National Aeronautics and Space Administration

NASA Employee Performance Communication System
Supervisory Performance Plan and Appraisal

Supervisor/Employee CATHY SMITH Title BRANCH CHIEF

Organization FLIGHT SYSTEMS IMPLEMENTATION BRAN Center AMES RESEARCH CENTER

Appraisal Period: May 1, 2007 to April 30, 2008 If other, from _____ to _____

Performance Plan Development

Performance requirements for the above period have been established, discussed with, and provided to the employee.

Employee's Signature _____ Date _____

Rating Official's Name and Signature _____ Date _____

Progress Review

A minimum of one progress review must be conducted during the appraisal period, generally midpoint in the period. If performance requirements have changed, the plan should be modified accordingly.

A Progress Review has been conducted by the Rating Official with the employee.

Employee's Signature _____ Date _____

Rating Official's Signature _____ Date _____

Development Discussion(s)

Both the progress review and the end of the appraisal period discussion provide opportunities to discuss an employee's training and development needs; such a discussion may be initiated by either the Rating Official or the employee.

Employee's Signature _____ Date _____

Rating Official's Signature _____ Date _____

Individual Development Plan (IDP) offered. ☒ Yes ☐ No *(Note: The offer of an IDP is optional unless required by Center policy.)*

Employee's Initials/Date _____ Rating Official's Initials/Date _____

Performance Appraisal - Performance Summary Rating Level

RATING OF RECORD *(A Rating of Record must be supported by the narrative summary.)*

☐ DISTINGUISHED ☐ ACCOMPLISHED ☒ FULLY SUCCESSFUL ☐ NEEDS IMPROVEMENT ☐ UNACCEPTABLE

Rating Official's Signature _____ Date _____

(A performance summary rating of Distinguished, Needs Improvement, or Unacceptable must be reviewed and approved by a higher-level official.)

Reviewing Official's Signature _____ Date _____

Acknowledgment

I acknowledge receipt of this rating; however, my signature on this form does not imply agreement with the rating received. I may request reconsideration of the rating within 15 calendar days.

Employee's Signature _____ Date _____

☐ I request reconsideration. Employee's Signature _____ Date _____

Disposition of Form: *This form is subject to the provisions of the Privacy Act. The original signed form must be retained in the Employee Performance File for 4 years.*

EPCS Performance Planning and Appraisal Instructions, Requirements, and Guidelines

OVERVIEW - The NASA Employee Performance Communication System (EPCS) establishes a systematic process for planning, monitoring, developing, assessing, and rewarding employee performance that contributes to achieving the Agency's Vision, mission, and goals. The EPCS ensures alignment with the Agency's goals, promotes a performance culture that focuses on two-way communication and accountability for results, and clearly differentiates between high and low performers.

PERFORMANCE PLANNING - The Rating Official (usually the immediate supervisor) must meet with the employee to discuss the performance requirements for the appraisal period and give the employee an opportunity to provide input to his/her performance plan. The plan must include at least two critical elements - a Program/Project/Functional Objective element specific to the position and a standard Supervisory Competencies element. A critical element is a work assignment or responsibility of such importance that unacceptable performance in that element would result in a determination that an employee's overall performance summary rating is Unacceptable [5 CFR 430.203]. An additional critical or non-critical element(s) may be identified at the discretion of the Rating Official. A non-critical element is a dimension or aspect of individual, team, or organizational performance, exclusive of a critical element, that is used in assigning a performance summary rating level. Failure on a non-critical element cannot be used as a basis for a performance-based adverse action nor can the employee's performance be summarized as "Unacceptable" overall based on that failure [5 CFR 430.203]; however, non-critical does not mean not important. Performance standards must be written at the Meets Expectations performance level. Both the Rating Official and the employee must sign the plan.

Program/Project/Functional Objective -The primary work assignment or responsibility of the employee that supports the achievement of an Agency strategic goal(s) should be identified as the Program/Project/Functional Objective and will be the critical element that holds an employee accountable for achieving measurable results. This objective must address the following:

Alignment - In accordance with Figure 4.3.2-1 of NPD 1000, Strategic Management and Governance Handbook, the employee's performance plan must show the linkage to projects up through the Agency's strategic goals/objectives (i.e., individual performance plan χ projects $\rightarrow$ programs $\rightarrow$ annual performance goals $\rightarrow$ performance outcomes $\rightarrow$ strategic goals/objectives). Therefore, the plan must identify at least one annual performance goal (APG) and/or organizational performance goal related to the APG to which the employee will contribute. The goal(s) should follow the performance plans of the chain of authority within the organization (i.e., from senior executive to manager to supervisor to employee). Alignment should be obvious; however, it is the responsibility of the Rating Official to ensure that the employee understands how his/her performance supports the achievement of the Agency's goals/objectives.

