officer</i>	<i>2550</i>
<i>Diplomatic Courier</i>	<i>2580</i>

<i>Information Technology Manager</i>	<i>2884</i>
<i>Printing</i>	<i>4100</i>
<i>Information Resource</i>	<i>4200</i>
<i>English Language Programs</i>	<i>4300</i>
<i>Medical Officer</i>	<i>6110</i>
<i>Health Practitioner</i>	<i>6115</i>
<i>Psychiatrist</i>	<i>6125</i>
<i>Facilities Maintenance Specialist</i>	<i>6217</i>
<i>Construction Engineer</i>	<i>6218</i>

*In making recommendations for promotion and in discharging its other responsibilities, the Board will consider officers within each class (Counselor and FS-1) by occupational category. There are two exceptions at the OC level: 1) Security Officers and Security Engineering Officers will compete together for promotion and 2) former Information Management Specialists and Information Management Technical Specialists are competing together for promotion (at the OC and FS-1 level) as Information Technology Managers with the new 2884 skill code.*

#### *5. SENIOR FOREIGN SERVICE PERFORMANCE PAY BOARDS*

*Senior Foreign Service Performance Pay Boards, one for generalists and one for specialists, will consider for performance pay the Performance Folders of all eligible Career Ambassadors (FE-CAs) and all eligible Career Ministers (FE-CMs) as well as members serving in the classes of Minister-Counselor (FE-MC) and Counselor (FE-OC) who have been designated for consideration by the appropriate Senior Board. Senior Foreign Service Performance Pay Boards review generalists and specialists as follows. The Senior Foreign Service Performance Pay Board for generalists considers all SFS generalists (FE-OC, FE-MC, FE-CM, and FE-CA) together for performance pay as a group regardless of class and prepares a rank order list. The Senior Foreign Service Performance Pay Board for specialists considers all SFS specialists (FE-OC and FE-MC) together for performance pay as a group regardless of class and prepares a rank order list.*

#### *6. SENIOR THRESHOLD BOARD (GENERALISTS) (SFS-V)*

##### *a Promotion*

- The Senior Threshold Board will review the files of all eligible members of class FS-1 with generalist primary skill codes who have requested consideration for promotion into the Senior Foreign Service. The Performance Folders of members with a multifunctional skill code will be reviewed first on a multifunctional and then on a functional basis (by cone), unless the members are reached for promotion multifunctionally. The Performance Fold-*

*ers of members not designated multifunctional will be reviewed on a functional basis according to their primary skill code. The Performance Folders of all members with a primary skill code in one of the management sub-functions (General Services-2301, Human Resources-2201) will be reviewed with administrative generalists. Members requesting promotion across the senior threshold may be considered by no more than six consecutive annual selection boards and must leave the Service if not promoted within that period.*

- *Generalists seeking to cross the senior threshold must have an S-3/R-3 professional level of proficiency in at least one foreign language. Specialists are exempt from any language proficiency for promotion across the threshold.*

*b. Multifunctional Promotions*

- *The Department's goal in creating the multifunctional skill code is to assist the Department in expanding the pool of broad gauged officers prepared to assume senior leadership positions. The Board is asked to rate each employee in the MF competition group based on the relative strength of that member's Performance Folder and demonstrated ability to perform effectively at the next higher level.*
- *On September 25, 1998, the Director General and AFSA signed a new multifunctional program agreement broadening the former multifunctional program. Under the new program, officers no longer need to demonstrate cross-functional work (e.g., resource management vs. policy). This has been replaced by cross-conal service (e.g., political officer in an administrative, economic, consular or public diplomacy job). Multifunctional criteria continues to include transnational/global skills introduced in 1997 and largely eliminate the automatic status from the old "M" designation of jobs, e.g., office directors. Members found qualified for the multifunctional skill code will have served in positions designated as multifunctional (e.g., DCM), cross-conal or transnational/global. Except for a few officers "grand fathered" into the skill code at its creation, officers must apply for such a designation to a panel in Human Resources (HR/CDA).*
- *Multifunctional credit will be given to officers who are serving or have served in positions for which multifunctional credit was awarded but now no longer carry multifunctional credit; and to those serving in positions at the time of the agreement, will receive credit for the entire time they encumber these positions.*

*No member of the Service should be disadvantaged by these changes in the program.*

- *A copy of the negotiated agreement on multifunctionality between the Department of State and AFSA of September 25, 1998, will be provided to the relevant Boards.*
- *Positions encompassing core functions in the global (G) bureaus of OES, INL, PRM, and DRL were designated as multifunctional effective in 1997. Positions abroad designated as labor, environment/science/technology, narcotics, and refugee migration were also granted multifunctionality. The Director General incorporated the "T" bureaus into the program (and with AFSA's concurrence) in September 2000. Officers also qualify if they have done "G" or "T" bureau work overseas (e.g., as a human rights officer, pol/mil officer, narcotics affairs or refugee officer). As a consequence of changes to the program over the years, officers who are currently multifunctional may display a variety of assignment histories that reflect multifunctional rules in effect at the time of their application.*

