

SBA

SOP 3300 2

Employment

Office of Administration

U.S. Small Business Administration



SMALL BUSINESS ADMINISTRATION STANDARD OPERATING PROCEDURE

National


SUBJECT: Employment	S.O.P.		REV
	SECTION 33	NO. 00	2

INTRODUCTION

1. Purpose. To consolidate and update established policies and procedures and include new policies and procedures
2. Personnel Concerned. All SBA employees
3. Directives Canceled. SOP 33 00 1, Employment
SOP 33 17 2, Probationary Period for Supervisors and Managers
SOP 33 35 3, Merit Promotion and Placement Program
4. Originator. Office of Human Resources, Guidance, Innovation, and Review Division

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	SMALL BUSINESS ADMINISTRATION STANDARD OPERATING PROCEDURE National		
SUBJECT: Employment	S.O.P.		REV
	SECTION 33	NO. 00	2A
INTRODUCTION 1. <u>Purpose.</u> Revises SOP to: require the human resources specialist to complete the position designation record with input from the supervisor, add regulatory cites and require the servicing human resources office, before establishing the final effective date, to be notified by the Director, Office of Security Operations of the security paperwork that an individual must complete. 2. <u>Personnel Concerned.</u> All SBA employees 3. <u>Page Changes</u> Remove Insert 89 – 90 89 - 90 4. <u>Distribution.</u> Standard 5. <u>Originator.</u> Office of Human Capital Management, Policy and Integration Division			
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Chapter 1

General Information

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1. What Is the Purpose of This Standard Operating Procedure (SOP)?

This SOP sets forth SBA employment policies and procedures.

2. Which Employees are Covered by This SOP?

This SOP covers all SBA employees.

- a. For Senior Executive Service employees, only the following parts of this SOP apply (see also SOP 39 20, “Senior Executive Service”): Chapter 2, Drug Testing Plan; Chapter 8, question 5, interviewing disabled applicants; Chapter 9, recruitment bonuses, relocation bonuses and retention allowances only; Chapter 10, Background Investigations and Suitability Determinations; Chapter 13, Details; Chapter 14, Intergovernmental Personnel Act Assignments; and Chapter 18, questions 7 through 16, outplacement assistance.
- b. For Public Law employees in the Office of Advocacy, only the following parts of this SOP apply: Chapter 2, Drug Testing Plan; Chapter 8, question 5, interviewing disabled applicants; Chapter 9, recruitment bonuses, relocation bonuses and retention allowances only; Chapter 10, Background Investigations and Suitability Determinations; and Chapter 13, Details (within the limits of PL 94-305, 5 USC 3341 and 5 CFR 6.5).

3. What if this SOP Conflicts With a Negotiated Agreement?

To the extent that this SOP conflicts with a negotiated agreement, the negotiated agreement prevails for bargaining unit positions.

4. What Are Management’s Rights and Responsibilities in Taking Personnel Actions?

- a. Management has the right to fill positions by any appropriate method from any appropriate source and to consider different sources of eligible applicants in any sequence [5 USC 7106(a)(2)(C)].
- b. Employees must operate in a manner consistent with the Merit System Principles (Appendix 3).
- c. Employees who are authorized to take personnel actions must not engage in prohibited personnel practices (Appendix 4).

5. Which SBA Officials Have Personnel Selection Authority?

- a. The Administrator selects Senior Executives, Schedule C employees, District Directors, District Director Candidates and Senior Executive Service Candidates.
- b. Management Board members are authorized to select for all other positions in their organizations. This authority may be redelegated.

6. Which SBA Officials Have Personnel Appointing Authority?

- a. The Administrator is authorized by 15 USC 634(a) to appoint such officers, employees, attorneys and agents as necessary to carry out the provisions of the Small Business Act.
- b. The Inspector General Act of 1978, as amended, authorizes the Inspector General to appoint such officers and employees as may be necessary to carry out the functions, powers and duties of the Office of Inspector General [5 USC Appendix 3, Section 6(a)(7)].
- c. The Chief Counsel for Advocacy is authorized by Public Law 94-305 to employ such additional staff personnel as deemed necessary.
- d. The Associate Deputy Administrator for Management and Administration (ADA/M&A) is delegated all other personnel authority.
- e. The Assistant Administrator for Human Resources (AA/HR) is delegated authority for all Agency positions and may redelegate this authority.

7. Which Qualification Standards Does SBA Use?

- a. SBA uses the Office of Personnel Management's Qualification Standards for General Schedule Positions and Job Qualification System for Trades and Labor Occupations, which are available at <http://www.opm.gov/qualifications/index.htm>.
- b. SBA may develop its own qualification standard for any excepted service position. Such a standard is available upon request from the servicing personnel office which services the position. SBA's qualification

standards for Law Clerks, GS-904- 9/11, and Attorneys, GS-905-9/15 are in Appendix 5.

