

U.S. NUCLEAR REGULATORY COMMISSION

DIRECTIVE TRANSMITTAL

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To: NRC Management Directives Custodians

Subject: Transmittal of Management Directive 10.135, "Senior Executive Service (SES) Employment and Staffing Programs"

Purpose: Directive and Handbook 10.135 are being revised in their entirety to reflect recent changes in Office of Personnel Management (OPM) issuances for the Code of Federal Regulations resulting from abolishment of the Federal Personnel Manual and streamlining of OPM practices and procedures dealing with executive positions and employment.

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Directive: 10.135 Senior Executive Service (SES) Employment and Staffing Programs

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***Senior Executive Service
(SES) Employment and
Staffing Programs***

***Directive
10.135***

Contents

Policy	1
Objectives	1
Organizational Responsibilities and Delegations of Authority	1
Chairman	1
The Commission	2
Inspector General (IG)	2
Executive Director for Operations (EDO)	2
Director, Office of Personnel (OP)	3
Deputy Director (OP)	3
Office Directors and Regional Administrators	3
Executive Resources Board (ERB)	3
Executive Development Committee	4
Applicability	4
Handbook	4
References	4



U. S. Nuclear Regulatory Commission

Volume: 10 Personnel Management

Part: 6 Senior Executive Service, Senior Level
Positions, and Judges

OP

Senior Executive Service (SES) Employment and Staffing Programs Directive 10.135

Policy

(10.135-01)

It is the policy of the U.S. Nuclear Regulatory Commission to establish fair and equitable practices for the staffing of Senior Executive Service (SES) positions, thus providing the agency with maximum flexibility for filling executive vacancies and resolving executive staffing requirements.

Objectives

(10.135-02)

- To define the role and responsibilities of the Executive Resources Board (ERB), its adjunct panels, and committees in overseeing executive staffing programs. (021)
- To maintain flexibility in exercising noncompetitive and competitive options in filling executive positions throughout the agency. (022)
- To provide for succession planning activities needed to identify candidates and options for filling key executive positions. (023)
- To facilitate the timely replacement of SES members by reaching out to a wide, demographically diverse pool of qualified applicants through the NRC SES Candidate Development Program. (024)

Organizational Responsibilities and Delegations of Authority

(10.135-03)

Chairman

(031)

- Appoints individuals to fill executive positions in the Chairman's immediate office. (a)

**Volume 10, Part 6 – Senior Executive Service, Senior Level Positions,
and Judges
Senior Executive Service (SES) Employment and Staffing Programs
Directive 10.135**

**Chairman
(031) (continued)**

- Appoints individuals to fill executive positions in the Office of Public Affairs and the Office of Congressional Affairs. (b)

**The Commission
(032)**

- Appoints individuals to fill executive positions in their immediate offices. (a)
- Appoints individuals to fill the executive positions of the General Counsel in the Office of the General Counsel, the Secretary of the Commission, the Chief Administrative Judge and members of the Atomic Safety and Licensing Board Panel, and the Directors of the Office of Commission Appellate Adjudication and the Office of International Programs. (b)
- Appoints individuals to fill the executive positions of the Executive Director for Operations; the Chief Financial Officer (CFO) and Deputy CFO, and the Directors of the Office of Nuclear Regulatory Research, the Office of Nuclear Reactor Regulation, the Office of Nuclear Material Safety and Safeguards, and the Office of State Programs. (c)

**Inspector General (IG)
(033)**

Appoints individuals to fill executive positions in the Office of the Inspector General.

**Executive Director for Operations (EDO)
(034)**

- In consultation with the Chairman, determines the composition, term of service, and membership of the NRC ERB and appoints NRC executives as the ERB Chair and as ERB members. (a)
- Appoints individuals to fill executive positions in the offices reporting to the EDO, with the exceptions noted above. (b)
- Provides pay-setting guidance for appointment to and movement among NRC SES positions. (c)

Approved: May 27, 1993
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Director, Office of Personnel (OP)
(035)

- Administers SES staffing programs, including competitive and noncompetitive staffing activities, succession planning, and candidate development activities. (a)
- Provides technical advice to rating and ranking panels, selecting officials, the Executive Development Committee, and the ERB in carrying out their program responsibilities. (b)
- Provides program information regarding oversight and evaluation of operational program activities to the ERB. (c)
- Coordinates staffing activities with the Office of Personnel Management (OPM), as required. (d)

Deputy Director (OP)
(036)

Acts as secretary to the ERB.

**Office Directors and
Regional Administrators**
(037)

- Office directors and regional administrators of EDO staff offices recommend the selection of individuals to fill SES executive positions in their immediate offices. (a)
- Office directors of Commission-level offices appoint individuals to fill executive positions in their immediate offices, with the exceptions noted above. (b)

Executive Resources Board (ERB)
(038)

- Conducts the merit staffing process for SES career appointments. (a)
- Defines and oversees succession planning activities within the NRC. (b)
- Provides overall planning and management for the NRC SES Candidate Development Program. (c)
- Oversees executive position management activities and processes within the NRC. (d)

**Volume 10, Part 6 – Senior Executive Service, Senior Level Positions,
and Judges**

Senior Executive Service (SES) Employment and Staffing Programs

Directive 10.135

Executive Resources Board (ERB)

(038) (continued)

- Certifies the best qualified candidates for consideration for competitive appointment to SES positions. (e)

Executive Development Committee

(039)

For the ERB, oversees operational activities connected with the development process for participants in the SES Candidate Development Program.

Applicability

(10.135-04)

This directive and handbook apply to and must be followed by all NRC personnel responsible for the staffing of SES positions within the NRC.

Handbook

(10.135-05)

Handbook 10.135 contains guidance and procedures for staffing SES positions, including activities related to succession planning and SES candidate development activities.

References

(10.135-06)

Atomic Energy Act of 1954, as amended (42 U.S.C. 2011 et seq.).

Chief Financial Officers Act of 1990, Pub. L. 101-576, Section 206 (31 U.S.C. Section 502).

Code of Federal Regulations, Title 5, "Administrative Personnel."

Energy Reorganization Act of 1974, as amended (42 U.S.C. 5801 et seq.).

Freedom of Information Act (5 U.S.C. 552).

Foreign Assistance Act of 1961 (22 U.S.C. 2151 et seq.).

NRC Management Directive 10.14, "Employee Trial Period."

— 10.137, "Senior Executive Service Performance Appraisal System."

— 10.138, "Reduction in Force in the Senior Executive Service."

References

(10.135-06) (continued)

NUREG/BR-0086, "The IDP Process."

— -0165, "Career Planning."

OPM Publication SES-94-01, "Guide to SES Qualifications."

— XD-3, "Developing Executive and Managerial Talent."

— XD-6, "The Relationship Between an SES Candidate and a Senior Advisor/Mentor."

— XD-11, "Individual Development Planning Guide for SES Candidates."

— XD-13, "Developmental Assignments."

— XDX-3, "Mentors and Senior Advisors for Executive Development."

Privacy Act of 1974, as amended (5 U.S.C. 552a).

Ramspeck Act (5 U.S.C. 3304(c)).

***Senior Executive Service
(SES) Employment and
Staffing Programs***

***Handbook
10.135***

Contents

Part I

Conditions of Employment	1
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Part II

Management of Activities and Resources	3
The Executive Resources Board (ERB) (A)	3
ERB Membership (B)	3
ERB Operations (C)	4
Management of Executive Resources (D)	4

Part III

Appointment Authorities and Position Types	6
Appointment Authorities (A)	6
Career Appointments (1)	6
Noncareer Appointments (2)	7
Limited Emergency and Limited Term Appointments (3)	7
Types of SES Positions (B)	8
Position Type Changes (C)	8
Career Reserved Position Criteria (D)	9
Staffing Implications for Career Reserved Positions (E)	10
Pay-Setting Upon Appointment (F)	10
Other Pay Setting Actions (G)	11

Part IV

Senior Executive Service (SES) Recruitment	13
Determining Recruiting Strategies (A)	13
Competitive Area (B)	15
Recruiting Sources (C)	15
Vacancy Announcements (D)	16

Contents (continued)

Part V

Competitive Staffing Actions	19
Basic Qualifications (A)	19
Mandatory OPM Executive Competency Factors (B)	19
Technical Requirements (C)	21
Mandatory Technical Requirements (1)	21
Desirable Technical Requirements (2)	21
Developing a Crediting Plan (D)	23
Defining the A, B, and C Levels (E)	24
Rating Panel Guidance (F)	24
Panel Members (1)	24
Evaluating Candidates (2)	25
Interviews (3)	26
Summation (4)	26
Making Selections (G)	26
The Qualifications Review Board Process (H)	28
The Qualifications Review Board Disapproval Process (I)	29
Certification of Qualifications (J)	29
Inquiries and Appeals by Applicants (K)	30
Records Maintenance (L)	30

Part VI

Senior Executive Service (SES) Probationary Period	31
General Information (A)	31
Supervisory Responsibilities (B)	31
Notification (C)	32
Moratorium on Removal (D)	32
Crediting Service Toward Completion of the Probationary Period (E)	33
Reappointment to the SES (F)	33
Removal During the Probationary Period (G)	34

Contents (continued)

Part VII

Career Reassignments, Transfers, Details, and Reinstatements	36
Career Reassignments (A)	36
Career Transfers (B)	37
Details (C)	38
Reinstatement in the SES (D)	39
Reemployment and Restoration Rights (E)	40

Part VIII

Presidential Appointment of Career Senior Executive Service (SES) Members	42
General (A)	42
Retention of SES Benefits (B)	42
Reinstatement (C)	43

Part IX

Noncareer and Limited Appointments, Reassignments, and Transfers .	44
Appointments (A)	44
Reassignments (B)	44
Transfer to a Senior Executive Service (SES) Position in Another Agency (C) .	45
Limited Appointment Requirements (D)	45
Change From a Career to a Noncareer or Limited Appointment (E)	46
Change From a Noncareer to a Career Appointment (F)	46

Part X

Succession Planning	47
Purpose (A)	47
General Strategy (B)	47
Goals of Succession Planning (C)	48
Management Perspective (1)	48
SES Individual Executive Perspective (2)	49
Identifying Strategies for Succession Planning (D)	49

Contents (continued)

Part X (continued)

Determining Core Competencies (E)	50
Assessing Executive Potential (F)	50
Succession Planning Placements (G)	51

Part XI

NRC Senior Executive Service (SES) Candidate Development Program	52
Purpose (A)	52
Primary Target Positions (B)	52
Requirements Identification (C)	52
Recruitment (D)	53
Evaluation of Candidates (E)	54
Selection (F)	55
Notification and Orientation Activities (G)	56
Senior Advisors (H)	56
The Individual Development Plan (IDP) Process (I)	57
Placement of Unsuccessful Candidates (J)	58
Competitive Selection (K)	58
Certification (L)	59
Placement (M)	59
Withdrawal of Certification (N)	60

Exhibits

1	Restriction of Appointment Statement	61
2	NRC Form 372, "Certification of Completion of the Senior Executive Service (SES) Probationary Period"	62
3	NRC Form 321, "Individual Development Plan (IDP)"	63
4	NRC Form 356, "Application for the U.S. Regulatory Commission Senior Executive Service Candidate Development Program"	66
5	NRC Form 412, "Non-SES Performance Appraisal System Summary Rating"	78
6	NRC Form 412A, "Non-SES Performance Appraisal System Performance Plan"	79
7	NRC Form 750, "Applicant Background Survey"	81

Part I

Conditions of Employment

SES appointees are subject to the statutory bar to appointment of persons who fail to register under the Selective Service law. (A)

The appointment of an individual to any SES position in an independent regulatory commission “shall not be subject, directly or indirectly, to review or approval by any officer or entity within the Executive Office of the President.” (B)

Positions in the SES may not be filled by experts or consultants. Therefore, it is not appropriate to assign such individuals to the policy-making or managerial work that characterizes the SES. (C)

Private sector temporaries may not be used to perform SES work. (D)

Because the SES is separate from the competitive and the excepted services, no provision exists for noncompetitive movement into an SES career appointment from the other services for individuals who do not have SES reinstatement eligibility, even if an employee’s current position is upgraded to the SES. NRC Regular (Excepted) (Conditional), Regular (Excepted), and other types of career appointments are considered the same as competitive service for purposes of this requirement. (D)

The Ramspeck Act covering movement from the legislative and judicial branches to the competitive service, is not applicable for SES career appointment. NRC career appointments are considered the same as competitive service for purposes of this requirement. (F)

Veterans preference is not applicable to the SES. (G)

Federal regulations covering the employment of relatives and related requirements and guidelines are applicable to the SES. (H)

**Volume 10, Part 6 - Senior Executive Service, Senior Level Positions,
and Judges
Senior Executive Service (SES) Employment and Staffing Programs
Handbook 10.135 Part I**

SES appointees coming from outside the Federal service must verify that they are eligible to work in the United States. (I)

The SES contains no citizenship requirements. However, the Office of Personnel Management has stated that an agency may administratively restrict consideration for SES positions to U.S. citizens. It is the practice of the NRC to fill SES positions in the NRC with U.S. citizens, unless the Director, Office of Personnel, in consultation with the Chairman of the Executive Resources Board, determines that a noncitizen's potential contribution to the nuclear regulatory program will materially benefit the program by contributing unique or unusual skills or talent not possessed to any comparable degree by an available U.S. citizen. (J)

Part II

Management of Activities and Resources

The Executive Resources Board (ERB) (A)

The NRC is required to establish an ERB to conduct the merit staffing process for career entry into the Senior Executive Service (SES). (1)

The ERB is charged with broad oversight and advisory activities relating to the management of activities and resources for executive systems, including the SES and the Senior Level System (SLS). (2)

The ERB functions as the advisory, review, and program evaluation group for all major personnel management policies and programs relating to the SES and the SLS. Advisory responsibilities include executive personnel policy and planning, utilization of executive resources, executive development, and evaluation and coordination of executive personnel programs. (3)

The ERB provides policy guidance, oversight, and evaluation to various boards or panels established to manage more day-to-day or specialized operations and functions, including, but not limited to, the SES Performance Review Board, the Senior Level Review Panel, and the Executive Development Committee. (4)

ERB Membership (B)

The Executive Director for Operations (EDO), in consultation with the Chairman, determines the composition, term of service, and membership of the NRC ERB and appoints NRC executives as ERB members. (1)

All members are career appointees serving in the SES in the NRC. (2)

ERB Operations (C)

The ERB Chair schedules meetings as necessary to carry out the ERB's functions and activities. (1)

Responsibilities of the ERB may be handled through subgroups or committees established by the Chair. These subgroups or committees may be composed of ERB members and/or other NRC management officials. (2)

The Office of Personnel (OP) provides staff support to the ERB. The Deputy Director, OP, acts as secretary to the ERB. (3)

Management of Executive Resources (D)

A major function of the ERB is the management of executive position allocations within the SES and the SLS. The ERB ensures that executive staffing requirements are tied to major budget decisions and program evaluations. (1)

The Office of Personnel Management allocates the authorized SES position ceiling for the NRC, which is reviewed biannually. (2)

The ERB periodically—(3)

- Reviews executive positions to determine their continued need by the agency (a)
- Reviews requests for new allocations (b)
- Recommends appropriate action to the Chairman or the EDO regarding the utilization of SES positions (c)

Specific SES positions cannot be established until the Chairman or the EDO has approved the use of the position allocation. (4)

The ERB, with the advice and assistance of the Director, OP, closely monitors the SES position float system used to facilitate staffing processes, double encumbering positions to facilitate succession planning recruitment and staffing activities, and other similar executive position management strategies. (5)

Management of Executive Resources (D) (continued)

The ERB periodically reviews and makes recommendations to the Chairman and the EDO regarding the propriety of assigned position designations (Career Reserved or General) based on changes in position allocations, changes in mission and responsibilities, and other factors. (6)

Part III

Appointment Authorities and Position Types

Appointment Authorities (A)

The four types of Senior Executive Service (SES) appointments are career, noncareer, limited emergency, and limited term.