## **PART V. INTERMEDIATE BOARDS**

### **INTERMEDIATE GENERALIST BOARDS**

*Intermediate Generalist Boards will review the Performance Folders of Foreign Service members with generalist skill codes in classes FS-2 through FS-4. The Performance Folders of members in classes FS-2 and FS-3 with a secondary multifunctional skill code will be reviewed first by the appropriate multifunctional Board and then on a functional basis (by cone). The Performance Folders of members not designated multifunctional will be reviewed by function only. The conal and multifunctional Boards for the same class will work independently, without regard to or knowledge of the decision of its counterpart. The Boards will be organized as follows:*

### **BOARDS G-II MULTIFUNCTIONAL AND G-III MULTIFUNCTIONAL**

#### **1. PROMOTIONS FS-2 TO FS-1 AND FS-3 TO FS-2**

*The Department's goal in creating the multifunctional skill code is to assist the Department in expanding the pool of broad gauged officers prepared to assume senior leadership positions.*

*The Multifunctional (MF) Boards are asked to rate each employee in the MF*

*competition group based on the relative strength of that member's Performance Folder and demonstrated ability to perform effectively at the next higher level.*

*On September 25, 1998, the Director General and AFSA signed a new multi-functional program agreement broadening the former multifunctional program. Under the new program, officers no longer need to demonstrate cross-functional work (e.g., resource management vs. policy). This has been replaced by cross-conal service (e.g., political officer in a management, economic, consular or public diplomacy job). Multifunctional criteria continues to include transnational/global skills introduced in 1997 and largely eliminates the automatic status from the old "M" designation of jobs, e.g., office directors. Members found qualified for the multifunctional skill code will have served in positions designated as multifunctional (e.g., DCM), cross-conal or transnational/global. Except for a few officers "grandfathered" into the skill code at its creation, officers must apply for such a designation to a panel in Human Resources (HR/CDA).*

*Multifunctional credit will be given to officers who are serving or have served in positions for which multifunctional credit was awarded but now no longer carry multifunctional credit; those serving in positions at the time of the agreement will receive credit for the entire time they encumber these positions. No member of the Service should be disadvantaged by these changes in the program.*

*A copy of the negotiated agreement on multifunctionality between the Department of State and AFSA of September 25, 1998, will be provided to the relevant Boards.*

*Positions encompassing core functions in the global (G) bureaus of OES, INL, PRM, and DRL were designated as multifunctional effective in 1997. Positions abroad designated as labor, environment/science/technology, narcotics, and refugee migration were also granted multifunctionality. The "T" bureaus were incorporated into the program by the Director General (and with AFSA's concurrence) in September, 2000. Officers also qualify if they have done "G" or "T" bureau work overseas (e.g., as a human rights officer, pol/mil officer, narcotics affairs or refugee officer). As a consequence of changes to the program over the years, officers who are currently multifunctional may display a variety of assignment histories that reflect multifunctional rules in effect at the time of their application.*

## **2. BOARDS G-II (A AND B) FS-2 TO FS-1 AND G-III (A AND B) FS-3 TO FS-2**

*Boards G-II and G-III will review by functional category (cone) the Performance Folders of all eligible members in classes FS-2 and FS-3 in the FO/FP*

*pay plans with generalist skill codes and FO members in the management subfunctions of finance, human resources, and general services. Eligible members with the Public Diplomacy skill code will be reviewed by Intermediate Generalist Boards G-II, Panel B, and G-III, Panel B, as appropriate.*

*Members recommended for functional promotions should demonstrate full proficiency in their primary functional field (cone). They may have deepened their functional expertise through a Department-sponsored university training program. Generalist officers, however, should, as they move into positions of greater responsibility, demonstrate an understanding of the broad range of State Department operations. Accordingly, experience, which broadens a functional officer’s perspective, should be given appropriate weight by the Board.*

### **3. BOARD G-IV**

*Board G-IV will review in classwide competition the Performance Folders of tenured members in class FS-4 who were in the Junior Officer, Mustang, and FSO Career Candidate Programs, plus the Performance Folders of career candidates in class FS-4 who have been recommended for tenure but who have not satisfied the language requirement.*

### **INTERMEDIATE SPECIALIST BOARDS**

*Intermediate Specialist Boards will review by occupational category the Performance Folders of eligible Foreign Service members in classes FS-2 through FS-6 with primary skill codes in the specialist occupational categories listed below, except that the Performance Folders of those members in the FO pay plan with skill codes in the administrative subfunctions of finance, personnel, and general services will be reviewed by Boards G-II and G-III. The Intermediate Specialist Boards will be organized as follows:*

<i>Board</i>	<i>Occupational Category and Skill Codes</i>	<i>Pay Plan/Class</i>
<i>S-I</i>	<i>Construction Engineer (6218)</i>	<i>FS 2-4</i>
	<i>Facilities Maintenance Specialist(6217)</i>	<i>FS 2-4</i>
	<i>Medical Technologist (6145)</i>	<i>FS 2-4</i>
	<i>Health Practitioner(6115)</i>	<i>FS 2-4</i>
	<i>Finance(2101)</i>	<i>FS 2-4</i>
	<i>Human Resources(2201)</i>	<i>FS 2-4</i>