8. What Is SBA's Policy on Employment of Relatives?

- a. Persons related to each other will not be employed in the same organizational segment within SBA.
- b. An SBA public official may not recommend or refer a relative for appointment, employment, promotion or advancement to an SBA position over which he/she exercises jurisdiction or control.
- c. An SBA public official may not appoint, employ, promote or advance to a position over which he/she exercises jurisdiction or control:
 - (1) His/her relative; or
 - (2) The relative of another SBA public official who exercises jurisdiction or control over his/her organization.
- d. The restrictions in b and c of this question do not apply to the appointment in the competitive service of a veteran preference eligible if:
 - (1) He/she is within reach for selection from an appropriate Certificate of Eligibles; and
 - (2) Another selection cannot be made from the Certificate without passing over the preference eligible to select a non-preference applicant.

9. What Is SBA's Policy on Hiring Non-Citizens?

- a. Competitive Service - SBA may only hire United States citizens and nationals for competitive service positions [5 CFR 7.4]. U.S. citizens primarily include individuals born in the U.S., naturalized citizens and natives of Guam, the Northern Mariana Islands, Puerto Rico and the Virgin Islands of the United States. U.S. nationals include for this purpose natives of American Samoa and Swains Island.
- b. Excepted Service - In some cases, SBA may hire non-citizens and non-nationals for excepted service positions, depending on the individual's citizenship, nationality, or other status (see Appendix 6), if they are

lawfully admitted to the United States for permanent residence or expressly authorized by the Immigration and Naturalization Service to be employed. Excepted service employees being considered for conversion to the competitive service (e.g., employees on Student Career Experience Program appointments, Veterans Readjustment appointments, appointments of disabled individuals) must be United States citizens or nationals at the time of conversion.

10. How Does SBA Verify that Employees are Authorized to Work in the United States?

- a. An employee, upon entry on duty, must provide documents to his/her servicing personnel office to prove his/her identity and authorization to work in the U.S. [8 USC 1324a and 8 CFR 274a].
- b. The servicing personnel specialist documents verification of the employee's identity and authorization to work in the U.S. on INS Form I-9, "Employment Eligibility Verification." The Immigration and Naturalization Service's "Handbook for Employers, Instructions for Completing Form I-9," contains a copy of the I-9 and lists the documents which may be used to establish identity and employment authorization. The handbook is available from the INS Office of Business Liaison, which, at the time of publication, can be reached at 1-800-870-3676. A list of acceptable documents may be viewed at <http://www.ins.usdoj.gov/employer/irullist.html> .

NOTE: The 11/21/91 version of "Handbook for Employers, Instructions for Completing Form I-9," and the 11/21/91 version of "Form I-9," which are the current versions, are not up-to-date. Servicing personnel specialists must use the List A in Appendix 8 instead of the List A on Form I-9 and in Part 8 of the handbook. Lists B and C have not changed. Servicing personnel specialists with questions about the acceptability of documents may call the INS Office of Business Liaison at (202) 305-1949.

- c. The servicing personnel office files the completed Form I-9 in the employee's Official Personnel Folder (left side).

11. What Age Restrictions Apply to Employment and Volunteer Service?

- a. For initial appointment to a Criminal Investigator position (1811 series), an individual must be at least 18 years old and no older than 37.

- b. For all other positions and volunteer service, an individual must be at least 18 years old, or be at least 16 years old and:
 - (1) Have graduated from high school or been awarded a certificate equivalent to graduating from high school;
 - (2) Have completed a formal vocational training program;
 - (3) Have received a statement from school authorities agreeing with his/her preference for employment rather than continuing his/her education; or
 - (4) Be currently enrolled in a secondary school and either work only during school vacation periods or work part-time during the school year under a formal student employment program (i.e., Student Temporary Employment Program, Student Career Experience Program).

12. Does SBA Apply Time-in-Grade Requirements to the Excepted Service?

SBA applies the time-in-grade requirements in 5 CFR Part 300, Subpart F to excepted service positions.

13. Why Are New Employees Required to Have Accounts With Banks or Other Financial Institutions?

The Debt Collection Improvement Act of 1996 requires that all Federal payments, including salary, be made by electronic funds transfer.

14. Who Is Authorized to Grant Waivers and to Update and Issue Appendices to This SOP?

- a. The Assistant Administrator for Human Resources (AA/HR) is authorized to grant waivers to the provisions of this SOP when practical difficulties or unnecessary hardships result from strict compliance with this SOP, provided that such waivers are not in conflict with any statute or

regulation. Management Board members may request waivers from the AA/HR in writing and in advance of the requested action.

- b. The Assistant Administrator for Human Resources is authorized to update and issue appendices to this SOP.

Chapter 2

Drug Testing Plan

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1. What Is the Authority for the Drug Testing Plan?

Executive Order 12564 established the goal of a Drug-Free Federal Workplace. The Order makes it a condition of employment for all Federal employees to refrain from using illegal drugs on or off-duty [5 U.S.C. §§ 7361-7363]. The Administrator has overall responsibility for SBA’s Drug Testing Plan.

2. Who Administers the Drug Testing Plan?

The Administrator delegates to the Assistant Administrator for Human Resources (AA/HR) responsibility for managing the Drug Testing Plan. Under the supervision and direction of the AA/HR, the Drug Plan Coordinator maintains drug testing records, prepares necessary reports, and reviews specimen documentation.

3. Are All SBA Employees Covered By the Plan?

The Drug Testing Plan covers all SBA employees. The Drug Testing Plan was certified on April 27, 1988, by the Department of Health and Human Services.