Career Appointments (1)

A career appointment may be given to any individual, whether or not the individual is employed within the civil service, provided the initial appointment to the position is, or a previous appointment to another SES position was, based on competitive SES staffing procedures and the appointee's executive qualifications were approved by a Qualifications Review Board (QRB) of the Office of Personnel Management (OPM). (a)

Career appointments are made without time limitation. (b)

Career appointments provide certain job protections (for example, in cases of removal for performance) and certain benefits (such as eligibility for performance awards and Presidential rank awards) that are not conferred by other types of SES appointments. (c)

Career appointments may be made to either Career Reserved or General positions. Tenure and benefits are the same for both types of positions. (d)

Career appointments may be made under noncompetitive procedures in the case of the reassignment or transfer of a current career SES appointee, or the reinstatement of a former career SES appointee, as well as for graduates of the SES Candidate Development Program who have already been certified by the QRB and whose certifications are still active. These actions do not require QRB approval. (e)

Appointment Authorities (A) (continued)

Noncareer Appointments (2)

Noncareer appointments may be given to any individual meeting the qualifications of the position to which the individual is appointed as determined in writing by the appointing authority. (a)

Noncareer appointees may be assigned or reassigned to any General position for which they are qualified. The noncareer appointment attaches to the person, not the position. (b)

Noncareer appointments are made without time limitation; however, the appointee serves at the pleasure of the appointing authority. (c)

To make a noncareer appointment, the NRC must have noncareer appointing authority from OPM. (d)

Limited Emergency and Limited Term Appointments (3)

A limited emergency appointment to an SES position established to meet an unanticipated, urgent need may be given to any qualified individual as a nonrenewable appointment not to exceed 18 months. (a)

A limited term appointment to an SES position whose duties will expire at the end of the term may be given to any qualified individual as a nonrenewable appointment for a term of 3 years or less. (b)

The use of limited appointments must be approved in advance by OPM except as noted in 5 CFR 317, Subpart F. (c)

A limited appointment may be made only to a General position for which the appointee qualifies. (d)

Compliance with competitive procedures is not required to make a limited appointment except as recommended by the Executive Resources Board (ERB) and approved by the Chairman or the Executive Director for Operations (EDO). (e)

The appointing authority must determine in writing that the appointee meets the qualifications requirements for the position. QRB approval is not required. (f)

Types of SES Positions (B)

An SES position is any position that exceeds the GG-15 level that is not required to be filled by an appointment by the President, by and with the advice and consent of the Senate, and in which the employee either—(1)

- Directs the work of an organizational unit (a)
- Is held accountable for the success of one or more specific programs or projects (b)
- Monitors progress toward organizational goals (c)
- Supervises the work of employees other than personal assistants (d)
- Otherwise exercises important policy-making, policy-determining, or other executive functions (e)

The two types of SES positions are Career Reserved and General: (2)

- A Career Reserved position is an SES position that must be filled by a career SES appointee. A position is designated as Career Reserved when it is considered necessary to ensure impartiality, or public confidence in the impartiality, of the work, product, or service provided by the position. (a)
- A General position is any SES position other than a Career Reserved position. Qualified career, noncareer, limited term, or limited emergency appointees may fill General positions. (b)

Position Type Changes (C)

OPM must maintain a minimum number of SES Career Reserved positions throughout the Government at all times. To ensure that this figure is met, OPM allocates to agencies, including the NRC, a minimum number or floor of Career Reserved positions that must be established. (1)

The NRC can cancel Career Reserved positions and establish new ones without OPM's approval as long as the numerical floor allotted to the NRC is maintained. (2)

Position Type Changes (C) (continued)

Changes in the numerical floor must be approved by OPM. (3)

When the designation is made for a particular position, it may not be changed without written approval from OPM. Requests to OPM to change the designations of specific positions or groups of positions must describe the circumstances that warrant a change in the designations. (4)

The number of SES positions that may be filled by noncareer appointees may not exceed the greater of either—(5)

- 25 percent of the NRC's SES position allocation (a)
- the number of positions filled on October 13, 1978, by noncareer executive assignment or appointment to Level IV or Level V of the Executive Schedule (ES) that did not require Senate confirmation (b)

Career Reserved Position Criteria (D)

Career Reserved positions are those that have duties that involve day-to-day operations, without responsibility for, or substantial involvement in, the determination or public advocacy of the major controversial policies of the Administration or the NRC, in the following occupational categories: (1)

- Adjudication and appeals (a)
- Audit and inspection (b)
- Civil or criminal law enforcement and compliance (c)
- Contract administration and procurement (d)
- Grants administration (e)
- Investigation and security matters (f)
- Tax liability, including the assessment or collection of taxes and the preparation or review of interpretative opinions (g)

Career Reserved Position

Criteria (D) (continued)

Career Reserved positions also include the following: (2)

- Scientific or other highly technical or professional positions whose duties and responsibilities require that it be filled by a career appointee to ensure impartiality (a)
- Other positions requiring impartiality or the public's confidence in impartiality as determined by the NRC in light of its mission (b)

Staffing Implications for Career Reserved Positions (E)

Placing a position in the Career Reserved category narrows the staffing options so that the position can be filled by only one of the following four options: (1)

- Noncompetitively by a career SES member from the NRC or from another agency (a)
- Noncompetitively by an employee who has successfully graduated from the SES Candidate Development Program, has been certified by the QRB, and whose certification is still active (b)
- Noncompetitively by someone who has SES reinstatement rights (c)
- Competitively (d)

Only employees with career or career-type appointments may be detailed to Career Reserved positions. (2)

Pay-Setting Upon Appointment (F)

For initial appointment to an SES position, pay will generally be set at the ES-1 level. (1)

When a career SES appointee transfers to the NRC, pay will be set at no less than his or her current rate of basic pay, unless the appointee agrees in writing to a lower rate of pay. (2)

Pay-Setting Upon Appointment (F) (continued)

Initial pay for individuals selected from the GG-15 or equivalent level should be no lower than the individual's current rate of basic pay and should include an appropriate increase, when possible. (3)

Pay guidelines for career SES members established by the EDO that are in effect at the time of the appointment should be observed. (4)

Upon initial appointment or transfer, the executive begins a 12-month waiting period for any further adjustment, excluding any annual cost-of-living adjustment. (5)

Pay-setting for reappointments and reinstatements must be at the executive's former ES rate, except under any of the following conditions: (6)

- A break in SES service of more than 30 days has occurred. (a)
- The break in SES service is less than 30 days, but the executive's last ES pay adjustment took place more than 12 months earlier. (b)
- The NRC reappointment or reinstatement involved an executive who did not formerly work for NRC. (c)
- When a Presidential appointee is reinstated and that individual did not elect to retain his or her basic SES salary, pay may be set at any SES rate. (d)

Other Pay Setting Actions (G)

The ES rate of a career senior executive may be reduced involuntarily only—(1)

- For performance reasons (see Management Directive 10.137) (a)
- As a disciplinary action resulting from conduct related activity (e.g., misconduct, neglect of duty, or malfeasance) (b)

If the pay reduction is for disciplinary reasons, follow the procedures described in 5 CFR 534, Subpart D. (2)

An appointing authority may lower the pay for a senior executive only one rate at the time of an adjustment. (3)

Other Pay Setting Actions (G) (continued)

SES members are—(4)

- Excluded from premium pay, including overtime pay (a)
- Not eligible for compensatory time in lieu of overtime pay for work performed (b)
- Eligible for compensatory time off for religious purposes (c)

Part IV

Senior Executive Service (SES) Recruitment

Determining Recruiting Strategies (A)

The Senior Executive Service (SES) provides maximum scope for judgment in staffing executive positions, while still providing for fair access to SES jobs based on merit. (1)

Sources for managers in filling positions include competitive selection, appointment of a graduate of a SES Candidate Development Program approved by the Office of Personnel Management (OPM), reinstatement of a former SES career appointee, or reassignment or transfer of a current SES appointee. In deciding what source to use, NRC executive managers must consider the mission objectives, the need to contribute fresh ideas and new viewpoints, and affirmative action goals and human resources strategic planning objectives. (2)

Macro staffing strategies are derived from the NRC Five-Year Plan, goals of the Affirmative Action Employment Plan, and objectives of the Human Resources Strategic Plan. These define broad, agencywide objectives for SES positions in general, such as increasing the representation of women and minorities in SES positions. (3)

Micro staffing strategies are generally tailored to a particular position or groups of identical or similar positions. (4)

Staffing strategies also are closely tied to NRC succession planning strategies and to the general category in which the position falls. (5)

The four categories of SES positions within the NRC are—(6)

Determining Recruiting Strategies (A) (continued)

- **Key Executive Positions (a)**

These positions are filled by top NRC career managers responsible for the broad management and technical mission programs of the NRC. These positions are frequently filled through the reassignment of highly talented, proven achievers among the current NRC SES membership.

- **Midlevel Executive Positions (b)**

These positions are filled with managers of multidisciplinary organizations that deal with less policy-sensitive issues than those managed by key executives. These multidisciplinary organizations usually have subordinate organizational structure and are managed by subordinate supervising officials. Managing and leading this type of organization requires broad managerial skills and the ability to unite varied technical and administrative components. These positions are filled by both competitive procedures and by reassignment and transfer of SES members internally and from other agencies.

- **First-Level Executive Positions (c)**

These positions involve front-line programs that are filled by executives who apply management skills that focus on a narrower technical program range in related fields to provide both managerial and technical leadership and program direction. First-level executives are closer to day-to-day operations than midlevel and key executives. These positions are considered to be the entry-level gateways into the SES and are normally filled through competition or selection from the SES candidate pool.

- **Policy Advisor Executive Positions (d)**

These positions are limited in number and generally have no or limited supervisory or organizational management responsibilities. Policy advisors provide broad policy development and policy input from a management as well as a technical perspective. Considerable variation exists in the selection of staffing strategies to fill these positions, depending on the needs of the executive whom the individual will serve as a policy advisor.

Competitive Area (B)

Recruitment for each SES position to be filled through competitive action must include, as a minimum, all groups of qualified individuals within the civil service, including the executive, judicial, and legislative branches. (1)

A person is considered to be in the civil service only if occupying a civil service position at the time of application. For example, a person outside the civil service but who is eligible for reinstatement cannot apply for an SES position when the competitive area is announced for current Federal Government employees only. (2)

In addition to meeting the minimum competitive area requirement, the recruitment for certain specialized positions may focus on particular groups or organizations when qualified applicants with the specific skills for the position are likely to be found in these groups. (3)

Opening the competitive area to “all sources” provides the executive manager with the flexibility to consider applicants from a wide variety of sources. (4)

In determining the competitive area, the executive manager should ensure that recruiting will be reasonably extensive, systematic, and representative of a positive effort to locate qualified women and minority applicants. (5)

Recruiting Sources (C)

As a minimum, all competitive vacancies must be published in the OPM “Biweekly SES Vacancy Announcement” for at least 14 calendar days, including the date of publication. (1)

Notification of the vacancy is published in the “Vacancy Announcements” section of the “Weekly Announcements.” (2)

Copies of the “Vacancy Announcements” section are circulated to agencies that the Office of Personnel customarily provides with copies, as well as any management-designated targeted agencies, organizations, or groups. (3)

Recruiting Sources (C) (continued)

Publication of the vacancy in professional journals, at seminars or professional meetings, notification through solicitation of known individuals or groups of individuals with the applicable qualifications, and other recruiting methods may also be used to reach potential sources of candidates. (4)

Nonprofit employment services and commercial recruiting firms may be used, in addition to other recruitment sources, when their use is likely to provide well-qualified candidates who would not otherwise be available, or when well-qualified candidates are in short supply. (5)

For those individuals who have a computer with a modem and telecommunications software, the OPM SES vacancy announcement listing can be accessed from an OPM electronic bulletin board. (6)

Vacancy Announcements (D)

Each vacancy announcement must include the following information: (1)

- The title, organizational location, and work site of the position (a)
- A statement of the area of consideration (b)
- The vacancy announcement number (c)
- A brief description of the duties and responsibilities of the position (d)
- A listing of the mandatory OPM managerial requirements (rating factors) for entry into the SES, the mandatory technical requirements, and any additional desirable technical requirements (e)
- The opening and closing dates of the announcement (The minimum mandatory open period is 15 days; however, the normal time period for posting a vacancy within the NRC is 30 days.) (f)
- The anticipated or projected number of positions to be filled, if the vacancy announcement pertains to more than one position (g)

Vacancy Announcements (D) (continued)

- A set range within which the basic rate of pay (Normal initial entry into the SES is at the ES-1 level.) (h)
- Guidance on applying for consideration, including obtaining additional information and addressing the rating factors in a supplemental statement (i)
- A brief statement about the evaluation process used in considering applicants (j)
- A statement regarding equal employment opportunity (k)
- A statement that the NRC is a zero-tolerance agency with respect to illegal drug use and an explanation of applicable drug testing procedures (l)
- A brief statement describing the probationary period requirements (m)
- A brief statement regarding security clearance requirements, when applicable (n)
- Any special note regarding the type of position (either Career Reserved or General) which is applicable (o)
- One of the following applicable monetary recruitment incentives, if applicable: (p)
 - Exceptional recruiting difficulty that results in payment of a recruitment or relocation bonus (i)
 - Exceptional recruiting difficulty that results in a dual compensation waiver for military and civilian retirees (ii)
 - Exceptional recruiting difficulty that results in payment of a recruitment or relocation bonus, or a dual compensation waiver (iii)
 - Exceptional recruiting difficulty that results in a recruitment or relocation bonus, a dual compensation waiver, or critical pay (Reference to critical pay can be used only if approved by the Office of Management and Budget.) (iv)

Vacancy Announcements (D) (continued)

A request to post a vacancy will include a Standard Form (SF) 52, a position description, rating (qualification) factors, a crediting plan, and the proposed tailored supervisory appraisal form. (2)

All SES vacancy announcements must be concurred in by the office director or the regional administrator, or their deputies, and the Executive Resources Board. (3)

Part V

Competitive Staffing Actions

Basic Qualifications (A)

Qualifications standards and crediting plans, which contain the rating factor evaluation criteria, must be specific enough to identify qualified candidates and also to make qualitative distinctions among them in referring candidates to selecting officials. (1)

All qualifications criteria in the qualifications crediting plans must be job related. (2)

Crediting plans must not include any criterion prohibited by law or regulation, such as age, sex, color, religion, national origin, marital status, or political affiliation. (3)

A minimum length of experience requirement beyond that authorized for similar positions at the GG-15 level and below is not permitted. Candidates do not have to have held a GG-15 or comparable position to be considered for a Senior Executive Service (SES) position. (4)

A minimum educational requirement beyond that described in Office of Personnel Management (OPM) operating guides and handbooks and adopted by the NRC for positions at the GG-15 level and below is not authorized. (5)

Mandatory OPM Executive Competency Factors (B)

Executive qualifications must be certified by a Qualifications Review Board (QRB) for all initial career appointments to the SES. OPM has defined these executive competency factors in terms of the generic management functions associated with SES-level positions. These competency factors are in addition to specific professional/technical

Mandatory OPM Executive Competency Factors (B) (continued)

mandatory and desirable technical competency factors established by the NRC for specific positions. These five executive competency factors are—(1)

- **Strategic Vision (a)**

The ability to ensure that key national and organizational goals, priorities, values, and other issues are considered in making program decisions, and exercising leadership to ensure that the organization's mission and vision are reflected in the management of its people.

