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# NASA Procedural Requirements

**COMPLIANCE IS MANDATORY**

**NPR 3435.1B**

Effective Date: March  
05, 2008

Expiration Date: March  
05, 2014

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Request Notification of Change (NASA Only)

## **Subject: NASA Performance Management System for the Senior Executive Service**

**Responsible Office: Office of Human Capital Management**

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## **Chapter 1: Responsibility**

1.1 The Administrator, or designee, shall:

a. Approve the following for each senior executive:

(1) Annual Summary Rating.

(2) Performance bonus.

(3) Salary rate adjustment as follows:

(i) For a percentage of salary increase greater than that approved for a specific Annual Summary Rating.

(ii) To a Tier Position and any salary adjustment to a rate greater than Executive Level III.

(4) Presidential Rank Award nomination.

(5) Recommendation for a superior accomplishment award over \$10,000.

b. Appoint the chairpersons and members of the PRB and Senior Executive Committee (SEC).

1.2 The Deputy Administrator serves as the Chair of the SEC and makes final recommendations to the Administrator regarding all of the matters listed in 1.1 a. above.

1.3 The Associate Administrator shall be responsible for:

a. Assessment of the Agency's performance overall and with respect to each of its particular missions, components, programs, policy areas, and support functions.

b. Approval of the salary rate adjustment criteria based on Annual Summary Ratings taking into account the assessment of the Agency's performance.

c. Oversight of the SES performance appraisal process.

1.4 The Assistant Administrator for Human Capital Management shall assist the Administrator in the overall management of the SES.

1.5 The Director, Workforce Management and Development Division, shall:

- a. Oversee and coordinate SES systems dealing with performance management and compensation.
- b. Serve as the Executive Secretary of and provide direct staff support to the PRB and the SEC.
- c. Determine the responsibility and requirements for the maintenance, access, transfer, and destruction of Employee Performance Files in accordance with this NPR; NASA Privacy Policy; Office of Personnel Management's (OPM) Governmentwide system of records, OPM/GOVT-2 requirements; and other applicable regulations.

1.6 Each EPM shall:

a. Approve the following for each subordinate senior executive:

(i) Salary rate adjustment up to the Executive Level III pay cap consistent with the provisions of NPR 3100.1 and with the authority otherwise delegated by the Administrator or designee or the PRB.

(ii) Superior accomplishment award up to \$10,000, except that the EPM may not be both the recommending and approving official.

(iii) Nomination for Agency honor awards.

(iv) Performance-based action.

b. Recommend the following, to the appropriate board or authority, for a subordinate senior executive:

(i) Performance Summary Rating level (i.e., Initial Summary Rating).

(ii) Salary rate adjustment:

(1) For a salary rate above the Executive Level III pay cap.

(2) For a percentage of salary increase greater than that approved for a specific Annual Summary Rating.

(3) Promotion to a Tier Position.

(iii) Performance bonus award amount.

(iv) Nomination for Presidential Rank Award.

(v) Superior accomplishment award over \$10,000.

c. Provide training and disseminate information on the Performance Management System to each subordinate senior executive.

1.7 The PRB shall:

a. Recommend salary rate adjustment criteria based on Annual Summary Ratings taking into account the assessment of the Agency's performance.

b. Evaluate the effectiveness of the Performance Management System, report the findings of the evaluation, and make any appropriate recommendations for process improvement to the EPMs and appropriate policy changes to the Assistant Administrator for Human Capital Management.

1.8 For each senior executive, the PRB:

a. Shall review and evaluate the Initial Summary Rating and, if applicable, any senior executive's written response and the higher level reviewing official's comments and recommendation on the Initial Summary Rating, and conduct any further review needed to make its recommendations.

- b. Shall make a written recommendation to the Administrator or designee about each senior executive's Annual Summary Rating.
- c. In addition to the Annual Summary Rating, shall recommend to the Administrator or designee, as appropriate, any performance bonus and/or salary rate adjustment based on performance.
- 1.9 The Rating Official of a senior executive shall:
- a. In consultation with the senior executive, develop a performance plan that describes the individual and organizational expectations for the appraisal period and sets the requirements against which performance will be evaluated.
- b. Monitor the senior executive's performance, conduct at least one progress review, and provide feedback to the senior executive on progress in accomplishing the performance expectations described in the performance plan during the appraisal period.
- c. Hold the senior executive accountable for the performance management of his/her subordinate employees.
- d. Appraise, in writing, at the end of the appraisal period the senior executive's performance results relative to his/her performance requirements and assign an Initial Summary Rating.
- e. Forward the Initial Summary Rating to the PRB. Along with the Initial Summary Rating, the Rating Official may recommend a salary rate adjustment and/or performance bonus award amount.

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