4. Are All Employees Subject to Drug Testing?

Most employees are not subject to drug testing. Employees subject to drug testing include those:

- a. Incumbering positions identified in the Drug Testing Plan as testing designated positions (see Chapter 2, question 5);
- b. Volunteering to participate in random testing;
- c. Whose actions give SBA management reason to believe the employee is using illegal drugs, i.e., reasonable suspicion; and
- d. Involved in on-the-job accidents that pose a danger to others or the overall operation of SBA.

5. What Are the Testing Designated Positions (TDPs)?

The following are TDPs:

- a. The Administrator, Deputy Administrator, Inspector General, and Chief Counsel for Advocacy;
- b. Criminal Investigators; and
- c. Positions requiring a Top Secret clearance.

6. What Types of Drug Testing Does the Plan Require?

The Plan requires the following six types of drug testing:

- a. Applicant - Tentative selection for a TDP of an employee-applicant or outside applicant requires a negative result before appointment to the TDP.
- b. Random - A percentage of employees in positions identified as TDPs are subject to periodic testing.
- c. Voluntary - Any employee may volunteer for random testing. They may withdraw any time before receiving notice of their selection for a drug test.

- d. Reasonable Suspicion - A supervisor who suspects a subordinate employee of using illegal drugs will, before ordering the employee to submit to a reasonable suspicion test:
 - (1) Gather information, facts and circumstances leading to and supporting this suspicion; and
 - (2) Obtain the appropriate Management Board member's approval to order the employee to submit to a reasonable suspicion test.
- e. Post-Accident/Unsafe Practice - Employees involved in on-the-job accidents that pose a danger to others or the overall operation of SBA are subject to testing.
- f. Follow-up - Employees referred through administrative channels who undergo a counseling or rehabilitation for illegal drug use through the Employee Assistance Program (EAP) will be subject to unannounced random testing following completion of such a program. (Information on SBA's EAP is in SOP 37 50, "Employee Relations.")

7. How Does an Applicant Know If A Position Is a TDP?

Vacancy announcements for TDPs must state:

"If you are tentatively selected for this position, you must submit to urinalysis which screens for illegal drug use. Final selection requires a negative drug test result."

8. Does the Plan Provide for a "Split Sample?"

Yes. A single urine sample of sufficient quantity will be split into two containers under chain of custody at the time of collection. If the test result of the first container is positive, the Medical Review Officer (MRO) will require that the second container be tested.

9. What Happens if the Test Result of the Second Specimen Is Negative?

The MRO will void both test results and the individual will not be retested at that time. However, the individual will be subject to random testing in the future.

10. Who Is Authorized to Request a Drug Test?

The Drug Plan Coordinator, servicing personnel specialists in the Human Resources Operations Division and the Office of Inspector General, and the Executive Resources Manager are delegated the authority to request drug tests for TDPs.

- a. Servicing personnel specialists who process employment applications for TDPs must order a drug test before setting the applicant's entry-on-duty date. The delegated authority to order an applicant test requires the personnel specialist to notify SBA's specimen collector and to provide the following information: applicant's name, social security number, and telephone numbers (work and home). Also, the personnel specialist will provide the Drug Plan Coordinator with a copy of the drug test request. The Drug Plan Coordinator notifies the personnel specialist of the TDP applicant test results.
- b. The Drug Plan Coordinator is responsible for requesting all other types of drug tests required under the Plan.

11. Does SBA's Plan Provide for a "Safe Harbor?"

Yes. The Plan provides employees with a "safe harbor" or self-referral option to assist employees who identify themselves as wanting to seek or are seeking treatment for drug use. For this reason, SBA will not initiate disciplinary action against employees who:

- a. Voluntarily identify themselves as users of illegal drugs before being identified through other means;
- b. Obtain counseling or rehabilitation through SBA's EAP; and
- c. Thereafter refrain from using illegal drugs.

Such employees are subject to follow-up testing.

12. Are Test Results Confidential?

SBA will not disclose drug test results without the employee's prior written consent, unless the disclosure would be:

- a. To the Medical Review Officer;

- b. To the EAP from which the employee is receiving counseling or treatment or is otherwise participating;
- c. To any supervisor or management official having authority to take or initiate adverse personnel action against the employee; or
- d. Pursuant to the order of a court of competent jurisdiction or where required by the United States Government to defend against any challenge to any adverse personnel action.

Chapter 3

Job Analysis

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1. What Is Job Analysis?

- a. Job analysis is the systematic, documented review of a job to identify:
 - (1) The basic duties and responsibilities;
 - (2) The knowledges, skills, and abilities required to perform the basic duties and responsibilities; and
 - (3) The factors that are important in evaluating applicants.
- b. Job analysis is used in merit promotion and delegated examining to identify selective factors for a position and to determine which quality ranking factors will be used to rank applicants.

2. Who Does the Job Analysis and Crediting Plan and When Must They Be Done?

- a. Usually the supervisor of the position and/or one or more subject-matter experts (SMEs), guided by the servicing personnel specialist, analyze the job and develop the crediting plan. The servicing personnel specialist may also develop the crediting plan based on input from the supervisor of the position.
- b. The supervisor may also request an existing job analysis and certify it is valid for the position being filled.
- c. Documentation of the job analysis and the crediting plan must be completed before the servicing personnel office announces the vacancy.