- **Human Resources Management (b)**

The ability to design resource strategies to meet the organization's mission, strategic vision, and goals and to achieve maximum potential of all employees in a fair and equitable manner.

- **Program Development and Evaluation (c)**

The ability to establish program/policy goals and the structure and processes necessary to implement the organization's mission and strategic vision. Inherent in this process is ensuring that programs and policies are being implemented and adjusted as necessary, that the appropriate results are being achieved, and that a process for continually examining the quality of program activities is in place.

- **Resources Planning and Management (d)**

The ability to acquire and administer financial, material, and information resources. It also involves the ability to accomplish the organization's mission, support program policy objectives, and promote strategic vision.

- **Organizational Representation and Liaison (e)**

The ability to explain, advocate, and negotiate the individuals and groups internally and externally. It also involves the ability to develop an expansive professional network with other organizational units.

Additional guidance on the OPM executive competencies is contained in the current edition of OPM Publication SES-94-01, which can be obtained from the Office of Personnel (OP). (2)

Technical Requirements (C)

Mandatory Technical Requirements (1)

Mandatory technical requirements are the technical rating factors that are essential to successful job performance. These requirements must be met by all candidates before they can be eligible for consideration. Such factors go beyond any generic occupational technical requirements and deal with those factors that are specific to the individual position or group of similar positions. (a)

These factors are considered “screen out” elements that disqualify the candidate from further consideration if he or she does not meet one or more of them. (b)

Desirable Technical Requirements (2)

Desirable technical requirements are technical rating factors that enhance the carrying out of duties and responsibilities at a more productive level or that demonstrate a higher degree of performance but are not mandatory for basic eligibility or performance. (a)

These factors must be job related but are not “screen out” elements. Desirable technical rating factors do not have to be identified in a crediting plan, but they can serve as selective rating factors in determining the differences among qualified candidates. (b)

Developing a Crediting Plan (D)

All SES competitive staffing actions require a written crediting plan for the evaluation of candidates for specific SES positions to ensure fairness and consistency. (1)

All candidates for a particular position will be evaluated against the same qualifications rating factors using the same methodology. (2)

The qualifications of candidates will be evaluated in relation to the requirements of the particular position being filled, with due regard to any required capacity for growth and development. (3)

Developing a Crediting Plan (D) (continued)

Crediting plans will be developed jointly by the personnel specialist and an executive in the relevant organizational chain of command. The crediting plans will then be reviewed and concurred in by the office director or the regional administrator or his or her designee, as required. (4)

Crediting plans must be established before candidates are evaluated by the rating panel. Ideally, crediting plans should be established and updated as position descriptions are established or modified. (5)

Each of the rating factors identified in the vacancy announcement must be addressed in the crediting plan. For each factor, the qualifications that distinguish an A-, B-, or C-level candidate must be clearly identified. Those not meeting the C level do not meet minimum eligibility for that particular factor. The rating levels are defined as follows: (6)

- A indicates that the candidate meets the criteria to an extent predictive of outstanding performance of the related duties. (a)
- B indicates that the candidate meets the criteria to an extent predictive of excellent performance of the related duties. (b)
- C indicates that the candidate meets the criteria to an extent predictive of fully successful performance of the related duties. (c)

The content of the crediting plan must be determined on the basis of the requirements of the job as identified through job analysis. However, the crediting plan may not emphasize NRC-related experience to the extent that it precludes consideration of well-qualified candidates from outside the NRC. (7)

Multiple measures may be used to determine candidate qualifications, including experience, education, awards and recognition, development and training, and performance. (8)

Experience may be credited only to the closing date of the vacancy announcement to avoid inequities. (9)

Numerical ratings and rankings should be used with care as they tend to introduce a false precision not normally justified by the requirements of the SES position. Broad categories such as the A, B, and C levels previously discussed are acceptable. (10)

Developing a Crediting Plan (D) (continued)

Consideration for potential must be built into the crediting plan. Note, though, that individuals rated on potential and ultimately selected by the selecting official would have to be referred to the OPM QRB as Criterion C candidates who possess special or unique qualities that indicate a likelihood of executive success (see Section (H)(5)(c) of this part). An individual development plan (IDP) must also be prepared. (11)

The A, B, and C levels must be specific enough to measure or distinguish differences in the qualifications of candidates but not so narrow as to eliminate high-quality candidates from nontraditional recruiting sources. (12)

If a crediting plan is changed or a position is canceled, the former crediting plan must be retained for at least 2 years. (13)

Because assessments of performance in relation to the SES rating factors are essential elements of the evaluation process, it is important to use appraisals that focus on the requirements of the position to be filled rather than on the candidate's annual performance. This is especially critical since the minimum area of competition for SES positions is Governmentwide and tailored appraisals can ensure fairness to all applicants under competitive merit procedures. Therefore, unless specifically authorized by the Director, OP, supervisory performance appraisals used in merit competition actions for SES positions will be tailored to the rating elements identified in the vacancy announcement/crediting plan and to the levels of competency defined in the crediting plan. (14)

Defining the A, B, and C Levels (E)

The definitions for the A, B, and C levels must be carefully developed to focus on the actual gradations of skills, knowledge, and abilities that are required and predictive of performance. (1)

Definitions that refer to the number of years served or that contain generic references to outstanding or other levels of performance without further explanation are not acceptable. (2)

Defining the A, B, and C Levels (E) (continued)

Citations of education beyond basic minimum occupational requirements, training, awards, and experience should be based on empirical evidence that supports the citations as indicators of competency and quality at the A, B, or C level. (3)

Define levels by citing examples illustrating each of the three levels, including any appropriate references to training or development, awards, and performance that distinguish between the levels. (4)

Avoid establishing differentiating level definitions based on breadth of knowledge when the intent is to measure the quality of the factor. (5)

Avoid using job titles exclusively as evidence of performance because titles alone do not provide enough information to the rater to give appropriate credit to variables in the work performed. (6)

Rating Panel Guidance (F)

Panel Members (1)

Panel members at the SES or equivalent levels are selected by the Executive Resources Board (ERB). (a)

Whenever possible, panel members should be selected from outside the organization in which the vacancy exists. (b)

The agency will make every effort to ensure that panel members reflect diversity. (c)

Panels operate under the delegated authority of the ERB. (d)

Evaluating Candidates (2)

All candidates must be evaluated using the same methodology. (a)

Each candidate's training, education, awards, and experience must be evaluated in terms of the work requirements or the knowledge, skills, and abilities needed for success in the position to be filled. (b)

Rating Panel Guidance (F) (continued)

Evaluating Candidates (2) (continued)

Panel members should rate candidates individually and reach a consensus on the individual factor and overall level ratings. (c)

Each rating factor must be evaluated and a level assigned. The overall level assessment is determined based on the preponderance of individual factor ratings being assessed at a given level. (d)

Depending on the overall number of eligible applicants, the evaluation process should be able to identify at least 5, but generally not more than 10, best qualified candidates. In cases in which too many applicants are rated at the A level, the panel may decide to refer only those candidates who received an A level rating for all factors and to use interviewing, as described below, to refine the A candidate list. (e)

Mandatory technical factors should be rated first since these are screen-out factors. Any candidate who does not receive at least a C-level rating on one or more mandatory technical factors can be eliminated from further consideration at that point. (f)

Interviews (3)

Some important elements of the position that involve the candidate's personal characteristics may be identified from the job analysis. In some cases, however, the pertinent information cannot be adequately obtained from a tailored supervisory appraisal. In this instance, the panel may wish to consider a formal interview as part of the evaluation process. (a)

Panels do not have to formally interview all candidates but, in accordance with merit principles, can restrict interviews to those individuals on a particular level once an initial screening has been completed. Panels are encouraged to interview those candidates who have been tentatively placed in the A category to decide whether this tentative determination is correct. (b)

Interviews must be well planned regarding what is to be observed and what is to be asked. It is particularly important to treat all candidates objectively and uniformly. (c)

Rating Panel Guidance (F) (continued)

Summation (4)

At the conclusion of its deliberations, the panel also should prepare a summary evaluation of the panel's process for the ERB, when appropriate. The panel should consider the effectiveness of the rating elements, the crediting plan level descriptors, the interview questions, and other practices in clearly identifying best qualified candidates.

Making Selections (G)

OP prepares a memorandum for the ERB Chair, through the ERB Secretary, that forwards the findings and written recommendations of the rating panel. The memorandum must include the ratings for all eligible candidates as attachments and must identify the best qualified candidates. Rating sheets may be used to satisfy the written recommendations for individual candidates. (1)

Once the ERB Chair approves the panel's findings, a copy of the memorandum and the attachments are forwarded to the office director or the regional administrator for consideration and recommendation for selection. (2)

Once the office director or the regional administrator makes a recommendation, he or she forwards the action through the ERB Secretary to the appointing official. (3)

The appointing official (i.e., the Chairman, the Commission, the Inspector General, the Executive Director for Operations, or a Commission-level office director, as appropriate) approves the selection from among the candidates identified as best qualified. (4)

The Qualifications Review Board Process (H)

When the selection is approved, the ERB Secretary begins the process of obtaining final approval of the selectee by the OPM QRB, including ensuring certification by the appointing authority that the selectee meets the qualifications requirements of the position. (1)

The Qualifications Review Board Process (H) (continued)

A selectee's executive and managerial qualifications must be certified by a QRB convened by OPM. A QRB normally consists of SES members from three different agencies, a majority of whom must be career appointees. Board members may not act on candidates from their own agency. (2)

The QRB determines whether the selectee possesses sufficient breadth and depth of executive and managerial qualities to be able to assume a variety of SES assignments within appropriate occupational or functional areas. This QRB process is used only after completion of the SES merit staffing process or upon an individual's successful completion of an OPM-approved Candidate Development Program. No individual may request his or her own certification. (3)

The QRB may certify a selectee but recommend formal managerial training to supplement experience in one or more of the competency areas. In this instance, the NRC can make the appointment but must develop an IDP to ensure the individual receives the required training. (4)

The QRB certifies the selectee's qualifications based on one of the three criteria established by law: (5)

- **Criterion A (a)**

Certification is based on demonstrated executive experience. Relevant training and development activities also may be cited. In recommending approval under this criterion, the QRB does not have to find "demonstrated" experience in all six activity areas; however, the selectee usually needs to show demonstrated competency in at least a majority (four) of the areas. (i)

A Criterion A case must be submitted within 9 months of the closing date of the vacancy announcement. (ii)

- **Criterion B (b)**

Certification is based on successful participation in NRC's OPM-approved SES Candidate Development Program. (i)

The Qualifications Review Board Process (H) (continued)

- Criterion B (b) (continued)

When the candidate has successfully completed program requirements and has been certified using the Criterion B submission method, any subsequent selection for an SES position does not have to be returned to OPM for action unless the OPM candidate certification expires. (ii)

A Criterion B case must be submitted within 9 months of successful graduation from NRC's OPM-approved SES Candidate Development Program. (iii)

Current OPM regulations regarding the validity of certifications resulting from successful completion of an OPM-approved SES Candidate Development Program are followed for Criterion B certification requests. (iv)

- Criterion C (c)

Certification is based on possession of special or unique qualities that indicate a likelihood of executive success. NRC must submit an IDP with the request for certification if this criterion is used. (i)

A Criterion C case must be submitted within 9 months of the closing date of the vacancy announcement. (ii)

The selectee is responsible for working closely with OP in preparing the necessary information that must be submitted to OPM, including the evaluation statement that specifically addresses the six executive and managerial competency areas and an IDP, when applicable. (iii)

The Qualifications Review Board Disapproval Process (I)

If a submitted case is disapproved, NRC may choose to have the case submitted to the next regularly scheduled QRB meeting or to have the case returned to the agency. This decision will be made by the office director or the regional administrator in consultation with the ERB Chair. (1)

The Qualifications Review Board Disapproval Process (I) (continued)

If NRC wishes to resubmit a returned case, it must do so within 60 days of the QRB disapproval. The QRB will only consider experience obtained before the closing date of the announcement. The NRC also has the option of resubmitting a case originally submitted as a Criterion A case as a Criterion C case if the Criterion C special or unique requirements are met and an IDP is also submitted. (2)

If a case is disapproved a second time, a new case on that selectee cannot be submitted until the candidate has acquired additional qualifying experience. A new merit staffing competition must be held in order to credit the additional experience. The closing date of the new announcement must be at least 12 months later than that of the original announcement. (3)

Selectees and NRC representatives do not appear before the QRB either initially or upon reconsideration. (4)

Certification of Qualifications (J)

When the QRB has certified the executive and managerial qualifications of the selectee, the certification process is complete and the NRC may initiate action to appoint the selectee. (1)

OPM may require written verification of progress toward implementing any QRB recommendations that accompanied the certification, such as completion of an IDP. (2)

OP will arrange for any required SES orientation activities when the selectee has been formally appointed a member of the SES. (3)

Inquiries and Appeals by Applicants (K)

Applicants may obtain information regarding the nature of the procedures used in recruiting and selecting candidates for SES positions by contacting OP. (1)

Applicants are entitled, upon request, to know whether they were found eligible for the position and whether they were referred to the selecting official for consideration for appointment. They also may have access to any qualifications questionnaires or reports of qualifications inquiries about themselves, except for information that would identify a confidential source. (2)

Inquiries and Appeals by Applicants (K) (continued)

All responses to requests for information must take into account the requirements of the Freedom of Information Act and the Privacy Act. (3)

Upon completion of the initial screening, OP notifies by letter those applicants who have been disqualified and those applicants who meet basic qualifications and have been referred to the rating panel. After the selection has been made, all other eligible candidates are notified of the selection in writing. Any further information regarding the selection or the status of a competitive action can be obtained by calling the contact number on the original vacancy announcement. (4)

SES applicants who are NRC employees may use the NRC grievance procedures for complaints stemming from their failure to be included among those identified as best qualified. A grievance may not be filed if the applicant was included among those identified as best qualified but not selected. Non-NRC SES applicants may address complaints about the staffing process to the ERB Chair. These complaints must be in writing and received no later than 30 calendar days from the date of the letter notifying applicants that they were disqualified or that a selection had been made. (5)

Applicants have no right of appeal to OPM on actions taken by the ERB, the QRB, or the appointing official. (6)

Records Maintenance (L)

If a crediting plan is changed or a position is canceled, the former crediting plan must be retained for at least 2 years. (1)

Adequate records must be kept for 2 years after an initial career appointment to allow for reconstruction of the merit staffing process. (2)

If no appointment results from a vacancy announcement, the records must be kept for 2 years from the closing date of the announcement. (3)

Part VI

Senior Executive Service (SES) Probationary Period

General Information (A)

An individual's initial SES career appointment becomes final only after the individual has successfully completed a 1-year probationary period, which is defined as a full calendar year. (1)

