



# Senior Executive Service Performance Planning and Appraisal



Executive \_\_\_\_\_

Title \_\_\_\_\_

Organization \_\_\_\_\_ Installation \_\_\_\_\_

Performance Period: Oct 1, \_\_\_\_\_ to Sept 30, \_\_\_\_\_ If other, from \_\_\_\_\_ to \_\_\_\_\_

## Performance Plan Development

Performance criteria and an Executive Development Plan have been established in consultation with the executive, who has been provided with a copy.

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

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

## Progress Review

A minimum of one review must be conducted within 30 days of March 31. If performance requirements have changed, the plan should be modified accordingly.

A Progress Review has been conducted by the Executive and Rating Official.

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

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

## Performance Appraisal - Initial Summary Rating. Rating is not final until reviewed by the Performance Review Board and approved by the Administrator.

RATING LEVEL (Rating must be fully justified in the narrative summary.)

UNSATISFACTORY     MINIMALLY SATISFACTORY     FULLY SUCCESSFUL     HIGHLY SUCCESSFUL     OUTSTANDING

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

### 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 A.) Response must be submitted within 10 days of receipt of Initial Summary Rating.
- I wish to request a higher level review. (Complete Appendix A.)

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

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

Complete the following, or complete Appendix A, if the executive has provided a written response or requested a higher level review, or the Executive Position Manager or the Performance Review Board/Senior Executive Committee recommends an alternate Summary Rating Level.

### EXECUTIVE POSITION MANAGER:

I concur with the Initial Summary Rating.

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 Performance 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 promotes the achievement of the Agency's goals and a commitment to the core values 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 performance requirements that are linked to strategic planning initiatives and the Agency's Annual Performance Plan, continual performance monitoring to assess achievements, and annual appraisals of performance using measures that balance individual and organizational results with customer, employee, and stakeholder perspectives. Active participation of the senior executive with the supervisor in the total performance appraisal process is important to the overall system effectiveness.

**PERFORMANCE PLANNING** - The supervisor, in consultation with the senior executive, defines Performance Requirements for the appraisal period and documents them in the senior executive's performance plan. Each plan will include a Program/Project/Functional Objective(s) element specific to the position and a standard Management Competencies element as described on page 4. Performance Requirements are to be written at the "Fully Successful" level.

**1. Program/Project/Functional Objective:** This objective is the critical element that holds an Executive accountable for achieving business results. Business results should be the goals established in the Agency's current Fiscal Year Performance Plan.

**Mission-Related Position** - To ensure alignment, the program/project objective must identify at least one specific Annual Performance Goal(s) (APGs) from the Agency's current Fiscal Year Performance Plan as a results-focused critical element. This objective should be an APG(s) for which the Executive is responsible and/or to which he/she will contribute and of such importance, that unsatisfactory performance in this element would result in an overall performance summary rating of unsatisfactory. Next, the specific Agency Objective(s) and Outcome(s) associated with the APG(s) must be identified. This will establish alignment and clear linkage to the Agency's Mission, strategic goals, and annual performance plan and budget priorities.

**Mission Support Position** - The functional objective must identify at least one specific goal(s) within the Executive's functional area of responsibility as a results-focused critical element that will enable the Mission Directorates and Centers to accomplish their APGs. Wherever possible, consideration should be given to the Agency-specific goals identified relative to Governmentwide initiatives to improve management and program performance. This objective should be a goal for which the Executive is responsible and/or to which he/she will contribute and of such importance, that unsatisfactory performance in this element would result in an overall performance summary rating of unsatisfactory. Next, an Agency-specific goal(s) and/or external commitment(s) associated with the Executive's goal must be identified. This will establish alignment and clear linkage to the Agency's Mission, strategic goals, and annual performance plan and budget priorities.

If the Executive is a manager or supervisor, the work objectives of his/her subordinates should be linked to the specific Agency Objective(s), Outcome(s), and APG(s)/goal(s) identified.

**Performance Requirements for Program/Project/Functional Objective:** Performance requirements should be described in terms of specific result(s), with metrics, that the Executive must accomplish in order for the Agency to achieve the APG(s). Performance requirements should not be described as activities but as expected results in terms of clear, credible measures (e.g., quality, quantity, timeliness, and/or cost-effectiveness) of performance. They should be Specific, Measurable, and Aggressive yet Achievable, Results oriented and Time based (SMART).

**Mission-Related Position** - For each APG, identify the performance requirements (e.g., Efficiency Measure(s) if applicable) that support the achievement of the Program/Project Objective and Outcome that has been identified. Additional performance requirements related to the Agency's programmatic metrics, generated by programs and projects, should be identified as appropriate.

**Mission Support Position** - For each goal, identify the performance requirements that support the achievement of the Agency Objective and Outcome that has been identified. Institutional metrics relating to the Agency's administration, facilities, human capital, and other elements that fall outside the purview of programs and projects should be identified, as appropriate, as performance requirements.

If the Executive is a manager or supervisor, the performance requirements or expectations of his/her subordinates should be linked to and support the achievement of the Executive's performance requirements.