	<i>General Services(2301)</i>	<i>FS 2-4</i>
	<i>Printing(4100)</i>	<i>FS 2-4</i>
	<i>Information Resource(4200)</i>	<i>FS 2-4</i>
	<i>English Language Program(4300)</i>	<i>FS 2-4</i>
<i>S-II</i>	<i>Security Officer(2501)</i>	<i>FS 2-4</i>
<i>S-III</i>	<i>Security Engineering Officer(2550)</i>	<i>FS 2-4</i>
	<i>Security Technician(2560)</i>	<i>FS 3-4</i>
	<i>Diplomatic Courier(2580)</i>	<i>FS 2-4</i>
<i>S-IV</i>	<i>Information Technology Manager(2884)</i>	<i>FS 2</i>
	<i>Information Management Specialist (2880)</i>	<i>FS 3-4</i>
	<i>Information Management Technical Specialist (2882)</i>	<i>FS 3-4</i>
<i>S-V</i>	<i>Office Management Specialist (9017)</i>	<i>FS 3-5</i>
<i>S-VI</i>	<i>Office Management Specialist (9017)</i>	<i>FS 6</i>

*Specialists are members of the Foreign Service whose primary skills involve such specialized professional and technical qualifications that their performance is difficult to compare with generalists or other specialists of the same class. The Boards will evaluate specialist members in accordance with the Criteria for Promotion in the Foreign Service, with emphasis on demonstrated performance and potential in the member's specialty.*

*Boards are reminded that some specialists serve in positions outside their specialist categories. Such assignments serve the interests of the Department as well as the developmental interests of the specialist. Evidence that a specialist has used such an assignment to enhance his/her value to the Department should be afforded the same weight as evidence in this regard with respect to assignments in his/her own specialty.*

*Boards will be informed when some members under their review have reached the top grade within their career field and cannot be further promoted. Boards should give particular attention to recommendations they are authorized to make concerning training and assignments, and a member's potential to serve in other functions.*

**1. BOARD S-I (Finance, GSO, Human Resources, Health Practi-**

***tioners, Facilities Maintenance Specialists, Construction Engineers, Medical Technologists)***

*Board S-I will evaluate members with emphasis on demonstrated performance and potential in the members' function or occupational category.*

*Promotion eligibility to FP-03, 02 and 01 within the Facilities Maintenance Specialist skill code is dependent upon HR/CDA's verification of fulfillment of certification and training requirements: FP-03 – Certification under the Building Owners and Management (BOMI) Systems Maintenance Administrator program and 40 hour management course approved by OBO/OM/FAC; FP-02 – BOMI Facilities Management Administrator certification and fully successful performance in a Facilities Maintenance position; FP-01 – successful completion of a required 40 hour management training course approved by OBO/OM/FAC and certification as a Certified Plant Engineer by the American Institute of Plant Engineers. Facilities Maintenance Specialists who are not eligible for promotion consideration, however, will still be reviewed to identify those who should be low ranked and/or referred to a Performance Standards Board.*

***2. BOARD S-II (Security Officers)***

*Board S-II should be aware that since a preponderance of the positions in the Security Officer category are located in the United States, a number of security officers have not had the opportunity to serve abroad. The Board should ensure that no officer is disadvantaged because of the lack of an assignment abroad.*

***3. BOARD S-III (Security Engineers, Security Technicians, Diplomatic Couriers)***

*Board S-III will evaluate members with emphasis on demonstrated performance and potential in the members function or occupational category.*

***4. BOARD S-IV (Information Management Specialists and Information Management Technical Specialists)***

*Board S-IV should be aware that the Information Management Specialist (2880) skill code was created in March 1992. The skill code consists of former Systems Managers and former Operational Communications personnel. The two former categories have been considered jointly for promotion since 1993. Board S-IV should also be aware that at the Class 2 level, former Information Management Specialists and Information Management Technical Specialists are now competing together for promotion as Information Technology Managers with the new 2884 skill code.*

*The Board will evaluate members placing emphasis on those individuals who*

*have shown initiative to the extent opportunities exist, in acquiring, through formal or informal means, the skills of the new, broad based, Information Management Specialist (IMS) category. The Board shall place priority consideration on those members who have demonstrated skills, performance, and potential in multiple disciplines (the former computer systems and telecommunications skills of the 2880 group). Because the skill codes have been combined since March 1992, every 2880 skill code individual has had ample opportunity to demonstrate skills, or at a minimum potential for acquiring skills, in multiple areas and the Board should rate accordingly. In considering FS-03s for promotion, the Board should consider whether employees in skill codes 2880 and 2882 have gained leadership, management, and supervisory experience by serving in 2880 or 2882 management positions.*

