IVV 18: Human Capital Management

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Document Owner: David Runyon

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Purpose

The purpose of this system level procedure (SLP) is to establish a clear understanding and consistent application of human capital management related activities that contribute to the NASA IV&V Program delivering high quality products and services.

Scope

This SLP applies to all NASA IV&V Program civil service employees. As such, unless otherwise indicated, whenever the term "employee" is used, it refers to civil service employees. The competency, performance management, and training of our contractor workforce are beyond the scope of this SLP.

Definitions and Acronyms

Official NASA IV&V Program roles and terms are defined in the Quality Manual. Specialized definitions identified in this SLP are defined below.

- **Administrative Officer (AO)**
    - The AO is a NASA IV&V Program employee who manages human capital activities for the NASA IV&V Program. The position description nomenclature for this position is "Program Specialist."

- **Employee Performance Communication System (EPCS)**
    - EPCS is NASA's performance management system for all employees other than Senior Executive Service, Senior Scientific and Technical, and Senior Level employees. The EPCS establishes a systematic process for planning, monitoring, developing, assessing, and rewarding employee performance that contributes to achieving the Agency's vision, mission, and goals in accordance with applicable laws and regulations. The EPCS creates a strategically linked set of performance expectations for all employees, promotes a performance culture that focuses on two-way communication and accountability for results, and clearly differentiates between high and low performers.

- **Goddard Space Flight Center (GSFC) Human Resources Office (HRO)**
    - GSFC HRO is a NASA organization located in Greenbelt, Maryland. The GSFC HRO provides leadership and consultation on human capital strategy, solutions and helps coordinate services with the NASA Shared Services Center (NSSC).
- **Hiring Manager**
    - An organizational supervisor (or occasionally, an office lead) who carries out and/or coordinates the actions associated with filing a vacant civil servant position through the hiring of a new employee.
- **Human Capital Management**
    - Human Capital Management is a strategic approach to people management that focuses on the knowledge, skills, abilities, and capacity to develop and innovate possessed by people in an organization.

- **Individual Development Plan (IDP)**
    - The IDP offers a deliberate planning process that provides a framework for development discussions between employees and supervisors, encouraging supervisors to provide ongoing support for training and development, as well as encouraging employees to actively seek out and participate in training and development activities. It also provides supervisors with a valuable tool for refocusing the workforce to meet future organizational requirements. The Standard Performance Appraisal Communications Environment Tool contains the electronic IDP records.

- **Performance Plan**
    - A Performance Plan consists of all the written or otherwise recorded performance elements that describe what supervisors expect their employees to accomplish during the performance period (one-year period from May 1 through April 30) and the standards against which the employees' performances are appraised.

- **Position Description (PD)**
    - A PD is a document that describes the principal duties, responsibilities and supervisory relationships of a position. It is the official record of the major duties and responsibilities of a position assigned by a supervisor or management official. An employee's PD shall have a direct correlation to his/her performance plan.
- **Standard Performance Appraisal Communication Environment (SPACE) Tool**
    - The SPACE tool is a record system used for storing performance documents such as ratings of records, performance plans, IDP, recommendations, input feedback, etc.

Acronyms

AO	Administrative Officer
AIMS	Academic Investment for Mission Success
CPP	Competitive Placement Plan
EPCS	Employee Performance Communication System
ePDS	Electronic Position Description System
GSFC	Goddard Space Flight Center
HRO	Human Resources Office
IDP	Individual Development Plan
IMS	NASA IV&V Management System
NSSC	NASA Shared Services Center
NODIS	NASA Online Directives Information System
NPR	NASA Procedural Requirements
OJT	On-the-Job Training
PD	Position Description
QM	Quality Manual
SATERN	System for Administration, Training, and Educational Resources for NASA
SES	Senior Executive Service
SL	Senior Level
SLP	System Level Procedure
SPACE	Standard Performance Appraisal Communication Environment
ST	Senior Scientific and Technical

Process Flow Diagram

An overall process flow diagram does not apply to this SLP.

