



National Aeronautics and  
Space Administration

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## **NASA Shared Services Center Service Delivery Guide**

**NSSDG-3100-0002    Revision 5.0**

**Effective Date:    December 18, 2015**  
**Expiration Date:    December 18, 2018**

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# **Senior Executive Service Appointments, Candidate Development Program and Presidential Rank Awards Case Documentation**

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**Responsible Office: Human Resources Services Division**

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Approved by



Amy M. Alexander

Chief, Human Resources Services Division

12/18/2015  
Date

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## DOCUMENT HISTORY LOG

Status (Basic/Revision/ Cancelled)	Document Version	Effective Date	Description of Change
Revision	3.0	08/31/11	Removed information regarding completion of bonus justification, updated process steps, and updated the metric.  Document originated under NSSC-HR-SDG-0009 and renumbered on 08/02/11 to align with SDNS numbering system adopted in March 2010.
Revision	4.0	03/2015	Incorporated the SES Candidate Development Program CDP Service Delivery Guide (NSSDG-3100-0001) into this revision of the previously titled "SES Appointment Service Delivery Guide, to make one combined guide with the new title.
Revision	5.0	12/2015	Added the process for Presidential Rank Awards. Moved the process for the resume enhancement for SES Appt from the Center to the NSSC.

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## 1.0 Background

The NASA Shared Services Center (NSSC) Senior Executive Service (SES) Case Documentation Function comprises three main areas of service, SES Appointments, SES Candidate Development Program (CDP) and Presidential Rank Awards (PRAs).

- The SES Appointments program is involved in the staffing of executive level personnel responsible for executing the mission of NASA. Agency Executive Resources Boards (ERBs) conduct the merit staffing process leading to initial career appointment. Centers are responsible for the initial selection process. If the selectee does not have Office of Personnel Management (OPM) SES certification, the NSSC Service Provider (SP) assists the selectee in preparing their required Executive Core Qualifications (ECQs) document for submission to the OPM Quality Review Board (QRB) for certification.
- The SESCO program is a competitive program designed to develop a cadre of highly qualified candidates with a high potential for assuming executive responsibilities. The program includes feedback-intensive and mentoring components to assist in candidate development. These experiences, normally to be completed over a period of 12 to 24 months, include an Individual Development Plan (IDP); formal courses and seminars; developmental work assignments; and individual mentoring from current SES members. Upon completion of the program training requirements, the candidate applies for OPM certification through an ad hoc OPM QRB. The NSSC (SP) assists the candidate in preparing the mentor evaluation memo and their ECQ presentation.
- Each year, OPM issues a call to Federal Agencies for PRA nominations. Recipients of this prestigious award are strong leaders, professionals, and scientists who achieve results and consistently demonstrate strength, integrity, industry and a relentless commitment to excellence in public service.

The submission deadline for nominations to OPM is normally set for the beginning of March. In anticipation of the annual call, the Agency has a nomination process that starts in conjunction with the end of year performance closeout cycle for SES, Scientific-Professional (ST), and Senior-Level (SL) employees. A section of the annual performance cycle guidance letter to the Center Directors and Officials in Charge requests a list of nominees to be submitted to the Office of Human Capital Management (OHCM) usually by October. In addition, a one-page Biographical and Career Summary is required, from the Center, for each candidate who is nominated.

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The Agency Performance Review Board (PRB) reviews the nominees and the Administrator provides final approval, usually by mid-December. On average, the Administrator approves 30 to 35 nominees that are submitted to OPM for consideration.

## 2.0 Purpose

Services described in this guide are performed by Civil Servants (CS) and. This guide covers services that are more common and provides a basic description of our administrative approach to support SES case documentation. The guide does not cover the entire process and is only intended to provide an overview. The NSSC desk guides and work instructions provide the NSSC staff with detailed processes to accomplish the SES case documentation functions.