*Eligible members of classes FS-2 through FS-4 in the Information Management Technical Specialist (IMTS) 2882 category, formerly known as Communications Officer-Technical (2442), will also be considered for promotion by the S-IV Board. The Board shall give particular credit to those individuals who have shown initiative (through either formal or informal means) in the skill areas of computer systems, telecommunication, radio, telephone, and software operating systems to meet the new, changing information technology needs of the Department.*

## **5. BOARDS S-V and S-VI (Office Management Specialists)**

*The growth of office automation and diminishing resources have led to a more multifaceted role for office management specialists and to expanding duties in the area of office management and systems administration. These duties include substantive tasks related to the work of the office and can involve use of foreign languages. The Department views the Foreign Service office management specialist as an employee who has the potential to perform a variety of functions. These include administrative work (human resources, communications, systems administration, security, general services, etc.), consular work, managing information, public affairs responsibilities and staff assistant assignments, among others.*

*Many office management specialists continue to handle traditional duties and to function as executive assistants to senior officials. Historically, the Department has considered these office management specialists to be at the top of the career ladder, as were office management specialists in Staff Assistant and Personal Assistant positions. But with the assignment of office management specialists to other specialist and interfunctional positions and with the need to make maximum use of the abilities of all personnel in this time of diminishing resources, office management specialists should be evaluated against the Precepts for their initiative, management skills, leadership, and interpersonal and intellectual skills regardless of the nature of*

*the position they hold.*

*The Boards must not disadvantage any office management specialist who appears interested in or prepared to move to another career field or who has served a substantial part of her/his duties in non-traditional office management specialist functions. At the same time, the Boards shall give full credit to the performance of office management specialists in jobs involving traditional duties. They shall also give full credit to those filling executive office management specialist positions.*

## 3 FAH-1 EXHIBIT B

# DECISION CRITERIA FOR TENURE AND PROMOTION IN THE FOREIGN SERVICE

*(TL:POH-90; 04-03-2003)*

*(State Only)*

*(Applies to Foreign Service Only)*

The Core Precepts provide the guidelines by which Selection Boards determine the tenure and promotability of U.S. Foreign Service employees. These Precepts will be in effect for the 2002-2003, 2003-2004 and 2004-2005 rating cycles.

The Precepts enlarge upon the headings found in existing Employee Evaluation Report (EER) forms, defining the specific skills to be considered and the level of accomplishment expected at different grades. They distinguish between apprentice, journeyman, and master level – the junior, mid-level, and senior ranks.

The Precepts are arranged in a grid; the left column defines the skill; the progressive possession and exercise of that skill are captured in boxes from left to right. For example, under Substantive Knowledge, Job Information, a junior officer “Uses FSI training to improve individual performance. Develops and applies knowledge needed in current assignment; learns factors which impact work; understands how job relates to organizational goals and U.S. policy objectives.”

The skills are cumulative; the descriptions for each level assume the employee has mastered those at the lower level(s). The rating employee should review descriptions at lower levels before making an evaluation. For instance, in rating a mid-level employee, the rating employee should review the descriptions both for “Mid-level” and for “Junior-level”.

Because progression in some specialist skill codes is capped at the mid levels, the Senior Foreign Service column does not apply to those specialists.

Management has consulted with AFSA regarding the content and form of these Precepts.

## CONTINUATION—3 FAH-1 H-2321 EXHIBIT H-2321 B

Leadership Skills		
Junior-Level	Mid-Level	Senior-Level
Problem Solving and Decision Making		
Identifies issues within context of own job, which require decisions or other action; arrives at recommendations in a logical, orderly manner; acts confidently and decisively within own purview, consulting others as appropriate; is sensitive to needs and opinions of others.	Makes reasoned, effective, and timely decisions after considering all relevant factors and options, even when data are limited or conflicting or will produce unpleasant consequences; implements decisions and evaluates their impact and implications, making adjustments as needed.	Integrates policy and administrative factors into problem solving and decision making in a manner enhancing the entire organization; encourages staff to accept responsibility.
Innovation		
Takes initiative to go beyond assigned tasks; identifies problems and proposes creative solutions; seeks to improve job and organization performance.	Develops insights into situations and applies them in the workplace; devises innovative solutions to make organizational improvements and policy adjustments.	Creates an organization-wide environment, which encourages innovation; takes a long-term view and acts as a catalyst for constructive change; conceives and institutes organization-wide policy and program initiatives; anticipates and prepares for the future.

## **CONTINUATION—3 FAH-1 H-2321 EXHIBIT H-2321 B**

Junior-Level	Mid-Level	Senior-Level
Representational Skills		
Establishes and maintains purposeful and productive relationships with domestic and foreign contacts; interacts effectively in official and social encounters.	Identifies and cultivates key individuals and institutions; advances U.S. interests through hosting and attending representational events.	Moves with ease at all social settings and levels; ensures identification, cultivation, and periodic assessment of audiences important to U.S. interests.
Openness to Dissent		
Demonstrates the intellectual integrity to speak openly within channels and a willingness to risk criticism in order to voice sensible dissent. Publicly supports official decisions, even when disagreeing with them.	Discerns when well-founded dissent is justified; engages in constructive advocacy of policy alternatives; guides staff to do the same.	Accords importance to well-founded dissent and defends its appropriate expression.

