

**INDIAN AFFAIRS  
MERIT PROMOTION and PLACEMENT  
PLAN  
and  
EXCEPTED SERVICE  
HANDBOOK  
28 IAM 335-H**



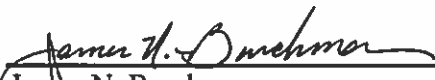
Deputy Assistant Secretary – Indian Affairs (Management)  
Office of Human Capital Management  
1951 Constitution Avenue, NW - Mailstop 355 B (SIB)  
Washington, DC 20240

Release #16-21, Issued: 3/10/16  
Replaces #10-27, Updated: 2/16/11

## FOREWORD

This handbook documents the procedures required to implement the Indian Affairs (IA) Merit Promotion and Placement policy, 28 IAM 335. It supersedes 28 IAM 335-H: *Indian Affairs Merit Promotion and Placement Desk Guide*, issued 2/16/11, and all policies and procedures related to IA merit promotion and excepted service that may have been created and/or distributed throughout Indian Affairs previously.

Although this handbook is intended to primarily assist human resources (HR) professionals and managers who administer the IA Merit Promotion and Placement policy, it may also be informative for IA employees.

  
James N. Burckman  
Acting Deputy Assistant Secretary – Indian Affairs (Management)

3-10-16  
Date

## Table of Contents

1.	PURPOSE.....	1
2.	APPLYING INDIAN PREFERENCE .....	1
3.	REASSIGNMENT OF NON-INDIANS.....	1
4.	RELATIONSHIP OF THE IA MERIT STAFFING PROGRAM TO THE DEPARTMENT'S CAREER TRANSITION ASSISTANCE PLAN (CTAP).....	3
5.	NON-COMPETITIVE PROMOTION - ACCRETION OF DUTIES .....	4
6.	PREPARATION OF VACANCY ANNOUNCEMENT.....	4
7.	PAYMENT OF RELOCATION EXPENSES.....	6
8.	EVALUATING CANDIDATES .....	6
9.	RATING AND RANKING.....	7
10.	REFERRAL, INTERVIEWS, AND SELECTION.....	8
11.	RELEASE OF EMPLOYEES AND NOTICES TO SELECTED CANDIDATES.....	10
12.	CORRECTIVE ACTIONS .....	10
13.	MAINTENANCE OF MERIT PROMOTION RECORDS.....	10
14.	RELEASE OF INFORMATION (FREEDOM OF INFORMATION ACT/PRIVACY ACT) .....	11
	ATTACHMENT 1 DEFINITIONS .....	12
	ATTACHMENT 2 JOB ANALYSIS FORM .....	16
	ATTACHMENT 3 THE COMPETITIVE PROCESS.....	17
	ATTACHMENT 4 APPLICANT REFERRAL FOR MERIT PROMOTION APPLICANTS .....	21
	ATTACHMENT 5 CERTIFICATION OF INDIAN PREFERENCE (IP) APPLICANTS .....	25
	ATTACHMENT 6 RELOCATION EXPENSE WORKSHEET.....	32
	ATTACHMENT 7 REFERENCES .....	34

## **1. Purpose**

The guidance in this handbook applies to positions in both the competitive and excepted service, including Indian Preference appointments under Schedule A, 213.3112 (a)(7). The specific personnel actions that are covered by or excluded from the policy are listed in Sections 1.6 and 1.7 of 28 IAM 335. This handbook is a desk guide for human resources (HR) professionals and managers who administer the IA Merit Promotion and Placement policy. As such, it explains how to implement not only the merit principles, practices, and procedures of the Merit Promotion and Placement policy, but also when and how to apply Indian Preference as it relates to personnel actions, how Indian Preference is applied within the parameters of merit promotion procedures, and when it may be exclusive without regard to merit promotion. The underlying principles of merit, fairness, and equity apply to personnel actions whether appointments are made in the competitive or excepted service. Thus, the policy and handbook combine merit promotion with excepted service guidance (as it relates to Indian Preference), and clarifies guidance in applying both within the unique environment of IA, where most positions are subject to Indian Preference.

## **2. Applying Indian Preference**

Indian Preference will be afforded to qualified Indians meeting the job qualification standards established by the Office of Personnel Management (OPM), and to qualified Indians meeting specialized experience requirements as defined and publicized in vacancy announcements for all positions in the Bureau of Indian Affairs (BIA) and the Bureau of Indian Education (BIE), and all positions under the Assistant Secretary-Indian Affairs (AS-IA) that primarily and directly relate to the provision of services to Indians.

For positions subject to Indian Preference, consideration will be given to non-Indian applicants in the absence of a qualified Indian Preference eligible candidate. Indian Preference will be applied to these positions whether the placement action involves initial hiring, reinstatement, reemployment, transfer, reassignment, or promotion.

Individuals seeking Indian preference must submit the Verification of Indian Preference for Employment in the Bureau of Indian Affairs and the Indian Health Service (Form BIA-4432) with the application. Proof of Indian Preference is documented by Form BIA 4432; no other form will be accepted.

## **3. Reassignment of non-Indians**

It is the policy of IA that employees who are not entitled to Indian Preference may be reassigned where such reassignment is for the benefit of the service/bureau within IA. Typical justifications for such a reassignment include safety, health, reduction in force, or other unforeseen circumstances. Reassignment actions must be documented as follows:

### **A. Procedures for Documentation of Individual Cases:**

- 1. To ensure the health or safety of the employee or any member of the employee's household, the supervisor must submit the following:**

- a. For health cases:
    - i. A narrative description of the health problem including any and all reasons for the health problem of which he/she is aware.
    - ii. A written medical report based upon a recent (no more than 90 days) physical examination by a licensed physician, which describes in detail the health problem and the probable cause, if it is known, including a request filed by the employee or any member of the employee's household. The doctor must identify in writing what reasonable conditions are necessary to alleviate health problems.
    - iii. A description of the interim actions which the official is taking to limit or alleviate the health problems.
    - iv. A statement by the employee that he/she is aware of the proposed action and that he/she may submit a written statement which will be considered before a final decision is rendered.
  - b. For safety cases:
    - i. A narrative description of the safety problem.
    - ii. A statement by the Area Special Officer or Area Safety Officer of his/her assessment of the threat and his/her ability to provide adequate security for the employee.
    - iii. A recommendation on whether the assignment of the employee is proper and promotes the efficiency of the service.
    - iv. A statement by the employee that he/she is aware of the proposed action and that he/she may submit a written statement which will be considered before a final decision is rendered.
2. All requests to reassign non-Indians as a result of a reduction-in-force (RIF) must be sent to the AS-IA, ATTN: Director, Office of Human Capital Management. The name, series, grade, and level of performance of each employee must be provided.
  3. If the employee's working relationship with a tribe has so deteriorated, through no willful act by the employee, that he/she cannot provide effective service for such tribe, the supervisor must provide documentation which contains:
    - a. A written statement specifying in detail how the deterioration occurred.
    - b. A written statement that the employee has been notified of the actions taken and has been given a reasonable amount of time to respond. The employee must be given a reasonable time of not less than ten days to submit a written response.
    - c. A statement of the efforts the supervisor has made to informally resolve the matter.
    - d. A recommendation as to whether a reassignment is appropriate and promotes the efficiency of the service.

