



# Senior Executive Service Performance Planning and Appraisal



Incumbent Executive \_\_\_\_\_

Title \_\_\_\_\_

Organization \_\_\_\_\_

Performance Period: July 1, \_\_\_\_\_ to June 30, \_\_\_\_\_ If other, from \_\_\_\_\_ to \_\_\_\_\_

## Performance Plan Development

Performance criteria for the above period have been established and provided to the Incumbent Executive.

Incumbent Executive Signature \_\_\_\_\_ Date \_\_\_\_\_

Supervisory Official Name and Signature \_\_\_\_\_ Date \_\_\_\_\_

## Progress Review

A Progress Review has been conducted by Incumbent Executive and Supervisory Official.

Incumbent Executive Signature \_\_\_\_\_ Date \_\_\_\_\_

Supervisory Official Signature \_\_\_\_\_ Date \_\_\_\_\_

A minimum of one review must be conducted within 30 days of December 31. If the performance plan is changed and agreement is reached for substitutions, the plan should be documented accordingly.

## Performance Appraisal - Initial Summary Rating

RATING LEVEL (Check One)

\_\_\_ OUTSTANDING      HIGHLY SUCCESSFUL — FULLY SUCCESSFUL — MINIMALLY SATISFACTORY      UNSATISFACTORY

Supervisory Official Signature \_\_\_\_\_ Date \_\_\_\_\_

### INCUMBENT EXECUTIVE RESPONSE/REQUEST FOR REVIEW

I do not wish to provide a written response and/or request a higher level review.

I wish to provide a written response. (Complete Appendix C.) Response must be submitted within 10 days of receipt of Initial Summary Rating.

I wish to request a higher level review. (Complete Appendix C.)

Incumbent Executive Signature \_\_\_\_\_ Date \_\_\_\_\_

## Management and Performance Review Board/Senior Executive Committee Reviews

Complete the following only if the Incumbent Executive has NOT elected to provide a written response to the Initial Rating OR has NOT requested review by a higher level official. Should the Executive Position Manager or the Performance Review Board/Senior Executive Committee wish to recommend an alternate rating do NOT sign here and complete Appendix C.

### EXECUTIVE POSITION MANAGER:

I concur with the Initial Summary Rating.

Name and Signature \_\_\_\_\_ Date \_\_\_\_\_

### PERFORMANCE REVIEW BOARD/SENIOR EXECUTIVE COMMITTEE:

We concur with and recommend the Initial Summary Rating to the NASA Administrator or Designee.

Signature of Official Designee \_\_\_\_\_ Date \_\_\_\_\_

### NASA ADMINISTRATOR OR DESIGNEE:

The Initial Summary Rating is approved and designated as the Annual Summary Rating. Date Approved \_\_\_\_\_

# SENIOR EXECUTIVE SERVICE PERFORMANCE PLANNING AND APPRAISAL

**OVERVIEW** - The NASA Performance Management System for the Senior Executive Service (SES) encourages excellence in performance, facilitates the accurate evaluation of performance based on performance results, provides for the systematic appraisal of performance, and provides a basis for pay, awards, development, retention, removal and other personnel decisions. The system enhances the achievement of Agency goals by expecting and encouraging managerial excellence in individual and organizational performance and holding executives accountable for results. The system focuses on improved communication and goal clarity and provides for participative performance planning, setting and communicating individual and organizational goals and expectations that are linked to strategic planning initiatives and the results oriented goals of the Government Performance and Results Act of 1993, continual performance monitoring to assess achievements, and annual appraisals of performance using measures that balance organizational results with customer, employee and stake holder perspectives. Active participation of the senior executive with the supervisor in the total performance appraisal process is important to overall system effectiveness.

## **PERFORMANCE PLANNING**

The immediate supervisor, in consultation with the senior executive, defines Elements and Performance Requirements for the appraisal period and documents them in the senior executive's performance plan. Each plan will include the Management Critical Element (MCE) and at least one Additional Critical Element (ACE). Performance Requirements are written at the "Fully Successful" level for each Element.

## **PROGRESS REVIEW**

At a minimum, one progress review must be conducted between December 1 and January 31. The plan should be signed and dated to document the midterm review. If the performance plan is changed, the changes should be documented in the plan.

## **PERFORMANCE ASSESSMENT AND RATING DEFINITIONS**

At the end of the appraisal period the immediate supervisor and the senior executive discuss the actual individual and organization achievements during the appraisal period. Performance is assessed by the immediate supervisor based on individual and organizational performance taking into account such factors as results achieved in accordance with the goals of the Government Performance and Results Act of 1993, the effectiveness, productivity and performance of assigned employees, meeting safety and diversity goals and complying with merit system principles. Customer, employee and other stake holder perspectives will be considered in this assessment.

