

PERFORMANCE MANAGEMENT PROGRAMS
Revised January 2013



| | SES Performance Management System (SES PMS) | Performance Management Appraisal Program (PMAP) |
|--------------------------------------|---|---|
| Coverage | All Senior Executive Service members. ONLY Title 42 209(f): <ul style="list-style-type: none"> • NIH Deputy Directors • IC Directors • IC Deputy Directors • Scientific Directors • Clinical Directors • Scientific Executives (as designated by T-42 Extramural Committee) • Associate Directors and Office Heads in the NIH OD who report directly to the NIH Director. | <ul style="list-style-type: none"> • General Schedule (GS) • All other T-42 209(f) and T-42 209(g) • Senior Biomedical Research Service (SBRS) • Wage Grade (WG, WL, WS) |
| Rating Cycle | FY (October 1 to September 30) | CY (January 1 to December 31) |
| Minimum Appraisal Time Period | At HHS, employees may be rated only after completing a minimum of 90 days on a plan. | |
| Performance Plan Focus | <p>Critical Elements: Executive plans are based on the five Executive Core Qualifications: Leading Change, Leading People, Business Acumen, Building Coalitions and Results Driven. The Results Driven element includes specific performance results (2 and not more than 5 results) expected from the executive during the appraisal period, focusing on measurable outcomes from the strategic plan or other measurable outputs or outcomes clearly aligned to organizational goals and objectives. Critical elements are weighted individually and must total 100%. The NIH minimum weight for Results Driven is 20% and 10% for each of the other four critical elements. Each IC has the flexibility to allocate the remaining 40% across the five elements, however, no single element can be assigned a greater weight than the Results Driven element.</p> | <p>Critical Elements: <ul style="list-style-type: none"> • Administrative Requirements: Separate section for supervisors; separate section for all other employees. • 3 - 5 Individual Performance Outcomes (i.e., critical elements): Developed by employee and supervisor. All critical elements weighted equally. </p> |
| Type of Rating System | Five-level rating system: Achieved Outstanding Results (AO), Achieved More than Expected Results (AM), Achieved Expected Results (AE), Partially Achieved Expected Results (PA), Achieved Unsatisfactory Results (UR) | Five-level rating system: Achieved Outstanding Results (AO), Achieved More than Expected Results (AM), Achieved Expected Results (AE), Partially Achieved Expected Results (PA), Achieved Unsatisfactory Results (UR) |
| Deriving Summary Ratings | The Derivation Formula and Calculation of Annual Summary Rating used to determine initial and annual summary ratings appears on first page of HHS-832, SES Performance Management System Executive Performance Agreement. | Conversion of Elements to Summary Ratings - the method by which the summary rating is derived appears under Part III. of HHS-704B, HHS Employee Performance Plan. |
| Assessments | The SES/T-42 member provides a description of accomplishments over the course of the rating period under the section titled Executive's Accomplishment Narrative. The Rating Official must provide a written assessment describing the SES/T-42 member's performance to justify the initial summary rating. | Written supervisory narrative required for employees receiving an award. If no award, written supervisory narrative required only for ratings less than Fully Successful. |
| Recognition | <p>SES: Performance-based pay increases and awards are linked to final summary rating. Performance Award: SES members rated AO, AM, or AE are eligible for performance awards. Performance award percentages are determined by HHS on an annual basis. Pay Increase: SES performance-based pay increases are subject to the Federal pay freeze.</p> | <p>Title 42 209(f): Performance awards linked to final summary rating. Award not mandatory regardless of rating. Director, NIH determines performance awards for: IC Directors IC Deputy Directors Scientific Director Scientific Executives Associate Directors and Office Heads in NIH OD who report directly to NIH Director</p> <p>Performance awards linked to performance ratings. Subject to funds availability: "AO" rating: will receive performance award up to 5% of base pay including locality pay. This may be in the form of cash and/or time off. Employees rated "AO" may receive a Quality Step Increase (QSI) in lieu of a performance award. "AM" rating: may receive a performance award up to 4% of base pay including locality pay. This may be in the form of cash and/or time off. Not eligible for a QSI. "AE" rating: may receive a performance award up to 3% of base pay including locality pay. This may be in the form of cash and/or time off. Not eligible for a QSI.</p> |