



OCIO
Performance Management NASA Advisory
Implementing Instructions

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Approval Authority:

_(see Interim Decision Memo at link below for approval)_____

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Date

Office of the Chief Information Officer

Document Revision Log

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The visibility and accountability for the Agency's investment in the component of IT is integral to realizing the vision set forth in the Mission Support Council (MSC) MAP approval of Key Decision Point C (KDP-C) in March 2021. The vision and associated goals include, specifically: simplifying work processes; rationalizing capabilities; achieving efficiencies; and significantly strengthening the CIO role in overseeing IT investments, acquisitions and service lines and ALOs.

This is strictly a policy document providing the requirements for performance management. The processes and guidance to support execution of these requirements will be developed once the policy is approved.



NASA OCIO Performance Management

Responsible Office: NASA OCIO Enterprise Project Management Office

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Preface

P.1 Purpose

- a. This document establishes the requirements by which OCIO executes the performance management policy for the OCIO portfolio as prescribed in the NPD 2800.1 and consistent with NPD 1000.3.
- b. This policy implements standard goal setting and performance management practices across the OCIO portfolio using the Objectives and Key Results (OKR) method and Balanced Scorecard Framework.

NASA OCIO Performance Management Policy requires that:

All OCIO organizations shall implement and adopt OKRs and Balanced Scorecards for aligning to OCIO's strategic goals.

All OCIO organizations shall continuously evaluate and communicate their overall health and performance using the approved performance management framework (Balanced Scorecard, OKRs and KPIs).

All OCIO organizations shall utilize performance results to informed decision making and modify Configuration Items (CI) as needed.

P.2 Applicability

- a. This NASA Advisory Implementation Instruction (NAII) is applicable to NASA Headquarters and NASA Centers, including Component Facilities and Technical and Service Support Centers.. This NAII applies to the Jet Propulsion Laboratory (JPL), a Federally Funded Research and Development Center (FFRDC), other contractors, grant recipients, cooperative agreements or other agreements only to the extent specified or referenced in the applicable contracts, grants, or agreements.
- b. This NAII is applicable to all NASA OCIO employees. The requirements of this NAII are considered to be the minimum requirements for all OCIO organizations (i.e., agency level offices, service lines, and center OCIOs). However more stringent requirements can be added for specific organizations.
- c. In this directive, all mandatory actions (i.e., requirements) are denoted by statements containing the term "shall." The terms: "may" or "can" denote

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discretionary privilege or permission, "should" denotes a good practice and is recommended, but not required, "will" denotes expected outcome, and "are/is" denotes descriptive material.

d. In this directive, all document citations are assumed to be the latest version unless otherwise noted.

P.3 Authorities

- a. NPD 2800.1, Managing Information and Technology.
- b. NPD 7120.4, NASA Engineering and Program/Project Management Policy.
- c. NPR 7120.7A NASA Information Technology Program and Project Management Requirements.

P.4 Applicable documents and forms

- a. NPD 1001.0C, NASA Strategic Plan.
- b. NASA Information Technology Strategic Plan.

P.5 Measurement Verification

- a. The NASA Chief Information Officer (CIO) - Decision Authority (DA) verifies compliance with this NAII via internal and external controls consistent with processes defined in NPD 1200.1, NASA Internal Control. Internal and external controls include surveys, audits, reporting requirements, and reviews conducted in accordance with NPD 1210.2, NASA Surveys, Audits, and Reviews Policy.
- b. Outcomes and performance measures related to the implementation of this policy are outlined in documents such as NPD 1001.0 and the NASA IT Strategic Plan, as well as in IT-related metrics in NASA's Annual Performance Plan and Federal cross-agency initiatives. Verification occurs through the NASA CIO's performance monitoring and the Agency's Baseline Performance Review (BPR). Results are reported through NASA's

annual strategic review, NASA's annual Volume of Integrated Performance, the Agency's annual statement of assurance process, FISMA reporting, and reporting as directed by Office of Management and Budget (OMB).

c. In order to determine if OCIO organizations follow the required processes specified in this NAI, OCIO monitors the reporting and processing of Balanced Scorecards, OKRs and KPIs to ensure that all process steps and requirements are completed correctly by all of the process participants.

P.6 Cancellation

None

Chapter 1. Introduction

1.1 Background

- a. The NASA CIO provides leadership, planning, policy direction, and oversight for the management of all NASA IT in accordance with public law including: 40 U.S.C. § 11101 and § 11103, Clinger-Cohen Act, 44 U.S.C. § 3541, Federal Information Technology Acquisition Reform Act (FITARA), 44 U.S.C. 3601 et seq., E-Government Act, and 44 U.S.C. § 11319, et seq, the Federal Information Security Modernization Act of 2014 (FISMA). As such, the NASA CIO is the principal advisor to the NASA Administrator and other senior officials on matters pertaining to NASA's information and information systems, Enterprise Architecture (EA), cybersecurity, records management, and privacy.
- b. The NASA CIO manages NASA's information and information systems as a joint responsibility with the NASA Centers, mission directorates, and institutional offices. The NASA CIO directs, manages, and provides policy guidance and oversight of all NASA IT activities and operations.