Measurable Results - Performance standards are statements of performance thresholds, requirements, or expectations written at the Meets Expectations performance level, commensurate with the knowledge and skills required for the position. Standards communicate what an employee has to do or achieve to meet the performance element. Performance standards should be described in terms of clear, credible measures of performance and identify the expected results/accomplishments (not activities or tasks). General measures of performance are:

Quality - How well work is performed and/or how accurate or how effective the service or final product is.
Quantity - How much work is produced (can be expressed as an error rate, such as a number or percentage of errors allowable per unit of work).
Timeliness - How quickly, when, or by what date the work is produced; however, a timeliness measure must not be absolute leaving no margin for error.
Cost-effectiveness - Dollar savings to the Government or working within a budget (may include such aspects as maintaining or reducing costs, reducing time it takes to produce a product or service, or reducing waste).

These general measures of performance must be further defined and must be **SMART**:

Specific - What is being measured (i.e., the expected result) is easily understood.
Measurable - A target can be established; data to support the metric is available and quantifiable.
Aggressive yet Achievable - The target, established at the Meets Expectations performance level, is challenging and significant but not so challenging that it is not really achievable.
Results oriented - Identifies the expected accomplishments (a product or service) described as a noun (not an activity or task described as a verb).
Time based - Identifies a specific time frame for the achievement of the target.

Supervisory Competencies Element - The performance standards identified are those management competencies for senior executives that are applicable to a supervisory position. They cannot be modified; however, if it is determined that a performance standard for a specific competency is not applicable to the supervisor, it should be so identified during the performance planning stage and justified with a narrative explanation in the comments block.

PROGRESS REVIEW - At a minimum, one progress review must be conducted during the appraisal period, generally midpoint in the period; however, a progress review may be initiated at any time during the appraisal period by either the Rating Official or the employee. The primary purpose of the review is to discuss the employee's performance to date; provide feedback on his/her progress in accomplishing the performance requirements described in the performance plan; and provide, when necessary, advice and assistance on how to improve his/her performance. If necessary, the performance plan should be annotated to document any new performance requirements or changes to existing performance requirements at this time. The Rating Official must offer the employee an opportunity to provide input on his/her accomplishments for the progress review. Both the Rating Official and the employee must sign the plan to indicate that the review was held.

DEVELOPMENT DISCUSSION - Both the progress review and the end of the appraisal period discussion provide opportunities to discuss an employee's training and development needs; such a discussion may be initiated by either the Rating Official or the employee.

PERFORMANCE ASSESSMENT - At the end of the appraisal period, the Rating Official must meet with the employee to discuss both the employee's accomplishments and the organization's achievements. The Rating Official must offer the employee an opportunity and strongly encourage the employee to identify specific accomplishments and results; if provided, the employee's input must be retained as part of the appraisal documentation. In assessing the employee's performance for the Program/Project/Functional Objective element, the Rating Official must consider the overall organization's performance taking into account the results achieved in the organization's senior executive's mission-related or functional area of responsibility as evidenced by the Agency's annual Performance and Accountability Report, Program Assessment Rating Tool (PART) ratings, and/or other assessments/reports. In assessing the employee's Supervisory Competencies element, the Rating Official should consider the employee's performance relative to each of the competencies individually before assigning a performance element rating in order to accurately reflect the performance of all supervisory competencies. In addition, the Rating Official must consider the effectiveness, productivity, and performance of the employee's subordinates; the fairness and consistency of the performance ratings and awards of the employee's subordinates and whether or not they reflect meaningful performance distinctions; his/her compliance with merit system principles; and if safety and diversity goals have been met. The perspectives of subordinate employees of the supervisor must be considered in this assessment and that of customers as appropriate. An additional performance element should be left unrated (i.e., Not Rated) only if the employee has had an insufficient opportunity to demonstrate performance on the element; in such cases, this must be documented on the appraisal form. The plan must be signed by both the Rating Official and the employee to indicate the appraisal was held.