The probationary period begins on the effective date of the personnel action that initially appoints the individual to the SES as a career appointee and ends 1 calendar year later. (2)

Those selectees entering NRC SES positions who will be required to serve a probationary period must sign a "Restriction of Appointment Statement" (see Exhibit 1). The Office of Personnel (OP) representative will obtain this statement at the time the individual is appointed. (3)

The probationary period is the final step in the SES merit staffing process. The probationary period provides a test of actual job performance, as well as the opportunity for the NRC to assess the development of a newly appointed career member, to assist in that development, and to return the SES member to a non-SES position if circumstances warrant. (4)

Supervisory Responsibilities (B)

During the probationary period, the supervisor should—

- Follow through on training initiated by NRC or recommended or mandated by the Qualifications Review Board (QRB) of the Office of Personnel Management (OPM). (1)
- Observe the SES member's performance and conduct. (2)

Supervisory Responsibilities (B) (continued)

- Hold periodic, documented discussions of progress with the SES member that clearly outline the strengths and weaknesses of the employee in relation to the performance requirements of the position. (3)
- Initiate action to remove the employee from the SES if it becomes apparent, after full and fair consideration, that the SES member is not suitable for executive work. (4)

Notification (C)

OP will forward an NRC Form 372, "Certification of Completion of the Senior Executive Service (SES) Probationary Period" (Exhibit 2), to the supervising executive at the beginning of the ninth month of the SES member's probationary period. Supervising executives are expected to fill out this form and indicate in writing whether or not the SES member should be retained. (1)

Office directors or regional administrators will determine if reviewing executives will be used to review certifications for their individual offices and will advise OP of their decision. Use of reviewing executives is encouraged, especially when a recommendation has been made not to retain the individual as a member of the SES. (2)

The certification form should be completed and returned to OP no later than the end of the 10th month. The certification should take into account the results of any discussion of performance that may have been held with the SES member and any subsequent efforts to improve performance. (3)

Moratorium on Removal (D)

Restrictions on the removal of individuals from the SES for 120 days after the appointment of a new agency head or noncareer supervisor also apply to the probationary period. Within the NRC, this provision would apply upon appointment of a new Chairman, a new Inspector General, or a noncareer Executive Director for Operations. (1)

The probationary period cannot be extended if the NRC is subject to the 120-day restriction. If an individual completes the probationary period while the restriction is in force, removal when the restriction ends must be effected under procedures applicable to post-probationary employees. (2)

Crediting Service Toward Completion of the Probationary Period (E)

Time on leave with pay while in an SES position is credited toward completion of the probationary period. (1)

Earned leave for which the SES member is compensated by lump-sum payment upon separation is not credited toward completion of the probationary period. (2)

Time in a nonpay status, such as leave without pay or furlough, while in an SES position is credited toward completion of the probationary period up to a total of 30 calendar days (22 workdays). After 30 calendar days, the probationary period is extended by adding to it the time served in a nonpay status. (3)

Time following transfer to an SES position in another agency is credited toward completion of the probationary period. (4)

Time absent on military duty or because of a compensable injury is credited toward completion of the probationary period upon restoration of the individual to the SES when no other break in SES service has occurred. (5)

Reappointment to the SES (F)

A career appointee who leaves the SES before completion of the probationary period must undergo a new merit staffing competition to be reappointed. The SES member need not be recertified by a QRB if the certification period has not expired, unless the individual has been removed for poor performance, failure to be recertified, or disciplinary reasons. (1)

An SES member who is separated from the SES during the probationary period and who has been out of the SES more than 30 calendar days must serve a new 1-year probationary period upon reappointment, except as noted below. Previous time in a probationary period may not be credited towards completion of the new probationary period when the separation exceeds the 30-day limit. (2)

A new 1-year probationary period is not required in the following situations. The individual is only required to complete the remainder of the previous probationary period. (3)

Reappointment to the SES (F) (continued)

- The SES member left the SES without a break in service for a Presidential appointment and is exercising reinstatement rights. (a)
- The SES member left the SES without a break in service for other civilian employment that provides a statutory or regulatory reemployment right to the SES, such as service with an international organization, when no other break in service has occurred. (b)
- The break in SES service was the result of military duty or compensable injury and the time credited was not sufficient to complete the probationary period. (c)

Removal During the Probationary Period (G)

A career appointee who is a reemployed annuitant serves at the pleasure of the appointing authority. The removal of a reemployed annuitant who is serving a probationary period is effected under the procedures specified in 5 CFR 359, Subpart D. (1)

Removal of career appointees for unacceptable performance during the probationary period is effected under the procedures specified in 5 CFR 359, Subpart E. (2)

The removal of a probationer for unacceptable performance need not be predicated upon a formal unsatisfactory rating under the annual performance appraisal system described in Management Directive (MD) 10.137, "Senior Executive Service Performance Appraisal System." (3)

Written notice of the removal is required at least 1 day before the effective date of the removal. (4)

Guaranteed placement at the GG-15 level or above upon removal from the SES is limited to those employees who held an NRC Regular (Excepted) or Regular (Excepted) (Conditional) appointment at the time of appointment to the SES. (5)

Probationers who are not entitled to guaranteed placement may be separated from the Federal service. (6)

Removal of a probationer for performance reasons is not appealable to the Merit Systems Protection Board (MSPB) and does not entitle the SES member to an informal hearing before the MSPB. (7)

Removal During the Probationary Period (G) (continued)

Removal during the probationary period for disciplinary reasons is effected under the procedures specified in 5 CFR 359, Subpart D. (8)

A probationer removed for disciplinary reasons is not entitled to placement in a position outside the SES. (9)

The removal of a probationer for disciplinary reasons under 5 CFR 359 is not appealable to the MSPB. (10)

Removal of a probationer for conditions arising before appointment is not appealable to the MSPB. (11)

A probationer who is affected by a reduction in force (RIF) has no statutory or regulatory placement rights within the SES. Guidance regarding probationers affected by a RIF is contained in MD 10.138, "Reduction in Force in the Senior Executive Service." (12)

Part VII

Career Reassignments, Transfers, Details, and Reinstatements

Career Reassignments (A)

A career NRC Senior Executive Service (SES) member may be reassigned to any SES position for which he or she is qualified. (1)

- For nongeographic reassignments (those involving no change in duty station), NRC must provide the SES member a written notice at least 15 days before the effective date of the reassignment. A consultation is held with the SES member before the written notice is prepared, if possible. (a)
- For geographic reassignments to another commuting area, the following conditions apply: (b)
 - The office director or the regional administrator of both organizations involved in the transfer must agree to the reassignment. (i)
 - Management must consult with the SES member on the reasons for, and the SES member's preferences with respect to, the proposed reassignment. (ii)
 - A prior determination must be made as to whether a relocation bonus will be offered for critical, hard-to-fill positions when it has been determined that the SES member identified for the reassignment is highly qualified for the position. (iii)
 - Following consultation, the SES member will be provided a written notice of reassignment at least 60 days before the effective date of the reassignment. A longer notification period may be considered in case of hardship. The notice must include the reasons for the reassignment. (iv)

Career Reassignments (A) (continued)

- The 15- and 60-day advance notices may be voluntarily waived by the SES member. The waiver must be in writing and retained as a temporary record in the SES member's Official Personnel File. (v)

NRC may not involuntarily reassign an NRC SES career appointee within 120 days after the appointment of a new Chairman. Specific additional guidance on the 120-day moratorium for reassignments is located in 5 CFR 317, Subpart I, Section 317.901. A career appointee also may not be involuntarily reassigned within 120 days after the appointment of the career appointee's most immediate supervisor who is a noncareer appointee and who has the authority to make an initial appraisal of the career appointee's performance. (2)

The 120-day time period does not include any time the career SES member is on detail or temporary assignment (not to exceed 60 days) in other than a regular position. Any days in excess of 60 days on one or more details or other temporary assignments will be counted. (3)

The prohibition also applies in the case of a detail of an individual or reassignment of an individual in an acting capacity to the position of Chairman, or the immediate supervisory position previously mentioned. (4)

Failure to accept a directed reassignment makes the SES member subject to removal under adverse action proceedings. (5)

- Adverse action procedures described in 5 CFR 752 will be followed. (a)
- If the separation is for failure to accept a reassignment to a different commuting area, the SES member is entitled to discontinued service retirement, if eligible, or severance pay, unless a position description or other written agreement or understanding provides for such geographic reassignments. (b)

Career Transfers (B)

Career transfers involve movement of career appointees between executive agencies. (1)

Career Transfers (B) (continued)

A career SES appointee may be transferred only with the consent of the appointee and the gaining agency except when a transfer of function between agencies is involved. (2)

The SES member must meet the qualifications requirements of the position. (3)

A career appointee affected by a transfer of function is entitled to accompany his or her function if the appointee would otherwise be removed from the SES. (4)

- A career appointee who fails to accompany a transfer of function may be removed from the SES and the Federal service. (a)
- As an alternative to the removal, the NRC (as a transferring agency) may reassign the SES member to another SES position in a different function. (b)

Details (C)

Brief details of non-SES employees to SES positions and SES members to non-SES positions should be kept to an absolute minimum and are reviewed by the Director, Office of Personnel (OP). (1)

- Details of non-SES employees should not be used as trial periods or to obtain qualifications required for SES appointment consideration. (a)
- Competitive procedures must be used when detailing a non-SES employee to an SES position for more than 240 days unless the employee is eligible for a noncompetitive career SES appointment. (b)
- Positions to be filled on detail for an extended period should be filled through rotation of other SES members. (c)
- Details of SES members to positions at the GG-15 level or below are an inappropriate use of executive talent and should be avoided. (d)
- Details of SES members to Senior Level System positions should be rare because of the unique nature of these positions and the technical expertise and professional stature required. (e)

Details (C) (continued)

Details of career SES members cannot be used to circumvent the advance notice requirements for reassignments or the 120-day moratorium on involuntary reassignments previously discussed in Section (A)(2) of this part. (2)

Details are made in increments of no more than 120 days; however, this practice does not apply to details between executive agencies. (3)

Only a career SES member or a career-type non-SES employee may be detailed to a Career Reserved position. Any SES employee or non-SES employee may be detailed to a General position. (4)

An SES member cannot be detailed to unclassified duties for more than 240 days. (5)

Approval must be obtained from OPM for details of more than 240 days when the following conditions prevail: (6)

- A non-SES employee is detailed to an SES position that supervises other SES positions. (a)
- An SES employee is detailed to a non-SES position at the GG-15 level or below. (b)

Usually, both intra-agency and interagency details between positions covered by different appropriations must be made on a reimbursable basis. (7)

No requirement exists that an SES member be given advance notice of a detail; however, appropriate notice will be provided when possible. The NRC will provide advance notice for details to positions outside the commuting area. (8)

Reinstatement in the SES (D)

Reinstatement in the SES as a career appointee may be based only on prior career service in the SES. (1)

The appointee must either have successfully completed the probationary period or have been exempt. (2)

Separation from the SES must not have been for poor performance, disciplinary reasons, failure to be recertified, or resignation in lieu of removal. (3)

Reinstatement in the SES (D) (continued)

Reinstatement is permitted if the separation was due to failure to accept a directed reassignment involving a geographic move and no written mobility agreement was made. (4)

No time limit exists on reinstatement after leaving the SES. (5)

Reinstatement is not subject to merit staffing requirements, nor must the position be advertised. (6)

The reinstated individual must meet the qualifications of the position, but a new QRB certification is not required. (7)

If a reemployed annuitant is reinstated, he or she serves at the discretion of the appointing authority. (8)

Reinstatement rights after service under Sections 233(d) and 625(b) of the Foreign Assistance Act of 1961 are covered in 5 CFR 352, Subpart E. (9)

Reemployment and Restoration Rights (E)

Generally, SES members who accept certain assignments outside the SES, such as to international organizations, must have held a career SES appointment before the assignment to be entitled to reemployment and, in some instances, must have completed the SES probationary period. (1)

Individuals who have or who are considering accepting an assignment to an international organization should check with OP to determine what their maximum employment limits are in relation to retaining reemployment rights. (2)

When an employee's right is to a position in the SES, reemployment or return may be to any position in the SES for which the employee is qualified. The employee shall be returned at not less than the SES pay level at which the employee was being paid immediately before his or her transfer, or if pay has been adjusted under 5 CFR 352.314(c), at not less than the adjusted pay level. (3)

Reemployment and Restoration Rights (E) (continued)

The NRC will consider SES employees detailed or transferred to an international organization for all pay increases for which the SES member would be considered were the SES member not absent. Such increase would be effective on the date it would have been made if the employee were not absent. (4)

Restoration rights following military duty or recovery from a compensable injury are covered in 5 CFR 353. (5)

Part VIII

Presidential Appointment of Career Senior Executive Service (SES) Members

General (A)

SES career members who receive Presidential appointments to the Executive Schedule, or to a position with a rate of basic pay fixed by statute at a rate equal to one of the levels in the Executive Schedule, are provided certain benefits and reinstatement rights. (1)

To be eligible, the executive must have no break in service between the SES career appointment and the Presidential appointment. (2)

Retention of SES Benefits (B)

The Office of Personnel (OP) advises affected executives of their benefits. The executive's decision regarding election of benefits must be in writing. (1)

The executive may elect to retain some, all, or none of the following benefits: basic pay, performance awards, Presidential rank awards, severance pay, annual and sick leave, and retirement. (2)

The executive may make a new election of benefits decision annually. There is a 12-month waiting period after the anniversary date of the initial election before any changes can be made. Thereafter, the election may be changed no more than once during any 12-month period. A new election may add or drop any of the benefits listed herein in Sections (B)(1) and (2). (3)

An executive who elects to retain SES performance and/or rank award eligibility is subject to the SES performance appraisal system in the agency in which he or she accepts the Presidential appointment. (4)

Retention of SES Benefits (B) (continued)

Retirement coverage is determined by the position to which the employee is appointed and is not affected by any election of benefits on the employee's part that are available to career appointees who receive Presidential appointments as described in Section (A) of this part. (5)

- If the position is an Executive Schedule position, the executive is subject to mandatory social security coverage under the Civil Service Retirement System (CSRS) Offset or the Federal Employees' Retirement System (FERS). (a)
- If the position is not listed in the Executive Schedule, the executive retains whatever retirement coverage was previously applicable under the SES career appointment, whether it was regular CSRS, CSRS Offset, or FERS. (b)

If an executive elects to retain SES leave coverage, the executive must continue both annual and sick leave coverage. (6)

Reinstatement (C)

Any SES career appointee who receives a Presidential appointment is entitled to be reinstated in the SES: (1)

- The executive may apply to OPM within 90 days after separation from the Presidential appointment. (a)
- The executive may negotiate his or her own reinstatement directly with an agency rather than requesting OPM assistance. (b)

Executives serving in SES probationary periods at the time of the Presidential appointment are required to complete the probationary period upon reinstatement. (2)

If the individual elected to remain subject to SES pay provisions while serving under a Presidential appointment, pay may be adjusted upon reinstatement to the SES only if 12 months have elapsed since the last adjustment. This is the case whether in the agency where the individual held the Presidential appointment or in another agency. Also, adjustment must be made in accordance with applicable regulations dealing with adjusting pay while in the SES. (3)

If the individual did not elect to remain subject to the SES pay provisions while serving under a Presidential appointment, pay may be set at any Executive Schedule rate upon reinstatement. (4)

Part IX

Noncareer and Limited Appointments, Reassignments, and Transfers

Appointments (A)