**B. Approving Authority:**

The Secretary of the Interior, Deputy Secretary of the Interior, or the AS-IA are authorized to grant approval for reassignments. Requests to make reassignments must be submitted through the Director, IA Office of Human Capital Management.

1. A request to reassign an employee should be submitted in advance to allow at least 45 days for processing the approval.
2. If an approval is granted, the requesting office will be notified by telephone of the approval. A written confirmation of the approval will follow.

Additional guidance on the Competitive Process and other actions that may be taken besides Reassignment is found in Attachment 3. This attachment is based on the Department of the Interior's (DOI) Merit Promotion Plan, and applies to candidates selected under Title 5 of the U.S. Code only.

**4. Relationship of the IA Merit Staffing Program to the Department's Career Transition Assistance Plan (CTAP)**

The DOI Career Transition Assistance Plan (CTAP), dated April 2011, is a program that provides assistance in finding employment for well-qualified individuals who have been or are likely to be separated by a RIF. The CTAP has four components: (1) Career Transition Training and Support; (2) Special Selection Priority (SPP); (3) Reemployment Priority List (RPL); and (4) Interagency Career Transition Assistance Plan (ICTAP). The RPL must also be cleared before filling any competitive service position from outside the Department, regardless of whether the organization plans to make a temporary, term, or permanent appointment.

Well-qualified candidates are those with a score of 85 or higher on the assessment tool. Servicing Human Resources specialists, in consultation with hiring managers, may develop another definition of well-qualified as appropriate before advertising the vacancy. Vacancy announcements must contain language regarding required documents and a definition of "well-qualified" for applicants claiming CTAP or ICTAP.

To be well-qualified, a CTAP or ICTAP applicant must meet the following:

- OPM qualification requirements for the position; all selective factors, where applicable;
- Special OPM approved qualifying conditions for the position;
- Physically qualified with reasonable accommodation, where appropriate, to satisfactorily perform the duties of the position upon entry; and
- Receives a score of at least 85.

Refer to the Department's CTAP for complete guidance here:

<http://elips.doi.gov/ELIPS/DocView.aspx?id=3356>.

Indian Preference takes precedence over a priority placement candidate for those positions within IA subject to Indian Preference. A non-Indian priority placement candidate may not be placed in a position subject to Indian Preference, unless a determination has been made that there are no

qualified Indian Preference candidates available, as demonstrated by the results of advertising the vacant position.

## **5. Non-Competitive Promotion - Accretion of Duties**

Promotion resulting from the upgrading of an employee's position because of additional duties and responsibilities is an accretion of duties promotion. An accretion of duties is a natural outgrowth of evolving work operations and changing work demands that takes place over a period of time.

An accretion of duties promotion may only be supported when:

- the employee continues to perform the same basic function in the new position;
- the new position is a clear successor to, and absorbs the duties of, the old position;
- there are no other employees in similar or identical positions within the immediate organization to whom the duties could be assigned;
- the re-described position has no known promotion potential beyond the grade of the proposed non-competitive promotion; the grade is only accreted one grade level (for example: if one-graded interval position, GS-6 to GS-7 or if two-graded interval position, GS-7 to GS-9); AND
- the position retains the same primary purpose and series (the classified series may not change).

The appropriate supervisor must submit a written, signed, and dated statement outlining all changes which have been made in the job, the reason(s) for the changes, and recommendation for noncompetitive promotion of the employee. The action will be forwarded from the HR servicing office to the Director, IA Office of Human Capital Management for approval to ensure the action is consistent with Indian Preference requirements and merit staffing principles within the context of Indian Preference.

## **6. Preparation of Vacancy Announcement**

A job analysis must be conducted, and an assessment tool developed, *prior* to advertising and filling a position, and must also be documented in the vacancy file or in the automated staffing system. Job analyses document the relationship between the basic duties and responsibilities, and the competencies required to perform the duties and responsibilities of the job. The Job Analysis form is found in Attachment 2. Automated assessment tools originate from valid job analyses.

Managers, in consultation with the servicing HR office, will determine the area of consideration. Areas of consideration may be restricted to a local commuting area; however, applications from Indian Preference eligibles must be accepted regardless of the area of consideration. Veterans who apply under the Veterans Employment Opportunities Act (VEOA), as amended, will be eligible for consideration for merit promotion announcements open to candidates outside of DOI.

Managers, in consultation with the servicing HR office, will determine the length of time a vacancy announcement will be open to ensure a diverse pool of qualified applicants, and to

comply with the Departmental CTAP. If a vacancy announcement is open for less than five business days, a business reason must be identified in the case file. Business reasons must be based on objective factors such as number and types of jobs to be filled, labor market conditions, and recent experience in filling similar jobs. Closing dates must be on a working business day to ensure applicants can contact HR with any questions and/or requests for assistance.

All vacancy announcements must be advertised on OPM's USAJobs website ([www.usajobs.opm.gov](http://www.usajobs.opm.gov)) in accordance with OPM's staffing policy and procedures. The IA HR office will enter the vacancy announcement information into USAJobs. Vacancy announcements must contain the following information:

- Announcement number and Vacancy Identification Number
- Agency name and duty location
- Title of position, series, grade(s), and salary range
- Full performance level of the job
- Opening and closing dates (including cut-off dates, if any)
- Number of vacancies
- Area of consideration
- Position Information (i.e., full-time, temporary, part-time, or intermittent)
- Key Requirements (i.e., if the position requires specific work hours, drug testing, immunization or background clearance, suitability of position for telework, etc.)
- Indian Preference Statement (see below)
- Payment or non-payment of relocation expenses
- Summary of Duties
- Qualification requirements (Knowledge, Skills, Abilities and Competencies; selective factors; etc.)
- Basis for rating (i.e., type of rating procedure, assessments to be used)
- Employment Benefits
- Agency's definition of "Well-Qualified" (CTAP/ICTAP/RPL)
- Instructions on How to Apply (To Apply Online, To Apply by Fax, and Combination Online/Fax)
- Required Documents (i.e., required application materials, such as resume, etc.)
- Agency Contact Information
- Selective Service Registration Statement
- Links provided on USAJobs: Equal Employment Opportunity, Reasonable Accommodation Policy Statement, and Veterans Information

All announcements for positions subject to Indian Preference must include the following statement:

*Preference in filling vacancies is given to qualified Indian candidates in accordance with the Indian Reorganization Act of 1934 (Title 25, USC, Section 472). Verification Form BIA-4432 must be submitted with the application if claiming Indian Preference. Indian Preference eligibles not currently employed in the Federal service will be appointed under the Excepted Service Appointment*



*Authority Schedule A, 213.3112(a)(7). Consideration will be given to Non-Indian applicants in the absence of a qualified Indian Preference eligible.*

## **7. Payment of Relocation Expenses**

Decisions to offer payment of moving and related expenses must be made *prior* to issuing vacancy announcements. In order to determine whether relocation expenses will be paid, management must submit the DOI-Relocation Expense Worksheet (see Attachment 6) to the servicing Human Resources Office prior to issuing the vacancy announcement. This determination will be documented in the Merit Promotion case file as required by Departmental policy on Travel, Transportation and Relocation Expense, Office of Personnel Bulletin No. 99-6 PB 500, dated February 26, 1999, or subsequent revisions.