## 3.0 Applicability/Scope

The SES Team prepares SES appointment and SESCDP documentation for submission to the OPM interagency QRB for SES certification. The NSSC (SP) technical writers work directly with the selectee/candidates, supported by Center Executive Resources point of contact (ER POC), to develop the materials. For SES Appointments, once the finalized materials are approved by the selectee and the Center ER POC, the NSSC (SP) provides the materials to OHCM for coordinated delivery of the final package to OPM. For SESCDP, once the finalized documents are approved by the candidate, the NSSC (SP) provides the materials to the Center ER POC for signatures and delivery to OHCM. It is critical that the documents prepared comply with the current OPM guidelines. The evaluation factors and ECQs must demonstrate that the selectee/candidate has key competencies and characteristics necessary to be an effective strategic leader with a commitment to a culture of public policy and administration.

The NSSC supports the PRA process in accordance with the Agency and OPM regulations and guidelines. OHCM will provide the final nominee's names and one-page Biographical and Career Summaries to the NSSC. The NSSC (SP) works with the nominee and the Center/HQ ER POC to develop the three-page Career Achievement Justification Statement, which is added to the nomination package being submitted to OPM for selection.

These functions are all highly visible, sensitive in nature, and require both decorum and discernment in the delivery of service.

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#### **4.0 Privacy Information**

The NSSC shall maintain the confidentiality of proprietary, personal, and sensitive information in accordance with NASA policy, the Privacy Act, and all relevant laws and regulations.

#### **5.0 Records**

All records will be maintained in accordance with NASA Procedural Requirements (NPR) 1441.1E, NASA Records Management Program Requirements; and NASA Policy Directive (NPD) 1440.6I, NASA Records Management.

Records for SES case documentation are listed on the NSSC Master Records Index under NASA Records Retention Schedule (NRRS) 1441.1 Schedule 3 (3).

#### **6.0 Cancellation/Supersession of Previous Documents**

This guide cancels document number NSSDG-3100-0001 SES Candidate Development Program (CDP) Service Delivery Guide. The SESCO function has been incorporated into this revision to make one combined guide.

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## PROCESS 1 – SES APPOINTMENTS

Step	Responsible Party	Description
1	Center ER POC	<p>The Center with the SES vacancy will complete the selection process which includes:</p> <ul style="list-style-type: none"> <li>Arranging for rating panels and coordinating technical qualifications with the manager.</li> <li>Posting the vacancy announcement and responding to inquiries from potential applicants.</li> <li>Creating and vacating the position record in the Executive and Schedule C System (ESCS).</li> <li>Preparing the panel report and the selection recommendation to the Center Executive Position Manager (EPM).</li> </ul> <p>Once the EPM approves the selection and signs the NASA Form (NF) 1669 Executive Personnel Action Document, Center ER POC sends the complete selection process documentation to the NSSC.</p> <p>The package should be submitted by e-mail using the subject line: SES Appointment ECQs to <a href="mailto:nssc@nasa.gov">nssc@nasa.gov</a>. In cc: line, add Carrie Pohto (<a href="mailto:Carrie.B.Pohto@nasa.gov">Carrie.B.Pohto@nasa.gov</a>.)</p> <p>A complete package includes: (The items shown in bold are <b>required</b> before the NSSC can begin work)</p> <ul style="list-style-type: none"> <li><b>Vacancy Announcement</b></li> <li><b>Evaluation of Candidate Panel Report Memo</b></li> <li><b>Résumé</b></li> <li><b>Preliminary ECQs in word format</b></li> <li><b>Technical Qualifications</b></li> <li><b>NF 1669, Executive Personnel Action Document, with approval signature from the EPM</b></li> <li>Position Description with number</li> <li>Organizational Chart</li> <li>Additional notes/documents deemed appropriate to support/explain case</li> </ul>