## CONTINUATION—3 FAH-1 H-2321 EXHIBIT H-2321 B

Junior-Level	Mid-Level	Senior-Level
Community Service and Institution Building		
<p>Participates actively in outreach or “community service” activities that contribute to employee welfare, e.g., volunteers for Post or Department programs, initiatives, ceremonies, special events, blood and fund drives, and other activities.</p>	<p>Participates actively in performance evaluation decision making and resource allocation activities, e.g., serves on Selection Boards or on post EER Review Panel; works on resource allocation committees, e.g., Housing Board; counsels personnel more junior in grade.</p>	<p>Participates actively in “institution building” activities that strengthen the Department as an organization, e.g., recruits for the Department, e.g., serves as Diplomat-in-Residence or on the Board of Examiners; works on the Selection Boards; participates in Department mentoring program.</p>

## CONTINUATION—3 FAH-1 H-2321 EXHIBIT H-2321 B

Managerial Skills		
Junior-Level	Mid-Level	Senior-Level
Operational Effectiveness		
Plans, organizes, and directs activities effectively; ensures that projects within area of responsibility are completed in a timely manner; accepts supervision and guidance; provides feedback to supervisors. Demonstrates commitment and moral courage by making difficult choices, by working with a sense of purpose, and by caring about the results.	Produces results in most effective manner; objectively analyzes the organization's strengths and weaknesses, and takes appropriate action.	Establishes effective management procedures and controls; encourages and rewards efforts of staff to enhance their effectiveness; foresees challenges to, and opportunities for, the organization and takes steps in advance to deal with them.
Management of Resources		
Utilizes internal controls to protect the integrity of the organization and prevent waste, fraud, and mismanagement, reporting any instances where such problems occur; uses material and financial resources prudently; strives to produce highest return with lowest cost.	Ensures that effective internal controls are in place and work correctly; allocates resources efficiently, equitably, and in conformity with policy and regulatory guidelines.	Evaluates adequacy of internal controls and ensures implementation of improvements as warranted; holds managers accountable for the consequences of their resource policy decisions; seeks resource adjustments as needed.

## **CONTINUATION—3 FAH-1 H-2321 EXHIBIT H-2321 B**

Junior-Level	Mid-Level	Senior-Level
Management of Classified Material and Information		
<p>Practices good personal security. Takes full responsibility for handling and safeguarding classified material and information properly.</p>	<p>Encourages the practice of good personal security measures. Takes full responsibility for handling and safeguarding classified material and information properly; ensures that effective procedures are in place to protect classified material and information and that established security regulations are being followed.</p>	<p>Promotes the practice of good personal security measures by employees. Takes full responsibility for handling and safeguarding classified material and information properly; promotes security consciousness on an organization-wide basis; evaluates and monitors procedures to safeguard classified material and information, and ensures that necessary changes are made if current procedures are inadequate; holds managers accountable for the consequences of their security policy decisions.</p>

## CONTINUATION—3 FAH-1 H-2321 EXHIBIT H-2321 B

Junior-Level	Mid-Level	Senior-Level
Performance Management and Evaluation		
<p>Participates in preparation of work requirements for self and works with staff in preparing their work requirements; develops plans to accomplish work requirements; ensures that staff are appropriately utilized, appraised, and rewarded; gives staff both formal and informal feedback on performance and potential; completes employee evaluations in accordance with standards and deadlines.</p>	<p>Establishes broad performance expectations for unit; manages staff effectively, focusing on results; monitors plans to accomplish work requirements; delegates appropriately; creates a productive work environment in which the contributions of individuals are valued and encouraged; assists in preventing and resolving personnel problems; ensures that the evaluation process is properly conducted and that counseling occurs throughout the rating year.</p>	<p>Establishes organization-wide performance expectations; inspires a high level of performance in staff; ensures the professional development and mentoring of staff; oversees possible improvements in human resource processes; works to prevent and resolve personnel problems in a timely manner; ensures that the evaluation and counseling process is conducted effectively and in accordance with standards and deadlines.</p>

## CONTINUATION—3 FAH-1 H-2321 EXHIBIT H-2321 B

Junior-Level	Mid-Level	Senior-Level
Support for Equal Employment Opportunity		
<p>Takes diversity training and applies its principles to the workplace; treats all individuals with respect and without regard to race, color, gender, religion, national origin, age, disability, or sexual orientation; acts in compliance with U.S. Government and Department EEO policies.</p>	<p>Recruits and develops employees to realize full potential of a diverse staff. Promotes diversity awareness through training; ensures by example and instruction, and verifies through monitoring and follow-up, that all employees are treated with fairness and respect; applies EEO and merit principles consistently; identifies and addresses situations giving rise to complaints and grievances based on issues of fairness in the workplace.</p>	<p>Manages diversity by recruiting diverse staff at all levels and ensuring staff diversity training and awareness. Fosters an organization-wide environment in which diversity is valued and respected; provides personal leadership and vigorous support for EEO and fair employment practices.</p>
Interpersonal Skills		
Professional Standards		
<p>Holds self accountable for rules and responsibilities; is dependable and conscientious; is composed, professional, and productive, even in difficult conditions.</p>	<p>Is self-directed; consistently maintains equanimity and a professional demeanor; maintains own motivation and encourages others to persevere in difficult circumstances.</p>	<p>Sets the standard for integrity and workplace behavior by example and instruction; does not lose composure under stress or in crisis.</p>

