

CHAPTER 10

EXECUTIVE PERFORMANCE APPRAISAL SYSTEM

INTRODUCTION
10.0

By law, each agency is required to establish a performance appraisal system for executives. The Department's system is called the Executive Performance Appraisal System (EPAS).

Performance appraisals are based on organizational and individual performance which takes into account such factors as:

- o Improvements in efficiency, productivity, and quality of work or service;
- o Cost efficiency;
- o Timeliness of performance;
- o Other indications of the effectiveness, productivity, and performance quality of employees under the executive's supervision; and
- o Meeting affirmative action goals and achievement of equal opportunity requirements.

Coverage
10.1

EPAS covers SES members and all executives in grades GS-16, 17, or 18.

Policy
10.2

- o Each executive is rated annually, provided there are 90 days of observed performance.
- o No ratings are given for career SES employees within 120 days after the start of a new Presidential administration.

Rating Period
10.3

The rating period is October 1 to September 30.

- o Performance appraisals are the basis for award determinations, pay level changes, reassignments, and retention in SES.
-

Responsibilities
10.4

Rating Official
10.4.1

The rating official is the executive's immediate supervisor. He/she makes the initial performance rating.

Executive
10.4.2

The executive has an opportunity to review his/her rating and may make comments.

Reviewing
Official
10.4.3

The reviewing official is a manager at a higher level than the rating official. He/she concurs or nonconcurr in an executive's rating and writes comments, if appropriate.

Performance
Review Board
(PRB)
10.4.4

The PHB reviews and evaluates executive appraisals (see Chapter 3, Section 3.2). The PRB recommends final performance ratings to the Secretary (or to the Inspector General for executives in the Office of Inspector General). Recommendations for performance awards for all career SES members are submitted to the Secretary. PRB members may not take part in deliberations on appraisals or ratings involving themselves or executives in their organization.

8/85

10-2

Secretary
10.4.5

The Secretary makes the final determination on ratings (except SES employees in the Office of Inspector General) and approves all performance awards after reviewing recommendations from the PRB.

Procedures
10.5

HUD Handbook 430.3, Rev. 2, HUD Performance Appraisal Systems, dated November 1983, provides detailed guidance on the:

- o Identification of critical elements;

- o Establishment of performance standards;
- o Definition of rating levels; and
- o Progress review and the final appraisal process.