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		<p>Concurrently, the Center ER POC will complete and forward the NF1669 to OHCM for Agency level approvals and remaining signatures. While the NSSC is working to complete the ECQs, OHCM moves the NF1669 through the concurrence process.</p>
2	NSSC (SP)	<p>The NSSC (SP) assists the selectee in perfecting the ECQs and in the revision of their resume, if it is insufficient to appropriately support the ECQs. Once the NSSC (SP) have agreed upon a final version, the NSSC (SP) forwards the final ECQs to the Center ER POC for approval.</p> <p>The NSSC (SP) will enter data into ESCS and save the success page. This includes:</p> <ul style="list-style-type: none"> <li>• Building the individual record.</li> <li>• Creating the QRB case.</li> </ul>
3	Center ER POC	<p>The Center ER POC will review the ECQs, make the decision to approve the document as final and notify the NSSC (SP) that the ECQs are ready for submission to OHCM.</p>
4	NSSC (SP)	<p>Upon approval from the Center ER POC, the NSSC (SP) will forward the final ECQs, the revised resume, and the ESCS success page (from Step 2) to OHCM.</p>

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5	OHCM	<p>OHCM reviews the SES appointment package for compliance with merit staffing requirements, completeness, and accuracy of documentation. They also ensure that the appropriate concurrences are obtained, to include program or functional office, if appropriate.</p> <p>OHCM forwards the case to OPM for review by the QRB and communicates with the OPM Desk Officer, as necessary.</p> <p>At OPM, an independent QRB will review the ECQs and qualifications of the selectee to determine if the person will be approved to join the SES ranks. If the case is not approved, the QRB may return the ECQs to the Agency with a request for rewrite of any or all of the five ECQ sections or they may disapprove the selectee's submission all together. For non-approval decisions, the NSSC (SP) supports the Center ER POC with both rewrites and disapproved ECQ cases.</p> <p>Once OHCM receives a decision from OPM, they will inform the Center ER POC and the NSSC of the approval, rewrite or disapproval. If the case is not approved, OHCM will work with the Center ER POC and the NSSC, both CS and SP, on options to rewrite or resubmit the case.</p> <p>For disapprovals, the available submission options are:</p> <ul style="list-style-type: none"> <li>• Resend the same package to a different QRB,</li> <li>• Revise the ECQs and resubmit to the same QRB, or</li> <li>• Send as a Criterion C case to evaluate the selectee's possession of special or unique qualities that indicate a likelihood of executive success.</li> </ul>
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6	Center ER POC	Once notified by OHCM of the OPM QRB decision, Center ER POC will notify management and the selectee of the decision. They also will process the appointment documents and provide appointment information to NSSC (SP) for ESCS update.
7	NSSC (SP)	NSSC (SP) will enter the appointment data into ESCS.

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## PROCESS 2 – SES CANDIDATE DEVELOPMENT PROGRAM

Step	Responsible Party	Description
1	Center ER POC	<p>Center ER POC receives the certification package from the SESCDP candidate and forwards the package to the NSSC.</p> <p>The package should be submitted by e-mail using the subject line: SESCDP Package to <a href="mailto:nssc@nasa.gov">nssc@nasa.gov</a>. In cc: line, add Carrie Pohto (<a href="mailto:Carrie.B.Pohto@nasa.gov">Carrie.B.Pohto@nasa.gov</a>).</p> <p>A complete package includes: The items shown in bold are <b>required</b> before the NSSC can begin work)</p> <ul style="list-style-type: none"> <li>• <b>ECQ presentation</b></li> <li>• <b>Resume</b></li> <li>• <b>IDP</b></li> <li>• Mentor Verification/ Evaluation memo</li> <li>• Supplemental evaluations</li> </ul> <p>Center level ESCS update is required prior to submitting the package to the NSSC:</p> <ul style="list-style-type: none"> <li>• Create the individual;</li> <li>• Assign the individual to the SESCDP program</li> <li>• Complete the program for the individual.</li> </ul>
2	NSSC (SP)	<p>The NSSC (SP) receives the SESCDP documents package from Center ER POC and verifies that the package is complete. The NSSC (SP) will work with the candidate to edit and revise the ECQ presentation and develop the Mentor Verification/Evaluation memo.</p> <p>The NSSC (SP) will update ESCS to create a Criterion B QRB Case and save the success page.</p> <p>Upon approval from the candidate, the final ECQ presentation, Mentor Verification/Evaluation memo, and Success page is submitted electronically to the Center ER POC for submission to OHCM.</p>