If a decision is made to pay relocation expenses, they will be paid in accordance with Federal Travel Regulations (FTR). The vacancy announcement will clearly state whether or not relocation expenses are authorized.

## **8. Evaluating Candidates**

Non-competitive eligibles and Indian Preference candidates may apply for Merit Promotion vacancy announcements. Candidates must meet OPM Qualification Standards, any selective factors, and time-in-grade restrictions by the closing date of the announcement. Applications and all accompanying documents must be received by the closing date of the announcement.

Candidates must complete an assessment questionnaire originating from a job analysis that makes qualitative job-related distinctions regarding applicants' knowledge, skills, abilities, and competencies. Tasks and selective factors must be valid, and clearly reflected and supported by the job analysis and position description.

Candidates will be rated on the basis of the information that they have provided in their assessment questionnaire and in their application packet. Candidates' self-assessments will be verified by the servicing HR office to validate that the assessment is consistent with information contained in the resume/application packet. Inconsistencies between a candidate's self-assessment and his/her resume/application may have an adverse impact on the candidate's eligibility for consideration for the position. Applications not containing sufficient information to determine whether applicants meet qualifications and/or time-in-grade, if applicable, will not receive consideration.

For positions subject to Indian Preference, in the event there are no qualified Indian Preference candidates, non-Indian Preference applicants will be evaluated. In accordance with 5 CFR 335.103, management has the right to select or not select from a group of best-qualified candidates (or from other appropriate sources).

When an HR staff member's relative or a member of an HR staff member's household applies for a vacancy that is being handled by the servicing HR office, the HR staff member **may not** be involved in reviewing and certifying applicants for the vacancy announcement. In such instances,

the vacancy announcement will be referred to the servicing HR office supervisor for assignment to a different HR staff member.

## 9. Rating and Ranking

HR will identify the best qualified candidates by using an automated assessment tool to rate each candidate. When using category rating, the HR specialist must follow the procedures established in the OPM Delegated Examining Handbook for determining the appropriate categories during the job analysis.

Three methods may be used to determine best qualified candidates, regardless of whether an automated system is used:

1. When transmuted scores are equally distributed over a range with no clear groupings (see Example 1 below), the top 10 scores are certified as best qualified.
2. When there is a clear grouping of transmuted scores (see Example 2 below), only those scores above a natural break are certified as best qualified.

### Example 1

Transmuted Scores

100  
98  
98  
96  
96  
94  
92  
92  
92  
90\*  
88  
88

### Example 2

Transmuted Scores

100  
98  
98  
96  
96\*  
87  
87  
87  
86  
86  
85  
83

3. When category rating is used to rate qualified applicants, all candidates who are placed in the highest possible category will be referred. If fewer than seven candidates are placed in this category, the HR specialist, in consultation with management, may refer candidates from the next lower category until at least five have been referred. At a minimum, two categories must be established to discern between the best qualified employees and all others. Best qualified candidates will be categorized as those who possess the competencies (knowledge, skills, and abilities) and experience defined in the job analysis and advertised in the vacancy announcement.

When this process has been completed, the HR specialist will assist in determining a cutoff point for the best qualified candidates. The best qualified list will be referred to the selecting official in

alphabetical order without numerical ratings, or the order as determined by procedure in automated systems.

## 10. Referral, Interviews, and Selection

- A. Organization of Candidates.** Candidates will be referred to selecting officials in alphabetical order on the selection certificate. Candidate's rating scores will not be included on the certificates.
- B. Referral and Selection – Indian Preference Candidates.** Indian Preference candidates who are career or career-conditional and are considered best qualified for the position may be referred on a merit promotion certificate (competitive or noncompetitive) as appropriate. Veterans' preference does not apply. If selected from these certificates, competitive service authority codes are used, and the candidate remains in the competitive service and retains his or her competitive status.

Indian Preference candidates who are in the excepted service may apply and be considered for merit promotion announcements without competing in a competitive examination or competing with career and career-conditional employees under internal merit staffing procedures for any positions for which they are eligible. Veteran's preference *does* apply, and Veteran's preference points will be added to the scores as appropriate. Candidates applying under this authority will be placed on an Indian Preference excepted certificate. To ensure fair and equal competition, the Form BIA 4432 will be removed from each Indian Preference candidate's application before the application is referred to the selecting official. See Attachment 5, Certification of Indian Preference Applicants, for a table summarizing each scenario and the appropriate related action.

- C. Referral and Selection – Non-Indian Preference Candidates.** For positions subject to Indian Preference, non-Indian preference candidates may be referred only in the absence of qualified Indian Preference candidates for the position.

Separate certificates are prepared for competitive merit promotion candidates and non-competitive candidates. Names are alphabetized and the grade(s) for which the individual qualifies is specified. Best qualified applicants eligible under the VEOA are referred on merit promotion certificates along with other best-qualified applicants. The appropriate appointing authority for applicants selected under VEOA must be used.

Referrals will be made to selecting officials in alphabetical order on the selection certificate and will include each candidate's application package. Certificates will be issued for a period of 30 days and may be extended up to a total of 90 days from the original issue date. See Attachment 4, Applicant Referral for Merit Promotion Announcements, for a table summarizing each scenario and the appropriate related action.

Requests for extensions must be made prior to the expiration date of the original certificate and must include justification why selection was not made within the 30-day time frame; certificates may be reused for another selection for an identical position within the original

90-day life of the certificate as long as the position vacancy announcement case file has not been closed out. If a selection is not made on the original certificate for position(s) within 30 days of the certificate issue date, and management has not requested an extension prior to certificate expiration, then the vacancy announcement case file will be closed out. The selecting official may decide not to fill the position as announced or to fill it at a later date.

Applicants eligible for various noncompetitive appointing authorities who meet the qualification standards, as well as any selective placement factors and other eligibility requirements identified for the position in the vacancy announcement, are not rated and ranked. This includes applicants who have held, on a permanent basis, the same or higher grade of the full performance level of the position being filled, or have competed for and held a permanent position with the same full performance level as the position being held.

- D. Multiple Grade Levels.** If a position is advertised at more than one grade level, separate certificates will be issued for each grade level. Each certificate will be sorted alphabetically. Selections may be made at any grade level as long as there is compliance with applicable Federal law in the selection process. A non-Indian may not be referred or selected at any grade level if there is a qualified Indian Preference candidate available at any of the grade levels advertised.
- E. Interviews.** The selecting official is responsible for ensuring that interviews are properly conducted, that all questions are job-related, and that every effort is made to obtain the same information from each candidate. If only certain candidates are chosen to be interviewed, the choice must be based on job-related criteria.

If distance precludes a personal interview, a telephone interview may be conducted. The payment of expenses for pre-employment interviews is authorized in certain situations (refer to 5 CFR 572).