The NASA IV&V Program employs various means to ensure that personnel performing work affecting products and services remain engaged and possess and maintain the necessary skills, competencies, education, training, and experiences. These include workforce recruitment, performance management, development, and recognition.

Workforce Recruitment

Specific needs and trends related to workforce positions are identified as part of recurring discussions within the NASA IV&V Program. When a workforce need is identified, the IV&V Program Director takes into consideration a variety of factors, requirements, and constraints. The IV&V Program Director consults with GSFC management, HRO, IV&V Program supervisors, office leads, and the AO to decide to fill the workforce need through internal, or external resources.

External Hiring

The Hiring Manager for each hiring action will contact and work with GSFC HRO and NSSC to create an official request to advertise for a civil service position to meet a specific workforce need. The Hiring Manager, with support of the supervisors, AO, and/or office lead(s), will identify (or modify) an appropriate Agency Standard PD to cite the appropriate grade level and specialized experience for the position in the electronic Position Description System (ePDS) at https://epds.nasa.gov/. Leveraging the PD, the Hiring Manager and the AO will work with NSSC to develop the job advertisement. In collaboration with the Hiring Manager, NSSC will initiate the release of the position advertisement. The position advertisement will appear on the Federal Government's USAJOBS website, which is located at https://www.usajobs.gov/

After the position advertisement closes, depending on the utilized hiring authority, NSSC will either develop a certification listing of qualified applicants based upon its assessment, or provide the entire listing of applicants to the Hiring Manager. The AO and Hiring Manager will utilize the listing as a basis to initiate and coordinate interviews for the advertised position.

The Hiring Manager, with input from the supervisors, will establish an interview panel to support the interview and selection process. Based on the interviews, the panel will make recommendations regarding the candidates. The IV&V Program Director or Hiring Manager, will review the recommendations, consult with supervisors, and the interview panel, and then make the final selection. With the support of the AO, the Hiring Manager will record the results of the interview process and electronically send the selection to NSSC through the NASA Human Resources Portal, as explained at: https://hr.nasa.gov/hiring-staffing.

The Hiring Manager and the AO will then work with NSSC to complete any remaining actions to facilitate the selection of the candidate.

Prior to the new hire's arrival, the supervisors confirm the employee's supervisor. The new employee will follow GSFC's new employee orientation process found at https://employeeorientation.nasa.gov/. The AO and the assigned supervisor will initiate on-boarding actions to ensure that the new employee has applicable and appropriate resources, acquires relevant workplace knowledge (see IVV 03, *Gaining Physical And Electronic Access to NASA IV&V Resources*), and completes the required training upon or shortly after his/her arrival. During this timeframe, the assigned supervisor will establish a performance plan for the new employee (as described later in this process).

Internal Hiring

With a few exceptions, the processes and activities for an internal hire are like those of an external hire as noted above. Specifically, the need to assign a supervisor may not be necessary, and on-boarding actions may be not applicable. Civil service employees who apply for a NASA IV&V Program position are subject to procedures and requirements of the NASA Competitive Placement Plan (CPP). The NASA CPP is in NPR 3335.1, *Merit Promotion and Placement*, located at: https://nodis3.gsfc.nasa.gov/lib_docs.cfm?range=3. The applicant's supervisor will notify the applicant of the disposition of his/her application and interview results (if applicable). Non-selected applicants should request a debriefing of the results of internal hiring activities. The IV&V Program Director, or designee, applicable supervisor(s) and members from the interview panel (as applicable) will debrief the employee.

Internal Reassignment

The IV&V Program supervisors, with input from the applicable office leads, reassign employees. Reasons for internal reassignment includes matching the grade to tasks with the appropriate level of work, skills, experience, education, and training necessary for the assignment.