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3	Center ER POC	<p>The Center ER POC receives the final SESCDP documents from the NSSC (SP). The Center ER POC is responsible for obtaining the mentor signature and ensuring that substantive changes to the Mentor Verification/Evaluation memo are discussed with/reviewed by the mentor.</p> <p>The Center ER POC forwards the approved and signed final SESCDP documents and the ESCS Success page electronically to OHCM.</p>
4	OHCM	<p>OHCM receives the SESCDP certification package, reviews, and forwards to OPM for an ad hoc QRB approval. Following approval by the OPM QRB, the candidate will be officially certified for non-competitive career appointment to any SES position for which he or she meets the professional/technical qualifications.</p> <p>The QRB certification does not guarantee placement in the SES.</p>

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### PROCESS 3 – SES PRESIDENTIAL RANK AWARDS

Step	Responsible Party	Description
1	Center ER POC	<p>The Center ER POC receives the call for nominations from OHCM. The Center selects their nominees and prepares a one-page Biographical and Career Summary document and forwards to OHCM for their review and selection process.</p> <p>OPM requirements for the one-page Biographical and Career Summary document are:</p> <ul style="list-style-type: none"> <li>• Must summarize in bullet format each nominee’s accomplishments, as an SES member or SL/ST employee, which serve as the basis for nomination for a Rank Award.</li> <li>• Must also briefly list each nominee’s career highlights, and other biographical information, including significant honors, awards, etc.</li> <li>• May use no more than one page of text, and information may only be presented using no smaller than an 11-point type and at least 0.8 inch margins.</li> </ul>
2	OHCM	<p>OHCM receives the nominations from the Center ER POC and conducts a review and approval process with the Agency Performance Review Board (PRB) and the Administrator. Once the final selections are made, OHCM will forward the one-page Biographical and Career Summaries for all of the nominees to the NSSC by the negotiated due date.</p> <p>The nominations should be submitted by e-mail using the subject line: “SES - PRA Nominations” to <a href="mailto:nssc@nasa.gov">nssc@nasa.gov</a>. In cc: line, add Carrie Pohto (<a href="mailto:Carrie.B.Pohto@nasa.gov">Carrie.B.Pohto@nasa.gov</a>.)</p>

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3	NSSC (SP)	<p>The NSSC (SP) will receive the nominations from OHCM and work with the Center ER POC and the Nominee to prepare the three-page Career Achievement Justification Statement document.</p> <p>Once the Nominee and the Center ER POC approve the final draft, the document will be sent to OHCM for inclusion in the Agency submission to OPM.</p> <p>OPM requirements for the three-page Career Achievement Justification Statement document are:</p> <ul style="list-style-type: none"> <li>• Must concisely describe each nominee’s career achievements for each of the PRA criteria, as described in the OPM guidance, in the same order as the order in which the criteria are listed.</li> <li>• May use no more than three pages of text, and information may only be presented using no smaller than an 11-point type and at least 0.8 inch margins.</li> </ul>
4	OHCM	OHCM prepares the Agency submission package with all of the required materials, and submits the package to OPM before the deadline.

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## METRICS

Initiating Entity	Deliverable	Receiving Entity	Service Level Indicators
NSSC (SP)	Final ECQs-appointments	OHCM	98% of ECQ documents that are received at the NSSC by the established timeline are forwarded to OHCM no later than 5 business days of the Office of Personnel Management (OPM) deadline.
NSSC (SP)	Final ECQ Presentations and Mentor Verification/Evaluation Memos- CDP	Center ER POC	90% of finalized ECQ Presentations and Mentor Verification/Evaluation Memos for the SES CDP candidates will be forwarded to the Center no later than 30 business days after receipt of a completed package
NSSC (SP)	Final PRA Nominations	OHCM	100% of PRA Nominations that are received at the NSSC by the established timeline be forwarded to OHCM prior to five business days of the OPM deadline.

