



# NASA Procedural Requirements

**COMPLIANCE IS MANDATORY FOR NASA EMPLOYEES**

**NPR 3831.1**

Effective Date: October 11,  
2016

Expiration Date: December  
11, 2028

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

---

## **Subject: Phased Retirement (Revalidated with Change 1)**

**Responsible Office: Office of the Chief Human Capital Officer**

[| TOC](#) | [ChangeHistory](#) | [Preface](#) | [Chapter1](#) | [Chapter2](#) | [Chapter3](#) | [Chapter4](#) | [Chapter5](#) | [Chapter6](#) | [Chapter7](#) | [Chapter8](#) | [Chapter9](#) | [Chapter10](#) | [Chapter11](#) | [AppendixA](#) | [AppendixB](#) | [ALL](#) |

## **Chapter 2. Responsibilities**

### **2.1 Associate Administrator**

The Associate Administrator serves as the approving official for requests to enter phased retirement from applicants in the Senior Executive Service (SES) or in Scientific and Professional (ST) and Senior Level (SL) positions.

### **2.2 Chief Human Capital Officer (CHCO)**

2.2.1 The CHCO is responsible for:

- a. Establishing Agency policies and procedures that support the implementation of phased retirement consistent with applicable laws, regulations, and Agency human capital strategic goals.
- b. Monitoring phased retirement program to ensure compliance and program effectiveness.

### **2.3 Center Directors and Heads of MSEOs**

2.3.1 Center Directors and Heads of MSEOs are responsible for:

- a. Approving or denying applications for phased retirement, requests for extensions to initial phased retirement periods, and requests from phased retirees to return to regular employment. This authority may be further delegated to management officials at least one level above the applicant's immediate supervisor.
- b. Considering and making decisions on requests for reconsideration arising from denial of an employee's application for phased retirement. This authority may be further delegated to management officials at least one level above the manager who denied the initial phased retirement application.
- c. Approving waivers of the mentoring requirement in appropriate circumstances, in accordance with paragraph 8.2.1 of this directive. This authority may be further delegated.

### **2.4 Center Human Resources (HR)**

2.4.1 Center HR Directors are responsible for:

- a. Providing advice and guidance to employees, supervisors, and managers.
- b. Reviewing phased retirement applications for eligibility and completeness.
- c. Reviewing approved/denied applications to ensure explanation is provided for denials.
- d. Providing management decisions for all requests related to phased retirement to employees and supervisors.
- e. Coordinating the effective date and the execution of phased retirement agreements, completing, and signing the

Phased Employment/Phased Retirement Status Elections (SF) 3116, reflecting Agency decisions, and initiating applicable personnel actions.

- f. Regularly reviewing WebTADS reports concerning exceptions to the part time work schedule limit and mentoring hours and addressing any potential non-compliance situations with appropriate management officials.
- g. Coordinating the appropriate separation of employees with the NSSC.
- h. Receiving and processing requests from employees to extend period of phased retirement or return to regular employment.
- i. Maintaining documentation for all phased retirement actions, including applications, agreements, copies of OPM forms, documentation supporting instances of work in excess of part time work schedule limit, and requests for extension of the phased retirement period or return to regular employment.

## 2.5 Executive Director, NSSC

2.5.1 The Executive Director, NSSC is responsible for:

- a. In coordination with the CHCO, providing information on phased retirement to the Agency workforce, to include maintaining the Agency's phased retirement Web site.
- b. At an employee's request (provided the employee is within six months of eligibility) or upon receipt of an approved application, confirming program eligibility and providing retirement estimates and counseling.
- c. Providing benefits counseling to phased retirees.
- d. Processing all personnel actions related to phased retirement in accordance with decisions communicated by the Center HR office, including applications and personnel actions for phased retirees entering full retirement.

## 2.6 Supervisors

2.6.1 Supervisors are responsible for:

- a. When an employee expresses an interest in phased retirement, consulting with their management chain regarding potential work and mentoring options and other applicable considerations.
- b. When an employee submits a completed application for phased retirement, forwarding the application to the Center (HR) office for review and submission to the approving official.
- c. Prior to moving an employee into a phased retirement status, establishing a new position description that includes a major duty of at least 20 percent for mentoring/knowledge transfer.
- d. Monitoring to ensure the phased retiree is performing mentoring activities in accordance with the approved plan for at least the required 20 percent time and that mentoring hours are recorded in WebTADS.
- e. Updating phased retirees' performance plans to ensure a critical element is included for mentoring work/knowledge transfer and making other appropriate adjustments based on changes to the employee's duties. Updates should be made within 30 days of the employee's change to a phased retirement status.
- f. Ensuring that the phased retiree's work schedule is recorded in WebTADS, and that the employee does not exceed the established part time work schedule limit, unless the rare circumstances defined in Chapter 7 of this directive have been approved and documented.
- g. When designated as an approving official, supervisors are responsible for:
  - (1) Deciding on applications to participate in phased retirement and requests to extend the original time period or return to regular employment in accordance with the provisions of this directive.
  - (2) With the employee, executing the agreement documenting the terms under which the employee will participate in phased retirement to include a new or amended agreement if the employee's original phased retirement period is extended.
- h. Approving emergency exceptions to the employee's part time work schedule limit per pay period for phased retirees, in accordance with the conditions in paragraph 7.2.

## 2.7 Phased Retirees

2.7.1 Employees who are participating in the phased retirement program are responsible for:

- a. Complying with the work schedule and mentoring requirements, to include recording work and mentoring hours in WebTADS.
- b. Submitting requests for return to regular employment or to extend the initial phased retirement period in accordance with the requirements in this directive in sufficient time for decisions to be made and required actions to be implemented before the end of the initial phased retirement period (normally 60 days before).
- c. Submitting the required application for full retirement when the phased retirement period is ending, or the employee decides to fully retire before the end of the period. To avoid delays in processing the full retirement, the employee should contact the NSSC and submit the application at least 90 days in advance.

| [TOC](#) | [ChangeHistory](#) | [Preface](#) | [Chapter1](#) | [Chapter2](#) | [Chapter3](#) | [Chapter4](#) | [Chapter5](#) | [Chapter6](#) |  
[Chapter7](#) | [Chapter8](#) | [Chapter9](#) | [Chapter10](#) | [Chapter11](#) | [AppendixA](#) | [AppendixB](#) | [ALL](#) |

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

**DISTRIBUTION:**  
**NODIS**

---

**This document does not bind the public, except as authorized by law or as incorporated into a contract. 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: <https://nodis3.gsfc.nasa.gov>.**

---