RATING LEVEL DEFINITIONS

Performance Element Rating Levels

SIGNIFICANTLY EXCEEDS EXPECTATIONS - Performance that consistently exceeds the performance standards to an exceptional degree.
EXCEEDS EXPECTATIONS - Performance that consistently exceeds the performance standards to a high degree.
MEETS EXPECTATIONS - Performance that fully and consistently meets the performance standards.
NEEDS IMPROVEMENT - Performance that does not fully meet the performance standards.
FAILS TO MEET EXPECTATIONS - Performance that fails to meet the established performance standards.

Performance Summary Rating Levels

DISTINGUISHED (Level 5) - Performance when all elements are rated "Significantly Exceeds Expectations."
ACCOMPLISHED (Level 4) - Performance when all elements are rated no lower than "Exceeds Expectations."
FULLY SUCCESSFUL (Level 3) - Performance when no element is rated below "Meets Expectations."
NEEDS IMPROVEMENT (Level 2) - Performance when any element is rated below "Meets Expectations."
UNACCEPTABLE (Level 1) - Performance when any critical element is rated "Fails to Meet Expectations."

The performance summary rating level assigned at the end of the appraisal period (i.e., Rating of Record) must be supported by the narrative summary. A performance summary rating of Distinguished, Needs Improvement, or Unacceptable must be reviewed and approved by a higher-level official.

PERFORMANCE AWARD ELIGIBILITY - An employee who receives a performance summary rating of "Distinguished" is eligible for monetary performance awards, nonmonetary recognition, and/or a quality step increase [5 CFR 531.504]. An employee who receives a performance summary rating of "Accomplished" or "Fully Successful" is eligible for monetary awards and nonmonetary recognition based on performance. An employee who receives a "Needs Improvement" or "Unacceptable" performance summary rating is not eligible for monetary or nonmonetary awards based on performance. An award and/or recognition bestowed on an employee must be commensurate with the level of his/her performance, responsibility, and progress toward the achievement of the Agency's/organization's goals and objectives and relative to the performance of other supervisory employees in the organization. The process for determining the level of award and recognition must be fair, consistent, and transparent to others.

Supervisor/Employee CATHY SMITH From May 1, 2007 To Apr 30, 2008

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Critical Elements

In the accomplishment of the performance elements and standards below, the employee shall abide by NASA's values of Safety, Teamwork, Integrity, and Mission Success.

In accordance with NPD 1000, Strategic Management and Governance Handbook, the employee's performance plan must show the linkage to projects up through the Agency's strategic goals/objectives (i.e., individual performance plan → projects → programs → annual performance goals → performance outcomes → strategic goals/objectives). Identify at least one annual performance goal (APG) and/or organizational performance goal related to the APG to which the employee will contribute. The goal(s) should follow the performance plans of the chain of authority within the organization (i.e., from senior executive to manager to supervisor to employee). *(See Alignment under Performance Planning in Instructions, Requirements, and Guidelines.):*

Annual Performance Goal 8AC03: Conduct 30 ground-based investigations in the physical and biological sciences that promote the development of related microgravity research capabilities.

Space Bioscience Division Goal: Support the Human Research Program within ESMD in the tests of assessment and mitigation strategies in operational analog spaceflight environments.

1. PROGRAM/PROJECT/FUNCTIONAL OBJECTIVE *(Insert the primary work assignment or responsibility of the employee that supports the achievement of the goal(s)/objective(s) above per instructions.)*

As a Branch Chief in the Space Biosciences Division, oversee the operations of the Centrifuge facilities, ensure efficient use of Agency resources and manage assigned staff.

Performance Standards *(Identify in sufficient detail (i.e., number of standards), the expected results defined by credible measures):*

1. Centrifuge Test Facilities are operated within 1-5 days of approved schedule, and at or below approved budget. Changes to approved schedule and budget are generally communicated and negotiated in advance.

2. Centrifuge Test Facilities and equipment are utilized with no unscheduled downtime.

3. Customers to the Centrifuge Test Facilities are satisfied with their tests as indicated in Post-Test briefs.

4. New business is developed for Centrifuge Test Facilities by March 30, 2008, and is processed for formal approval as required.