## CONTINUATION—3 FAH-1 H-2321 EXHIBIT H-2321 B

Junior-Level	Mid-Level	Senior-Level
<b>Adaptability</b>		
Adapts behavior and work methods as needed in response to new information, changing conditions, or unexpected obstacles; displays sensitivity to cultural differences.	Guides staff in adjusting to new environments and different value systems and cultures, while maintaining own standards and identity.	Anticipates and plans for change; exercises sophisticated cultural sensitivity in all circumstances.
<b>Customer Service</b>		
Responds professionally, courteously, and competently to both internal and external customers.	Balances competing and sometimes conflicting interests of a variety of customers; anticipates and responds appropriately to customer needs.	At the organization level, encourages customer-oriented focus; maintains or improves services organization-wide.
<b>Teamwork</b>		
Applies what he/she learns about team building to be an effective team member. Is open to views of others; works in collaborative, inclusive, outcome-oriented manner with U.S. and foreign colleagues; accepts team consensus.	Is an effective team leader, who facilitates open exchange of ideas; fosters cooperation and collaboration among U.S. and foreign colleagues; motivates and guides team members toward a common goal.	Is an effective team motivator, who inspires all staff to participate and contribute; encourages and develops a team identity and cohesiveness among staff; resolves work-related problems by mobilizing team skills and resources.
<b>Social Perceptiveness</b>		

## CONTINUATION—3 FAH-1 H-2321 EXHIBIT H-2321 B

Junior-Level	Mid-Level	Senior-Level
<p>Demonstrates sensitivity in both domestic and foreign environments to status, protocol, and chain of command; responds considerately to the needs, feelings, and capabilities of others; shows respect for cultural differences.</p>	<p>Understands and deals effectively with relationships and aspirations; anticipates how others will react; frames own responses to achieve results.</p>	<p>Navigates easily in an environment of shifting relationships; anticipates socially sensitive issues and takes appropriate action.</p>
<p>Persuasion and Negotiation</p>		
<p>Learns to influence others; gains cooperation while showing, in the spirit of mutual respect, understanding of others' positions.</p>	<p>Influences others deftly; fosters understanding of U.S. Government and Department views and positions; develops alliances with others; finds common ground among disparate forces and builds consensus; facilitates win-win situations.</p>	<p>Negotiates effectively on a wide range of issues in internal, bilateral, and multilateral environments; manages and resolves major conflicts and disagreements in an interest-based manner; manifests a faculty for astute compromise without sacrificing ultimate goals.</p>
<p>Communication and Foreign Language Skills</p>		
<p>Written Communication</p>		

## CONTINUATION—3 FAH-1 H-2321 EXHIBIT H-2321 B

Junior-Level	Mid-Level	Senior-Level
Writes succinctly; produces written materials that are thorough; conveys analysis that highlights essential points and clearly explains essence of subject to the intended audience.	Writes persuasively; ensures that policy and operational issues are articulated in ways most helpful to decision makers; assists staff to develop effective writing skills.	Exhibits full mastery of written communication; shows sophisticated ability to analyze, synthesize, and advocate in a timely manner; edits others' texts judiciously.
Oral Communication		
Speaks in a concise, effective, and organized manner, tailored to the audience and the situation; speaks convincingly in groups and in individual discussion.	Speaks authoritatively to all audiences, demonstrating comprehensive understanding of issues and options; articulates policy goals persuasively; fosters an atmosphere of open communication and exchange of ideas; seizes opportunities to present U.S. perspective to audiences.	Effectively argues complex policy issues; deals comfortably with the media and with the most senior levels of government and society; is active and effective in public diplomacy outreach.
Active Listening		

## CONTINUATION—3 FAH-1 H-2321 EXHIBIT H-2321 B

Junior-Level	Mid-Level	Senior-Level
<p>Listens attentively; understands and absorbs others' messages; correctly reads nonverbal signals; summarizes others' views accurately and confirms accuracy of understanding; considers and responds respectfully and appropriately.</p>	<p>Instills trust in others, which motivates them to speak openly and candidly; understands and respects cultural sensitivities and constraints in discussing issues and opinions; asks open-ended, incisive questions to ensure accuracy of understanding.</p>	<p>Adeptly discerns the innermost meanings and nuances of messages that others convey.</p>
<p>Attains professional proficiency* in at least one foreign language; uses foreign language skills to enhance job performance; seeks to improve foreign language skills.</p> <p>*Generalists, to be tenured, must attain level removing them from language probation.</p>	<p>Has attained professional proficiency* in at least one foreign language; uses that skill effectively to communicate U.S. Government themes and exercise influence; works to increase foreign language ability.</p> <p>*Generalists, to cross senior threshold, must attain S/3-R/3 in one language.</p>	<p>Having demonstrated proficiency in at least one foreign language, strives to acquire proficiency in one or more additional languages.</p>
<p>Intellectual Skills</p>		
<p>Information Gathering and Analysis</p>		