Unsuccessful efforts to contact candidates, declination of an interview, and not reporting for interviews must be documented by the selecting official and maintained with the merit promotion case file. All other interview notes are retained by the selecting official.

- F. Notification of Selection/Non-Selection.** Each employee who submits an application shall be given written notice from the HR office as to whether they meet the minimum qualifications for the position, and also the disposition of their application throughout the process. Written notice consists of automated email notices including a Notice of Results, Referral Letter, and Disposition Letter.
- G. Non-Selection Decisions.** Selecting officials may decide not to make a selection from the certificate of candidates presented for consideration. Such decisions must be for sound management reasons and not to circumvent the spirit or letter of the Indian Preference requirement. The "Non-Selection" decision may be made to not fill the position at that time, or to cancel or abolish the position.

- H. Additional Selection.** Additional selections may be made within 90 calendar days of the date the Certificate of Eligibles was issued. The positions to be filled must have the same title, series, grade, geographic location, and qualification requirements as initially stated in the original vacancy announcement.

## **11. Release of Employees and Notices to Selected Candidates**

Only the servicing HR office may extend official job offers and provide for the release of employees selected for positions. This must be done in writing or documented by telephone call within five business days of the receipt of the completed certificate. The employees selected should be released in two weeks or at the end of the first full pay period after a release date has been officially requested, unless a later date is agreed to by the gaining organization. Only in unusual circumstances will the action be delayed more than 30 days (i.e. Permanent Change of Station (PCS)). In cases of promotion actions, employees should not be kept from their effective promotion date longer than one pay period.

## **12. Corrective Actions**

Corrective action is afforded to applicants who did not receive proper consideration. If an employee did not receive proper consideration, the non-selected employee will be given priority consideration for the next identical vacancy (same title, series, grade, full performance level, and qualification requirements) that occurs in the same organization, i.e. division or comparable entity, in the same duty location for a period of six months, in accordance with Indian Preference.

The applicant must be notified in writing of the error upon discovery. The notification must also include a reminder that priority consideration does not ensure selection, and that the applicant should continue to apply to all vacancy announcements that they are interested in and qualified for. Selection/promotion of such an individual for a subsequent identical vacancy is an exception to merit promotion procedures (i.e., rating and ranking is not required).

The nature and extent of actions to be taken in other cases of merit promotion violation must be determined on the basis of all facts of the case with due regard being given to the circumstances surrounding the violation, to the equitable and legal rights of the parties involved, and to the interests of the government.

## **13. Maintenance of Merit Promotion Records**

Case files must contain the following required information and be maintained for two years, or until the completion of an OPM evaluation, whichever comes first:

1. Authorized Request for Personnel Action (SF-52) or Request for Eligibles (SF-39).
2. Position description and/or statement of differences, including the position description at the full performance level and any intervening grade levels.
3. Job analysis and assessment questionnaire describing the job-related criteria and rating/ranking methods.

4. Copy of the vacancy announcement and any amendments.
5. Authorization of Relocation Expense Worksheet, documenting relocation expenses (authorizing or not authorizing).
6. Authorization of any incentives, such as paid relocation expenses, recruitment bonuses, or Student Loan Repayment.
7. Complete application package of the selected candidate.
8. Selection certificate and any supplemental certificates, if issued.
9. Proof of applicant notification.
10. Any correspondence or inquiries received in regard to the promotion action, including copies of applications and any other information received from candidates who were considered.
11. Priority consideration documentation (if applicable).
12. Documentation of certificate extension request(s).
13. Documentation of vacancy announcement readvertisement request(s).
14. Documentation of vacancy announcement cancellation request(s).
15. Record of Indian Preference determinations for positions in the AS-IA. If an automated system is used, a separate written document does not need to be retained.

#### **14. Release of Information (Freedom of Information Act/Privacy Act)**

This handbook is made available upon request to all actual and potential applicants. Applicants may review all applicable policies, regulations, and qualification standards.

Applicants for specific vacancies are entitled to know the following: (1) whether or not they meet the minimum qualifications for consideration; (2) whether or not they rank in the group from which final selection is made; and (3) who was selected and whether the selectee is an Indian Preference or a non-Indian Preference.

Prior to the selection being made, the requesting applicant may be advised whether he/she was qualified and/or referred for selection. After the selection is made, the requesting applicant may be advised of the applicant's own rating on the ranking elements, procedures used to arrive at the final score, and cut off scores.

Applicants entitled to consideration on the priority reemployment list or who were referred with Veteran's preference are entitled to the reason they were passed over in favor of an applicant not on the priority reemployment list or an applicant not entitled to Veteran's preference.

Other information may be obtained as allowed by the Freedom of Information Act (FOIA) or the Privacy Act. Requests must be made in writing and sent to the HR office processing the vacancy announcement, and the HR office will consult with the AS-IA's Privacy/FOIA Officer. Among information impermissible for release by the FOIA or Privacy Act are name and personal data of other applicants not selected, names of panel members, and assessment questionnaires.

## Attachment 1

### Definitions

**Accretion of Duties.** Promotion of an employee whose position is reclassified at a higher grade (with no higher promotion potential) because of the performance of additional duties and responsibilities. An accretion of duties is a natural outgrowth of evolving work operations and changing work demands that take place over a period of time and may be supported only when the employee continues to perform the same basic function of the old position. The new position is a clear successor to and absorbs the duties of the old position. The employee may be promoted noncompetitively. An accretion of duties is not appropriate when the manager is implementing a standard position description or submitting an upgrade based on a planned management action (reorganization); not appropriate from a one-grade interval position to a two-grade interval position; or where an employee goes from a non-supervisory to a supervisory position. Competition must be held to fill the new position that is established when a non-supervisory position is re-described as a supervisory position.

**Area of Consideration.** The region and organization(s) to which an announcement is open. Areas of consideration alternative options include all sources, government-wide, DOI-wide, bureau-wide, or region-wide.

**Best Qualified Candidates.** Those qualified candidates determined by the rating and ranking process who possess the job-related competencies to a greater degree than other qualified candidates, and who are referred to the selecting official for consideration.

**Career Ladder Position.** Grade range from the entry level through and including the established full performance level of a position.

**Career Ladder Promotion.** Promotion without current competition because the employee previously competed and was selected for a position with promotion potential up to the full performance level position established at a higher grade.

**Career Transition Assistance Program (CTAP).** Provides career transition assistance to displaced employees by RIF or transfer of function.

**Certificate of Eligibles.** The document referred to the selecting official containing the names of eligible candidates.

**Competency.** An observable, measurable set of skills, knowledge, abilities, behaviors, and other characteristics needed to perform work roles or occupational functions successfully and that encompass attributes that differentiate performers. Competencies are generally demonstrated through qualifying work experience, education, and/or training.

**Corrective Placement Action.** Actions processed in accordance with corrective orders issued as a result of claims against the Agency or its officials by the Merit Systems Protection Board (MSPB); an arbitrator, pursuant to the Negotiated Grievance Procedure; the Equal Employment

Opportunity (EEO) Commission or any other forum through which an employee may be granted redress.