## **RATING DEFINITIONS**

**OUTSTANDING** - Element Rating: Performance exceeds performance requirements to an exceptional degree. Summary Rating: Performance in the total position exceeds performance requirements to an exceptional degree. Normally when all elements are rated "Outstanding."\*

**HIGHLY SUCCESSFUL** - Element Rating: Performance exceeds performance requirements to a substantial degree. Summary Rating: Performance in the total position exceeds performance requirements to a substantial degree. Normally, when the MCE or a majority of all elements are rated "Highly Successful" and no elements are rated below "Fully Successful."\*

**FULLY SUCCESSFUL** - Element Rating: Performance fully meets performance requirements. Summary Rating: Performance in the total position fully meets performance requirements. Normally, when the MCE or a majority of all elements are rated "Fully Successful" and no elements are rated below "Fully Successful."\*

**MINIMALLY SATISFACTORY** - Element Rating: Performance only partially meets the performance requirements. Summary Rating: Performance in the total position only partially meets the performance requirements. Normally when the MCE and any ACE is rated "Minimally Satisfactory" and no elements are rated "Unsatisfactory."\*

**UNSATISFACTORY** - Element Rating: Performance does not meet performance requirements. Summary Rating: Performance in the total position does not meet performance requirements. Normally, when the MCE or any ACE is rated "Unsatisfactory."\*

\* Any deviation must be fully justified in the Overall Performance Assessment Narrative of the appraisal form and be approved by the PRB.

## **MANAGEMENT CRITICAL ELEMENT**

Consists of the five basic management factors listed below that are present in all manager/supervisor and senior policy making positions. It is a Critical Element.

\* **PLANNING:** Determining goals and objectives; assigning work priorities; defining courses of action; establishing budgets, resource allocations, and schedule milestones; designing programs and systems; developing policies and procedures. Integrating quality considerations into the planning process.

\* **ORGANIZING:** Aligning organizational units to accomplish work objectives, streamlining work operations, delegating work and commensurate authority to employees; employing well-defined line and staff relationships.

\* **DIRECTING:** Decision-making and follow through on work responsibilities, maintaining internal and external communications; motivating personnel to accomplish the work; developing responsive and cooperative means of carrying out directions from higher authority; developing improvements in work or service. Creating and sustaining a clear and visible quality value system along with a supporting management system to guide all activities of the organization. Developing a systematic approach to overall customer service systems, knowledge of the customer, responsiveness and ability to meet requirements and expectations.

\* **CONTROLLING:** Demonstrating that Safety is the organization's number one value. Establishing standards to gauge effective work performance; performing evaluation and review functions (Internal Control Program); appraising employee performance; implementing corrective actions directed at resolving problems (Audit Follow-up Program), practicing cost efficiency, and economy measures; identifying and eliminating health and safety hazards. Using key data and information to improve processes, products, and services and methods and approaches for total quality control of products and services. Integrating quality control with continuous quality improvement processes.

\* **HUMAN RESOURCE MANAGEMENT:** Staffing the organization, meeting social/economic affirmative action goals, and developing personnel resources to better accomplish the NASA functions and mission. Developing and utilizing the full potential of the work force for quality improvement and personal and organizational growth, as well as using rewards and incentives to recognize employees who improve quality and productivity.

**PERFORMANCE REQUIREMENTS FOR MANAGEMENT CRITICAL ELEMENT**

**PLANNING:**

Strategic Planning - Goals and objectives are clearly defined. Priorities are clear. Major milestones are identified. Organization plans are consistent with the NASA Strategic Plan and the results oriented goals of the Government Performance and Results Act of 1993.

Developing Programs - Programs are developed so that financial and technical plans reflect realistic, attainable goals consistent with the Strategic Plan. Schedules and budgets are realistic and attainable. Detail is sufficient to provide for successful monitoring and control of activities.

Developing Policies and Procedures - Policies are appropriate, responsive to management guidelines, and are interpreted consistently. They are defined in writing and adhered to.

**ORGANIZING:**

Developing Organizational Structures - Structure is flexible and balanced, consistent with organization objectives, personnel capabilities and available resources. Relationships are well-defined. Organization is frequently reviewed and changed when necessary to accommodate changing priorities and external realities.

Organizing Work - Priorities are clear and well-understood by employees, and work is organized accordingly. Schedules and deadlines are communicated and met, consistent with providing a cost effective, quality product. Adaptations to changing requirements are made expeditiously.

Delegating - Responsibility and authority are delegated to the lowest practical level. Accountability is retained and recognized.

**DIRECTING:**

Decision-Making - Decisions are sound, timely, well-understood, and are reached through a logical process which involves those who will be responsible for implementation. Responsibilities are well-defined. Decisions made are in keeping with overall organization objectives.

