



NASA Procedural Requirements

COMPLIANCE IS MANDATORY

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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: Performance, Training, and Other System Requirements

4.1 Dealing with Poor Performance

4.1.1 The delegated official shall:

- a. Reassign, transfer, or remove from the SES a senior executive who has been assigned a Level 1 (Unsatisfactory) final rating.
- b. Remove from the SES an executive who has been assigned two final ratings at less than Level 3 (i.e., Level 2 or a combination of Levels 2 and 1) within a 3-year period.
- c. Remove from the SES an executive who receives two Level 1 (Unsatisfactory) final ratings within five years.

(1) Non-probationary career appointees are removed under procedures in 5 CFR 359 subpart E.

(2) Probationary career appointees are removed under procedures in 5 CFR 359 subpart D.

Note: Nothing here will be interpreted to limit removal of probationary SES employees as permitted by current regulations.

(a) Guaranteed placement in a non-SES position will be provided under 5 CFR 359 subpart G, when applicable.

4.1.2 A senior executive with an Annual Summary Rating of less than Successful may be considered for a reduction in pay.

4.1.3 A senior executive who is removed from the SES for performance and who is eligible under 5 CFR 359 is entitled to placement in a position at General Schedule 15 (GS-15) or above (or an equivalent position).

a. An otherwise eligible senior executive removed from the SES for performance may elect discontinued service retirement rather than fall back to a GS-15 position.

4.1.4 Senior executive performance appraisals and ratings may not be appealed to the Merit System Protection Board (MSPB) or grieved under the NPR 3771.1. The executive may file a complaint about any aspect of the rating process the executive believes to involve unlawful discrimination (United States Equal Employment Opportunity Commission) or a prohibited personnel practice (Office of Special Counsel).

4.1.5 A career appointee being removed from the SES under 5 U.S.C. 3592(a)(2) shall, at least 15 days preceding the date of removal, be entitled, upon request, to an informal hearing before an official designated by the MSPB.

4.2 Training and Evaluation

4.2.1 The delegated official shall provide information and training for executives on the requirements and operation of the Agency's performance management and pay-for-performance system, including the results of the previous appraisal period.

4.2.2 The delegated official shall periodically evaluate the effectiveness of the Performance Management System

and implement improvements as needed.

4.3 Other System Requirements

4.3.1 Delegated officials shall use the results of performance appraisals for adjusting pay, granting awards, determining training needs, and making other personnel decisions.

4.3.2 A senior executive with an Annual Summary Rating of Level 3 (Successful) or above is eligible to be considered for an SES performance award (bonus), an increase in pay, a Presidential Rank Award (after a minimum of three years of eligible service), and nonmonetary recognition.

a. Noncareer SES are not eligible for bonuses or rank awards.

4.4 Organizational Assessment and Guidelines

4.4.1 The delegated official shall assess organizational performance (overall and with respect to each of its particular missions, components, programs, policy areas, and support functions).

4.4.2 The delegated official shall ensure its assessment results and evaluation guidelines are communicated by the Administrator or designee to senior employees, Rating Officials, higher level review officials, and PRB members so that they may be considered in preparing performance appraisals, ratings, and recommendations.

4.4.3 Oversight

4.4.3.1 The Administrator, or designee, shall provide organizational assessments and evaluation guidelines and is responsible to oversee the system and certify that:

- a. The appraisal process makes meaningful distinctions based on relative performance.
- b. Executive ratings take into account assessments of organizational performance.
- c. Pay adjustments, awards, and pay levels accurately reflect individual and organizational performance.

Note: The responsible official designated to provide evaluation guidelines and oversee the appraisal system shall do so for the Agency.

4.4.4 Performance Distinctions

4.4.4.1 Rating Officials and PRB members shall make meaningful distinctions based on relative performance that take into account assessment of the Agency's performance against relevant program performance measures.

4.4.5 Differences in Pay Based on Performance

4.4.5.1 Senior executives who have demonstrated the highest levels of performance will receive the highest Annual Summary Ratings; the largest corresponding pay adjustments, cash awards, and levels of pay; and will be appropriately positioned in the pay range.

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