

*Appendix G. Approval Authority and**Department Documentation Requirements for Effecting SES Personnel Actions in DOT*

- Executive Qualifications Brief, a summary of how the individual meets the six managerial activity areas specified by OPM. (See Exhibit 5-A, FPM Supplement 920-1)—4 copies
 - At least one written reference by someone familiar with the candidate's managerial qualifications (recommended for cases submitted under criterion A, demonstrated executive experience; required for cases submitted under criterion C, likelihood of executive success). The references should be based on the managerial activity areas published by OPM in Exhibit 5-A—4 copies
 - Recruitment and merit staffing documentation:
 - vacancy announcement—9 copies
 - applicant information: how many applied, how many were qualified and how many were "best qualified"; also, for each category, state the number of minorities and women—1 copy
 - signed selection certificate—1 copy
 - names of panel members—1 copy
 - SF-171 of all referred candidates not selected—1 copy
 - Panel comments and short summary of the background of all candidates referred to the selecting official, in alphabetical order—9 copies
 - A narrative statement which summarizes the qualifications of the individual selected and addresses the basis for the selection—1 copy
- (4) Transfers and Reinstatements from Outside the Department
- Same requirements as for merit selections EXCEPT do not submit Executive Qualifications, references, or merit staffing documentation.
- (5) New Noncareer Appointments; and Reassignments, Details to SES Positions, and Career Appointments of DOT CDP Graduates Requiring OST Approval
- Memorandum as with merit selections—1 copy
 - OPM Form 1390—5 copies
 - SF-171—2 copies
 - Position description—2 copies (3 if in need of recertification)
 - Organization chart (with subject position annotated)—2 copies
- (6) Pay Level Changes Requiring Prior Approval
- Request from appropriate official—1 copy
 - OPM Form 1390—5 copies
 - SF-171—2 copies
 - Position description—2 copies (3 if in need of recertification)
 - Organization chart—2 copies
- (7) Miscellaneous Changes (e.g., staffing actions not requiring OST approval; pay level changes at the OA level; retirements; resignations)
- Approval document from appropriate officials—1 copy
 - OPM Form 1390—5 copies
 - Other documentation as requested by the OST staff when determined to be necessary for the record.
- (8) Cash Awards (other than Presidential ranks and bonuses)
- Memorandum from the appropriate official—1 copy
 - Justification for the award, including certification that the award is based on a specific one time accomplishment or other achievement that is clearly nonrecurring, and does not fall within the performance parameters or other job requirements of the senior executive's position (See FPM Supplement 920-1, Subchapter 9-4)—9 copies
- NOTE: Documentation requirements for Presidential Ranks and Bonuses will be provided when nominations are solicited.

Note: Vertical line denotes change