COMMENTS:

PROGRAM/PROJECT/FUNCTIONAL OBJECTIVE RATING:

- [ ] SIGNIFICANTLY EXCEEDS EXPECTATIONS
- [ ] EXCEEDS EXPECTATIONS
- [x] MEETS EXPECTATIONS
- [ ] NEEDS IMPROVEMENT
- [ ] FAILS TO MEET EXPECTATIONS

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Critical Elements

2. SUPERVISORY COMPETENCIES *(In rare cases, when it is determined that a performance standard for a specific competency is not applicable to the employee it should be identified during the performance planning stage with a narrative explanation in the comments block,)*

a. Leading and Managing Change
b. Leading and Managing People
c. Achieving Results
d. Resources Management
e. Communications and Teamwork

Performance Standards

☒ **a. Leading and Managing Change**

- The implementation of 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.

☒ **b. Leading and Managing People**

- An inclusive work environment exists:
  - That is free of discrimination, harassment, and retaliation of any kind and accessible to qualified individuals with disabilities.
  - Where employees are valued and respected for their individual and cultural differences, treat each other with respect, and their talents are used regardless of backgrounds.
  - Where commitment to equal opportunity is demonstrated through observable actions.
- Cooperation, collaboration, and teamwork across NASA Centers and functions are actively promoted in the accomplishment of the targeted performance expectations and results.
- The work environment encourages the open and honest exchange of information and the expression of ideas, diverse opinions, and dissenting views while presenting one voice to the public.
- 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.
- A work environment exists that recognizes and supports the needs of employees to balance work and personal life.
- 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., Strategic Plan, Agency Performance Plan, President's Management Agenda initiatives).
- Performance plans and appraisals of the employees reporting to subordinate managers and supervisors within the employee'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, if applicable, 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.
- Employees are provided opportunities to excel and are encouraged to expand their knowledge and skills through coaching, mentoring, developmental assignments, and training.
- The performance of subordinate staff members is fairly appraised against Specific, Measurable, Aggressive yet Achievable, Results-oriented, and Time-based (SMART) performance expectations.

☒ **c. Achieving Results**

- In the pursuit of the accomplishment of the Agency's goals and objectives, the behaviors exhibited exemplify a commitment to NASA's values of safety, teamwork, integrity, and mission success.
- A commitment to the Agency's value — safety — is evidenced by:
  - Facilitation and/or conduct and documentation of safety inspections of assigned area(s) of responsibility as required and in accordance with applicable safety and occupational health regulations, policies, and procedures.
  - Identification and expeditious action taken to correct unsafe conditions and/or procedures.
  - Compliance with applicable safety and occupational health standards, rules, and regulations.
- Short- and long-term organizational goals and objectives are based on the Agency's Strategic Plan and Government-wide initiatives and are realistic, measurable, and results-oriented.
- Work units are organized and staffed with the appropriate technical expertise and the workload is balanced to ensure priorities are achieved.
- Potential or actual problems relating to the achievement of program/project/functional 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.

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Critical Elements

☒ **d. Resources Management**

- Workforce or project teams are deployed to efficiently and effectively accomplish 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 immediately brought to the attention of senior management.
- Programs/projects/functional and contractor performance are periodically reviewed 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 effectively utilized to organize and manage work and resources and to track and assess progress.
- Utilizing all available hiring flexibilities to address skills imbalances and succession needs, highly qualified candidates are hired, developed, and promoted ensuring adherence to the Merit Systems Principles and equal opportunity without regard to race, color, national origin, sex, sexual orientation, age, or religion and by providing, if needed, reasonable accommodation(s) to an otherwise qualified individual with a disability.

☒ **e. Communications and Teamwork**

- 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.

COMMENTS *(Identify any performance standard that is not applicable to the position with a brief justification here.):*

SUPERVISORY COMPETENCIES RATING:

☐ SIGNIFICANTLY EXCEEDS EXPECTATIONS ☐ EXCEEDS EXPECTATIONS ☒ MEETS EXPECTATIONS

☐ NEEDS IMPROVEMENT ☐ FAILS TO MEET EXPECTATIONS

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Additional Elements

3. SAFETY: Oversee the safe operations of Centrifuge Facilities; ensure that safety training requirements of all subordinate employees are up to date; ensure that all Safety Walk-throughs/Reviews are performed for Branch facilities.

☒ **CRITICAL** ☐ **NON CRITICAL**

Performance Standards *(Identify in sufficient detail (i.e., number of standards), the expected results defined by credible measures):*

1. Safety Training requirements are met and up to date for all employees.
2. Quarterly Safety Reviews and weekly Walk-Throughs are conducted as required.
3. Loss time for safety violations is less than 3 days.
4. Reportable accidents are communicated within 24 hours of identification.
5. Appropriate plans are promptly implemented to mitigate any identified safety violations.