1.2 Performance Management Evaluation

- a. The performance of OCIO organizations is continually evaluated throughout the NASA IT life-cycle phases. Evaluation includes the continual, independent (i.e., outside the advocacy chain of the organization) assessment and measurement of overall performance to ensure planning and execution is aligned with approved plans.
- b. Evaluation will be compliant with Office of Management and Budget (OMB) guidance.

Chapter 2. Performance Management Roles and Responsibilities

- a. The roles and responsibilities for managing IT are defined in NPD 2800.1, Managing Information Technology, and NPR 2800.1, Managing Information Technology.
- b. All OCIO organizations shall implement and adopt OKRs and Balanced Scorecards for aligning to OCIO's strategic goals.
- c. All OCIO organizations shall continuously evaluate and communicate their overall health and performance using approved performance management framework (Balanced Scorecard, OKRs and KPIs).
- d. All OCIO organizations shall utilize performance results to make informed decisions and modify Configuration Items (CIs) as needed.
- e. All Agency Level Office Chiefs, Service Line Directors and Center CIOs are responsible for implementing their respective requirements stated in this NAI.

Chapter 3. Requirements Common to all OCIO Organizations

All Agency Level Office Chief, Service Lines Office Chiefs and Center OCIOs shall:

- a. Implement and align Balance Scorecards, OKRs and KPIs with performance management policies and processes
- b. Ensure performance management efforts are aligned with Agency level OKRs
- c. Monitor performance and maintain performance management configuration items (CIs)
- d. Provide performance reporting to internal/external stakeholders

Chapter 4. Enterprise Program/Project Management Office (EPMO) Requirements

The EPMO Office Chief shall:

- a. Develop/Implement/Maintain performance management policies and processes
- b. Charter and lead the Performance Management Working Group (PMWG)
- c. Develop/Maintain and lead training for performance management Balance Scorecards, OKRs, and KPIs

Chapter 5. Strategy & Architecture Office (SAO) Requirements

The SAO Office Chief Shall:

- a. Develop/Maintain OCIO-level OKRs tied to measure performance associated with goals/objectives in IT Strategic Plan
- b. Implement Balanced Scorecard at OCIO-level to monitor and evaluate performance
- c. Integrate performance management data into strategy management (i.e., Balanced Scorecard)

Chapter 6. Service Management Office (SMO) Requirements

The SMO Office Chief shall:

- a. Provide necessary guidance and validate OCIO organizations align with Information Technology Infrastructure Library (ITIL) processes for performance management
- b. Monitor and evaluate service lines performance for consistency with OKRs and balanced scorecards

Chapter 7. Application and Platform Service Line Requirements

The Application and Platform Service Line Office Chief shall:

- a. Develop and implement performance management tools for use by the OCIO organizations and to promote consistency.

Appendix A. Definitions

Balanced Scorecard. A strategy performance management tool – a well-structured report, that can be used by managers to keep track of the execution of activities by the staff within their control and to monitor the consequences arising from these actions.

Configuration Items. Any service component, infrastructure element, or other item that needs to be managed in order to ensure the successful delivery of services. Each Configuration Item (CI) has several characteristics: A classification, or type, which indicates what kind of item it is.

KPI. A type of performance measurement used to evaluate the success of an organization or of a particular activity in which the organization engages.

OKRs. The Objectives and Key Results is a quantifiable measure of performance over time for a specific objective.

Performance Management. A process of measuring progress (using Balanced Scorecard, Objectives and Key Results across all organizations) against strategic objectives.

Appendix B. Acronyms

BPR	Business Performance Review
CI	Configuration Item
CIO	Chief Information Officer
EPMO	Enterprise Project Management Office
FISMA	Federal Information Security Modernization Act
IT	Information Technology
ITIL	Information Technology Infrastructure Library
KPIs	Key Performance Indicators
NAII	NASA Advisory Implementing Instruction
NASA	National Aeronautics and Space Agency
NPD	NASA Policy Directive
NPR	NASA Procedural Requirements
OKRs	Objectives and Key Results
OMB	Office of Management and Budget
PMWG	Performance Management Working Group
SAO	Strategy and Architecture Office
SMO	Service Management Office
U.S.C.	United States Code

Appendix C. References

- a. Government Accountability Office (GAO) 18-148, Information Technology Reform: Agencies Need to Improve Certification of Incremental Development.
- b. Federal Information Processing Standards (FIPS) 199, Federal Information Processing Standard for Security Categorization of Federal Information and Information Systems.
- c. Office of Federal Procurement Policy (OFPP) Memorandum, Revisions to the Federal Acquisition Certification for Program and Project Managers (FAC-P/PM), December 2013.
- d. NPD 1000.0, NASA Governance and Strategic Management Handbook.
- e. NPD 2800.1, Managing Information Technology.
- f. NPD 7120.6, Knowledge Policy on Programs and Projects.
- g. NPR 1400.1, NASA Directives and Charters Procedural Requirements.
- h. NPR 2800.1, Managing Information Technology.
- i. NPR 2841.1, Identity, Credential and Access Management.
- j. NPR 7120.5, NASA Space Flight Program and Project Management Requirements.
- k. NASA/SP-2014-3076, NASA Standing Review Board Handbook.
- l. NPD 1000.0C 2018 NASA Strategic Plan.