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## SYSTEM COMPONENTS

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### Existing Systems

OPM's Executive and Schedule C System (ESCS)

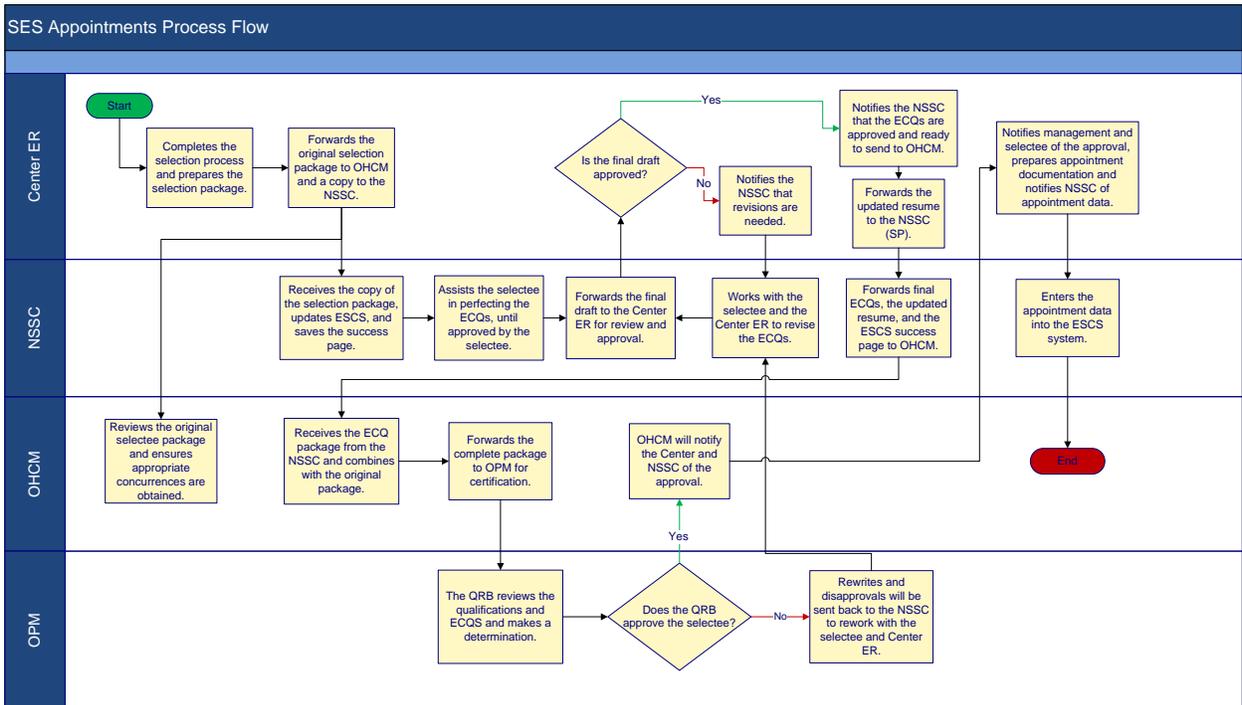
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## APPENDIX A – ACRONYM LIST

CDP	Candidate Development Program
CS	Civil Servant
ECQ	Executive Core Qualifications
EPM	Executive Position Manager
ER	Executive Resources
ERB	Executive Resources Board
ESCS	Executive and Schedule C System
IDP	Individual Development Plan
NF	NASA Form
NPD	NASA Policy Directive
NPR	NASA Procedural Requirement
NRRS	NASA Records Retention Schedule
NSSC	NASA Shared Services Center
NSSCPR	NASA Shared Services Center Procedural Requirement
OHCM	Office of Human Capital Management
OPM	Office of Personnel Management
POC	Point of Contact
PRA	Presidential Rank Awards
PRB	Performance Review Board
QRB	Qualifications Review Board
SES	Senior Executive Service
SL	Senior Level
SP	Service Provider
ST	Scientific Professional

