

PERFORMANCE MANAGEMENT PROGRAMS
Revised January 2013



	SES Performance Management System (SES PMS)	Performance Management Appraisal Program (PMAP)
Coverage	<p>All Senior Executive Service members.</p> <p>ONLY Title 42 209(f):</p> <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:</p> <p>Executive plans are based on the five Executive Core Qualifications: Leading Change, Leading People, Business Acumen, Building Coalitions and Results Driven.</p> <p>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.</p> <p>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:</p> <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. <p>All critical elements weighted equally.</p>
Type of Rating System	<p>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)</p>	<p>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)</p>
Deriving Summary Ratings	<p>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.</p>	<p>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.</p>
Assessments	<p>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.</p>	<p>Written supervisory narrative required for employees receiving an award. If no award, written supervisory narrative required only for ratings less than Fully Successful.</p>
Recognition	<p>SES:</p> <p>Performance-based pay increases and awards are linked to final summary rating.</p> <p>Performance Award:</p> <p>SES members rated AO, AM, or AE are eligible for performance awards. Performance award percentages are determined by HHS on an annual basis.</p> <p>Pay Increase: SES performance-based pay increases are subject to the Federal pay freeze.</p>	<p>Title 42 209(f):</p> <p>Performance awards linked to final summary rating. Award not mandatory regardless of rating. Director, NIH determines performance awards for:</p> <ul style="list-style-type: none"> IC Directors IC Deputy Directors Scientific Director Scientific Executives Associate Directors and Office Heads in NIH OD who report directly to NIH Director <p>Subject to funds availability:</p> <p>"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.</p> <p>"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.</p> <p>"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>