3. How Do I Conduct a Job Analysis?

- a. Identify the major functions of the job by reviewing the position description. The qualification standard, classification standard, classification evaluation statement and existing performance standards may also be used in identifying the major functions. SBA Form 1700, "Job Analysis Form," (Appendix 7) may be used to document the job analysis. Appendix 8 is a sample of a completed job analysis form.
- b. Determine the knowledge, skills and abilities (KSAs) which are required to perform each major function. Each KSA should begin with "Knowledge of...", "Skill in (or at) ...", or "Ability to..." Never use qualifiers, such as "thorough" or "expert" knowledge, "demonstrated" ability, etc.
- c. Determine if applicants' possession of each KSA can be evaluated using job applications and applicants' supplementary statement. If applicants can't be evaluated on a KSA through these means, eliminate the KSA.

NOTE: This does not apply to language fluency, which generally can't be accurately evaluated through job applications and KSA statements.

- d. Sort the remaining KSAs into those an applicant must have to successfully perform the job upon entry and those which, while not essential, would enhance job performance. If a KSA is essential, it should be used as a selective factor.
- e. Determine which of the desirable KSAs will distinguish superior applicants from minimally qualified applicants. Eliminate any that don't.
- f. Rank the remaining desirable KSAs in the order of importance.
- g. Determine which KSAs to use to rank applicants.

- h. After the job analysis has been completed and recorded, the servicing personnel specialist and/or the SME(s) must sign the Job Analysis Form.
- 4. What Are the Steps in Developing a Crediting Plan?**
- a. List each KSA resulting from the job analysis on a “KSA Level Definition Form,” SBA Form 1699 (Appendix 9). The form may be modified to allow for more than 3 levels. Appendix 10 is a sample of a completed KSA level definition form.
 - b. Describe the level of experience an applicant must have to be assigned points at each level. Use personal knowledge of the job, and information from the position description, classification standard, performance standards and any other appropriate source to develop the level definitions. For example:
 - (1) Level 3 - Applicant’s experience indicates “superior” capability (little or no orientation would be required for full performance).
 - (2) Level 2 - Applicant’s experience indicates “highly satisfactory” capability (a minimum of training and orientation would be required for full performance).
 - (3) Level 1 - Applicant’s experience indicates “satisfactory” capability (a reasonable amount of training and orientation would be required for full performance). Level 1 must always exceed the minimum qualifications required for the position.
 - c. At each level, give specific examples of experience, education or training which show how an applicant could possess the KSA at that level. Describe experience in terms of relevance, complexity, level of guidance, scope of activity, level of responsibility, variety and innovation. Include at least one example at each level.
 - d. Suggest relative weights for each KSA based on the relative importance to successful job performance. The servicing personnel office has final authority in assigning weights.
 - e. Multiply each KSA definition level (1, 2, 3, etc.) by the weight to get the number of points to be assigned at each level.
 - f. If the position is being filled under delegated examining procedures, the personnel specialist will transmute the crediting plan points to a 70 - 100 point scale using the instructions in the Office of Personnel Management’s Delegated Examining Operations Handbook.

- g. After each KSA Level Definition Form is completed, the servicing personnel specialist, the supervisor and/or the SME(s), must sign the forms.

5. Can a Crediting Plan Be Revised During the Ranking Process?

A crediting plan may be revised if all of the following conditions are met:

- a. The merit promotion panel members or the servicing personnel specialist document the reason(s) the crediting plan needs to be revised (e.g., it does not distinguish superior applicants from minimally qualified applicants);
- b. A subject-matter expert, the supervisor of the vacancy, and/or the servicing personnel specialist document the revisions on “KSA Level Definition Form,” SBA Form 1699 (Appendix 9) and sign the form; and
- c. The revised crediting plan is applied to all eligible applicants.

6. When Can a Standardized Crediting Plan Be Used?

A standardized crediting plan may be used if the servicing personnel specialist determines that it is appropriate based on the job analysis.

7. Can a Screen-Out Factor Be Revised After the Vacancy Is Announced?

A screen-out factor may be revised after the vacancy is announced, but only to include more applicants in the ranking process. The servicing personnel specialist and the supervisor of the position must document the reason(s) for the revision for inclusion in the merit promotion case file.

Chapter 4

Recruitment and Special Appointing Authorities

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General Information

1. **What Is SBA's Policy on Recruitment and Selection?**
 - a. SBA's policy is to:
 - (1) Recruit from among the best qualified individuals available and select on the basis of relative knowledge, skills, and abilities after fair and open competition which assures that all receive equal opportunity (Merit System Principle #1, Appendix 3, item 1);
 - (2) Select without regard to political or labor organization affiliation or non-affiliation, race, color, religion, national origin, sex, marital

status, age, non-disqualifying physical or mental disability, or other non-merit factors (Merit System Principle #2, Appendix 3, item 2); and

- (3) Support active participation by SBA management in affirmative recruitment efforts to reduce underrepresentation of women, minorities and the disabled in the Agency.
- b. This policy recognizes management's right to fill positions from any appropriate source and to consider, in any sequence, different sources of eligible applicants. [5 USC 7106(a)(2)(C)]