NRC must have approval from the Office of Personnel Management (OPM) before making a noncareer or limited appointment. (1)

These appointments may be made only to General positions. (2)

The appointing authority must verify in writing that the appointee meets the qualifications requirements for the position. (3)

Although not required, competitive procedures may be used at management's discretion. Approval of the Qualifications Review Board (QRB) also is not required. (4)

The appointee does not receive tenure and serves at the pleasure of the appointing authority. (5)

Reassignments (B)

Reassignment may be made only to another General position for which the executive is qualified. (1)

Reassignment of a noncareer appointee requires prior OPM approval. (2)

Although reassignment of a limited appointee may be made without prior OPM approval, the new position must meet the same criteria under which the original appointment was made. (3)

No advance written notice of reassignment is required; however, NRC executive managers are encouraged to give reasonable notice when possible. (4)

Transfer to a Senior Executive Service (SES) Position in Another Agency (C)

Transfer to another position may be made only to a General position for which the individual is qualified with prior OPM approval. (1)

In a transfer of function between agencies, noncareer and limited appointees may be offered transfers at the discretion of the agency. Prior OPM approval is required for transfer of appointment authorities. (2)

Limited Appointment Requirements (D)

A limited emergency appointment cannot exceed 18 months, and a limited term appointment cannot exceed 3 years. (1)

A limited SES appointment is not renewable. (2)

An executive serving under a limited appointment may not be appointed to, or continue to hold, a position under the limited appointment if within the preceding 48 months the individual has served an aggregate of more than 36 months under any combination of limited emergency or term appointments. (3)

A limited appointment terminates automatically at the end of the appointment, but the NRC can terminate the appointment at any time. (4)

Following termination, a limited appointee is entitled to be placed in his or her former position or in a position of like status, tenure, and grade if—(5)

- The limited appointment was made without a break in service in the same agency as the one in which the individual held an appointment or a career or career-conditional tenure (or equivalent tenure) in a permanent civil service position outside the SES. (a)
- The limited appointment was terminated for reasons other than misconduct, neglect of duty, or malfeasance. (b)

Change From a Career to a Noncareer or Limited Appointment (E)

A career SES appointee may not be required to change his or her status to noncareer or limited upon appointment to another SES position. (1)

The executive, before the appointment, must agree in writing to those conditions associated with voluntarily accepting a noncareer or a limited appointment. The agreement will be retained as a permanent record in the executive's official personnel file. (2)

If a career appointee is under regular Civil Service Retirement System (CSRS) coverage and is changing to a noncareer appointment, the individual must be informed that he or she will automatically acquire CSRS Offset coverage or Federal Employees' Retirement System (FERS) coverage, depending on whether the executive has 5 years of service at the time of the action. Further, the executive must be informed that if he or she later returns to a career SES appointment, it will not be possible to return to regular CSRS coverage without social security. (3)

Change From a Noncareer to a Career Appointment (F)

OPM will not submit to a QRB any action to convert a noncareer SES employee to a career SES appointment in the employee's current position or a successor to that position.

Part X

Succession Planning

Purpose (A)

Succession planning entails identifying and satisfying short-term and long-range executive resource needs through a variety of methodologies to tap all available sources of highly qualified individuals.

General Strategy (B)

Within the NRC, executive managers have many options for filling new or vacated Senior Executive Service (SES) positions. Although NRC maintains flexibility in choosing the method to fill any SES position, in practice most positions are filled in accordance with the guidelines described below. (1)

Generally, SES positions in three of the four categories described in Part IV(A)(6) of this handbook are filled as follows: (2)

- Key executive positions are considered the key management positions in the NRC. They are customarily filled through the reassignment of highly talented, proven achievers from among the current NRC SES membership. A rigorous screening process by the Chairman and the Executive Director for Operations is conducted and advice from a wide variety of sources is considered before individuals are identified as candidates for reassignment into these key positions. (a)
- Midlevel executive positions are generally filled by managers of multidisciplinary organizations that deal with less policy-sensitive issues than those managed by key executives. These organizations usually have subordinate organizational structures and are managed by subordinate supervising officials, generally at the GG-15 level and above. These positions are usually filled by both

General Strategy (B) (continued)

competitive and noncompetitive procedures, although competitive procedures are more frequently used. These positions are frequently identified as strong experiential positions for both internal and external executives who aspire to key executive positions. In filling such positions, supervisors prefer individuals who have had exposure to executive-level responsibilities because of the overall requirements of the jobs. (b)

- First-level executive positions at the primary operational and organizational level are generally filled by the front-line managers of programs that focus on a narrower technical and managerial requirements basis. These positions are usually considered the entry-level gateways into the NRC SES system. These positions should be the primary target positions for initial career appointment to the SES and for graduates of the NRC SES Candidate Development Program. These positions serve as the transition in the supervisory/managerial career path from managerial responsibilities to executive responsibilities. (c)

Goals of Succession Planning (C)

Succession planning ensures the orderly movement of managers and executives into and among NRC SES positions with a minimum disruption of mission activities. This planning coordinates position and agency requirements with the most appropriate means of developing individuals to fill executive positions and identifying the most effective method of staffing these positions. Succession planning must be managed from the following different perspectives:

Management Perspective (1)

For development purposes, the career paths of successful executives are analyzed so that viable career paths and developmental activities can be implemented to train future key executives. Career path options should be recognized in identifying alternate methods for achieving similar competency goals. (a)

For replacement purposes, the key executive and selected midlevel executives are identified as candidates for focused succession planning activities. Generally, this succession involves the reassignment of internal SES members who have the necessary skill, knowledge, and ability to perform at an outstanding level with a minimum disruption of mission activities. (b)

Goals of Succession Planning (C) (continued)

SES Individual Executive Perspective (2)

For development purposes, SES executives need to be aware of the various types of training and developmental activities, including reassignments and rotational assignments, that will further their career path objectives and increase or complement their skill, knowledge, and ability in their current positions. (a)

For replacement purposes, SES executives need to understand position and performance expectations so that they can make an informed career decision on how far they wish to progress and what types of work experiences are stepping stones to more desirable executive positions from the personal and organizational point of view. This understanding facilitates both reassignment and rotational activities. (b)

Identifying Strategies for Succession Planning (D)

A major planning tool that identifies when to critically focus on succession planning activities for specific positions is the Human Resources Strategic Plan. Depending on current mission requirements, attrition, and other factors related to specific positions, specific succession planning requirements projection activities are developed, implemented, or modified to ensure the orderly and timely succession of executives without interruption of mission activities. (1)

In most instances, key executive positions are filled through the reassignment of current SES executives. These key positions are the critical positions identified for replacement planning. (2)

Current mission requirements, combined with skills and other factors identified for executive positions, determine which midlevel executive positions require succession planning. (3)

First-level executive positions are generally not considered in specifically focused succession planning activities. However, in terms of mainstreaming top managers at the GG-15 level into the executive ranks and thus distinguishing them for future consideration in succession planning events, these positions are the entry point. Succession planning at this organizational level is more often a function of developing a pool of qualified candidates that represent a broad spectrum of functional skills. (4)

Determining Core Competencies (E)

No predetermined single career path exists to any SES position in the NRC. Rather, combinations of experience and developmental activities contribute to successful SES careers. Each position must be looked at in terms of both specific and generic competencies. Each individual must be evaluated in terms of the experiences he or she brings to implement these competencies. Many factors that predict success in key positions may be similar for critical positions even though the functional duties and responsibilities differ. (1)

A hierarchy of competencies must be mastered as individuals move from nonsupervisory to supervisory positions, from supervisory to managerial positions, and from managerial to SES positions. Most or all of the basic, supervisory, and managerial competencies should have been mastered by individuals being considered or wishing to be considered for critical succession planning developmental and reassignment activities. (2)

For focused succession planning activities, the following core competencies, in addition to the basic competencies associated with the SES, are required as a minimum: (3)

- The ability to envision the future and develop the necessary procedures and operations to achieve that vision (a)
- The ability to define and communicate the desired values and the organizational culture of both the NRC as a whole and its organizational entities (b)
- External awareness (c)
- The ability to strategically plan for the short term and the long term concerning mission and human resources requirements (d)

Assessing Executive Potential (F)

NRC supervising executives assess SES members through a variety of processes, including observation, feedback from other executives and organizations, annual performance reviews, and triennial recertification reviews. (1)

As executives with potential for assuming higher level executive responsibilities and core competencies are identified, their careers can be guided to ensure that their potential is effectively developed. (2)

Assessing Executive Potential (F) (continued)

SES supervising executives should be aware of the ability level of each of their SES executives in relation to managerial and executive competency. (3)

An additional optional method for identifying the competency of individual SES members required for key succession planning positions and other positions involving reassignment is the use of modified competitive screening procedures. Depending on management requirements, these procedures could include nomination of candidates by executive supervisors or an expressed interest by SES members, or both. (4)

A periodic succession planning process is necessary to identify SES replacement candidates of high potential for key executive positions either through a formal or an informal identification process, depending on current NRC requirements and Executive Review Board direction. (5)

The identification process should require that—(6)

- Executives currently in key positions should participate in the identification process. (a)
- Individual Development Plans (IDPs) (Exhibit 3) should be established for executives of high potential, where necessary. (b)
- When IDPs have been previously established, progress in achieving IDP goals should be monitored and executives should be counseled in order to close the gap between actual and desired performance. (c)

Succession Planning Placements (G)

Executives who are reassigned to key executive positions as a result of succession planning initiatives should be monitored to evaluate their actual performance against expected performance. The results of this monitoring should be factored into subsequent succession planning activities. (1)

These executives should act as mentors to executives initially entering the career SES ranks. (2)

Part XI

NRC Senior Executive Service (SES) Candidate Development Program

Purpose (A)

The purpose of the SES Candidate Development Program (SESCDP) is to ensure that NRC has a sufficient number of qualified candidates to meet both present and future executive requirements.

Primary Target Positions (B)

The primary focus of the SESCO is individuals at the GG-14, GG-15, and comparable levels. (1)

The primary target positions for placement of successful graduates of the SESCO are the first-level executive positions identified by the Executive Resources Board (ERB) (see Part IV(A)(6)(c) of this handbook). (2)

Managers are not precluded from selecting successful graduates of the SESCO for midlevel executive positions (see Part IV(A)(6)(b) of this handbook) if the breadth and depth of executive experience and development meet the qualifications for successful performance in these positions. (3)

The NRC ERB is responsible for the overall direction and management of the SESCO policies, practices, procedures, and activities. The NRC ERB will exercise this responsibility through its Executive Development Committee. (4)

Requirements Identification (C)

The ERB conducts a periodic review of candidate development requirements on the basis of projected turnover in target positions. Projected turnover is based on retirements, resignations, transfers,

Requirements Identification (C) (continued)

reassignments, and on identified requirements for maintaining a sufficient pool of potential executives. (1)

Results of the review will be used to identify the number of participant spaces, if any, projected for the next year's program. (2)

Results also will be integrated into action strategies in the Human Resources Strategic Plan, where applicable. (3)

The ERB will closely monitor the total number of participants and graduates in the pool to ensure that the size of the pool will meet projected requirements and not be so large as to discourage participants because of lack of sufficient placement opportunities. (4)

Recruitment (D)

SESCDP vacancy announcements will be prepared using the following general guidelines: (1)

- Provide a summary of the program characteristics that includes the location of the positions, their duration, and the part-time nature of the program, as well as developmental activities and other requirements. (a)
- Provide a summary of qualifications and eligibility requirements. The summary must discuss generic technical requirements, the Office of Personnel Management's (OPM's) five executive competency areas, applicant requirements, evaluation methods, and appointment characteristics. (b)
- Provide information on the application process. (c)
- Provide a timetable that includes the opening and closing dates, the target date for selection of candidates, and the beginning date of the program. Also include a list of the representative disciplines being recruited from among engineering, scientific, administrative-management, and legal occupations. (d)

Announcements also must comply with the requirements for vacancy announcements described in Part IV(D) of this handbook. Publish the announcement in the OPM biweekly Senior Executive Service Vacancy Announcements list. (2)

The SESCO DP announcement must be open for no less than 15 calendar days. (3)

Recruitment (D) (continued)

Competition will be Governmentwide unless the ERB identifies specific needs for the program in a particular year as requiring “all sources” recruitment. (4)

Applicants are self-nominated in response to the vacancy announcement solicitation. This practice does not preclude supervisors from encouraging their employees who meet the basic eligibility guidelines to apply. The widest possible distribution and advertisement of the announcement are encouraged. (5)

NRC applicants are required to submit applications through all levels of the applicant’s management chain to their office director or their regional administrator. Each office director or regional administrator is required to rank the applicants from their office or region when submitting the applications. (6)

Application materials include the following: (7)

- NRC Form 356, “Application for the U.S. Nuclear Regulatory Commission Senior Executive Service Candidate Development Program” (see Exhibit 4). (a)
- Current NRC Forms 412 and 412A, “Non-SES Performance Appraisal System Summary Rating” and “Non-SES Performance Appraisal System Performance Plan” (see Exhibits 5 and 6), or most recent performance appraisal if applicant is not an NRC employee. (b)
- NRC Form 750, “Applicant Background Survey” (see Exhibit 7). Although this document is optional, applicants should be encouraged to complete it and forward it with other application materials. (c)
- A current Standard Form 171, or OF 612, “Personal Qualifications Statement,” may be included but is not mandatory for the initial rating process. (d)

Evaluation of Candidates (E)

All application packages will be screened by the Office of Personnel (OP) to ensure that packages are complete and to determine minimum basic qualifications. Only applicants who meet basic qualifications are referred to the Executive Development Committee, which generally

Evaluation of Candidates (E) (continued)

serves as the rating panel. Recommendations by office directors or regional administrators must be included as Part III of the application form in submissions from internal applicants as described in this section. (1)

Crediting plans will be developed in advance using the guidance contained in Part V of this handbook. The five OPM executive competency rating factors are listed on NRC Form 356. The crediting plans are developed using these five rating factors. (2)

Crediting plan level descriptors for the rating factors are structured to recognize potential at the A, B, and C levels (see Part V(D)(6) of this handbook) so that highly qualified candidates can be identified solely on the basis of potential. (3)

Each office director or regional administrator is required to perform a preliminary rating and ranking of their employees who are applicants against the crediting plan and provide a statement indicating the spectrum of functional areas and the offices and regions in which the applicants could perform successfully. This information will then be forwarded to the rating panel. (4)

The Chair, ERB, appoints the rating panel by calling on current members of the ERB Executive Development Committee or other senior agency executives. The panel will follow guidance described in Part V(F) of this handbook and will take into consideration the information provided by the office directors and the regional administrators. (5)

The panel should interview the “best qualified” applicants. All “best qualified” applicants should be interviewed by a minimum of two panel members. (6)

The panel provides the recommended list of participants to the ERB for final review. (7)

Selection (F)

The ERB provides the final list of recommended participants to the EDO for the final selection of SESCO participants.