**PROGRESS REVIEW** - At a minimum, one progress review must be conducted between March 1 and April 30. 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** - 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 supervisor based on individual and organizational performance taking into account such factors as APG's or goals achieved, the effectiveness, productivity, and performance of assigned employees, meeting safety and diversity goals and complying with merit system principles. Customer, employee, and other stakeholder perspectives will be considered in this assessment.

## PERFORMANCE ELEMENT/SUMMARY RATING LEVEL DEFINITIONS

Element 1 will receive a relative weight of 60%; Element 2 will receive a relative weight of 40%. The weight factor times the Element Rating will determine the Summary Rating. The maximum weighted score is 5.0.

**OUTSTANDING:** *Element Rating* - Performance exceeds requirements to an exceptional degree. *Summary Rating* - Total performance in the position exceeds requirements to an exceptional degree; weighted score is 4.6 or above.

**HIGHLY SUCCESSFUL:** *Element Rating* - Performance exceeds requirements to a substantial degree. *Summary Rating* - Total performance in the position exceeds requirements to a substantial degree; no element is rated below "Fully Successful"; weighted score is 4.0-4.5.

**FULLY SUCCESSFUL:** *Element Rating* - Performance fully meets requirements. *Summary Rating* - Total performance in the position fully meets requirements; both elements are rated "Fully Successful" or higher; weighted score is 3.0-3.9.

**MINIMALLY SATISFACTORY:** *Element Rating* - Performance only partially meets requirements. *Summary Rating* - Total performance in the position only partially meets requirements; one or more elements is rated "Minimally Satisfactory" and no element is rated "Unsatisfactory."

**UNSATISFACTORY:** *Element Rating* - Performance does not meet requirements. *Summary Rating* - Total performance in the position does not meet requirements; when any element is rated "Unsatisfactory."

Outstanding: 4.6-5.0  
Highly Successful: 4.0-4.5  
Fully successful: 3.0-3.9

Minimally Satisfactory: Any Element rated Minimally Satisfactory, with none rated Unsatisfactory;  
Unsatisfactory: Any Element rated Unsatisfactory;

Executive \_\_\_\_\_ From \_\_\_\_\_ To \_\_\_\_\_

Title \_\_\_\_\_



National  
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## Senior Executive Service Performance Planning and Appraisal Critical Elements



A Critical Element is a key component of an executive's work 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. (See *previous page for Performance Summary Rating Level Definitions.*) **NOTE: Text is limited to the space provided below.**

List 3-5 major responsibilities of this position.

Agency Objective(s) and Outcome(s) or Agency-specific goal(s) and/or external commitment(s) to which this element aligns (State specific objective(s), outcome(s), goal(s), or commitment(s) and cite source, e.g., Annual Performance Plan, etc.)

Program/Project/Functional Objectives

PERFORMANCE REQUIREMENT FOR FULLY SUCCESSFUL

**PROGRAM/PROJECT/FUNCTIONAL RATING** (Any rating other than "Fully Successful" must be justified specifically in the narrative summary.)

- UNSATISFACTORY
- MINIMALLY SATISFACTORY
- FULLY SUCCESSFUL
- HIGHLY SUCCESSFUL
- OUTSTANDING

**2. Management Competencies:** Management competencies are related to the SES Executive Core Qualifications (ECQs).

**Performance Requirements:** In rare cases, not all of the performance requirements for each competency may be applicable to an executive's position. Such performance requirements should be identified during the performance planning stage with the explanation that it is not applicable to the Executive's position in the block for Performance Requirement.

**a. Leading and Managing People and Resources Management Performance Requirements:**

- Cooperation, collaboration, and teamwork across NASA Centers and functions are actively promoted in the accomplishment of the targeted performance requirements and outcomes.
- Workforce or project teams are deployed to accomplish efficiently and effectively the organization's goals and objectives.
- Current and future workforce or project team needs are assessed based on the organization's goals and objectives.
- Program/project/functional budgets are well-defined and defensible and prepared within external and internal guidelines and by due dates.
- Programs/projects/functions are managed cost-effectively including contractor costs; any unutilized funds or cost overruns are identified and brought immediately to the attention of senior management.
- Program/project/functional and contractor performance are reviewed periodically to monitor progress against milestones and goals; any problems or schedule delays are identified and immediately brought to the attention of senior management.
- Information technology is utilized effectively to organize and manage work and resources and to track and assess progress.
- A work environment exists that recognizes and supports the needs of employees to balance work and personal life.