**Crediting Plan.** A rating instrument or assessment tool containing specific criteria used to make consistent and job related determinations about the relative qualifications of applicants for a position.

**Detail.** A temporary assignment of an employee to a different classified position or an unclassified position for a specified period, with the employee returning to his or her regular duties at the end of the assignment. While on detail, the employee continues to hold his official position from which detailed, and keeps the same status and pay.

**Excepted Service for Indian Preference.** Positions directly and primarily related to the providing of services to Indians when filled by the appointment of Indians with established Indian Preference under authority Schedule A, 213.3112(a)(7).

**Full Performance Level.** The highest grade level to which an employee may be promoted through successive non-competitive career promotions.

**Identical positions.** Positions with the same title, series, grade, full performance level, and qualification requirements, in the same organization and geographic location.

**Indian Preference.** The Indian Preference statute, Section 472 of title 25 U.S.C. (Section 12 of the Indian Reorganization Act of 1934, 48 Stat. 986), provides Indians with hiring preference over non-Indians in filling vacancies at the BIA, BIE, and within AS-IA, when the position primarily and directly relates to the provision of services to individual Indians and/or Indian tribes. The term "filling of vacancies" includes all initial hires, promotions, lateral transfers, reassignments, reemployment and reductions-in-force. Proof of Indian Preference must be documented with BIA Form 4432.

**Interagency Career Transition Assistance Plan (ICTAP).** The ICTAP stipulates that priority consideration be given to well qualified displaced employees from other Federal agencies who apply for vacancies in the local commuting area for the position advertised in the vacancy announcement.

**Job Analysis.** Analysis of a position to identify the critical tasks/major duties, competencies, knowledge, skills and abilities, as well as any selective placement factors or other characteristics essential to a position in order to provide a job related basis for evaluating and selecting candidates. Job analysis is essential for: providing the needed documentation to establish the content validity (job relatedness) of the assessment tool; providing justification for the questions and point values used; documenting that the questions target the most important aspects of the job; and describing the competencies that are required to successfully perform the functions of the position. It is essential that HR staff work with the subject matter expert (SME) in conducting the job analysis.



**Merit.** The system under which agencies consider an employee for vacant positions on the basis of personal merit. Vacant positions are usually filled through competition with applicants (current competitive service employees) being evaluated and ranked for the position on the basis of their experience, education, competencies, and performance.

**Nepotism.** An employee shall not hire, promote, or advocate the hiring or promotion of a relative, defined by law as: father, mother, son, daughter, brother, sister, uncle, aunt, first cousin, nephew, niece, husband, wife, father-in-law, mother-in-law, son-in-law, daughter-in-law, brother-in-law, sister-in-law, stepfather, stepmother, stepson, stepdaughter, stepbrother, stepsister, half-brother, or half-sister. A family member may not be employed in the same organizational unit where another family member would have supervision over the other, or have the potential to influence the benefits or working conditions of the other's employment, or which would reflect adversely upon the Department. When necessary to meet urgent needs resulting from an emergency posing an immediate threat to life or property, or a national emergency (such as forest fires, floods, earthquakes, etc.), relatives may be appointed to meet those needs without regard to the restrictions on the employment of relatives in 5 U.S.C. 3110. Such appointments are temporary and may not exceed 30 days, but the agency may extend such an appointment for one additional 30-day period if the emergency need still exists at the time of the extension. Exceptions in other emergencies may be made with the approval of the head of the Bureau or his/her designated representative (5 USC 3110; CFR part 310). A recusal agreement is required for employees that are family members.

**Non-Competitive Appointing Authorities.** Various non-competitive appointing authorities where applicants/employees who meet the qualification standards as well as any selective placement factors and other eligibility requirements identified for the position in the vacancy announcement are not rated and ranked. This includes applicants who have held, on a permanent basis, the same or higher grade of the full performance level of the position being filled, or held a permanent position with the same full performance level as the position being held.

**Priority Consideration.** The referral and consideration of an applicant if/when a procedural error or violation results in the applicant failing to receive proper consideration in a competitive promotion action. They are entitled to be referred to the next vacancy for which they qualify, in any geographic area they are willing to accept, before other candidates are sought. However, the vacancy must be for the same grade and under the same promotion plan as the position for which they were not properly considered. Priority consideration does not guarantee selection.

**Promotion.** The change of an employee to a higher grade or to a position with a higher representative rate.

**Rating and Ranking.** A process to determine the best qualified candidates based on the degree to which each candidate meets the competencies required of the position. The candidate completes this process when answering an assessment questionnaire via an automated system online. An HR Specialist, subject matter expert (SME), or an evaluation panel reviews the applicant responses to assessment questions and supporting documentation submitted with the application to arrive at the final rating/ranking determination for all applicants.

**Realignments.** An employee and his position may be moved when the function the employee performs is moved from one organization or activity to another within IA.

**Reassignment.** The position change of an employee, while serving continuously in the same agency, from one position to another without promotion or demotion.

**Reemployment.** The hiring of a former Excepted Service employee under Schedule A, 213.3112(a)(7), Indian Preference, provided such employment is no higher than the grade previously held on a permanent basis and has no further promotion potential.

**Reemployment Priority List (RPL),** Rehiring priority to displaced employees. RPLs exist for each commuting area in which employees are separated due to a Reduction in Force (RIF). When the agency wishes to fill positions with candidates from outside its current workforce, individuals registered on the RPL must be considered before anyone from outside the agency may be hired.

**Reinstatement.** The reemployment of a former employee with competitive status. Employment is no higher than the grade previously held on a permanent basis or position has no higher promotion potential than previously held.

**Repromotion.** Noncompetitive promotion or placement, permanent or temporary, of an employee to a grade or full performance level previously held on a permanent basis in the competitive service.

**Selective Placement Factor(s).** Mandatory competencies, knowledge, skills, and/or abilities essential for successful performance in the position to be filled, in addition to the basic qualifications outlined in the Office of Personnel Management's (OPM's Qualification Standards Guidebook. Applicants not meeting this factor are ineligible for further consideration. Selective placement factors must be job related and their validity documented through job analysis. They must also be identified in the vacancy announcement for the position to be filled.

**Temporary Promotion.** A temporary promotion is a promotion to a higher graded position for a specified period of time to accomplish project work, fill positions temporarily pending reorganization, or meet other temporary needs. Temporary promotions for more than 120 days are subject to merit promotion procedures. Service during the previous 12 months in higher graded positions by noncompetitive temporary promotion or details count toward the 120-day limit. Temporary promotions may be made permanent when such a possibility was publicized in the original competition notice.

**Transfer.** The change of an employee, without a break in service of one full workday, from a position in one agency to a position in another agency.

**Well Qualified Candidates.** Eligible candidates who possess the competencies for the position that clearly exceed the minimum qualification requirements for the position.