Notification and Orientation Activities (G)

After selectees are notified of their selection, an initial orientation and assessment session is held and senior advisors or mentors are designated. The Chair, ERB, gives the final approval on all senior advisors. (1)

Selectees from outside the Federal Government will be required to serve a trial period as described in MD 10.14, "Employee Trial Period." (2)

The selectees, their supervisors, and their senior advisors then develop individual development plans (IDPs) (see Exhibit 3) based on the results of the orientation and assessment session. Completed IDPs are forwarded to the ERB Executive Development Committee for review, assessment, and a recommendation to the ERB on whether the IDPs should be approved or returned for further work. The IDP should be completed and approved within 30 days of the date of selection. (3)

Senior Advisors (H)

The senior advisor is critical to ensuring that each candidate's program activities realistically reflect individual and NRC needs and receive continuing management support. (1)

The senior advisor should be a career NRC SES member but should not be the candidate's first- or second-level supervisor. (2)

Careful matching of the participant and the advisor is critical as the senior advisor's effectiveness depends greatly on the quality of his or her relationship with the participant. (3)

The ERB Executive Development Committee will provide the ERB with a list of career SES members who are in the best position to become senior advisors. (4)

The ERB will approve a list of available senior advisors for the participants so that the ERB and the participants may agree upon a choice, which will then be sent to the Chair, ERB, for final approval. (5)

Senior advisors will be provided a full description of the role and responsibilities of an advisor. (6)

Senior Advisors (H) (continued)

Further general information on SES senior advisors may be found in OPM Publication XD-6, "The Relationship Between an SES Candidate and a Senior Advisor/Mentor," and OPM Publication XDX-3, "Mentors and Senior Advisors for Executive Development." (7)

The Individual Development Plan (IDP) Process (I)

An IDP will be prepared on NRC Form 321 (Exhibit 3) and will serve as the blueprint and competency-based needs determination for each candidate's executive development program. (1)

The mix of formal training, seminars, and developmental assignments must be determined on the basis of a careful analysis of each candidate's acquired work experiences, developmental activities, and formal assessment. (2)

The length of the SESCO will be 1 year. (3)

IDPs will include formal training and developmental work assignments that meet current OPM minimum requirements. They must include an interagency executive level seminar that satisfies OPM requirements, and may include quarterly seminars designed specifically around executive competencies. Additional formal training and developmental activities will depend on the individual assessment of each candidate's background and requirements. (4)

Generally, each candidate would serve at least the minimum number of months prescribed by OPM in developmental work assignments. Developmental assignments should be chosen to help prepare candidates for the nature and scope of positions they are likely to assume, giving them broadened perspectives and helping develop their managerial skills. At least one rotational assignment should be made to either the field or to headquarters, depending on the candidate's work history. (5)

The number and type of formal training and developmental assignments are determined jointly by the candidate, the senior advisor, and the first-level supervisor, and are documented in the IDP. (6)

The Individual Development Plan (IDP) Process (I) (continued)

Additional guidance on preparing IDPs is contained in the following publications: (7)

- NUREG/BR-0086, "The IDP Process" (a)
- NUREG/BR-0165, "Career Planning" (b)
- OPM Publication XD-3, "Developing Executive and Managerial Talent" (c)
- OPM Publication XD-11, "Individual Development Planning Guide for SES Candidates" (d)
- OPM Publication XD-13, "Developmental Assignments" (e)

Progress in meeting IDP requirements will be closely monitored. Delays in achieving IDP timetables or changes in IDP content must be reviewed by the Executive Development Committee. All modification requests must be forwarded to the Director, OP, for initial screening by the Chief, Organizational Development and Training. (8)

Placement of Unsuccessful Candidates (J)

Internal NRC candidates who do not successfully complete the SESCDP will be retained in their current positions or placed in another NRC position for which they qualify at the same grade level. (1)

External candidates who do not successfully complete the SESCDP will be placed in a position for which they qualify at the rate level held before selection for the SESCDP. (2)

Competitive Selection (K)

Candidates who apply and are selected for an NRC SES position under competitive procedures while still in the SESCDP must complete the requirements of the program. (1)

Competitive Selection (K) (continued)

These selectees will be referred to the OPM QRB as Criterion C candidates rather than as Criterion B candidates (see Part V(H)(5) of this handbook). A copy of their IDP and a comment on their progress in meeting IDP requirements will be forwarded to the QRB as part of the qualifications approval package. (2)

Certification (L)

When a candidate has completed the IDP requirements, the ERB Executive Development Committee will review the accomplishments and advise the candidate, his or her senior advisor, and his or her supervisor whether or not the candidate has successfully completed the program or needs more development based on weaknesses noted during the training. The committee will then either forward the IDP to the ERB with a recommendation to approve successful program completion or return it to the candidate with specific recommendations on the additional formal training or developmental assignments necessary for successful completion. The ERB will certify successful completion of the program. (1)

When a candidate has successfully completed NRC's OPM-approved SESCO, the ERB has 9 months in which to request the QRB to certify the individual's qualifications for the SES under Criterion B. (2)

OP prepares the necessary documentation required by current OPM regulations to request Criterion B certification. (3)

QRB certification of an individual based on successful completion of an SESCO remains a valid basis for initial career appointment, with or without competition, for as long as current OPM regulations permit. (4)

Placement (M)

A list of successful SESCO graduates is referred to selecting officials for consideration for all vacancies for first-level NRC executive positions before any competitive method is used to fill these positions. Passing over all candidates and requesting open competition to fill these positions require the approval of the ERB Chair. (1)

Since OPM has already approved the qualifications of successful graduates, selections may be made using procedures similar to those used to reassign current SES members. (2)

Withdrawal of Certification (N)

Once an individual has successfully graduated from the SESCO, he or she must keep his or her certification active through a career enhancement plan (CEP), which must be updated and approved by the ERB every 3 years. In addition, the individual's summary performance ratings must be at the Fully Successful level. (1)

The CEP must be based on a training needs assessment and documented on NRC Form 321, "Individual Development Plan (IDP)" (Exhibit 3). The CEP should address the competency-based needs which focus on the competencies needed to increase the individual's contributions to organizational effectiveness. Both individual and organizational needs should be taken into account. (2)

ERB can withdraw certification from graduates if it determines that any one, or a combination, of the following items has occurred. (3)

- Failure to complete the activities outlined in the CEP. (a)
- Receipt of a summary performance rating of less than Fully Successful. (b)
- Receipt of a formal disciplinary action that the ERB determines is evidence of conduct inappropriate to the high standards expected of a member of the SES in the NRC. (c)

The ERB will advise the graduate in writing of the proposed decision to withdraw certification, including the reasons for the proposed decision. (4)

The graduate will have 15 calendar days from the date of receipt of the notification to respond before the ERB makes its final decision. (5)

Discontinuance of a certification is without prejudice to the graduate's ability to apply directly for SES positions through competitive procedures. If subsequently selected for an SES position through competitive procedures, the graduate must receive a new QRB certification before appointment. (6)

Exhibit 1
Restriction of Appointment Statement

I have been advised of the requirement to serve a probationary period for newly appointed career members to the Senior Executive Service. Accordingly, I understand that effective _____ I will be serving a probationary period of ___ months. I understand that unsuccessful performance could result in my removal from the position in accordance with the NRC policy on the probationary period for Senior Executive Service members.

Name

Date

Volume 10, Part 6 – Senior Executive Service, Senior Level Positions,
and Judges
Senior Executive Service (SES) Employment and Staffing Programs
Handbook 10.135 Exhibits

Exhibit 2

NRC Form 372, "Certification of Completion of the
Senior Executive Service (SES) Probationary Period"

NRC FORM 372 (9-83) NRC HQ 10.135		U.S. NUCLEAR REGULATORY COMMISSION	
CERTIFICATION OF COMPLETION OF THE SENIOR EXECUTIVE SERVICE (SES) PROBATIONARY PERIOD			
NAME – SES MEMBER		SES PAY LEVEL	
POSITION TITLE		DATE ENTERED POSITION	
ORGANIZATION		NINE-MONTH DATE	
<p>The probationary period is a highly significant step in the examining process. Actual performance on the job during this period provides the final, indispensable test of eligibility for employment in the Senior Executive Service. The supervising executive of each SES member serving a 1-year probationary period must, no later than the end of the 10th month of such period, certify that the SES member's performance has been found to be satisfactory for continued employment in the Senior Executive Service or unsatisfactory for continuation of employment. Each certification <u>must</u> contain a positive recommendation as to whether or not the SES member should be retained.</p>			
CERTIFICATION OF SUPERVISING EXECUTIVE			
<p>The SES member's performance has been found to be</p> <p style="text-align: center;"><input type="checkbox"/> SATISFACTORY <input type="checkbox"/> UNSATISFACTORY</p>			
<p>The SES member should</p> <p><input type="checkbox"/> Be retained beyond the probationary period as a member of the SES.</p> <p><input type="checkbox"/> Not be retained beyond the probationary period for the following reasons.</p>			
Reasons for Recommendation of Non-retention.			
SIGNATURE – SUPERVISING EXECUTIVE		DATE	
SIGNATURE – REVIEWING EXECUTIVE (where appropriate)		DATE	
SIGNATURE – OFFICE OF PERSONNEL (OP) REPRESENTATIVE		DATE	
Date sent to Office of Personnel (OP) Labor and Employee Relations Specialist for appropriate action if recommendation is not to retain the employee in the Senior Executive Service.			DATE

NRC FORM 372 (9-83)

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Exhibit 3

NRC Form 321, "Individual Development Plan (IDP)"

<p>INDIVIDUAL DEVELOPMENT PLAN (IDP)</p>	<p>INSTRUCTIONS TO BOTH THE INDIVIDUAL AND THE SUPERVISOR FOR PREPARING INDIVIDUAL DEVELOPMENT PLANS</p>
<p>GENERAL INFORMATION</p> <p>It is in the best interest of all NRC employees to complete an Individual Development Plan (IDP). Your IDP should be based upon discussions between you and your supervisor regarding your career development. Your performance appraisal should be the foundation of your IDP. When describing your goals and developmental objectives, identify the knowledge, skills, competencies, and the variety of developmental/training activities necessary to obtain these goals. As you progress, update your IDP. You may choose not to complete the entire form, as not all parts of it may apply to you, but in any case, you should submit a signed IDP. All participants in formal NRC programs (e.g., Intern, Upward Mobility, Administrative Skills Enhancement, Resident Inspector Development, Senior Resident Inspector Development, and Computer Science Development) must have a current IDP.</p> <p>You and your supervisor will use this information as a guide for development and training planning purposes. The original IDP should be retained by the employee with a copy to the supervisor.</p> <p>It is NRC policy to encourage every employee to develop short- and long-range development goals and to pursue self-development activities. NRC attempts to provide, to the maximum extent possible within available funding and workloads, opportunities for employees to participate in training. However, the fact that training and development activities are identified on this IDP cannot be construed as either formal NRC approval or authorization to undertake them. Implementation of the plan must be in accordance with the provisions established in Management Directive 10.77, "Employee Development and Training." For complete information for developing an IDP, see "The IDP Process" (NUREG/BR-0086, revised October 1989).</p>	<p>Items 1-4 Self-explanatory.</p> <p>Item 5 Enter career goals (be as frank and practical as possible). Specify position titles, series, and grades, if appropriate. Specify short-range goals (1 to 2 years) and long-range goals (2 to 5 years).</p> <p>Item 6 Enter specific developmental objectives that are to be met by one or a combination of experiences or activities. State clearly and concisely the knowledge, skills, and competencies to be obtained in support of identified goals. Use a new line for each different objective.</p> <p>Items 7-9 For each developmental objective, enter the corresponding information horizontally across the page. Include scheduled dates during which (or by which) developmental activities should occur. (Note: An entry is not required in each column if it will not contribute to achieving the objective sought.)</p> <p>Developmental Assignments: State details or rotational assignments; also include on-the-job assignments.</p> <p>Formal Classroom Training: List in-house and external courses, including college courses.</p> <p>Other Activities: List supplemental readings and other self-development activities.</p>

Exhibit 3 (continued)

NRC FORM 321 (5-85) NRCMD 10.77 INDIVIDUAL DEVELOPMENT PLAN		U.S. NUCLEAR REGULATORY COMMISSION	
		1. EMPLOYEE'S NAME (Last, First, and Middle Initial)	
		2. POSITION TITLE	3. SERIES AND GRADE
		4. ORGANIZATION (Office/Division/Branch)	
5. CAREER GOALS (Include Positions)			
A. SHORT-RANGE GOALS (1-2 years) - Specify positions, titles, series, and grades.		B. LONG-RANGE GOALS (2-5 years) - Specify positions, titles, series, and grades.	
6. DEVELOPMENTAL OBJECTIVES	7. SUPPORTING DEVELOPMENTAL ASSIGNMENTS (If any)	8. SUPPORTING FORMAL TRAINING (If any)	9. OTHER ACTIVITIES (If any)
List the knowledge, skills, and competencies you want to gain or improve.	List details, rotational assignments on-the-job assignments, task groups, committees, etc. (Specify scheduled dates for each developmental activity.)	List in-house and external courses, including college courses. (Specify scheduled dates for each developmental activity.)	List supplemental readings and other self-development activities.

(See Reverse for Signature Blocks and continuation of Items 6-9)

Volume 10, Part 6 - Senior Executive Service, Senior Level Positions,
and Judges
Senior Executive Service (SES) Employment and Staffing Programs
Handbook 10.135 Exhibits

Exhibit 3 (continued)

6. DEVELOPMENTAL OBJECTIVES	7. SUPPORTING DEVELOPMENTAL ASSIGNMENTS	8. SUPPORTING FORMAL TRAINING	9. OTHER ACTIVITIES
10. REMARKS			
PRINTED NAME		SIGNATURE	
EMPLOYEE		DATE	
SUPERVISOR			
(As required for formal developmental programs)			

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Exhibit 4

NRC Form 356, "Application for the U.S. Nuclear Regulatory Commission Senior Executive Service Candidate Development Program"

NRC FORM 356 (5-95) NRCMD 10.135	U.S. NUCLEAR REGULATORY COMMISSION
APPLICATION FOR THE U.S. NUCLEAR REGULATORY COMMISSION SENIOR EXECUTIVE SERVICE CANDIDATE DEVELOPMENT PROGRAM	
This application package consists of three parts:	
Part I: Personal Data and Summary of Work Experience	
Part II: Description of Executive Competencies	
Part III: Supervisory Endorsement	
<p>Each applicant should complete Parts I and II, attach a copy of his/her most recent performance appraisal, and forward the entire package to the immediate supervisor. The supervisor will prepare a detailed, substantive written statement on Part III addressing the applicant's strengths and weaknesses in each of the competency areas, and forward the entire package (the applicant's materials and the supervisor's own input) to the next level of management. Each successive management official will provide his/her endorsement on a separate Part III, up to the Office Director/Regional Administrator level for NRC applicants, and up to the second level supervisor for non-NRC employees.</p>	
<p>For NRC applicants, the Office Director/Regional Administrator will rank all applicants in hierarchical order before forwarding all application materials, including supervisory endorsements, to the Office of Personnel. The mailing address for all applications, internal and external, is:</p>	
<p>Executive and Operational Support Programs Mail Stop T-2 D32 Office of Personnel U.S. Nuclear Regulatory Commission Washington, DC 20555-0001</p>	
<p>Questions concerning the application package or supervisory statements should be directed to:</p>	
<p>Office of Personnel Executive and Operational Support Programs Telephone: (301) 415-7022</p>	
<small>NRC FORM 356 (5-95)</small>	<small>PRINTED ON RECYCLED PAPER</small>
	<small>PAGE 1</small>

Exhibit 4 (continued)

