



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 agreed to by Incumbent Executive and Supervisory Official.

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 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 and/or request a higher level review. (Complete Appendix C.)

Incumbent Executive Signature _____ Date _____

Higher Level 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 any higher level official wish to recommend an alternate rating for consideration by the Performance Review Board/Senior Executive Committee and the NASA Administrator, complete Appendix C.

EXECUTIVE POSITION MANAGER:

I concur with the Initial Rating.

Name and Signature _____ Date _____

PERFORMANCE REVIEW BOARD/SENIOR EXECUTIVE COMMITTEE:

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

Signature of Official Designee _____ Date _____

NASA ADMINISTRATOR OR DESIGNEE:

The Initial Rating is approved and designated as the Final Rating.

Date Approved _____

SENIOR EXECUTIVE SERVICE PERFORMANCE PLANNING AND APPRAISAL

OVERVIEW - NASA SES executives play an important role in our Nation's scientific and technological future, sharing responsibility for implementing programs and policy directed by the President. They participate in an international effort to understand our global environment and the universe around us. They are the Administrator's personal link with the broader NASA organization. Continuous improvement demands the active participation and commitment of all. The "status quo" is never accepted as the standard of success, it may always be improved upon. Continuous improvement is the philosophy of NASA performance evaluation and the goal to which all NASA aspires.

The NASA performance appraisal system establishes performance standards for a Management Critical Job Element consisting of a set of five basic management factors present in all manager/supervisor and senior policy making positions to one degree or another. A Critical Job Element is a requirement of the job that is of sufficient importance that performance below the "Fully Successful" level creates a condition of less than fully successful overall performance in the total position.

PERFORMANCE PLANNING

Performance planning is the process of defining total performance expectations for the appraisal period. The focus of this activity is to review the Management Critical Job Element and Performance Standards that must be met for performance to be fully successful, identify areas that will be emphasized, and review specific accomplishments expected during the performance period that will demonstrate fully successful or better performance. Optional Job Elements and Standards may also be developed.

PROGRESS REVIEW

Progress Reviews are the second of the process and may be initiated at anytime during the year by the supervisor or the senior executive. As a minimum, one progress review must be held within 30 days of Dec. 31. The purpose of the review(s) is to update the performance plan and provide feedback to the senior executive and to initiate any midcourse corrections necessary to achieve performance requirements.

PERFORMANCE ASSESSMENT AND RATING DEFINITIONS

At the end of the appraisal period, actual accomplishments in relation to the Elements and Standards in the performance plan will be assessed and a rating on each Job Element will be given. A written summary commenting on the specific aspects of total job performance, including the rationale for the overall rating, will be prepared.

Although written standards are only required at the Fully Successful level, each critical and non-critical element will be rated at one of the overall rating levels defined below:

OUTSTANDING - Exceeds the performance standard to an exceptional degree. Overall rating: Performance in the total position exceeds the performance standard to an exceptional degree, normally when all critical elements are rated outstanding and all non-critical elements are rated Highly Successful or above.*

HIGHLY SUCCESSFUL - Exceeds the performance standard to a substantial degree. Overall rating: Performance in the total position exceeds the performance standard to a substantial degree, normally when all critical elements are rated Highly Successful and above and all non-critical elements are rated Fully Successful or above.*

FULLY SUCCESSFUL - Fully meets the performance standard. Overall rating: Fully Successful or above on all critical elements.

MINIMALLY SATISFACTORY - Only partially meets the performance requirement. Overall rating: Minimally Satisfactory on one or more critical elements.

UNSATISFACTORY - Does not meet the performance standard. Overall rating: Unsatisfactory on one or more critical elements.

* Any deviation must be fully justified in narrative form and be approved by the Performance Review Board (PRB).

MANAGEMENT CRITICAL JOB ELEMENT

Performance of the Management Critical Job Element will be assessed on the totality of performance in the Element. The Factors that comprise the Management Critical Job Element are:

* **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:** 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.

DISPOSITION OF RECORD

This record is subject to the provisions of the Privacy Act. It shall be maintained by the Agency Executive Personnel Branch, NASA Headquarters, for no less than five years from the date of the Final Rating approval. Copies will be retained by the supervisory official and provided for review and retention, as required, to those having a need to know.

PERFORMANCE STANDARDS FOR MANAGEMENT CRITICAL JOB 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.

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:

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.

Health and Safety - Work environment is in compliance with health and safety regulations. Hazards are promptly diagnosed and remedied. Periodic safety inspections are conducted. Action is taken to minimize instances of personal injury and unsafe use of material resources.

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 - 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 JOB 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 Overall Performance Assessment Summary



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 handwritten or typed comments on the senior executive's performance.