2. What Are SBA Management's Responsibilities in Recruitment?

Supervisors and managers should:

- a. Determine the recruiting sources which will best meet the Agency's objectives and contribute fresh ideas and viewpoints;
- b. Actively participate in recruitment efforts (e.g., network, attend job fairs and on-campus recruitment, etc.) and use selection methods which will increase the diversity of the workforce and the number of qualified applicants from underrepresented groups in the occupations and grade levels where underrepresentation exists, as required by the Federal Equal Opportunity Recruitment Program [5 CFR 720, Subparts A and B]; and
- c. Actively participate in recruiting, hiring and promoting qualified disabled veterans as required by the Disabled Veterans Affirmative Action Program [5 CFR Part 720, Subpart C].

3. What Is the Office of Equal Employment Opportunity and Civil Rights Compliance's Role in Recruitment?

The Office of Equal Employment Opportunity and Civil Rights Compliance:

- a. Provides underrepresentation information to regional administrators, district directors and the heads of Headquarters organizations; and
- b. Encourages SBA managers and supervisors to use underrepresentation statistics to recruit from underrepresented groups.

4. What Are Servicing Personnel Specialists' Responsibilities?

Servicing personnel specialists advise and assist supervisors and managers in using a full range of recruitment methods and special appointing authorities to recruit a diverse pool of qualified individuals.

5. Who Can Approve Advertising Vacancies in the Media?

- a. District directors, disaster area directors, and Management Board members can approve paid advertising in newspapers and magazines, and on radio and television when recruiting for hard-to-fill positions or to support affirmative action for their organization.
- b. The Assistant Administrator for Human Resources may authorize and approve advertising vacancies in the media for any position.
- c. The servicing personnel office must review the proposed advertisement for technical accuracy and coordinate the advertisement dates with the vacancy announcement closing date.
- d. If the cost of the advertisement will exceed the credit card limit, the organization may contact the Director, Office of Procurement and Grants Management, to have the limit temporarily raised.

6. When Can Commercial Recruiting Firms and Non-Profit Employment Services Be Used?

Commercial recruiting firms and non-profit employment services may be used to recruit a diverse workforce when all of the following apply:

- a. Such use is likely to provide well-qualified applicants who would otherwise not be available or when there is a shortage of well-qualified applicants [5 CFR 300.403(a)];
- b. The recruiter or service does not charge fees to individuals referred to Federal positions (other than registration fees paid by individuals to non-profit employment services operated by professional organizations when the registration fee is imposed whether or not the registrant is referred for employment or placed) [5 CFR 300.404];
- c. A written contract is awarded by the Office of Procurement and Grants Management to the recruiter or service [5 CFR 300.405];

- d. The vacancy announcement is posted on the Federal Job Opportunity Board [5 CFR 300.403(b)];
 - e. SBA continues its own recruiting efforts [5 CFR 300.403(c)];
 - f. The supervisor or manager forwards a written request to use a commercial recruiter or a non-profit employment service through his/her Management Board member to the approving official, and the request is approved; and
 - g. The office where the position is located pays for the service.
- 7. Who Can Approve the Use of Commercial Recruiters and Non-Profit Employment Services?**
- a. The authority to approve the use of commercial recruiters and non-profit employment services has been delegated to:
 - (1) Assistant Administrator for Human Resources for Senior Executive Service positions;
 - (2) The Director, Office of Disaster Personnel for non-SES positions in the Office of Disaster Assistance;
 - (3) The OIG's Personnel Officer for OIG positions; and
 - (4) The Director, Human Resources Operations Division for all other positions.

Special Appointing Authorities

8. What Are Special Appointing Authorities?

Special appointing authorities offer SBA alternative ways to fill positions. Your servicing personnel office can advise you on using these authorities. Some of the most commonly used special appointing authorities are:

- a. Outstanding Scholar Appointments

College undergraduates who earned a grade point average of 3.5 or higher on the 4.0 scale for all undergraduate courses, or who were in the top 10 percent of their baccalaureate graduating class or major subdivision (e.g., College of Arts and Sciences, School of Business), may be noncompetitively appointed to GS-5 and GS-7 level positions in the two-

grade interval occupations listed in Appendix 11. The individuals must meet minimum qualification requirements for the position.

NOTE: The vacancy must be advertised to allow displaced Federal employees the opportunity to apply and be considered under the Interagency Career Transition Assistance Plan before it can be filled using this authority unless the individual being considered for the Outstanding Scholar appointment has 10-point veteran preference [5 CFR 330.705].

b. Bilingual/Bicultural Appointments

Individuals who meet the minimum qualifications for the position and have the required level of Spanish language proficiency and/or requisite knowledge of Hispanic culture, may be noncompetitively appointed to GS-5 and GS-7 level positions in the two-grade interval occupations listed in Appendix 11. The position must be one in which interaction with the public or job performance would be enhanced by bilingual and/or bicultural skills.