PART I: PERSONAL DATA AND SUMMARY OF WORK EXPERIENCE				
PLEASE TYPE OR PRINT				
NAME		TITLE		
WORK TELEPHONE	HOME TELEPHONE	SERIES/GRADE	ORGANIZATION	
WORK ADDRESS (IF NRC GIVE MAIL STOP ONLY)		HOME ADDRESS		
EDUCATIONAL ACHIEVEMENTS				
	DEGREES EARNED	MAJOR FIELD	UNIVERSITY/COLLEGE	YEARS EARNED
1				
2				
3				
4				
AWARDS, HONORS, AND COMMUNITY SERVICE				
PLEASE DESCRIBE ANY WITHIN THE PAST 2 YEARS				
	KIND OF AWARD			DATE RECEIVED
1				
2				
3				
4				
SUMMARY OF WORK EXPERIENCE, WITH EMPHASIS ON ACCOMPLISHMENTS				
PLEASE PROVIDE THE FOLLOWING INFORMATION ABOUT EACH OF YOUR PROFESSIONAL JOBS. THE SUMMARY SHOULD BE NO MORE THAN TWO-FOUR SENTENCES. START WITH YOUR CURRENT JOB. CONTINUE ON ADDITIONAL SHEETS AS NECESSARY.				
1. JOB TITLE		SERIES/GRADE (IF APPROPRIATE)		
ORGANIZATION		DATES		TO PRESENT
SUMMARY				

**Volume 10, Part 6 – Senior Executive Service, Senior Level Positions,
and Judges
Senior Executive Service (SES) Employment and Staffing Programs
Handbook 10.135 Exhibits**

Exhibit 4 (continued)

SUMMARY OF WORK EXPERIENCE (Continued)	
2. JOB TITLE	SERIES/GRADE (IF APPROPRIATE)
ORGANIZATION	DATES TO
SUMMARY	
3. JOB TITLE	SERIES/GRADE (IF APPROPRIATE)
ORGANIZATION	DATES TO
SUMMARY	
4. JOB TITLE	SERIES/GRADE (IF APPROPRIATE)
ORGANIZATION	DATES TO
SUMMARY	
5. JOB TITLE	SERIES/GRADE (IF APPROPRIATE)
ORGANIZATION	DATES TO
SUMMARY	

NRC FORM 356 (5-95)

PRINTED ON RECYCLED PAPER

PAGE 3

**Volume 10, Part 6 – Senior Executive Service, Senior Level Positions,
and Judges
Senior Executive Service (SES) Employment and Staffing Programs
Handbook 10.135 Exhibits**

Exhibit 4 (continued)

PART II: DESCRIPTION OF EXECUTIVE COMPETENCIES
<p>"Executive qualifications" is the term used in 5 U.S.C. 3393 to describe the managerial qualifications that are required for initial appointment to the Senior Executive Service (SES). The Office of Personnel Management (OPM) has further defined these qualifications in terms of generic management activities and competencies associated with these activities.</p> <p>Selection to the Nuclear Regulatory Commission SES Candidate Development Program is also based to a large extent on the degree to which applicants can demonstrate that they possess OPM's required competencies. Consequently, it is important for applicants to devote adequate time and attention to this portion of the application.</p> <p>OPM's generic management activity areas, and the competencies associated with these activity areas, are listed below and described on the individual Description of Executive Competencies pages which follow.</p> <p>ACTIVITY AREA I: Strategic Vision</p> <p>ACTIVITY AREA II: Human Resources Management</p> <p>ACTIVITY AREA III: Program Development and Evaluation</p> <p>ACTIVITY AREA IV: Resources Planning and Management</p> <p>ACTIVITY AREA V: Organizational Representation and Liaison</p>
INSTRUCTIONS FOR PREPARING DESCRIPTIONS OF YOUR EXECUTIVE COMPETENCIES
<p>On the following pages please describe your executive competencies as they relate to each of the five activity areas. For each such activity area you should prepare a brief summary of your experience (3-5 sentences) as it relates to the activity area. This summary statement should include an indication of the total amount of time you have devoted to each activity area throughout your professional career. Following is an example of a summary statement for Activity Area II – Human Resources Management:</p> <p style="margin-left: 40px;">I have held supervisory positions for approximately 8 years of my 14-year professional career. These supervisory positions have been both in the private sector (2 years) and the Federal sector (6 years). These jobs have required me to perform the full range of supervisory functions—selecting, promoting, appraising, resolving conflicts, developing teams, and disciplining staff. I have supervised staffs ranging in size from 4 to 20 people. My supervisory jobs have been both management/supervisory positions, as well as "working" supervisory positions.</p>

Exhibit 4 (continued)

INSTRUCTIONS FOR PREPARING DESCRIPTIONS OF YOUR EXECUTIVE COMPETENCIES (Continued)

Additionally, you should provide at least two specific examples demonstrating your competency in each activity area. These examples should include the following elements:

1. Specific job-related activities in which you participated and a description of what you did in the activities. The major competencies identified within each activity area provide a guide to the key types of job activities and actions (e.g., planning, budgeting, performance appraisals, diagnosing problems, integrating issues, assessing, representing, working with others) that are relevant to executive jobs.
2. Description of the context or environment within which the activities occurred, including (as relevant) mention of other individuals or groups involved (e.g., clientele groups, members or staff of Congress, political appointees, subordinates) and the nature of the situation (e.g., stable, ambiguous, complex, containing long-term implications).
3. Outcomes or results of the activities to which you contributed. These provide indicators of quality and effectiveness of performance, and demonstrate ability to achieve results, which is a key requirement of executive positions.

The following two paragraphs (relating to Activity Area III – Program Development and Evaluation) serve to illustrate specific competency examples containing the above elements:

Example A

I directed a task force (activity) composed of representatives from my agency, four other Federal agencies, and several State and local governments (context – environmental) that was charged to provide a contingency plan for the coordination of local, State and Federal services in responding to natural disasters (activity and context – environment). The plan was accepted with no major changes and was first used in dealing with several tornado touchdowns in six Midwestern states this past spring (outcomes – results). It was slightly modified after this experience and has since become the prototype for dealing with other disaster situations (outcomes – results).

Example B

I supervised a staff of six professional engineers in the development of a complex technological forecast (activity).

It had to be completed on a crash basis in order for the company to compete for a major contract with the Federal government (context – environment). This technological forecast was completed on time and the contracting documents indicated that the forecast was a major factor in the company being awarded the contract (outcomes – results).

You may draw upon your entire professional career for specific examples, and you are not limited to two examples for each activity area.

Volume 10, Part 6 – Senior Executive Service, Senior Level Positions,
and Judges
Senior Executive Service (SES) Employment and Staffing Programs
Handbook 10.135 Exhibits

Exhibit 4 (continued)

NAME (PLEASE TYPE OR PRINT)
DESCRIPTION OF EXECUTIVE COMPETENCIES
ACTIVITY AREA I: Strategic Vision
Description and Competencies: Involves the ability to ensure that key national and organizational goals, priorities, values, and other issues are considered in making program decisions, and exercising leadership to ensure that the organization's mission and vision are reflected in the management of its people. Major competencies in this area include: <ul style="list-style-type: none">● Keeping up to date with relevant social, political, economic, administrative, and technological developments.● Understanding the role of political leadership in the Administration, Congress, state, and local governments, etc.● Motivating managers to incorporate vision, strategic planning, and quality management into the organization's management activities.
SUMMARY OF EXPERIENCE:
SPECIFIC EXAMPLES DEMONSTRATING COMPETENCIES (AT LEAST TWO EXAMPLES)

NRC FORM 350 (5-95)

PRINTED ON RECYCLED PAPER

PAGE 6

**Volume 10, Part 6 - Senior Executive Service, Senior Level Positions,
and Judges
Senior Executive Service (SES) Employment and Staffing Programs
Handbook 10.135 Exhibits**

Exhibit 4 (continued)

NAME (PLEASE TYPE OR PRINT)
DESCRIPTION OF EXECUTIVE COMPETENCIES:
ACTIVITY AREA II: Human Resources Management
<p>Description and Competencies: Involves the ability to design resource strategies to meet the organization's mission, strategic vision, and goals and to achieve maximum potential of all employees in a fair and equitable manner. Major competencies within this activity area are:</p> <ul style="list-style-type: none"> ● Acquiring a culturally diverse work force through planning, recruitment/outreach, and selection processes. ● Assessing employees' developmental needs and capabilities, and providing career development opportunities. ● Providing leadership in setting the workforce's expected performance levels commensurate with agency/organizational unit plan objectives. ● Promoting quality through effective use of the agency's performance standards and appraisal system.
SUMMARY OF EXPERIENCE:
SPECIFIC EXAMPLES DEMONSTRATING COMPETENCIES (AT LEAST TWO EXAMPLES)

NRC FORM 358 (5-95)

PRINTED ON RECYCLED PAPER

PAGE 7

**Volume 10, Part 6 – Senior Executive Service, Senior Level Positions,
and Judges
Senior Executive Service (SES) Employment and Staffing Programs
Handbook 10.135 Exhibits**

Exhibit 4 (continued)

NAME (PLEASE TYPE OR PRINT)
DESCRIPTION OF EXECUTIVE COMPETENCIES
ACTIVITY AREA III: Program Development and Evaluation
<p>Description and Competencies: Involves the ability to establish program/policy goals and the structure and processes necessary to implement the organization's mission and strategic vision. Inherent in this process is ensuring that programs and policies are being implemented and adjusted as necessary, that the appropriate results are being achieved, and that a process for continually examining the quality of program activities is in place. Major competencies within this activity area are:</p> <ul style="list-style-type: none"> ● Assessing policy, program, and project feasibility. ● Formulating short- and long-term goals and objectives, and integrating them into a strategic plan. ● Structuring and organizing work and setting priorities. ● Diagnosing and consulting on problem areas relating to program implementation and goal achievement, and setting effectiveness, efficiency, productivity, evaluation, and management control standards. ● Establishing and utilizing procedures and processes to monitor progress toward organizational objectives.
SUMMARY OF EXPERIENCE:
SPECIFIC EXAMPLES DEMONSTRATING COMPETENCIES (AT LEAST TWO EXAMPLES)

NRC FORM 356 (5-99)

PRINTED ON RECYCLED PAPER

PAGE 8

Volume 10, Part 6 – Senior Executive Service, Senior Level Positions,
 and Judges
 Senior Executive Service (SES) Employment and Staffing Programs
 Handbook 10.135 Exhibits

Exhibit 4 (continued)

NAME (PLEASE TYPE OR PRINT)
DESCRIPTION OF EXECUTIVE COMPETENCIES
ACTIVITY AREA IV: Resources Planning and Management
<p>Description and Competencies: Involves the ability to acquire and administer financial, material, and information resources. It also involves the ability to accomplish the organization's mission, support program policy objectives, and promote strategic vision. Major competencies within this activity area include:</p> <ul style="list-style-type: none"> ● Overseeing the allocation of financial resources, managing the budgetary process through organizational and Congressional procedures, and overseeing procurement and contracting procedures and processes. ● Integrating and coordinating logistical operations. ● Ensuring the development and utilization of management information systems.
SUMMARY OF EXPERIENCE:
SPECIFIC EXAMPLES DEMONSTRATING COMPETENCIES (AT LEAST TWO EXAMPLES)

NRC FORM 358 (5-95)

PRINTED ON RECYCLED PAPER

PAGE 9

Volume 10, Part 6 – Senior Executive Service, Senior Level Positions,
and Judges
Senior Executive Service (SES) Employment and Staffing Programs
Handbook 10.135 Exhibits

Exhibit 4 (continued)

NAME (PLEASE TYPE OR PRINT)
DESCRIPTION OF EXECUTIVE COMPETENCIES
ACTIVITY AREA V: Organizational Representation and Liaison
<p>Description and Competencies: Involves the ability to explain, advocate, and negotiate with individuals and groups internally and externally. It also involves the ability to develop an expansive professional network with other organizational units. Major competencies within this area include:</p> <ul style="list-style-type: none">● Representing and speaking for the organizational unit and its work to those within and outside the agency, and developing new alliances with external groups and organizations.● Establishing and maintaining working relationships with internal organizational units.● Seeing that reports, memoranda, and other documents reflect the position and work of the organizational unit.● Getting understanding and support from higher level management.
SUMMARY OF EXPERIENCE:
SPECIFIC EXAMPLES DEMONSTRATING COMPETENCIES (AT LEAST TWO EXAMPLES)

NRC FORM 358 (5-95)

PRINTED ON RECYCLED PAPER

PAGE 10

**Volume 10, Part 6 – Senior Executive Service, Senior Level Positions,
and Judges
Senior Executive Service (SES) Employment and Staffing Programs
Handbook 10.135 Exhibits**

Exhibit 4 (continued)

PART III: SENIOR EXECUTIVE SERVICE CANDIDATE DEVELOPMENT PROGRAM SUPERVISORY ENDORSEMENT	
NAME OF APPLICANT (TO BE COMPLETED BY APPLICANT)	
Please provide your comments on the above-named applicant's managerial abilities or potential as they relate to the NRC's SES Candidate Development Program. Attach your comments to the application materials and forward to the next level in your office's chain of command.	
TYPED OR PRINTED NAME AND TITLE	SIGNATURE
OFFICE	DATE

NRC FORM 356 (5-89) PRINTED ON RECYCLED PAPER PAGE 11

**Volume 10, Part 6 – Senior Executive Service, Senior Level Positions,
and Judges
Senior Executive Service (SES) Employment and Staffing Programs
Handbook 10.135 Exhibits**

Exhibit 4 (continued)

FINAL CHECKLIST FOR APPLICANTS	
<p>Before sending this application to the Office of Personnel, Executive and Operational Support Programs (Mail Stop T-2 D32), U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001, please ensure that:</p>	
<ol style="list-style-type: none"> 1. Part I of the application is complete and current. 2. Part II of the application is complete and fully describes your executive competencies. 3. A copy of your most recent performance appraisal is attached. 4. You have sent your package, including multiple copies of Part III, Supervisory Endorsement, to your immediate supervisor for his/her endorsement and forwarding through successive managerial levels, up to the Office Director/Regional Administrator. 5. Your signature appears on the line below this checklist. 	
CERTIFICATION	
<p>I certify that, to the best of my knowledge and belief, all of the statements contained in this application are true, correct, complete, and made in good faith.</p>	
SIGNATURE - APPLICANT	DATE
PRIVACY ACT STATEMENT	
<p>Pursuant to 5 U.S.C. 552a(e)(3), enacted into law by Section 3 of the Privacy Act of 1974 (Public Law 93-579), the following statement is furnished to individuals who supply information to the U.S. Nuclear Regulatory Commission on NRC Form 356. This information is maintained in a system of records designated as NRC-19 and described at 55 Federal Register 33980 (August 20, 1990), or the most recent Federal Register publication of the Nuclear Regulatory Commission's "Republication of Systems of Records Notices" that is available at the NRC Public Document Room, Gelman Building, Lower Level, 2120 L Street NW, Washington, D.C.</p>	
<ol style="list-style-type: none"> 1. AUTHORITY: Public Law 95-454 (Civil Service Reform Act) dated October 13, 1978, and 5 U.S.C. 1101-92 Stat. 1111. 2. PRINCIPAL PURPOSE(S): The information will be used to select candidates for the NRC Senior Executive Service (SES) Candidate Development Program. Applicants who are accepted for and successfully complete this program will be certified for entry into the SES. 3. ROUTINE USE(S): Information on this form may be divulged to the Office of Personnel Management if required to resolve questions of certification for entry into the SES. 4. WHETHER DISCLOSURE IS MANDATORY OR VOLUNTARY AND EFFECT ON INDIVIDUAL OF NOT PROVIDING INFORMATION: Disclosure is voluntary; however, failure to provide the requested information may prevent your being considered for the Candidate Development Program. 5. PROGRAM MANAGER AND ADDRESS: Chief, Executive and Operational Support Programs Office of Personnel U.S. Nuclear Regulatory Commission Washington, DC 20555-0001 	