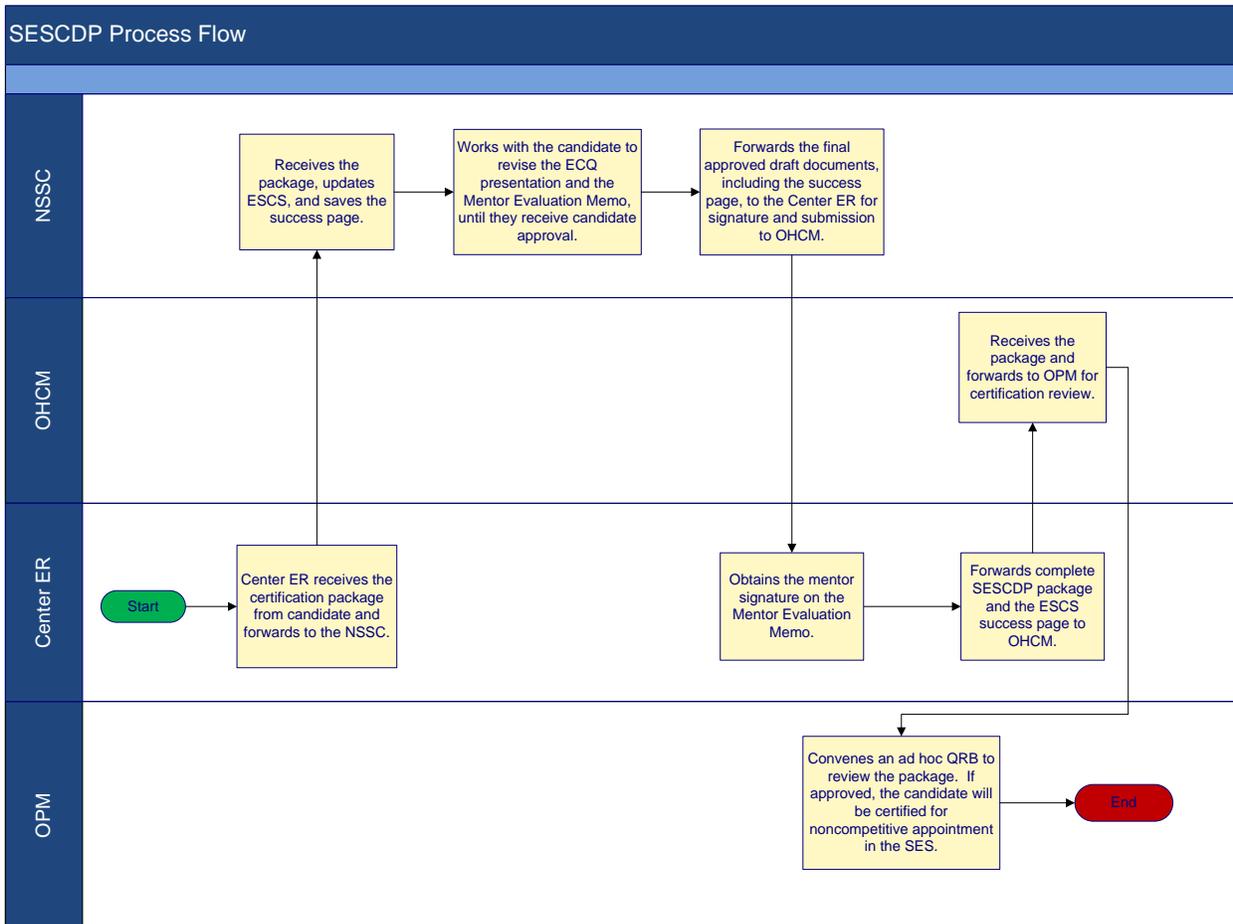
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## APPENDIX B – SES APPOINTMENTS PROCESS FLOW



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## APPENDIX C – SES CANDIDATE DEVELOPMENT PROGRAM PROCESS FLOW



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## APPENDIX D – SES PRESIDENTIAL RANK AWARDS PROCESS FLOW