**Attachment 2**

**Job Analysis Form**

<b>Position Title, Series, Grade(s)</b>	
<b>Date Prepared</b>	
<b>Prepared By</b>	
<b>Manager/SME &amp; Review Date</b>	

*Identify Major Duties and Responsibilities*

<b>Duties</b>	<b>KSAs Required</b>

*Identify Factors Used to Evaluate Candidates*

<b>Minimum Qualifications</b>	<b>Competencies Addressed</b>
Insert additional lines for additional grades	

<b>Category Definitions</b>		<b>Competencies Addressed</b>
<b>Best Qualified</b>		
<b>Qualified</b>	Insert additional line for well qualified if necessary	

**Attachment 3**

**The Competitive Process**

(Adapted from the DOI Merit Promotion Plan)  
 (Applies to candidates selected under Title 5 of the U.S. Code only)

<b>Action</b>	<b>Position</b>	<b>and</b>	<b>Competition Required</b>
Reassignment	at same grade under same pay schedule	position is one with known promotion potential and employee will gain eligibility for noncompetitive career promotion to grade higher than previously held on a permanent basis in the competitive service	yes
		position is not one with known promotion potential and employee is a non-Indian Preference candidate	yes
		position is not one with known promotion potential and employee is an Indian Preference candidate	no
Redescription	changes to an existing encumbered position because of the addition, deletion or modification of duties or responsibilities	and the employee continues to perform the same basic function with the former duties being absorbed into the redescribed position	no
Change to lower grade	lower grade under same pay schedule	position is one with known promotion potential and employee will gain eligibility for noncompetitive career promotion to grade higher than previously held on a permanent basis in the competitive service	yes
		position is not one with known promotion potential and employee is a non-Indian Preference candidate	yes
		position is not one with known promotion potential and employee is an Indian Preference candidate	no

**Attachment 3 continued**

Assignment from one pay schedule to	higher representative rate under a different pay schedule		yes
	same or lower representative rate under different pay schedule	Employee's pay will be set at a higher rate	yes
		Employee's pay will be at same or lower rate, but position is one with known promotion potential	yes
		Employee's pay will be set at same or lower rate, but the position is not one with known promotion potential	no
Reinstatement or transfer	at a higher grade than previously held		yes
	at same or lower grade than previously held	position is one with known promotion potential and the employee will gain eligibility for noncompetitive career promotion to grade higher than that previously held on a permanent basis in the competitive service	yes
		position is not one with known promotion potential and employee is a non-Indian Preference candidate	yes
		position is not one with known promotion potential and employee is an Indian Preference candidate	no
Detail	higher grade or to position of same grade with known promotion potential	the detail is for 120 days or less	no
		the detail is for more than 120 days	yes

**Attachment 3 continued**

Selection for training leading to promotion		successful completion of training is a condition of eligibility for promotion	yes
Promotion from position of known promotion potential	originally identified as the target position to which employee would advance without competition  or  full performance level of a career ladder	competitive procedures were fully applied at the time of placement into position of known promotion potential and all competitors were informed that selection for the entry position could lead to promotion without further competition	no
Promotion	upgraded by classification	Incumbent's position upgraded without significant change in duties and responsibilities because of classification error or new or revised standards	no
		Incumbent's position reconstituted into a successor position with clearly and solely identifiable duties of the former position and there are no other employees serving in similar or identical positions within the same organization to whom the duties could have been assigned	no
		Incumbent's position reconstituted into successor position and position is not a clear successor or there are other employees serving in similar or identical positions within the same organization to whom the duties could have been assigned	yes
Promotion	to position to which employee was detailed for training or evaluation	the employee was selected for detail under full competitive procedures and all competitors were informed that the detail could lead to promotion without further competition	no

**Attachment 3 continued**

<p>Temporary promotion or extension of temporary promotion</p>	<p>higher grade under same pay schedule  or  under a different pay schedule when action is processed as a promotion or represents a promotion under rules above</p>	<p>the temporary promotion is for 120 days or less total in 12 month period</p>	<p>no</p>
<p>Conversion of temporary promotion to permanent promotion</p>		<p>the employee was selected for temporary promotion under full competitive procedures and all competitors were informed that the temporary promotion could lead to permanent without further competition</p>	<p>no</p>
<p>Promotion without time limitation</p>	<p>higher grade under same pay schedule</p>	<p>is not covered by promotion rules above</p>	<p>yes</p>

Attachment 4

**Applicant Referral for Merit Promotion Applicants**

**Instructions:** Use the following table to determine the method of referral for candidates applying to merit promotion announcements.

	<i><b>IF</b></i>	<i><b>AND</b></i>	<i><b>AND</b></i>	<i><b>AND</b></i>	<i><b>THEN</b></i>
1	Candidate submits SF-50 and is currently or formerly in the excepted service (Box 34 is "2")	Candidate is/was employed at an agency with an interchange agreement	Candidate meets all eligibility criteria for referral under the interchange agreement	Candidate is minimally qualified	Refer candidate non-competitively. Do not rate and rank. Use "merit referral list" in USA Staffing.
2		Candidate is/was employed by the Government Accountability Office (GAO)	Candidate completed at least one year of continuous service at any time under a non-temporary appointment at the GAO	Candidate is minimally qualified	Refer candidate non-competitively. Do not rate and rank. Use "merit referral list" in USA Staffing.
3		Candidate is/was employed by the Administrative Office of the U.S. Courts	Candidate completed at least one year of continuous service at any time under a non-temporary appointment at the Administrative Office of the U.S. Courts	Candidate is minimally qualified	Refer candidate non-competitively. Do not rate and rank. Use "merit referral list" in USA Staffing.
4		Candidate does not meet any of the conditions in lines 1 – 3			Do not refer candidate under merit promotion procedures.
5	Candidate submits SF-50 and is <i>currently</i> in the competitive service (Box 34 is "1")	Applicant is career or career-conditional (Box 24 is "1" or "2")	Applicant has already held a position in the competitive service with the advertised full performance level of the vacancy		Refer applicant non-competitively under merit promotion procedures. Use "merit referral list" in USA Staffing.



**Attachment 4 continued**

6			Applicant is rated among best qualified candidates (e.g. rated in highest quality category, meets cut-off score, or is rated above the natural break in scores)		Refer candidate using competitive merit promotion procedures. Do not apply veterans' preference. Use USA Staffing "competitive merit promotion certificate."
7			Applicant is minimally qualified but is not rated among best qualified candidates (e.g. is not rated in highest quality category, does not meet cut-off score, or is rated below the natural break in scores)		Do not refer candidate under merit promotion procedures.
8	Candidate submits SF-50 and was <i>previously</i> in the competitive service (Box 34 is "1")	Applicant is career (Box 24 is "1")			Follow procedures in lines 5 through 7
9		Applicant is career-conditional (Box 24 is "2")	Applicant is a preference eligible		Follow procedures in lines 5 through 7
10			SF-50 is dated within the last three years		Follow procedures in lines 5 through 7
11			Applicant is not a preference eligible and SF-50 is not dated within the last three years		Do not refer candidate under merit promotion procedures
12		SF-50 displays no tenure or indefinite tenure (Box 24 displays "0" or "3")			