NOTE: The vacancy must be advertised to allow displaced Federal employees the opportunity to apply and be considered under the Interagency Career Transition Assistance Plan before it can be filled using this authority unless the individual being considered for Bilingual/Bicultural appointment has 10-point veteran preference [5 CFR 330.705].

c. Appointments of the Severely Physically Disabled

This is an excepted service appointment which may be made in one of two ways:

- (1) Conversion of an employee on a temporary appointment under 5 CFR 316.403(b)(5) who has demonstrated ability to perform the duties satisfactorily.
- (2) Appointment of a person certified by a State vocational rehabilitation agency or the Veterans Administration as likely to succeed in the position.

The employee may be noncompetitively converted to a career or career-conditional appointment after 2 years of satisfactory service. [5 CFR 213.3102(u)]

d. Appointments of Mentally Retarded Persons

This is an excepted service appointment. The employee may be noncompetitively converted to a career or career-conditional appointment after completing 2 years of satisfactory service. [5 CFR 213.3102(t)]

e. Appointments of Mentally Restored Persons

This is an excepted service appointment of a person who is at a severe disadvantage of obtaining employment because of a psychiatric disability and who has had a significant period of substantially disrupted employment. The person must be certified by a State vocational rehabilitation counselor or Veterans Administration counselor that he/she meets the severely disadvantaged criteria, is capable of functioning in the specific position and that any residual disability is not job-related. The employee may be noncompetitively converted to a career or career-conditional appointment after completing 2 years of satisfactory service. [5 CFR 213.3202(k)]

f. Appointments of Readers, Interpreters and Personal Assistants

This is an excepted service appointment of a reader, interpreters or personal assistants for employees with severe disabilities. The employee may be converted to a career or career-conditional appointment after completing 1 year of satisfactory service. [5 CFR 213.3102(l)]

g. Student Career Experience Program

This program covers students pursuing high school diplomas, vocational or technical certificates, and college degrees taking at least a half-time course load. Work assignments must be related to the student's academic and career goals and provide qualifying experience for the selected occupation. The student's work schedule may be full-time or part-time as long as it doesn't interfere with his/her academic studies. The student, the school and SBA must sign an agreement before the student may be appointed (see Chapter 3, question 10). During the 120 calendar days following graduation, SBA may noncompetitively convert the student to a term, career-conditional or career appointment if the student meets all of the following conditions:

- (1) Meets the qualification requirements for the position for which trained;
- (2) Successfully completed at least 640 hours of career-related work before completion of the course requirements;
- (3) Is recommended for conversion by his/her supervisor;
- (4) Is a U.S. Citizen at the time of conversion; and
- (5) Is converted to an occupation related to his/her academic training and related work experience.

[5 CFR 213.3202(b)]

h. Student Temporary Employment Program

This program covers students pursuing high school diplomas, vocational or technical certificates, or college degrees taking at least a half-time course load. The student's work schedule may be full-time or part-time as long as it doesn't interfere with his/her academic studies. The student's duties do not have to be related to the academic studies. The student may be appointed for up to 1 year and may be extended in 1 year increments as long as he/she is enrolled on at least a half-time basis and is seeking a degree or certificate. [5 CFR 213.3202(a)]

NOTE: The student may be noncompetitively converted to the Student Career Experience Program when he/she meets the requirements of that program and an appropriate position is available. Work experience gained under the Student Temporary Employment Program which is related to the student's academic program and career goals may be credited toward the career-related work experience requirement for noncompetitive conversion to a term, career-conditional or career appointment [5 CFR 213.3202(a)(15)(i) and (ii)].

i. Veterans Readjustment Act (VRA) Appointments

Vietnam era veterans and post-Vietnam era veterans may be noncompetitively appointed in the excepted service at grades up to and including the GS-11 level regardless of promotion potential. VRA employees with less than 15 years of formal education must participate in training under an IDP (see Chapter 3, question 9). VRA employees who satisfactorily complete 2 years of continuous service under the VRA appointment, including any required training, will be converted to career or career-conditional appointments. Veterans can also be given temporary and term appointments using the VRA authority; however, these employees are not eligible for noncompetitive conversion to career or career-conditional appointments. [5 USC 3301 and 3302, 38 USC 4214, 5 CFR Part 307]

j. Appointment under the Veterans Employment Opportunities Act of 1998

The Veterans Employment Opportunities Act allows preference eligibles or veterans honorably discharged from the armed forces after 3 or more years of continuous active service to apply for vacancies announced under merit promotion procedures when they are open to individuals from

outside the Agency. Eligible applicants are referred to the selecting official separately from merit promotion eligibles. A person selected under this authority receives a career or career-conditional appointment. [5 CFR 213.3202(n), 5 CFR 335.106]

NOTE: Veterans who substantially complete an initial 3 year military tour (e.g., those honorably discharged from active duty a few days before completing the initial 3 year tour) are eligible.