Supervisors and/or office lead(s) will discuss the reassignment opportunities with candidates to ascertain their interest. Based upon various factors, the supervisors, with input from the office lead(s) and possibly GSFC HRO, the supervisors will select a qualified employee to perform the assignment. The supervisor and applicable office lead will notify the selected employee and provide relevant details about the reassignment, including start date, nature of the assignment, required training, expectations regarding the transition of any existing duties and responsibilities, etc. Supervisors will also notify and explain to non-selected employees the reason(s) for their non-selection. When applicable, the supervisor will update the employee's performance plan, and if appropriate, reassign the employee to another PD, to reflect the new assignment.

Workforce Performance Management

NPR 3430.1; *NASA Employee Performance Communication System (EPCS)* guides the NASA IV&V Program's workforce performance management efforts. The following activities are consistent with these requirements.

Each May, supervisors will establish an annual performance plan for each employee, within 30 days of the arrival of a new employee or an employee's reassignment to new duties. As necessary, supervisors will coordinate the development of performance plans with applicable office lead (s)s. Supervisors will develop each performance plan by leveraging the employee's PD, specific roles and/or assignments, existing competencies, and grade level.

Supervisors and employees will discuss the performance plan and the employee's role in contributing to NASA IV&V Program goals and objectives, ultimately establishing an awareness of and common understanding of its contents and expectations. The supervisor and employee will sign the performance plan, acknowledging the discussion.

Throughout the performance period, supervisors will monitor employee performance. As necessary, supervisors may obtain data from office leads /groups leads, customers, and other relevant parties regarding employee performance. Employees should provide their supervisors with data that characterizes their performance for the applicable performance period.

Periodically, but no less than twice a year, supervisors will hold formal discussions with each employee regarding his/her performance. During these meetings, the supervisor will characterize the nature of the employee's performance, recognize employee contributions and accomplishments, and identify any necessary actions and/or adjustments that the employee needs to make regarding their performance. During these discussions, the supervisor will identify development actions that are necessary to address any shortcomings regarding employee performance and/or enhance employee performance and capabilities. As part of routine performance discussions with their employees, supervisors will assess the effectiveness of any previously identified actions and/or training. If necessary, supervisors may initiate specific performance improvement plans for employees if identified actions and/or training do not produce the desired outcomes regarding employee performance, or if the employee's overall performance does not meet expectations.

Workforce Development

Agency requirements and IV&V Program customers' needs change over time. As such, the NASA IV&V Program must continually ascertain workforce needs to determine if workforce skills, competencies, experience, education, and training are relevant and applicable to meet emergent needs and requirements. To address shortcomings, the IV&V Program employs various means to develop the workforce's professional proficiency and skills. These include but are not limited to, formal training, individual development plans, mentoring, on-the-job-training, academic programs, and details to other organizations to gain necessary knowledge. The amount, frequency, and availability of these activities will vary based on Agency/IV&V Program direction, requirements, funding and workforce needs.

Training

The NASA IV&V Program maintains a training program for its employees. The training program consists of internal and external training related requirements, resources, and processes.

The Agency and GSFC HRO identify the training required for every civil service employee. The AO and supervisors are responsible for ensuring that employees are cognizant of these training requirements. Employees are responsible for completing the required training within the identified time requirements.

The NASA IV&V Program utilizes training for improving existing and/or acquiring new skills/competencies. Training needs can be identified formally or informally, by various entities including the employee, supervisors, and office leads.

Formal notification includes workforce performance discussions between the supervisor and employee and through training data calls initiated by the AO. As a minimum, annually, the AO will initiate a training data call to identify the training needs and desires at the employee, office, and organization level. Employees should discuss their training requests with their supervisors and office leads (where applicable) to ensure awareness and support/agreement. The AO will facilitate a discussion with the supervisors of the resulting training requests. Supervisors will review and disposition each training request. Supervisors will notify employees of the disposition of each training request.

