



# NASA Procedural Requirements

**COMPLIANCE IS MANDATORY**

**NPR 3435.1C**  
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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: Responsibilities

### 1.1 Administrator

1.1.1 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:
  - (a) For a percentage of salary increase greater than that approved for a specific Annual Summary Rating.
  - (b) 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 Deputy Administrator

1.2.1 The Deputy Administrator, or designee, shall serve as the Chair of the SEC and make final recommendations to the Administrator regarding all of the matters listed in 1.1.1a above.

### 1.3 Associate Administrator

1.3.1 The Associate Administrator, or designee, shall be responsible for:

- a. Assessment of the Agency's overall performance 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 Performance Management System.

### 1.4 Assistant Administrator, Human Capital Management (AA, HCM)

1.4.1 The AA, HCM, or designee, shall assist the Administrator in the overall management of the SES, which includes:

- a. Overseeing and coordinating SES systems dealing with performance management and compensation.

- b. Providing an Executive Secretary and direct staff support to the PRB and the SEC.
- c. Setting direction and determining the requirements for the maintenance, access, transfer, as well as destruction of Employee Performance Files in accordance with this NPR and applicable regulations, OPM Government wide system of records, OPM/GOVT-2 requirements, and NPD 1382.17.

## **1.5 Executive Position Manager (EPM)**

1.5.1 Each EPM shall:

a. Approve the following for each subordinate senior executive:

- (1) 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.
- (2) Superior accomplishment award up to \$10,000, except that the EPM shall not be both the recommending and approving official.
- (3) Nomination for Agency honor awards.
- (4) Performance-based action.

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

- (1) Performance Summary Rating level (i.e., Initial Summary Rating).
- (2) Salary rate adjustment:
  - (a) For a salary rate above the Executive Level III pay cap.
  - (b) For a percentage of salary increase greater than that approved for a specific Annual Summary Rating.
- (3) Advancement to a Tier position.
- (4) Performance bonus award amount.
- (5) Nomination for Presidential Rank Award.
- (6) Superior accomplishment award over \$10,000.

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

## **1.6 Performance Review Board (PRB)**

1.6.1 The PRB, in accordance with NC 1000.9, 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 Performance Management System and appropriate policy changes to the AA, HCM.

1.6.2 For each senior executive, the PRB shall:

- a. Review and evaluate the Initial Summary Rating and Annual Summary Rating, the senior executive's response, and any recommendations by a higher level reviewer.
- b. Conduct any additional review necessary to make written recommendations to the Administrator or designee on Annual Summary Ratings, bonuses, and (as applicable) pay adjustments for each senior executive.

## **1.7 Rating Official**

1.7.1 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. Establish a performance plan at the beginning of each appraisal period (normally within 30 days) or within 30 days of the executive's assignment to a position.

c. 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.

d. Hold the senior executive accountable for the performance management of his/her subordinate employees.

e. 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. The Rating Official will consider all available information that impacts the overall performance, including leadership behaviors, accomplishments, results, and conduct. The appraisal of a senior executive shall be based on both individual and organizational performance, taking into account such factors as:

(1) Results achieved in accordance with the Agency's strategic goals, objectives, outcomes, Annual Performance Goals, and/or Agency-specific goals, and/or external commitment within the senior executive's mission-related or functional area of responsibility.

(2) Customer satisfaction, to the extent applicable.

(3) Employee perspectives.

(4) The performance of subordinate employees.

(5) Meeting equal employment opportunity, diversity, and safety goals and complying with the merit system principles.

(6) Providing 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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