## CONTINUATION—3 FAH-1 H-2321 EXHIBIT H-2321 B

Junior-Level	Mid-Level	Senior-Level
<p>Locates, evaluates, and quickly assimilates information; considers a variety of sources, cross-checking when appropriate; reorganizes information logically to maximize its practical utility and identify key underlying factors; recognizes when additional information is required and responds accordingly.</p>	<p>Has a sophisticated understanding of sources and their reliability; knows what to report and when; accepts that it may not be possible to base recommendations, decisions, or actions on comprehensive information; considers downstream consequences; guides and motivates staff to refine their own analytical skills.</p>	<p>Integrates fully a wide range of information and prior experiences in policy making; ensures that staff search out and evaluate information before making recommendations and decisions; recognizes situations in which information and analysis are incomplete, and responds wisely; accepts accountability for self and insists on it for staff.</p>
<p>Critical Thinking</p>		
<p>Identifies key information, central issues, and common themes; distinguishes fact from opinion and relevant from irrelevant information; identifies the strengths and weaknesses of various approaches; outlines realistic options.</p>	<p>Isolates key points, central issues, and common themes in a mass of complex information; can determine the best solution or action from a range of options; is objective in analyzing problems and judging people.</p>	<p>Analyzes and defines complex policy issues clearly, in terms which permit them to be dealt with in a practical way; encourages staff to analyze situations and propose options, giving constructive and instructive feedback; correctly senses when it is appropriate to take risks, and does so.</p>
<p>Active Learning</p>		

## CONTINUATION—3 FAH-1 H-2321 EXHIBIT H-2321 B

Junior-Level	Mid-Level	Senior-Level
<p>Seeks out new job-related knowledge and readily grasps its implications for the workplace; seeks informal feedback and learns from mistakes; recognizes own strengths and weaknesses and pursues self-development.</p>	<p>Develops plans to broaden own knowledge and to teach others in the workplace; provides informal feedback to colleagues.</p>	<p>Anticipates the need for new information or knowledge for self and others; identifies sources of new information and communicates these sources to staff.</p>
<p>Leadership and Management Training</p>		
<p>Learns basic principles of effective leadership and management. Pursues formal and informal training opportunities.</p>	<p>Uses training opportunities to improve personal leadership and management skills to keep abreast of current theory and techniques. Applies the principles learned at FSI courses on the job, e.g. by developing subordinates.</p>	<p>Actively promotes leadership and management training at the organizational unit level; as appropriate opportunities arise, works to enhance that training; applies principles of leadership and management training to foster organizational improvements.</p>
<p>Substantive Knowledge</p>		
<p>Job Information</p>		
<p>Institutional Knowledge</p>		

## CONTINUATION—3 FAH-1 H-2321 EXHIBIT H-2321 B

Junior-Level	Mid-Level	Senior-Level
<p>Understands institutional realities, which may affect work; understands the role and power of various offices and people, both domestically and abroad; cultivates and utilizes contacts in other organizational entities; uses institutional understanding to get things done.</p>	<p>Applies knowledge of institutional realities to policy and operational issues; crosses institutional boundaries in obtaining information and building support; operates on an equal footing with officials in other bureaus, agencies, foreign governments, business communities, academia, and media; assists staff to comprehend the institutional influences within which they work.</p>	<p>Uses sophisticated institutional understanding to avoid problems and advance U.S. Government goals; ensures that the staff is mindful of the importance of proper and prudent process in securing desired outcomes.</p>
Professional Expertise		
<p>Understands and applies Foreign Service procedures, requirements, regulations, and policies; assimilates Foreign Service milieu; builds knowledge of U.S. and foreign environments; uses developing expertise in work situations.</p>	<p>Strives to deepen understanding of the Foreign Service as a profession; uses expertise to evaluate policies and programs and to advise and develop others; is able to operate independently to further bureau/mission objectives.</p>	<p>Combines mastery of U.S. policy objectives and knowledge of foreign environments to advance U.S. Government goals; assists staff to develop Foreign Service skills and expertise, promoting a work environment that enhances their professional development.</p>
Knowledge of Foreign Cultures		