**(Supervisory Only)**

- Performance plans and appraisals of subordinate staff members are completed by the due date; and at least one critical element for each is clearly traceable to the Agency's goals and objectives (e.g., the Agency Strategic Plan, Agency Performance Plan, etc.).
- Performance plans and appraisals of the employees reporting to subordinate managers and supervisors within the executive's organization are completed by the due date; and at least one critical element for each is clearly traceable to the Agency's goals and objectives.
- Feedback on performance is provided to subordinate staff members on a frequent basis; their performance and that of their employees, as an individual or as a member of a team, is recognized with performance awards that are commensurate with the level of performance, responsibility, and progress towards the goals and objectives; the distribution of annual performance awards mirrors the distribution of performance ratings. Appropriate and timely action is taken to address performance that does not meet expectations.
- Employees are provided opportunities to excel and encouraged to expand their knowledge and skills through coaching, mentoring, developmental assignments, and training.
- The performance of subordinate staff members is appraised fairly against Specific, Measurable, Aggressive yet Achievable, Results-oriented and Time-based (SMART) performance expectations.
- To address skills imbalances and succession needs, highly qualified candidates are recruited and hired; support is provided to ensure successful transition into the Federal service; employees are developed; and employees are promoted ensuring adherence to the Merit Systems Principles and equal employment opportunity without regard to race, color, national origin, sex, sexual orientation, or religion and by providing, if needed, reasonable accommodation(s) to an otherwise qualified individual with a disability utilizing all available hiring flexibilities.

**b. Leading and Managing Change Performance Requirements:**

- The impact of changing national priorities on the Agency's mission, strategic goals and objectives, performance requirements, programs, and projects is clearly articulated as a vision for the organization and effectively communicated to capture the commitment of the workforce.
- To achieve the vision, strategies are developed to redefine programs and projects and associated performance requirements and outcomes as needed.
- The implementation of the resulting changes to the organization and workforce are accomplished with minimal disruption.
- Risk taking, creative thinking, and innovation to identify new work processes to meet performance requirements and to effect change are supported and encouraged.

**c. Achieving Results Performance Requirements:**

- In the pursuit of the accomplishment of the Agency's goals and objectives, the behaviors exhibited exemplify a commitment to NASA's core values of safety, teamwork, integrity, and mission success.
- Short- and long-term organizational goals and objectives are based on the Agency's Strategic Plan and Governmentwide initiatives and are realistic, measurable, and results-oriented.
- Work units are organized with the appropriate technical expertise and balance of workload to ensure organizational priorities are achieved.
- Potential or actual problems relating to the achievement of program/project objectives are identified and diagnosed with alternative courses of action identified and brought to the attention of the appropriate management officials in a timely manner.
- Performance results and customer feedback are used to develop and implement initiatives to improve program/project performance, functional support, or service delivery.

**d. Communications and Teamwork Performance Requirements:**

- Oral and written presentations are effective (e.g., accurate, well organized, and easily understood).
- Information, results and decisions are communicated in a timely manner.
- Interactions with others demonstrate the ability to listen effectively and to seek the opinions, ideas, and expertise of others.
- Working relationships, both internal and external, are cooperative and demonstrate the ability to be flexible and adaptable, facilitating win-win situations and the open exchange of ideas and opinions from diverse groups.
- Interactions with others demonstrate respect and an understanding of others' needs; establish trust; and foster support, cooperation, and knowledge sharing for the accomplishment of the Agency's goals and objectives.

**e. Diversity and Equal Employment Opportunity Performance Requirements:**

- Positive steps are taken to incorporate diversity into the business strategy of the organization or program/project.
- An inclusive work environment is sought where employees are engaged, valued and respected for their individual and cultural differences, treat one another fairly and with respect, and their talents are fully utilized, regardless of background.
- The work environment encourages the open and honest exchange of information and expression of ideas, diverse opinions, and dissenting views while presenting one voice to the public.
- Strives to create and maintain a work environment that is free of discrimination, harassment, and retaliation of any kind and accessible to qualified individuals with disabilities.
- Conflicts are resolved in a positive and constructive manner and complaints of discrimination are resolved, if possible, by engaging in an alternate dispute resolution (ADR) process.
- Efforts to ensure transparency in personnel practices are undertaken so that all employees know of opportunities for mentoring, developmental programs, details, special assignments, etc.
- Positive steps are taken to include demographic diversity in the organization/program/project.

**PERFORMANCE REQUIREMENT FOR FULLY SUCCESSFUL (Note any deviation from above.)**

**MANAGEMENT COMPETENCIES RATING** (Any rating other than "Fully Successful" must be justified specifically in the narrative summary.)

UNSATISFACTORY    
  MINIMALLY SATISFACTORY    
  FULLY SUCCESSFUL    
  HIGHLY SUCCESSFUL    
  OUTSTANDING

Executive \_\_\_\_\_ From \_\_\_\_\_ To \_\_\_\_\_

Title \_\_\_\_\_



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



Describe specific achievements, results, and behaviors justifying the executive's performance rating against program/project/functional objectives.  
**NOTE: Text is limited to the space provided below and must be Times New Roman 12 point.**

### PROGRAM/PROJECT/FUNCTIONAL OBJECTIVES

Executive \_\_\_\_\_ From \_\_\_\_\_ To \_\_\_\_\_

Title \_\_\_\_\_



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



Describe specific achievements, results, and behaviors justifying the executive's performance rating against management competencies.  
**NOTE: Text is limited to the space provided below and must be Times New Roman 12 point.**

### MANAGEMENT COMPETENCIES