**Attachment 4 continued**

13	Candidate submits DD-214	Is a preference eligible	Applicant is rated among best qualified candidates (e.g. rated in highest quality category, meets cut-off score, or is rated above the natural break in scores)		Refer candidate using competitive merit promotion procedures. Do not apply veterans' preference. Use USA Staffing "competitive merit promotion certificate."
14			Applicant is minimally qualified but is not rated among best qualified candidates (e.g. is not rated in highest quality category, does not meet cut-off score, or is rated below the natural break in scores)		Do not refer under merit promotion procedures
15		Separated after 3 years of continuous active duty service under honorable conditions	Applicant is rated among best qualified candidates (e.g. rated in highest quality category, meets cut-off score, or is rated above the natural break in scores)		Refer candidate using competitive merit promotion procedures. Do not apply veterans' preference. Use USA Staffing "competitive merit promotion certificate."
16			Applicant is minimally qualified but is not rated among best qualified candidates (e.g. is not rated in highest quality category, does not meet cut-off score, or is rated below the natural break in scores)		Do not refer under merit promotion procedures

**Attachment 4 continued**

17	Candidate submits SF-50 from the U.S. Postal Service or the Postal Rate Commission	Applicant is currently employed by the U.S. Postal Service or Postal Rate Commission	Applicant is currently employed in the postal career service	Applicant is minimally qualified	Refer candidate non-competitively. Do not rate and rank. Do not list score. Use "merit referral list" in USA Staffing.
18	Candidate submits documentation for a special appointing authority under 5 CFR 315 (e.g. Foreign Service, Peace Corps, VISTA/ACTION volunteers, etc.)	Applicant meets all individual requirements for the special appointing authority (refer to 5 CFR 315)	Applicant is minimally qualified		Refer applicant non-competitively. Do not rate and rank. Use "merit referral list" in USA Staffing.
19	Candidate submits documentation for other excepted service appointing authority (e.g. Schedule A disability)	Applicant meets all requirements for the specific authority			Refer applicant on excepted service referral list. Issue separate lists for each excepted authority. Apply veterans' preference and list in preference order (CPS, CP, XP, TP). Do not rate, rank, or list scores.

Attachment 5

**Certification of Indian Preference (IP) Applicants**

- Step 1:** For all positions subject to Indian Preference (IP), first apply the procedure specified under Table 1 below.
- Step 2:** If the vacancy is advertised under merit promotion procedures, proceed to Table 2 to determine whether the IP candidate is eligible for referral on additional certificates.
- Step 3:** Refer IP candidates on all certificates for which he/she is eligible.

All tables assume the candidate has been properly verified as minimally qualified and eligible for Indian preference.

**Table 1 – Apply to ALL vacancy announcements (merit promotion and DEU).**

	<i>IF</i>	<i>AND</i>	<i>AND</i>	<i>AND</i>	<i>THEN</i>
1	IP candidate submits qualifying BIA-4432 and no other documents (e.g. no 50, DD-214, etc.)				Refer IP candidate on excepted service referral list. Do not rate or rank. List below any veterans' preference candidates. Use USA Staffing "non-traditional certificate"
2		Applies to a DEU announcement under competitive examining procedures	Meets all criteria to be rated in the highest possible category under category rating procedures	Is not "blocked" by an IP veterans' preference candidate	Refer on a competitive examining certificate of eligibles. Use USA Staffing "category rating" certificate.

**Attachment 5 continued**

**Table 1 continued**

3	IP candidate submits DD-214	IP candidate is eligible for veterans' preference			<p>Refer IP candidate on excepted service referral list. Do not rate or rank. Do not list scores. List in order of veterans' preference (CPS, CP, XP, TP, NV). Use USA Staffing "non-traditional certificate"</p> <p>Continue below for additional referral options</p>
4			Applies to a DEU announcement under competitive examining procedures	Meets all criteria to be rated in the highest possible category under category rating procedures	Refer on a competitive examining certificate of eligibles. Use USA Staffing "category rating" certificate
5				Is a qualified CP or CPS veteran	Refer on a competitive examining certificate of eligibles. Use USA Staffing "category rating" certificate
6		IP candidate is not eligible for veterans' preference			<p>Refer IP candidate on excepted service referral list. Do not rate or rank. List below any veterans' preference candidates. Use USA Staffing "non-traditional certificate"</p> <p>Continue below for possible referral options</p>

**Attachment 5 continued**

**Table 2 – Apply this table to all vacancy announcements open under MERIT PROMOTION procedures**

1	IP candidate submits SF-50 and is currently or formerly in the excepted service (Box 34 is "2")	IP candidate is/was employed at an agency with an interchange agreement	IP candidate meets all eligibility criteria for referral under the interchange agreement	IP candidate is minimally qualified	Refer IP candidate non-competitively. Do not rate and rank. Use "merit referral list" in USA Staffing.
2		IP candidate is/was employed by the Government Accountability Office (GAO)	IP candidate completed at least one year of continuous service at any time under a non-temporary appointment at the GAO	IP candidate is minimally qualified	Refer IP candidate non-competitively. Do not rate and rank. Use "merit referral list" in USA Staffing.
3		IP candidate is/was employed by the Administrative Office of the U.S. Courts	IP candidate completed at least one year of continuous service at any time under a non-temporary appointment at the Administrative Office of the U.S. Courts	IP candidate is minimally qualified	Refer IP candidate non-competitively. Do not rate and rank. Use "merit referral list" in USA Staffing.
4		IP candidate does not meet any of the conditions in lines 1 – 3			Do not refer candidate under merit promotion procedures.

**Attachment 5 continued**

**Table 2 continued**

5	IP candidate submits SF-50 and is <i>currently</i> in the competitive service (Box 34 is "1")	Applicant is career or career-conditional (Box 24 is "1" or "2")	Applicant has already held a position in the competitive service with the advertised full performance level of the vacancy		Refer applicant non-competitively under merit promotion procedures. Use "merit referral list" in USA Staffing.
6			Applicant is rated among best qualified candidates (e.g. rated in highest quality category, meets cut-off score, or is rated above the natural break in scores)		Refer IP candidate using competitive merit promotion procedures. Do not apply veterans' preference. Use USA Staffing "competitive merit promotion certificate."
7			Applicant is minimally qualified but is not rated among best qualified candidates (e.g. is not rated in highest quality category, does not meet cut-off score, or is rated below the natural break in scores)		Do not refer candidate under merit promotion procedures.

