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NASA Procedural Requirements

COMPLIANCE IS MANDATORY

NPR 3435.1B

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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 4: Documentation of Performance-Related Records

4.1 In accordance with the responsibility and requirements as determined by the Office of Human Capital Management, Workforce Management and Development Division, NASA Headquarters, all performance-related records for a senior executive shall be maintained in an Employee Performance File for no less than five years from the date the final Annual Summary Rating is issued and shall be available to:

- a. Agency officials having a need for the information.
- b. The senior executive.
- c. The OPM in connection with its personnel management evaluation role.

4.2 The Rating Official shall provide the senior executive the following documents at the time they are prepared:

- a. The performance plan.
- b. The Initial Summary Rating, including the overall performance assessment narrative for the appraisal period and the performance plan that identifies the performance element ratings upon which the Initial Summary Rating was based.
- c. Written notification of the right to request a higher level review.
- d. Any written comments and/or recommendation(s) for a different rating by a higher level reviewing official.
- e. A copy of the final Annual Summary Rating.

4.3 Performance-related records shall, at a minimum, include:

- a. The Annual Summary Rating, including the overall performance assessment narrative and any additional required assessments for the appraisal period, and the performance plan on which the assessment is based.
- b. Any written comments and/or recommendation(s) for a different rating by a higher level

reviewing official.

c. The written recommendation for the Annual Summary Rating, from the PRB.

d. When applicable, any Performance Summary Rating from the Rating Official of a position to which the senior executive was detailed or previously assigned, or from which transferred.

e. Other personnel decisions (e.g., removal from the SES), including supporting documentation, based on performance.

4.4 When a senior executive moves to another SES position, either within NASA or with another agency, all appropriate performance-related records five years old or less shall be forwarded in the Employee Performance File along with the executive's Official Personnel Folder.

4.5 When a NASA career senior executive accepts a Presidential appointment [5 U.S.C. Section 3392(c)], the Employee Performance File shall be forwarded to and maintained by the gaining organization throughout the length of the appointment.

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