COMMENTS:

ELEMENT RATING:

☐ SIGNIFICANTLY EXCEEDS EXPECTATIONS ☐ EXCEEDS EXPECTATIONS ☒ MEETS EXPECTATIONS
☐ NEEDS IMPROVEMENT ☐ FAILS TO MEET EXPECTATIONS ☐ NOT RATED

4. (Optional)

☐ **CRITICAL** ☐ **NON CRITICAL**

Performance Standards *(Identify in sufficient detail (i.e., number of standards), the expected results defined by credible measures):*

COMMENTS:

ELEMENT RATING:

☐ SIGNIFICANTLY EXCEEDS EXPECTATIONS ☐ EXCEEDS EXPECTATIONS ☐ MEETS EXPECTATIONS
☐ NEEDS IMPROVEMENT ☐ FAILS TO MEET EXPECTATIONS ☐ NOT RATED

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5. (Optional)

☐ **CRITICAL** ☐ **NON CRITICAL**

Performance Standards *(Identify in sufficient detail (i.e., number of standards), the expected results defined by credible measures):*

COMMENTS:

ELEMENT RATING:

☐ SIGNIFICANTLY EXCEEDS EXPECTATIONS ☐ EXCEEDS EXPECTATIONS ☐ MEETS EXPECTATIONS

☐ NEEDS IMPROVEMENT ☐ FAILS TO MEET EXPECTATIONS ☐ NOT RATED

6. (Optional)

☐ **CRITICAL** ☐ **NON CRITICAL**

Performance Standards *(Identify in sufficient detail (i.e., number of standards), the expected results defined by credible measures):*

COMMENTS:

ELEMENT RATING:

☐ SIGNIFICANTLY EXCEEDS EXPECTATIONS ☐ EXCEEDS EXPECTATIONS ☐ MEETS EXPECTATIONS

☐ NEEDS IMPROVEMENT ☐ FAILS TO MEET EXPECTATIONS ☐ NOT RATED

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Additional Elements

7. (Optional)

☐ **CRITICAL** ☐ **NON CRITICAL**

Performance Standards *(Identify in sufficient detail (i.e., number of standards), the expected results defined by credible measures):*

COMMENTS:

ELEMENT RATING:

☐ SIGNIFICANTLY EXCEEDS EXPECTATIONS ☐ EXCEEDS EXPECTATIONS ☐ MEETS EXPECTATIONS

☐ NEEDS IMPROVEMENT ☐ FAILS TO MEET EXPECTATIONS ☐ NOT RATED

8. (Optional)

☐ **CRITICAL** ☐ **NON CRITICAL**

Performance Standards *(Identify in sufficient detail (i.e., number of standards), the expected results defined by credible measures):*

COMMENTS:

ELEMENT RATING:

☐ SIGNIFICANTLY EXCEEDS EXPECTATIONS ☐ EXCEEDS EXPECTATIONS ☐ MEETS EXPECTATIONS

☐ NEEDS IMPROVEMENT ☐ FAILS TO MEET EXPECTATIONS ☐ NOT RATED

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Narrative Summary

(Summarize the employee's significant achievements and results for the appraisal period.)

During the performance period, Cathy met all expectations as Branch Chief in the Space Biosciences Division, overseeing the operations of the Centrifuge facilities, ensuring the efficient use of Agency resources, and managing assigned staff effectively. The Centrifuge Test Facilities operated 3% under budget for the year. Eight experiments were completed with internal and external customers. All experiments were completed on time and customers rated their tests as "successful" or "highly successful" on exit interviews. Facility maintenance and upgrades were also completed on time and under approved budget allocation leaving no unscheduled downtime during the year. Safety was adhered to; inspections and training were completed on time; and no violations or accidents were reported during the year. Cathy successfully developed new business for the facilities submitting five test plans for future tests through the approval process and establishing customer interactions for four additional tests which are currently in stages of preparation for approval.

Cathy successfully led and managed the people and resources of her Branch. Based on feedback from Cathy's employees, she has done a good job of completing her supervisory requirements. Through her leadership, the Branch completed all planned experiments successfully without incident. All Branch members completed required trainings on time. Successful personnel actions promoted two members of her Branch. Employee performance plans, mid-term reviews, and appraisals were accomplished by the due dates. Workforce, budget, and resource projections for the coming year were complete and defensible and provide a strategy for achieving the organization's goals within current capabilities and budget. Reporting requirements for the Branch were well-prepared, accurate, and completed on time.