Employees, office leads and/or supervisors can identify out of the cycle training needs and/or opportunities whereby the NASA IV&V Program becomes aware of a potentially beneficial training event for the employee and/or the organization. Each employee should work with his/her supervisor and/or office lead to ensure awareness and to gain support/agreement. Like the formal methods outlined above, supervisors will discuss these requests during their recurring IV&V Program supervisors' meetings. The AO will notify employees of the disposition of their annual training requests, and the supervisors will review and disposition the training requests and notify employees of the disposition of each request.

The NASA IV&V Program will fulfill training needs using formal and/or informal training events and methods. Employees shall utilize System for Administration, Training, and Educational Resources for NASA (SATERN); https://saterninfo.nasa.gov/, to request and/or register for all internal and external training opportunities, and to complete Agency mandated training and other online learning modules of interest. For additional information on available training, refer to https://ohcm.gsfc.nasa.gov/

Individual Development Plans (IDP)

The NASA IV&V Program supports the development of employees via IDPs. Supervisors or employees may identify an IDP as a means for employees to gain new or improve existing skills, capabilities, and experience. Supervisors and employees will discuss the objective(s) of the IDP to increase the employee's understanding of it and to obtain supervisory agreement. After an IDP's initiation, the employee and supervisor will maintain regular discussions to ensure that the employee is meeting objectives in the IDP.

Mentoring

In conjunction with GSFC HRO, the NASA IV&V Program supports a mentoring program for employees. Supervisors and/or employees may identify mentoring as an applicable means to enhance employee skills, capabilities, and experiences. Supervisors and employees should discuss the mentoring opportunities to increase their understanding of it and to come to an agreement on the mentoring opportunity. As a minimum, these discussions should address the type of mentoring arrangement (formal or informal), the objective(s) of the mentoring opportunity, and any associated costs.

After its initiation, employees and supervisors should maintain regular discussions to ensure that the employee is meeting the objectives of the mentoring arrangement. For additional information, refer to https://ohcm.gsfc.nasa.gov/content/mentoring

On-the-Job Training (OJT)

The NASA IV&V Program supports the development of employees via OJT. Supervisors, office leads and/or employees may identify a desire or need to develop and/or enhance employee's proficiency skills via OJT. OJT will consist of planned and organized hands-on training conducted at the employee's worksite while the employee is doing the work for which s/he is training.

Academic Programs

In conjunction with GSFC HRO, the NASA IV&V Program supports academic based advancement for employees, specifically via the Academic Investment for Mission Success (AIMS) Program. Supervisors and/or employees may identify a desire or need to enhance employee education, skills, experience, and capabilities via the AIMS Program. Employees and supervisors will discuss the employee's desire to apply, to increase his/her understanding of it, and if appropriate, to obtain supervisory support/agreement. Employees are responsible for submitting the appropriate application and/or data for consideration to the AIMS Program office.

If selected for the AIMS Program, the employee and supervisor will maintain regular discussions to ensure that the employee understands the objectives and any associated requirements pertaining to AIMS Program participation. For additional information on the AIMS Program, refer to the website located at https://ohcm.gsfc.nasa.gov/content/academic-investment-mission-success-aims

Details

On a limited basis and consistent with GSFC HRO policies and procedures, the NASA IV&V Program may support details for employees. Information on how to create an announcement in found in the following link: https://nasa.sharepoint.com/sites/OCHCO/SitePages/talent.

Supervisors and/or employees may identify a desire or need to enhance employee skills, experience, and capabilities via a detail. Employees and supervisors will discuss the desired detail to increase their understanding, including the objective, potential options, likelihood, appropriateness, associated costs, impact to the organization, and supervisory support. Subsequent to the discussion, the supervisors will review and consider the detail. The NASA IV&V Program Director will make the final decision about the request for a detail. Following the decision made, the applicable supervisor will discuss the outcome of the request with the employee.

If approved for a detail, the employee and supervisor will maintain communication to ensure that they both have an awareness and understanding of assigned work and work performance, and the objectives of the detail.

