

# PERFORMANCE MANAGEMENT PROGRAMS

Revised January 2012



	Executive Performance Management System (EPMS)	Performance Management Appraisal Program (PMAP)
<b>Coverage</b>	All Senior Executive Service members. <b>ONLY Title 42 209(f):</b> <ul style="list-style-type: none"> <li>• NIH Deputy Directors</li> <li>• IC Directors</li> <li>• IC Deputy Directors</li> <li>• Scientific Directors</li> <li>• Clinical Directors</li> <li>• Scientific Executives (as designated by T-42 Extramural Committee)</li> <li>• Associate Directors and Office Heads in the NIH OD who report directly to the NIH Director.</li> </ul>	<ul style="list-style-type: none"> <li>• General Schedule (GS)</li> <li>• All other T-42 209(f) and T-42 209(g)</li> <li>• Senior Biomedical Research Service (SBRS)</li> <li>• Wage Grade (WG, WL, WS)</li> </ul>
<b>Rating Cycle</b>	FY (October 1 to September 30)	CY (January 1 to December 31)
<b>Minimum Appraisal Time Period</b>	At HHS, employees may be rated only after completing a minimum of 90 days on a plan.	
<b>Performance Plan Focus</b>	<b>Critical Elements:</b> Executive plans are comprised of:  > <b>Three and not more than five results-oriented program elements</b> that must be aligned and directly contribute to HHS goals and priorities established in current strategic plans and Secretary's priorities, approved budget, and/or OPDIV operational plans. Program elements constitute 60% of the summary rating. > <b>Two mandatory competency-based elements</b> defined by HHS: Executive Leadership and Management. Competency-based elements constitute 40% of the summary rating.	<b>Critical Elements:</b> <ul style="list-style-type: none"> <li>• <u>Administrative Requirements</u>: Separate section for supervisors; separate section for all other employees.</li> <li>• <u>3 - 5 Individual Performance Outcomes</u> (i.e., critical elements): Developed by employee and supervisor. All critical elements weighted equally.</li> </ul>
<b>Type of Rating System</b>	<b>Five-level rating system:</b> Achieved Outstanding Results (AO), Achieved More than Expected Results (AM), Achieved Expected Results (AE), Partially Achieved Expected Results (PA), Achieved Unsatisfactory Results (UR)	<b>Five-level rating system:</b> Achieved Outstanding Results (AO), Achieved More than Expected Results (AM), Achieved Expected Results (AE), Partially Achieved Expected Results (PA), Achieved Unsatisfactory Results (UR)
<b>Deriving Summary Ratings</b>	The <b>Derivation Formula and Appraisal Rating Scale</b> used to determine initial and annual summary ratings appear on the last page of HHS-740, Executive Performance Plan Form.	<ul style="list-style-type: none"> <li>• Numerical scoring methodology = AO; 4 = AM; 3 = AE; 2 = PA; 1 = UR) <span style="float: right;">(5)</span></li> <li>• Critical elements combined and averaged to yield a final summary rating.</li> </ul>
<b>Assessments</b>	Executive's summary of accomplishments and Rater's justification for rating required for each critical element.	Written supervisory narrative required for employees receiving an award. If no award, written supervisory narrative required only for ratings less than Fully Successful.
<b>Recognition</b>	<p><b>SES:</b>                      Performance-based pay increases and awards are linked to final summary rating.  <b>Performance Award:</b>                      SES members rated AO, AM, or AE are eligible for performance awards. Performance award ranges are determined by HHS on an annual basis.</p> <p><b>Pay Increase:</b> SES performance-based pay increases are subject to the Federal pay freeze for 2011-2012.</p>	<p><b>Title 42 209(f):</b>                      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.</p> <p>Subject to funds availability:                      5 – Achieved Outstanding Results: mandatory award of up to 5% or QSI                       4 – Achieved More than Expected Results: optional award of up to 4% , may not equal or exceed the percentage awarded to any level 5 rating within the IC                       3 – Achieved Expected Results: optional award of up to 3% , may not equal or exceed the percentage awarded to any level 4 rating within the IC</p>