Communications - Methods of communication emphasize openness, honesty, candor, and timeliness, and ensure that management, peers, and subordinates are kept informed of all developments affecting them or their responsibilities. Documentation is promptly disseminated. NASA wide perspective is maintained.

Cooperation - Mutual trust and cooperation within and between organizations are enhanced. Good working relationships are maintained with other installations, agencies and organizations.

Improving Products and Services - Increasing productivity and advancing the state-of-the-art are continuously emphasized. Customers are identified and their input and feedback are systematically sought and incorporated in all aspects of the organization's effort. Innovation on the part of all employees is encouraged. Problems are identified and plans for resolution are established and implemented.

Advising/Consulting - Technical information, advice, and guidance are provided to others, including other organizations for developing policies and new programs, and to improve the ongoing work.

**CONTROLLING:**

Safety and Health - Actively participates in safety and health activities and communicates and supports the NASA zero lost-time injury goal. Takes appropriate and timely action to improve safety and the health of the workforce, for example, through periodic safety inspections, facilities safety improvements, reduced environmental hazards, increased physical security, enhanced safety and health awareness and application of appropriate tools and procedures for health enhancement.

Developing Performance Standards - Organization objectives and standards are current, understood, and clearly define expected levels of performance.

Evaluating Work Progress - Periodic reviews are conducted to ensure that organizational performance is consistent with planned progress and results. These reviews include input from the customer. Prompt actions are taken to correct all exceptions from planned performance and prevent recurrences.

Cost Effectiveness - Work performance is cost-effective; cost efficiency is evaluated prior to determining techniques to be used or proposals to be selected.

**HUMAN RESOURCES MANAGEMENT:**

Equal Opportunity - Equity and fairness are demonstrated in all personnel actions and in treatment of employees directly and indirectly supervised. Leadership by example is evident in all actions, consistent with NASA's social and economic EO goals.

Staff Utilization - Exercises sound judgment in all workforce planning activities. Assignments are made on the basis of skills and experience of individuals, balanced with the need of the organization. Personnel assignments are modified to reflect changing workloads. Duplication of effort is avoided. Employees are provided the opportunity to perform and achieve at their full potential and are recognized individually or in teams.

Selecting and Developing People - Regulations are followed in all personnel actions. Sound judgment is exercised in hiring, placement, training, and development of employees. Performance evaluations are periodically conducted. Performance standards and evaluations are clear. Employees with performance problems are afforded the opportunity and necessary assistance to improve, performance problems are dealt with in a timely manner. Significant attention is given to career development for all employees.

Motivating - Work is designed to be challenging and satisfying. Employees' views and attitudes are regularly solicited: Suggestions are encouraged and mechanisms are in place for timely feedback. Accomplishments of individuals and work teams are recognized and rewarded promptly. Employees are effectively and thoroughly involved in the total quality management process.

MANAGEMENT CRITICAL ELEMENT RATING FOR:

FROM: JULY 1, \_\_\_\_\_ TO: JUNE 30, \_\_\_\_\_

(NAME)

OUTSTANDING       HIGHLY SUCCESSFUL       FULLY SUCCESSFUL       MINIMALLY SATISFACTORY       UNSATISFACTORY

PERFORMANCE ASSESSMENT COMMENTS (Continue on reverse if more space is needed.)



National  
Aeronautics and  
Space  
Administration

### Senior Executive Service Performance and Appraisal Additional Critical Elements



An Additional Critical Element (ACE) is a key component of an executive's work, not specifically detailed in the Management Critical Element (MCE), that contributes to organizational goals and results and is so important that unsatisfactory performance of it would make the executive's overall job performance unsatisfactory.

ADDITIONAL CRITICAL ELEMENT

PERFORMANCE REQUIREMENT

ELEMENT RATING

OUTSTANDING	HIGHLY SUCCESSFUL	FULLY SUCCESSFUL	MINIMALLY SATISFACTORY	UNSATISFACTORY
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PERFORMANCE ASSESSMENT COMMENTS

ADDITIONAL CRITICAL ELEMENT

PERFORMANCE REQUIREMENT

ELEMENT RATING

<input type="checkbox"/> OUTSTANDING	<input type="checkbox"/> HIGHLY SUCCESSFUL	<input type="checkbox"/> FULLY SUCCESSFUL	<input type="checkbox"/> MINIMALLY SATISFACTORY	<input type="checkbox"/> UNSATISFACTORY
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PERFORMANCE ASSESSMENT COMMENTS



National  
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Space  
Administration

## Senior Executive Service Performance and Appraisal Overall Performance Assessment Narrative



Comment on significant aspects of the senior executive's total job performance including: Achievements or results, behaviors observed that affect job performance, or factors beyond the senior executive's control. (Comments may be continued on the reverse of this page.)

A large, empty rectangular box intended for the user to write the performance assessment narrative.