k. Temporary and Term Appointments of Disabled Veterans

Veterans with service-connected disabilities of 30 percent or more may be noncompetitively appointed to temporary or term positions in the competitive service for which qualified. Such employees may be eligible for noncompetitive conversion to permanent appointments if their temporary or term appointments last more than 60 calendar days. [5 USC 3112, 5 CFR 316.402(b)(5), 5 CFR 315.707(a)]

l. Appointments of Disabled Veterans Who Complete VA Training

This authority is used to appoint disabled veterans who satisfactorily complete approved training under the Department of Veterans Affairs (VA) vocational rehabilitation program. The veteran receives a Certificate of Training showing the occupational series and grade level(s) of the position(s) for which he/she was trained. The Certificate of Training allows a Federal agency to appoint the veteran noncompetitively under a status quo appointment, which may be converted to a career or career-conditional appointment. [38 U.S.C chapter 31, 5 CFR 3.1, 5 CFR 315.604]

m. Worker-Trainee Appointments

Worker-trainees are appointed to positions at the GS-1 and WG-1 levels under the authority for Temporary Appointment Pending Establishment of a Register [5 CFR 316.201(b)]. Worker-trainees are given concentrated on-the-job and/or formal training under an Individual Development Plan (see Chapter 3, question 9). They may be promoted when they have 3 months of satisfactory service, have an IDP in place and are recommended for promotion by their supervisor. They may be promoted up to the GS-4 or WG-5 level while on a worker-trainee appointment. Worker-trainees are entitled to conversion to a career appointment once they: (1) complete a total of 3 years of continuous service as a worker-trainee; (2) have 12 months of satisfactory service immediately preceding the conversion; and (3) meet the qualification requirements for the career position. [5 CFR 315.704]

n. Law Clerk Trainee Appointments

Law school graduates or persons with equivalent experience may be appointed in the excepted service for up to 14 months pending admission to the bar. An appointment which is initially made for less than 14 months may be extended for up to a total of 14 months. [5 CFR 213.3102(e)]

o. Appointments of College Faculty Members

Faculty members of accredited colleges or universities who have special qualifications for positions of a scientific, professional or analytical nature may be appointed. Employment under this authority may not exceed 130 working days a year. [5 CFR 213.3102(o)]

p. Presidential Management Intern Appointments

Presidential Management Interns (PMIs) are initially appointed at the GS-9 level and may be promoted up to the GS-11 level while in the program. Appointments are limited to 2 years, unless an extension is approved by the Office of Personnel Management for up to 1 additional year. PMIs must participate in training under an IDP (see Chapter 3, question 9). A Presidential Management Intern may be noncompetitively converted to a career or career-conditional appointment if recommended for conversion within 90 calendar days before completing 2 years of satisfactory service under this appointment. [5 CFR 213.3102(ii), 5 CFR 315.708]

9. Are Individual Development Plans (IDPs) Required for Persons Appointed Under Special Authorities?

a. IDPs are required for:

- (1) VRA appointees with less than 15 years of formal education [38 USC 4214(b)(1)(D)(i)];
- (2) Worker-trainees; and
- (3) Presidential Management Interns.

b. For a VRA appointee or a worker-trainee, the supervisor, with the employee's input, must prepare an IDP for the employee no later than 30 calendar days after appointment (see SOP 34 10, "Employee Development").

- c. For a PMI, the IDP must be finalized within 30 calendar days after the PMI completes the PMI orientation programs given by SBA and the Office of Personnel Management.

10. Are Agreements Required for the Student Career Experience Program?

- a. Before a student may be appointed under the Student Career Experience Program, the servicing personnel office must obtain a “Student Career Experience Program Agreement,” SBA Form 2051 (Appendix 12) signed by the student, the supervisor, a school representative, and the authorized SBA official:
 - (1) Director, Office of Disaster Personnel for Office of Disaster Assistance positions;
 - (2) Office of Inspector General’s Personnel Officer for OIG positions; and
 - (3) Director, Human Resources Operations Division for all other positions.
- b. The servicing personnel specialist distributes copies of the agreement to:
 - (1) The school;
 - (2) The employee;
 - (3) The supervisor;
 - (4) The employee’s Official Personnel Folder; and
 - (5) The Employment Policy Officer in Human Resources’ Guidance, Innovation and Review Division.

Chapter 5

Vacancy Announcements

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1. What Are the Minimum Areas of Consideration and Open Periods for Vacancy Announcements?

Use the table below to determine the minimum area of consideration and open period.

GRADE OF POSITION	MINIMUM AREA OF CONSIDERATION	MINIMUM OPEN PERIOD
Vacancies announced under SBA's Merit Promotion Plan		
GS-14 and 15	SBA employees nationwide	10 workdays
GS-8 through 13	SBA employees in the local commuting area	10 workdays
GS-7 (or wage grade equivalent) and below	SBA employees in the local commuting area	5 workdays
Vacancies announced under Delegated Examining Authority		
All grades	Any U.S. citizen nationwide	5 workdays

A vacancy announcement may be open for up to 6 months. Such an announcement may include cut-off dates for the receipt and consideration of applications.

2. Are There Exceptions to the Minimum Area of Consideration?

There are two possible exceptions for positions and personnel actions announced under the Merit Promotion and Placement Plan (Chapter 6).

- a. If there are documented ceiling or budget restrictions, the area of consideration may be limited to the employees in the affected organizational unit.
- b. The area of consideration for a temporary promotion or detail with no provision for becoming permanent may be limited to the local commuting area.

In either case, the supervisor or manager must provide the servicing personnel specialist with written justification supporting the exception. Such justification will be filed in the merit promotion case file.

