# FY 2019 Executive Closeout Guidance
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ATTACHMENT A

FY 2019 CLOSEOUT TIMELINE AND USAP SUBMISSION REQUIREMENTS

IC’s may establish their own deadlines prior to OHR due dates. All items must be returned to the Office of Human Resources (OHR)/Division of Senior and Scientific Management (DSSEM).

<table>
<thead>
<tr>
<th>IC SES AND SL</th>
<th>IC SENIOR-LEVEL T-42 EXECUTIVES</th>
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<tbody>
<tr>
<td>DATE</td>
<td>ACTION</td>
</tr>
<tr>
<td>10/2/2019</td>
<td>SES initial ratings completed in USA Performance (USAP). Completed means that the Executive’s Accomplishment Narrative (Part 7.); Summary Rating Narrative (Part 6.); initial ratings for each critical element; and signatures of both the Rating Official and Executive have been entered into USAP. SL initial ratings completed on HHS Form 840 and sent via encrypted email to: Blair Battle</td>
</tr>
<tr>
<td>10/2/19</td>
<td>List of final FY 19 ratings and total summary scores for T-42 IC Deputy Directors, Scientific Directors, Scientific Executives, and Clinical Directors sent via encrypted email to: Blair Battle</td>
</tr>
</tbody>
</table>

USAP CLOSEOUT NOTES:

- It is recommended that all narratives be prepared in a word document and then copied and pasted into USAP.
- The USAP ‘Default’ font style and size must be used (Arial, 10 pt.).
- Save often. USAP frequently times out, even when you are typing.
- Executives do not have access to enter the Summary Narrative (Rating Official narratives) in USAP.
- Executives must ‘Release’ their narrative to the Rating Official by checking the box “Send to Rating Official”. USAP does not notify the Rating Official when Executive Accomplishment narratives are ready for their review, therefore, the Rating Official will need to be notified outside the USAP system (e.g., Executive or proxy can email Rating Official to review Executive Accomplishment narratives).
- Rating Officials must sign the appraisal first. Executives will receive an automated email when their appraisal is ready to be signed.

*Please visit the OHR USAP Resource page for additional information*
EXECUTIVE’S ACCOMPLISHMENT NARRATIVE

- SES AND T-42 EXECUTIVES (USAP – Part 7.)
- SL/ST (HHS FORM 840)

Narratives should include specific metrics used to demonstrate achievements. The executive must complete a self-assessment of his/her performance during the rating period. The narrative should summarize overarching mission accomplishments achieved and specifically address performance against each critical element listed in the plan, including the HHS-wide performance standards. The executive should use this opportunity to explain to his/her Rating Official, Reviewing Official (if applicable), the PRB, and the Secretary what he/she accomplished this year; how successfully it was performed; how it aligned to the strategic goals of their organization, and how it supported agency mission accomplishment. The executive should thoroughly explain the significance of any obstacles overcome to achieve performance results during the rating period.

WRITING TIPS: EXECUTIVE ACCOMPLISHMENT NARRATIVE

- Consider your accomplishments and how they relate to HHS’s major initiatives and the requirements of your job.
- Provide sufficient and necessary information to justify the rating you are seeking.
- Focus on outcomes/results of actions and why it is significant for HHS.
- Address ALL the requirements you and your rating official established in the Results Driven Critical Element.
- Consider all audiences that will review the self-assessment.
- Describe how successful or unsuccessful your organization was over the last year; if unsuccessful, how your leadership and savvy mitigated the negative impact.
- Describe how your individual accomplishments impacted the agency or organization and why your accomplishments were significant (e.g., they were unique or exceeded expected outcomes of your performance requirements).
- Describe the conditions under which you achieved your accomplishments, including any challenges you overcame.
- When writing your self-assessment keep in mind that third parties that do not know your environment and conditions will be reading the performance plan and determine whether or not they concur with the rating you received.
- Be sure to address the following:
  1. Customer satisfaction
  2. Employee feedback on performance
  3. Effectiveness, performance, and productivity of your employees
  4. Activities that foster diversity and inclusion in the workplace
  5. Compliance with merit system principles (as warranted)
ATTACHMENT C

SUMMARY RATING NARRATIVE

- SES AND T-42 EXECUTIVES (USAP - Part 6.)
- SL/ST (HHS FORM 840)

The Rating Official must complete the summary rating narrative (Part 6.), which clearly substantiates and justifies the assigned initial summary rating. The Rating Official will have access to review the executive’s accomplishment narrative. The Rating Official should not merely reference what the executive has said about his/her performance to confirm or deny but should also write specifically to their observation of the executives’ performance against the specific requirements for the performance period. The Rating Official should use his/her write up as an opportunity to highlight accomplishments of the executive that they may not have included and should keep in mind that their rating narrative will be reviewed by members of the Performance Review Board that may not be familiar with the executive and the work of the organization. The Rating Official’s narrative should be written in a manner that conveys to an outside reader the scope, impact, and level of performance achieved by the executive and if applicable and constraints and challenges the executive faced and overcame during the performance period.

WRITING TIPS: RATING OFFICIAL NARRATIVE

- Base the narrative on the observable and measurable indicators of performance and if the requirements were met.
- Consider the SES, SL/ST, and T-42 executive equivalents self-assessment and validate accomplishments using examples.
- Assess the level descriptors and rating definitions to ensure consistency.
- Ensure the narrative justifies rating for each critical element; narratives can be negative if the SES, SL/ST, and T-42 executive equivalents received a low rating.
- Ensure your write up goes beyond concurrence or non-concurrence. Justify your rating for that employee in a manner that would be understood by the Performance Review Board (PRB) and the Secretary.
- Provide an explanation of the overall results achieved and significance for agency goals/initiatives.
- Ensure you are addressing each standard in each critical element to justify the rating you are recommending.
- Remember your audience includes entities unfamiliar with the work of your organization and the performance of the given executive. Be sure to provide them needed perspective.
- Ensure you have properly calculated the initial summary rating based on the weights assigned during the plan development.
- Ensure you are accurately checking the summary rating box based on the score calculated for the initial summary rating.
- Ensure you and the executive are signing for the initial summary rating in the correct signature boxes.
CHARACTER LIMITATIONS

While USAP doesn't currently limit the numbers of characters for each box, it's important to adhere to the limits the page count limits highlighted below that are in line with guidelines issued by NIH in previous years. It is encouraged that you create your narrative in a word document so that you may track your character count.

<table>
<thead>
<tr>
<th>SES AND T-42 EXECUTIVES (USAP)</th>
<th>SL/ST (HHS 840)</th>
</tr>
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<tbody>
<tr>
<td><strong>SECTION</strong></td>
<td><strong>PAGE COUNT</strong></td>
</tr>
<tr>
<td>Part 6. Executives Accomplishment Narrative</td>
<td>USAP default font/size (Arial, 10 pt.), not-to-exceed 2 pages.</td>
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