Workforce Recognition

The NASA IV&V Program supports an awards program to recognize individuals, teams and organization performance achievements. Awards are divided into two categories: Incentive Awards and Other Awards.

Incentive Awards include: Job Performance, Special Act (Individual and/or Group Achievement), Quality Step Increase, and Time-off Awards.

Other Awards may include: Agency Honor Awards, Center-wide Awards, and NASA IV&V Program Awards.

Link to guidance for external awards https://ohcm.gsfc.nasa.gov/gsfc-awards.

Link to guidance for internal awards https://confluence.ivv.nasa.gov:8445/pages/viewpage.action?pageId=131237030

Recognition can be honorary, non-monetary, or monetary, written or verbal. The NASA IV&V Program shall ensure that it gives adequate recognition of employee performance achievements in a fair, equitable, timely, and appropriate manner.

Metrics

Any metrics associated with this SLP are established and tracked within the NASA IV&V Metrics Program.

Records

The following records will be generated and filed in accordance with this SLP and IVV 16, *Control of Records*, and in reference to NASA Procedural Requirements (NPR) 1441.1, *NASA Records Management Program Requirements*.

Record Name	Original	Essential	Responsible Person	Retention Requirement	Location
Employee Position Description	N	N	NSSC	These records are not controlled/retained by the IV&V Program	Electronic Position Description System
Certification Listing	N	N	NSSC	These records are not controlled/retained by the IV&V Program	NASA Staffing and Recruitment System
Position Advertisement	N	N	NSSC	These records are not controlled/retained by the IV&V Program	NASA Staffing and Recruitment System
Employee Performance Plan, Performance Improvement Plan	Y	N	NSSC	These records are not controlled/retained by the IV&V Program	SPACE Tool
Individual Development Plans	Y	N	NSSC	These records are not controlled/retained by the IV&V Program	SPACE Tool
Organization-wide Training Needs Listing	Y	N	Administrative Officer	Destroy or delete when 5 years old. (03/033.0.A)	Filing System
Hardcopy NASA Employee Performance File	N	N	Administrative Officer	Cut off at end of fiscal or calendar year. Destroy/Delete 5 years after cutoff. (01/078.0.F.02)	Filing System

References

REFERENCES	
Document ID/Link	**Title**
IVV QM	IV&V Quality Manual
IVV 03	Gaining Physical And Electronic Access to NASA IV&V Resources
IVV 16	Control of Records
NPR 1441.1	NASA Records Management Program Requirements
NPR 3335.1	Merit Promotion and Placement (includes Competitive Placement Plan)
NPR 3430.1	Employee Performance Communication System (EPCS)

If any procedure, method, or step in this document conflicts with any document in the NASA Online Directives Information System (NODIS), this document shall be superseded by the NODIS document. Any external reference shall be monitored by the Document Owner for current versioning.

Version History

VERSION HISTORY				
Version	**Description of Change**	**Rationale for Change**	**Author**	**Effective Date**
Basic	Initial Release		Tom Wilson IT/216	5/22/1998

A-M	Older revision information may be located in the Version History Overflow Document		Various	08/26/1998 – 02/23/2009
N	Annual Document Review – Updated to reflect current Agency, GSFC and NASA IV&V Program policies and procedures.		Stephanie King	2/1/2011
O	Re-write to depict only processes/ activities that are performed within the NASA IV&V Program specific to Human Capital area functions.		Stephanie King	6/12/2012
P	Many editorial updates: Updates to NASA offices for submission of materials	Updates for accuracy and clarity	David Runyon	4/27/2020
Q	Editorial updates. Update external hiring process	Updates for accuracy and clarity	David Runyon	03/12/2021
R	Administrative updates.	Updates for accuracy and clarity	David Runyon	05/04/2022
S	Administrative updates.	Updates for accuracy and clarity	David Runyon	10/31/2023