**Attachment 5 continued**

**Table 2 continued**

8	IP candidate submits SF-50 and was <i>previously</i> in the competitive service (Box 34 is "1")	Applicant is career (Box 24 is "1")			Follow procedures in lines 5 through 7
9		Applicant is career-conditional (Box 24 is "2")	Applicant is a preference eligible		Follow procedures in lines 5 through 7
10			SF-50 is dated within the last three years		Follow procedures in lines 5 through 7
11			Applicant is not a preference eligible and SF-50 is not dated within the last three years		Do not refer candidate under merit promotion procedures
12	IP candidate submits DD-214	Is a preference eligible	Applicant is rated among best qualified candidates (e.g. rated in highest quality category, meets cut-off score, or is rated above the natural break in scores)		Refer IP candidate using competitive merit promotion procedures. Do not apply veterans' preference. Use USA Staffing "competitive merit promotion certificate."
13			Applicant is minimally qualified but is not rated among best qualified candidates (e.g. is not rated in highest quality category, does not meet cut-off score, or is rated below the natural break in scores)		Do not refer under merit promotion procedures



**Attachment 5 continued**

**Table 2 continued**

14	IP candidate submits DD-214 (continued)	Separated after 3 years of continuous active duty service under honorable conditions	Applicant is rated among best qualified candidates (e.g. rated in highest quality category, meets cut-off score, or is rated above the natural break in scores)		Refer IP candidate using competitive merit promotion procedures. Do not apply veterans' preference. Use USA Staffing "competitive merit promotion certificate."
15			Applicant is minimally qualified but is not rated among best qualified candidates (e.g. is not rated in highest quality category, does not meet cut-off score, or is rated below the natural break in scores)		Do not refer under merit promotion procedures
16	IP candidate submits SF-50 from the U.S. Postal Service or the Postal Rate Commission	Applicant is currently employed by the U.S. Postal Service or Postal Rate Commission	Applicant is currently employed in the postal career service	Applicant is minimally qualified	Refer IP candidate non-competitively. Do not rate and rank. Do not list score. Use "merit referral list" in USA Staffing.
17	IP candidate submits documentation for a special appointing authority under 5 CFR 315	Applicant meets all individual requirements for the special appointing authority (refer to 5 CFR 315)	Applicant is minimally qualified		Refer applicant non-competitively. Do not rate and rank. Use "merit referral list" in USA Staffing.

**Attachment 5 continued**

**Table 2 continued**

18	IP candidate submits documentation for other excepted service appointing authority (e.g. Schedule A disability)	Applicant meets all requirements for the specific authority			Refer applicant on excepted service referral list. Issue separate lists for each excepted authority. Apply veterans' preference and list in preference order (CPS, CP, XP, TP). Do not rate, rank, or list scores.
----	---	---	--	--	--

Attachment 6

Relocation Expense Worksheet

POSITION: \_\_\_\_\_

In order to determine whether relocation expenses will be paid for an employee or outside candidate selected to fill the above-referenced position would be in the government's interest, I considered the factors checked below:

- \_\_\_\_\_ (1) The quality and quantity of available candidates in the local commuting area;
- \_\_\_\_\_ (2) The diversity of the local candidate pool;
- \_\_\_\_\_ (3) Time constraints for filling the position;
- \_\_\_\_\_ (4) Alternative considerations for meeting the human resource needs, such as details.
- \_\_\_\_\_ (5) The existence of direct hire authority for the position.
- \_\_\_\_\_ (6) The need to provide incentives to prospective candidates due to labor shortages, working conditions, or other factors;

If there are other factors limiting conditions, please indicate below:

- \_\_\_\_\_ (7) \_\_\_\_\_

Based on my consideration of the above factors, I have concluded that it:

\_\_\_\_\_ is \_\_\_\_\_ is not in the government's interest to pay relocation expenses. Any vacancy announcement or other solicitation for this position will be consistent with this determination.

If relocation expenses are authorized, please indicate what discretionary entitlements, if any, are authorized:

\_\_\_\_\_ (8) TEMPORARY QUARTERS SUBSISTENCE EXPENSES (TQSE): Temporary quarters may be authorized for 30 days and should be regarded as an expense to be used only if necessary until the employee can move into permanent residence quarters. (Note: An additional period of 30 days may be requested by the employee and authorized when the Approving Official concurs that the employee has compelling reasons for continued occupancy and the Authorizing Official approves the extension in an Amendment to the Travel Authorization). Requests for extension of TQSE beyond 45 days (with a house hunting trip) or 60 days (without a house hunting trip), whichever is applicable, must be supported by significant compelling reasons. The approval level for these extensions must be set at the Associate Directors level in each bureau. Consideration to approve these requests must have concurrence by a Bureau Finance Division Chief.

\_\_\_\_\_ (9) HOUSE HUNTING TRIP (HHT): Payment of travel and transportation expenses of employee & spouse or either of them, to seek residence quarters when the distance

**Attachment 6 continued**

between duty stations is 75 miles or more apart, may be authorized when circumstances warrant. The duration of HHT may not exceed 10 days and will be deducted from first 30 days temporary quarters allowance if TQSE has been authorized. If a HHT is utilized, TQSE may not be extended except in extenuating circumstance. In such circumstances, the TQSE may not be extended for more than 15 days

\_\_\_\_\_ (10) **USE OF A RELOCATION SERVICES COMPANY:** Authorization of funds for payment of Contractor-Provided 3<sup>rd</sup> Party Relocation Services (Home Sale Program, Home Marketing Assistance, etc.) with percentages ranging from 11.00% to 39.95% of the appraised home value. (i.e., Value of Home: \$250,000 x 30.85% = \$77,125). (Percentages may or may not change each fiscal year for each Contractor-Provided 3<sup>rd</sup> Party Relocation Services vendor.)

\_\_\_\_\_ (11) **Incentive Payment for Buyer Value Option (BVO) Sale:** The amount of the incentive payment for a BVO sale will be the lesser of:

- A. 3 percent of the price the third party relocation service contractor paid the employee for the residence,
- B. The government savings resulting from the amended value sale, or
- C. \$10,000.00.

**NOTE:** The home marketing incentive payment will be claimed on an SF-1012 Travel Voucher and paid to the employee by the DOI payroll office or finance office. Payment to the employee will not occur until after all payments have been made to the Relocation Service Contractor (RSC). The Internal Revenue Service Code requires the appropriate withholding for Federal, state and local income tax, Social Security and Medicare taxes. The gross amount of the payment will be included in the employee's taxable income on the Leave and Earnings Statement and on the W-2. Home marketing incentive payments are not covered by the withholding tax allowance (WTA) or the relocation income tax allowance (RITA).

**Cost code to charge PCS travel:**

\_\_\_\_\_

\_\_\_\_\_  
**Management Official's Name and Title**

\_\_\_\_\_  
**Management Official's Signature**

\_\_\_\_\_  
**Date**

**Attachment 7**

**References**

***United States Code***

25 USC 472 Standards for Indians Appointed to Indian Office (Indian Preference)

***Code of Federal Regulations – Title 5 Administrative Personnel***

5 CFR 300 Employment (General)  
5 CFR 310 Employment of Relatives  
5 CFR 315 Career and Career-Conditional Employment  
5 CFR 316 Temporary and Term Employment  
5 CFR 330 Recruitment, Selection, and Placement (General)  
5 CFR 335 Promotion and Internal Placement  
5 CFR 340 Other Than Full-Time Career Employment (Part Time, Seasonal,  
On-Call, Intermittent)  
5 CFR 720 Affirmative Employment Programs

***Departmental Manual***

370 DM 213 Excepted Service  
370 DM 300 Employment (General)  
370 DM 302 Employment in the Excepted Service  
370 DM 315 Career and Career-Conditional Employment  
370 DM 335 Promotion and Internal Placement  
370 DM 338 Qualification Requirements  
370 DM 339 Qualification Requirements (Medical)

***Other***

Department of the Interior Career Transition Assistance Plan