

National Aeronautics and  
Space Administration

**Headquarters**

Washington, DC 20546-0001



September 18, 2007

Reply to Attn of: **Headquarters Human Resources Management Division**

**TO:** Distribution

**FROM:** Director, Headquarters Human Resources Management Division

**SUBJECT:** Employee Performance Communication System Mid-Term  
Progress Reviews

This is a reminder to conduct mid-term progress reviews for Employee Performance Communication System (EPCS) covered employees, i.e., all non-SES, non-ST-SL employees.

At this point in the performance year, supervisors should be conducting mid-term progress reviews. During the mid-term progress review, supervisors are expected to discuss employee performance; review performance plans; and assess employee development and training needs. At the conclusion of the review, the manager and employee are expected to sign the performance plan documenting the mid-term and employee development discussion occurred. To further assist supervisors, enclosed is a summary of the EPCS requirements for mid-term reviews, with relevant guidance. Other helpful resources include the EPCS tutorial located in SATERN <https://satern.nasa.gov/elms/learner/login.jsp> and the NASA EPCS policy - NASA Procedural Requirement (NPR) 3430.1C, available in NODIS at <http://nodis3.gsfc.nasa.gov/displayDir.cfm?t=NPR&c=3430&s=1C>.

We are asking Administrative Contacts to certify that progress reviews have been completed for employees in their organizations. Please send the certification to this Division, to the attention of Inez Hunter in Room 4N39, by November 30, 2007. This deadline is in accordance with a requirement from the Office of Human Capital to forward mid-term and other EPCS data within a specified timeframe. The certification may be sent by email or by memo.

In addition, we are interested in building a performance plan library with a collection of Headquarters best plans from each directorate. We are asking if your Administrative Contacts would send copies of their best performance plans from this rating period. These plans will be a great resource for other supervisors working through this process.

We have also enclosed the NASA Headquarters FY2007 GS Performance Rating Summary for all directorates. I hope you find this information useful. Should you have any questions on the EPCS procedures, please do not hesitate to contact Inez Hunter at 358-0658 or Dorothy Egbert at 358-1162. Additionally, the Headquarters Training and Development Branch is available to assist with employee development and training needs, please contact Elizabeth Piper at 358-0565 or Donna Williams at 358-3624.



Leah Horlander

Enclosures

1. NASA Employee Performance Communication System (EPCS) - Guidance for Mid-Term Progress Reviews
2. NASA Headquarters FY2007 GS Performance Rating Summary

cc:

Administrative Contacts  
HRMD staff

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Director, Office of Program and Institutional Integration/Mr. Keegan

General Counsel/Mr. Wholley

## NASA Employee Performance Communication System (EPCS)

### Guidance for Mid-Term Progress Reviews

#### References:

- NPR 3430.1C, effective May 1, 2007
- NASA People performance management website:  
<http://nasapeople.nasa.gov/perform/index.htm>
- NASA System for Administration, Training, and Educational Resources for NASA (SATERN) – EPCS Tutorial

#### Policy Requirements:

- **Planning**. Engaging the employee as a partner in the establishment of the employee's performance elements and standards.
- **Monitoring**. Promoting two-way communications with the employee and providing constructive feedback relative to the employee's performance during the appraisal period.
- **Developing**. Assessing the employee's training and development needs and requirements to improve good or poor performance and, when possible, providing educational, developmental, and growth opportunities.
- **Rating**. Appraising in a fair, accurate, and timely manner the employee's performance against the performance plan at the end of the appraisal period.
- **Reassignment** - A change of an employee, while serving continuously within the same agency, from one position to another without promotion or demotion.
- **Rewarding**. When appropriate, fully and fairly utilizing awards and recognition to recognize the employee's performance and achievements.

#### Practical Guidance:

- Before the meeting, the supervisor should gather any documentation relevant to performance, such as:
  - Current performance plan
  - Notes that he/she has made or has received from others (team leaders, customers, etc.)
  - Status reports, project summaries, and similar documents in common use within the office.

- Employees should also prepare for the meeting. Sample questions an employee should be prepared to discuss are:
  - Describe your progress to date on each of your performance elements.
  - Identify significant accomplishments so far this year.
  - Address assistance needed from the supervisor in order to meet your performance requirements. This may be an employee's role in the organization, developmental or training needs.
- At the meeting, the supervisor and the employee should discuss progress on each element in the performance plan. This discussion may include specific examples of accomplishments, what is currently in progress, and what remains to be done.
- The performance plan may be changed if necessary. The progress review is a good time to review the performance elements and standards and to document any modifications to the performance plan. For example:
  - If an employee has changed positions, or has been assigned significantly different duties, one or more new performance elements may need to be written;
  - If an employee is matrixed to one or more projects or detailed to another position throughout the appraisal period or detailed outside of the direct supervision and control of the supervisor of record for 90 days or more, the project manager(s) or the supervisor with input from the employee must define duties and assignments. This may include amending an employee's performance plan.
- Supervisors should consult with the Headquarters Human Resources Management Division as early as possible if any employee is in danger of receiving a "Needs Improvement" or "Fails to Meet Expectations" in one or more performance standards.
- Both the supervisor and employee sign or initial the performance form to document that the mid-term review and development discussions have taken place. However, if the employee is unwilling to sign, the supervisor's signature is sufficient to document that the review occurred.

NASA Headquarters					
FY07 GS Performance Rating Summary					
Total Ratings 1070					
<u>Code</u>	<u>Directorate</u>	<u>Distinguished</u>	<u>% Distinguished</u>	<u>Meets / Exceeds</u>	<u>Total Distinguished +</u>
A	Administrator	8	50.00%	8	16
B	Exploration	24	32.00%	51	75
C	Space Operations	17	20.00%	68	85
D	Science	51	39.84%	77	128
E	Aeronautics	13	40.63%	19	32
F	PA&E	10	19.23%	42	52
G	Safety & Mission Assurance	16	45.71%	19	35
I	CFO	23	27.06%	62	85
J	CIO	4	25.00%	12	16
K	Chief Engineer	6	42.86%	8	14
L	Inst. & Management	109	36.70%	188	297
LA	Inst. & Mgmt (Main Ofc)	2	100.00%	0	2
LD	Infras & Admin. (Office & Agy)	21	40.38%	31	52
LD	Infras & Admin. (HQ Ops)	24	25.00%	72	96
LE	Ofc of Human Capital Mgt	13	41.94%	18	31
LF	Ofc of Diversity and EO	10	58.82%	7	17
LG	Security	13	29.55%	31	44
LH	Procurement	21	53.85%	18	39
LI	Small Business	2	40.00%	3	5
LK	Internal Contrls & Mngmt Sys	3	27.27%	8	11
M	General Counsel	12	27.91%	31	43
N	Strategic Comm	23	24.47%	71	94
NA	Strategic Comm (Main Ofc)	0	0.00%	0	0
NB	Public Affairs	8	20.00%	32	40
NC	Legislative Affairs	9	32.14%	19	28
NE	Education	3	18.75%	13	16
NF	Communications Planning	2	22.22%	7	9
O	IEMP	3	37.50%	5	8
P	IPPO	0	0.00%	9	9
Q	Chf Health & Med. Ofcr	7	87.50%	1	8
R	Institutional Integration	13	39.39%	20	33
T	External Relations	20	50.00%	20	40
<b>Total</b>		359	33.55%	711	1070