## **CONTINUATION—3 FAH-1 H-2321 EXHIBIT H-2321 B**

Junior-Level	Mid-Level	Senior-Level
<p>Demonstrates knowledge of foreign cultures, values, and norms; appropriately applies foreign perspective to domestic assignments and host country perspective to assignments abroad.</p>	<p>Has sophisticated grasp of foreign political, economic, cultural, and information environments; relates knowledge to fulfillment of bureau/mission goals.</p>	<p>Uses thorough knowledge of foreign environments to identify and seize opportunities to advance U.S. Government goals.</p>
<p>Technical Skills</p>		
<p>Learns and uses technical skills and technology as appropriate in setting of job; understands the impact of technology on the workplace; seeks ways to use technology to enhance performance.</p>	<p>Continuously enhances own and staff's understanding of work-related technical skills and technology and their applications; advances policy and program goals using available and appropriate technology.</p>	<p>Promotes own and staff's full utilization of technical skills and technology to achieve bureau/mission goals; devises efficient and cost-effective strategies to integrate technology into the workplace.</p>

## **3 FAH-1 H 2321 EXHIBIT 2321C**

### **ADDENDUM TO THE 2004 PROCEDURAL PRECEPTS**

*(CT:POH-101; 09-15-2004)*

*(State Only)*

*(Applies to Foreign Service Only)*

#### **PERFORMANCE PAY AND PRESIDENTIAL AWARDS**

##### *Performance Pay Award*

*Recommendations of SFS members for Department performance pay awards shall be based on the following criteria:*

- (1) The relative value of the member's achievement to the accomplishment of the Department's mission;*
- (2) The degree of difficulty inherent in successful achievement by the member;*
- (3) The extent to which achievement was characterized by strong executive leadership and significant contributions in the formulation of agency policies and programming;*
- (4) Effective supervision and development of subordinates;*
- (5) Participation in outreach or "community service" activities that contribute to employee welfare and strengthen the Department as an institution, such as recruiting (e.g., duty on the Board of Examiners or as Diplomat-in-Residence), mentoring and Selection Board work;*
- (6) Evidence that an employee actively promotes leadership and management training at the organizational unit level, enhances that training, and applies the principles of leadership and management training to foster organizational improvement;*
- (7) The extent of demonstrated highly developed functional, foreign language and area expertise;*
- (8) Achievements in the areas of cost reduction, efficiency, quality of work, productivity, and timeliness to the end of improving Foreign Service managerial flexibility and effectiveness;*

## **CONTINUATION 3 FAH-1 H 2321 EXHIBIT 2321C**

- (9) Meeting affirmative action goals and achievement of equal opportunity requirement;*
- (10) Achievements in the identification, correction, and control of waste, fraud, and mismanagement;*
- (11) Failure to manage classified material and information properly should be regarded as a serious impediment to the recommendation of performance pay;*
- (12) Evidence of effective performance management and evaluation as demonstrated by timely submission of employee evaluation reports.*

### *Presidential Award*

*Officers under review for nomination for Presidential awards, in addition to being judged by the criteria above, must consistently have demonstrated sustained accomplishment at a superior or extraordinary level as a member of the Senior Foreign Service, or in equivalent grades for at least three annual rating cycles, as well as qualities of integrity and creativity, and have maintained a high degree of public trust. Evidence of significant sustained accomplishment may be found in such areas as the following:*

- (1) 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;*
- (2) Managerial accomplishments in cooperative efforts with other foreign affairs agencies, other Federal agencies, other Government entities, and/or with the private sector, and/or*
- (3) Achievement of agency wide importance in policy, technical, program, and/or human resource terms.*

## **3 FAH-1 H-2321 EXHIBIT D ADDENDUM 2 TO THE 2004 PROCEDURAL PRECEPTS**

*(CT:POH-101; 09-15-2004)*

*(State Only)*

*(Applies to Foreign Service Only)*

### **SECURITY AWARENESS**

*Security is an inherent, inextricable, and indispensable component of all employee positions at the Department of State. Security awareness is so important to a Foreign Service employee that the management of classified material and information is an important part of the "core precepts", the decision criteria used by Selection Boards in their decisions on recommending Foreign Service employees for promotion. Foreign Service employees' performance includes an assessment of how well they fulfill their security-related responsibilities.*

*Every employee's work requirements include a statement about the proper management of classified material and information. Where an employee has demonstrated a pattern of failure with respect to safeguarding classified material and information, this will be reflected in the evaluation report. Failure to guard classified material and information is one of the areas of weakness, which may be grounds for a Selection Board's decision to low rank an employee.*

*Foreign Service Selection Boards will be given the security incident record for the five years before May 1, 2004 for each employee competing for promotion to FS-01 and above and for each employee competing for performance pay and Presidential awards at FE-OC and above. Employees may request a copy of their security incident record from the Bureau of Diplomatic Security and may submit to HR/PE by June 18, 2004 a response regarding their security incident record for consideration by the appropriate Selection Board.*

*Selection Boards will use the security incident reports, and any response from employees regarding their own security incident reports, in conjunction with the material in the OPF to determine the competitiveness of those employees for promotions, performance pay, and Presidential awards. Selection Boards also may use security incident reports for other decisions, such as low ranking. State 119365 of May 27, 2004 (as amended) provides details on the subject.*