NRC FORM 356 (5-85)

PRINTED ON RECYCLED PAPER

PAGE 12

Approved: May 27, 1993
(Revised: February 20, 1996)

Volume 10, Part 6 – Senior Executive Service, Senior Level Positions,
and Judges
Senior Executive Service (SES) Employment and Staffing Programs
Handbook 10.135 Exhibits

Exhibit 5

NRC Form 412, "Non-SES Performance Appraisal System
Summary Rating"

NRC Form 412 11-888		U.S. NUCLEAR REGULATORY COMMISSION		POSITION TITLE (Check appropriate box)																																																																					
NON-SES PERFORMANCE APPRAISAL SYSTEM SUMMARY RATING		SUPERVISORY NONSUPERVISORY		RATING PERIOD																																																																					
		FROM _____ TO _____																																																																							
This Summary Rating page applies to NRC Form 412A, "Non-SES Performance Appraisal System Performance Plan."																																																																									
EMPLOYEE NAME (Last, first, middle initial)			POSITION TITLE		SERIES AND GRADE																																																																				
ORGANIZATION (Office, division, branch)																																																																									
TYPE OF RATING (Check appropriate box)																																																																									
RATING OF RECORD FY _____ (See NRC Appendix 4181 Part 1C 1)		<input type="checkbox"/> CHANGE IN POSITION (See NRC Appendix 4181, Part 1C 2)																																																																							
<input type="checkbox"/> DETAIL OR TEMPORARY PROMOTION (See NRC Appendix 4181, Part 1C 2)		<input type="checkbox"/> OTHER (Specify)																																																																							
INSTRUCTIONS FOR DETERMINING AND ASSIGNING A SUMMARY RATING																																																																									
<ol style="list-style-type: none"> 1. ON NRC FORM 412A, APPRAISE THE EMPLOYEE'S PERFORMANCE AGAINST THE ESTABLISHED PERFORMANCE STANDARD FOR EACH CRITICAL ELEMENT AND ASSIGN THE APPROPRIATE RATING FOR EACH ELEMENT 2. ON THE CHART BELOW, INDICATE THE RATING AND THE NUMERICAL EQUIVALENT FOR EACH CRITICAL ELEMENT RATED. (If one or more critical element is rated UNACCEPTABLE, the summary rating must be UNACCEPTABLE.) TOTAL THE POINTS AND DIVIDE BY THE NUMBER OF CRITICAL ELEMENTS RATED, AND ROUND OFF TO THE SECOND DECIMAL POINT. 3. DETERMINE THE APPROPRIATE SUMMARY RATING FROM THE CONVERSION TABLE BELOW. 4. ASSIGN THE SUMMARY RATING BY CHECKING THE APPROPRIATE BOX IN THE SUMMARY RATING BLOCK. 																																																																									
CHART		CONVERSION TABLE (Compare with equivalent below)		SUMMARY RATING (Check appropriate box)																																																																					
<table border="1" style="width:100%; border-collapse: collapse;"> <thead> <tr> <th rowspan="2" style="font-size: x-small;">CRITICAL ELEMENT NUMBER</th> <th colspan="5" style="font-size: x-small;">ELEMENT RATING</th> <th rowspan="2" style="font-size: x-small;">NUMERICAL EQUIVALENT <small>O=4 E=3 FS=2 MS=1 U=0</small></th> </tr> <tr> <th style="font-size: x-small;">O</th> <th style="font-size: x-small;">E</th> <th style="font-size: x-small;">FS</th> <th style="font-size: x-small;">MS</th> <th style="font-size: x-small;">U</th> </tr> </thead> <tbody> <tr><td style="text-align: center;">1</td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td style="text-align: center;">2</td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td style="text-align: center;">3</td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td style="text-align: center;">4</td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td style="text-align: center;">5</td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td style="text-align: center;">6</td><td></td><td></td><td></td><td></td><td></td><td></td></tr> </tbody> </table>	CRITICAL ELEMENT NUMBER	ELEMENT RATING					NUMERICAL EQUIVALENT <small>O=4 E=3 FS=2 MS=1 U=0</small>	O	E	FS	MS	U	1							2							3							4							5							6							<table border="1" style="width:100%; border-collapse: collapse;"> <tbody> <tr> <td style="text-align: center;">3.70 – 4.00 =</td> <td><input type="checkbox"/></td> <td style="font-size: x-small;">O—OUTSTANDING</td> </tr> <tr> <td style="text-align: center;">2.70 – 3.69 =</td> <td><input type="checkbox"/></td> <td style="font-size: x-small;">E—EXCELLENT</td> </tr> <tr> <td style="text-align: center;">1.70 – 2.69 =</td> <td><input type="checkbox"/></td> <td style="font-size: x-small;">FS—FULLY SUCCESSFUL</td> </tr> <tr> <td style="text-align: center;">1.00 – 1.69 =</td> <td><input type="checkbox"/></td> <td style="font-size: x-small;">MS—MINIMALLY SUCCESSFUL</td> </tr> <tr> <td style="text-align: center;">=</td> <td><input type="checkbox"/></td> <td style="font-size: x-small;">U—UNACCEPTABLE</td> </tr> </tbody> </table>		3.70 – 4.00 =	<input type="checkbox"/>	O—OUTSTANDING	2.70 – 3.69 =	<input type="checkbox"/>	E—EXCELLENT	1.70 – 2.69 =	<input type="checkbox"/>	FS—FULLY SUCCESSFUL	1.00 – 1.69 =	<input type="checkbox"/>	MS—MINIMALLY SUCCESSFUL	=	<input type="checkbox"/>	U—UNACCEPTABLE	* IF ONE OR MORE CRITICAL ELEMENT IS RATED U, SUMMARY RATING MUST BE U.	
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2.70 – 3.69 =	<input type="checkbox"/>	E—EXCELLENT																																																																							
1.70 – 2.69 =	<input type="checkbox"/>	FS—FULLY SUCCESSFUL																																																																							
1.00 – 1.69 =	<input type="checkbox"/>	MS—MINIMALLY SUCCESSFUL																																																																							
=	<input type="checkbox"/>	U—UNACCEPTABLE																																																																							
TOTAL _____ ÷ _____ = _____		NUMBER OF CRITICAL ELEMENTS RATED QUOTIENT																																																																							
SIGNATURE—REVIEWER					DATE																																																																				
SIGNATURE—SUPERVISOR					DATE																																																																				
SIGNATURE—EMPLOYEE (Signature acknowledges only receipt of rating and carries no implications of concurrence in the appraisal)					DATE																																																																				
EMPLOYEE COMMENTS																																																																									

U.S. GOVERNMENT PRINTING OFFICE: 1989 - 479-909/89649

Exhibit 6

NRC Form 412A, "Non-SES Performance Appraisal System
Performance Plan"

NRC FORM 412A 10-901		U.S. NUCLEAR REGULATORY COMMISSION		POSITION TYPE (Check appropriate box)				
NON-SES PERFORMANCE APPRAISAL SYSTEM PERFORMANCE PLAN				SUPERVISORY				
				NONSUPERVISORY				
EMPLOYEE'S NAME (Last, first, middle initial)		POSITION TITLE		SERIES AND GRADE				
ORGANIZATION (Office, division, branch)								
1. APPROVALS FOR PERFORMANCE PLAN—ELEMENTS AND STANDARDS (To be completed at the beginning of rating period)								
SIGNATURE—SUPERVISOR		TYPED NAME AND TITLE		DATE				
SIGNATURE—REVIEWER		TYPED NAME AND TITLE		DATE				
SIGNATURE—EMPLOYEE (Signature acknowledges only receipt of the performance elements and standards and does not necessarily indicate agreement with them)		TYPED NAME AND TITLE		DATE				
<p>Complete the performance plan at the beginning of the rating period. Each employee must have at least three, but no more than six, critical elements. (Non-critical elements should not be included.) Record and number each critical element. Immediately below the critical element, record the standard for fully successful performance. Leave sufficient blank space below each performance standard for the narrative rating to be completed at the end of the appraisal period. To ensure adequate space for the narrative rating, you may use an entire page for each element, its associated performance standard, and space for the narrative rating.</p> <p>At the end of the rating period, rate the employee's performance against the established standards. Provide the narrative rating for each element directly below the standard to which it applies. Check the appropriate element rating from the columns on the right. (O = Outstanding; E = Excellent; FS = Fully Successful; MS = Minimally Successful; U = Unacceptable)</p> <p>NOTE: If any one critical element is rated "U," the employee's overall summary rating must be "U."</p>								
2. MID-YEAR PROGRESS REVIEW (To be completed after the review)								
SIGNATURE—SUPERVISOR		SIGNATURE—EMPLOYEE		DATE				
PERFORMANCE ELEMENTS, STANDARDS AND APPRAISAL				O	E	FS	MS	U
Empty space for performance elements, standards, and appraisals								

NRC FORM 412A (0-90)

**Volume 10, Part 6 - Senior Executive Service, Senior Level Positions,
and Judges**
Senior Executive Service (SES) Employment and Staffing Programs
Handbook 10.135 Exhibits

Exhibit 6 (continued)

NRC FORM 412A (9-88)	U.S. NUCLEAR REGULATORY COMMISSION	EMPLOYEE (Name - Last, first, middle initial)							
NON-SES PERFORMANCE APPRAISAL SYSTEM PERFORMANCE PLAN (CONTINUATION)		RATING PERIOD	FROM	TO					
		PERFORMANCE ELEMENTS, STANDARDS, AND APPRAISAL					O	E	FS

NRC FORM 412A
(9-88)

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**Volume 10, Part 6 – Senior Executive Service, Senior Level Positions,
and Judges
Senior Executive Service (SES) Employment and Staffing Programs
Handbook 10.135 Exhibits**

**Exhibit 7
NRC Form 750, “Applicant Background Survey”**

NRC FORM 750 (1-83)		U.S. NUCLEAR REGULATORY COMMISSION		1. VACANCY ANNOUNCEMENT NUMBER	
APPLICANT BACKGROUND SURVEY				2. DATE (MM/DD/YY)	
				3. POSITION	
GENERAL INSTRUCTIONS					
The information from this survey is used to help ensure that agency personnel practices meet the requirements of Federal law. Your responses are voluntary. Please answer each of the questions to the best of your ability. Please print entries in pencil or pen. USE ONLY CAPITAL LETTERS. Read each item thoroughly before completing the appropriate code number in each box.					
4. NAME (Last, First, MI)		5. YEAR OF BIRTH <div style="display: flex; justify-content: space-around; width: 100px;"> 1 9 </div>		6. SOCIAL SECURITY NUMBER <div style="display: flex; justify-content: space-around; width: 150px;"> </div>	
7. How did you hear about the particular position for which you are applying? (You may check up to three boxes.)					
<input type="checkbox"/> A. PRIVATE INFORMATION SERVICE <input type="checkbox"/> B. MAGAZINE <input type="checkbox"/> C. NEWSPAPER <input type="checkbox"/> D. RADIO <input type="checkbox"/> E. TV <input type="checkbox"/> F. POSTER <input type="checkbox"/> G. PRIVATE EMPLOYMENT OFFICE <input type="checkbox"/> H. STATE EMPLOYMENT OFFICE (UNEMPLOYMENT OFFICE) <input type="checkbox"/> I. AGENCY PERSONNEL DEPARTMENT (BULLETIN BOARD OR OTHER ANNOUNCEMENT)			<input type="checkbox"/> J. AGENCY OR OTHER FEDERAL GOVERNMENT RECRUITMENT AT SCHOOL OR COLLEGE <input type="checkbox"/> K. FEDERAL, STATE, OR LOCAL JOB INFORMATION CENTER <input type="checkbox"/> L. RELIGIOUS ORGANIZATION <input type="checkbox"/> M. SCHOOL OR COLLEGE COUNSELOR OR OTHER OFFICIAL <input type="checkbox"/> N. FRIEND OR RELATIVE WORKING FOR AGENCY <input type="checkbox"/> O. FRIEND OR RELATIVE NOT WORKING FOR AGENCY <input type="checkbox"/> P. OTHER (Specify)		
8. DO YOU HAVE ANY DISABILITIES? <input type="checkbox"/> A. YES <input type="checkbox"/> B. NO		9. CHECK THE APPROPRIATE BOX TO SHOW YOUR SEX. <input type="checkbox"/> A. MALE <input type="checkbox"/> B. FEMALE		10. PLEASE CATEGORIZE YOURSELF IN TERMS OF RACE/ETHNIC BACKGROUND. CHECK THE APPROPRIATE BOX. <input type="checkbox"/> A. AMERICAN INDIAN OR ALASKAN NATIVE <input type="checkbox"/> B. ASIAN OR PACIFIC ISLANDER <input type="checkbox"/> C. BLACK, NOT OF HISPANIC ORIGIN <input type="checkbox"/> D. HISPANIC <input type="checkbox"/> E. WHITE, NOT OF HISPANIC ORIGIN	
FOR AGENCY USE ONLY					
DATE RECEIVED (MONTH/DAY/YEAR) <div style="display: flex; justify-content: space-around; width: 100px;"> </div>			CODE <div style="display: flex; justify-content: space-around; width: 100px;"> </div>		CODE <div style="display: flex; justify-content: space-around; width: 50px;"> </div>
PRIVACY ACT INFORMATION					
Pursuant to 5 U.S.C. 552a, enacted into law by Section 3 of the Privacy Act of 1974 (Public Law 93-579), the following statement is furnished to individuals who supply information to the U.S. Nuclear Regulatory Commission on NRC Form 750. This information is maintained in a system of records designated as OPM/GOVT-7, APPLICANT RACE, SEX, NATIONAL ORIGIN, AND DISABILITY STATUS RECORDS, and described at 57 Federal Register 35719 (August 10, 1992).					
1. AUTHORITY – 5 U.S.C. 7201, Sections 4A, 4B, 15A(1) and (2), 15B(11), and 15D(11); Uniform Guidelines on Employee Selection Procedures (1978); 43 FR 38297 et seq. (August 25, 1978); 29 CFR 720.301; and 29 CFR 1613.301.					
2. PURPOSES AND ROUTINE USES – The information from this survey is used for research and for a Federal Equal Opportunity Recruitment Program to help ensure that agency personnel practices meet the requirements of Federal law.					
3. EFFECTS OF NONDISCLOSURE – Providing this information is voluntary. No individual personnel selections are made based on this information.					
4. INFORMATION REGARDING DISCLOSURE OF YOUR SOCIAL SECURITY NUMBER UNDER PUBLIC LAW 93-579, SECTION 7(b) – Solicitation of the Social Security Number (SSN) by the Office of Personnel Management is authorized under provisions of Executive Order 9397, dated November 22, 1943. It is used to relate this form with other records that you file with Federal agencies.					
5. SYSTEM MANAGER AND ADDRESS: Assistant Director, Office of Personnel Research and Development, Career Entry Group, Office of Personnel Management, 1900 E Street, NW, Washington, DC 20415.					

NRC FORM 750 (1-83)

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