

| [NODIS Library](#) | [Human Resources and Personnel\(3000s\)](#) | [Search](#) |



NASA Procedural Requirements

COMPLIANCE IS MANDATORY

NPR 3435.1C
Effective Date: November 19,
2014
Expiration Date: November
19, 2019

[Printable Format \(PDF\)](#)

Request Notification of Change (NASA Only)

Subject: NASA Performance Management System for the Senior Executive Service

Responsible Office: Office of Human Capital Management

| [TOC](#) | [Preface](#) | [Chapter1](#) | [Chapter2](#) | [Chapter3](#) | [Chapter4](#) | [Chapter5](#) | [AppendixA](#) | [AppendixB](#) | [ALL](#) |

Preface

P.1 Purpose

a. This directive establishes the procedures and responsibilities for the NASA Performance Management System for the Senior Executive Service (SES) (hereafter referred to as the Performance Management System). It provides Agency direction which should be used in conjunction with referenced statutory and regulatory requirements. This system encourages excellence in performance; facilitates the accurate evaluation of performance based on results; provides for the systematic appraisal of performance; and provides a basis for pay, awards, development, retention, removal, and other personnel decisions. The system enhances the achievement of Agency goals by expecting and encouraging managerial excellence in individual and organizational performance, achieving results through effective executive leadership, and holding executives accountable for results.

b. The Performance Management System focuses on enhanced communication and clarity of goals and provides for:

(1) Participative performance planning.

(2) Setting and communicating individual and organizational goals and expectations that are linked to strategic planning initiatives and the results-oriented goals.

(3) Establishing new framework aimed at more crosscutting and integrated approach to focusing results and improving Government performance of the Government Performance and Results Modernization Act of 2010.

(4) Continual performance monitoring to assess achievements.

(5) Annual appraisals of performance using measures that balance individual and organizational results with customer, employee, and stakeholder perspectives.

P.2 Applicability

a. This directive applies to all career, noncareer, limited term, and limited emergency senior executives covered by 5 U.S.C. § 4311-4315, employed by NASA Headquarters and NASA Centers, including Component Facilities and Technical and Service Support Centers.

b. Any reference to Center Director(s) includes the Executive Director for Headquarters Operations and the Executive Director of the NASA Shared Services Center.

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

d. In this directive, all mandatory actions (i.e., requirements) are denoted by statements containing the term "shall." The terms "may" or "can" denote 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.

e. In consonance with the Inspector General Act of 1978, as amended (5 U.S.C. App. § 2), nothing herein shall be construed as limiting the Inspector General's authority regarding members of the SES or SES positions within those

organizations.

P.3 Authority

- a. Inspector General Act of 1978, as amended, 5 U.S.C. App. § 2.
- b. General Appointment Provisions, 5 U.S.C. § 3392.
- c. Removal from the Senior Executive Service, 5 U.S.C. § 3592.
- d. Performance Appraisal in the Senior Executive Service, 5 U.S.C. § 4311-4315.
- e. Managing Senior Executive Performance, and Performance Appraisal Certification for Pay Purposes, 5 CFR, Part 430, Subparts C and D.
- f. Awards, 5 CFR, Part 451.

P.4 Applicable Documents and Forms

- a. Government Performance and Results Modernization Act of 2010, Pub. L. 111-352, 124 Stat. 3866 (2011).
- b. Removal from the Senior Executive Service; Guaranteed Placement in Other Personnel Systems, 5 CFR, Part 359.
- c. NPD 1382.17, NASA Privacy Policy.
- d. NPR 3100.1, Management of the Senior Executive Service (SES).
- e. NPR 3771.1, NASA Grievance System.
- f. NC 1000.9, NASA Performance Review Board.
- g. Office of Personnel Management's (OPM) Guide to Recordkeeping/GOVT-2 requirements.
- h. NASA's Performance Management Manual for Senior Executives.

P.5 Measurement/Verification

a. The Performance Review Board (PRB) shall evaluate the effectiveness of the Performance Management System to ensure that:

- (1) The results of the appraisal process take into account the Agency's assessment of its performance against program performance measures.
- (2) The appraisal process makes meaningful distinctions based on relative performance.
- (3) Salary rate adjustments, cash awards, and levels of pay based on the results of the appraisal process are commensurate with the level of individual performance and/or contribution to the Agency's performance.
- (4) Findings of the evaluation are reported and recommendations made for process improvements to the Executive Position Managers (EPMs) and policy changes to the Office of Human Capital Management (OHCM).

P.6 Cancellation

NPR 3435.1B, NASA Performance Management System for the Senior Executive Service, dated March 05, 2008.

| [TOC](#) | [Preface](#) | [Chapter1](#) | [Chapter2](#) | [Chapter3](#) | [Chapter4](#) | [Chapter5](#) | [AppendixA](#) | [AppendixB](#) | [ALL](#) |

| [NODIS Library](#) | [Human Resources and Personnel\(3000s\)](#) | [Search](#) |

DISTRIBUTION: **NODIS**

This Document Is Uncontrolled When Printed.
Check the NASA Online Directives Information System (NODIS) Library

to Verify that this is the correct version before use: <http://nodis3.gsfc.nasa.gov>