3. Can the Area of Consideration Be Expanded?

The selecting official may choose a broader area of consideration after considering the diversity of the workforce and the underrepresentation of minorities and women in his/her organization and/or the likelihood of finding well-qualified applicants. The minimum area of consideration also may be expanded to include applicants with competitive status from outside the SBA and non-status applicants.

4. What Is SBA's Policy Regarding Payment of Relocation Expenses?

The SBA standard policy is that **relocation expenses are not authorized**. The Agency's justification is that qualified candidates are available from the local commuting area. If a supervisor believes that payment of relocation expenses must be offered in order to fill a vacancy, then he/she must follow the procedures below to obtain authorization.

5. When May SBA Authorize Payment of Relocation Expenses?

- a. The payment of relocation expenses is NOT an entitlement. SBA may authorize relocation expenses for any permanent, career position as long as it is determined to be in the best interest of the Agency. It is management's responsibility to determine when such payment is in the best interest of the Agency – before a personnel action (recruitment, reassignment, transfer, etc.) is authorized. SBA has decided it is in the best interest of the Agency to allow relocation expenses, without specific approval, only for the following positions:

- (1) Permanent, career positions for which the Administrator is the selecting official;
 - (2) Positions filled through a vacancy announcement where SBA's Merit Promotion and Placement Plan requires a nationwide area of consideration (positions at GS-14 and above);
 - (3) Office of Disaster Assistance department manager positions with full performance level at GS-13 or above; and
 - (4) Positions in the Office of Inspector General.
- b. For all other positions, the supervisor must submit a written request for approval. Relocation expenses will generally be approved in the following situations:
- (1) Under a recruitment action, SBA will authorize funds for relocation expenses only when labor market conditions in the local commuting area fail to yield a diverse pool of well-qualified candidates.
 - (2) Under a reassignment action, SBA will authorize funds for relocation expenses only when it is justified as being in the best interest of the Agency.

NOTE: Relocation expenses will not generally be approved for positions at GS-7 and below, regardless of promotion potential.

6. How Do I Request Approval for Relocation Expenses and Who is Authorized to Approve My Request?

- a. You must submit your request on SBA Form 2053, "Request for Authorization of Relocation Expenses" (Appendix 13), including justification, through the clearances listed on the form to the appropriate authorizing official:
- (1) The Associate Administrator for Disaster Assistance (AA/DA) for positions in the Office of Disaster Assistance;
 - (2) The appropriate Associate Deputy Administrator (ADA); or
 - (3) The Chief Operating Officer, if you are an ADA or you do not report through an ADA.

NOTE: Since the AA/DA is an authorizing official, he/she does not need to sign SBA Form 2053 as the Management Board member.

- b. If your request is approved, forward the SBA Form 2053 to your servicing personnel office. If it is for a recruitment action, your servicing personnel office will include the statement “Relocation expenses are authorized” on the vacancy announcement. If the request is not approved, your servicing personnel office will include the statement “Relocation expenses are NOT authorized” on the vacancy announcement.

7. What Must a Vacancy Announcement Contain?

All SBA vacancy announcements must be prepared using the vacancy announcement format in Appendix 14, must contain the applicable items and statements from those in Appendix 15.

8. How Is a Vacancy Announcement Amended or Cancelled?

- a. To amend a vacancy announcement, the servicing personnel office issues an amended announcement, which includes the reason for the amendment, and distributes it to the same recruiting sources as the original announcement.
- b. Amendments and cancellations may only be issued while an announcement is still open.
- c. A closed announcement cannot be amended; changing it requires readvertisement.

9. Where Can I Find SBA Vacancy Announcements?

SBA vacancy announcements are:

- a. Sent to SBA employees by electronic mail;
- b. Usually available from SBA servicing personnel offices;
- c. Available on SBA’s Internet home page at <http://www.sba.gov/jobs/> ;
- d. Available on Your Electronic SBA at <http://www.yes.sba.gov> (click on “VACANCY”); and
- e. Available on the U.S. Government’s official job website at <http://www.usajobs.opm.gov> if it is open to persons outside the SBA.

Chapter 6

Merit Promotion And Placement Plan

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1. What's Covered by the Merit Promotion and Placement Plan?

The merit promotion and placement plan covers competitive selection for General Schedule and wage grade positions in the competitive service including:

- a. Temporary promotion for more than 120 calendar days to a higher graded position (any service in a higher-graded position during the preceding 12 months under noncompetitive temporary promotions and/or noncompetitive details counts toward the 120-day limitation) [5 CFR 335.103(c)(1)(i)].
- b. Detail for more than 120 calendar days to a higher-graded position or to a position with more promotion potential (service is counted toward the 120 day limitation as prescribed in Chapter 6, question 1.a.) [5 CFR 335.103(c)(1)(ii)].
- c. Selection for training which is required before an employee may be promoted [5 CFR 335.103(c)(1)(iii)].
- d. Reassignment to or change to a lower-graded position with more promotion potential than a position previously held on a permanent basis in the competitive service (except as permitted by reduction in force

regulations or to place an individual who failed supervisory/managerial probation) [5 CFR 335.103(c)(1)(iv)].

- e. Transfer to a position at a higher grade or with more promotion potential than a position previously held on a permanent basis in the competitive service [5 CFR 335.103(c)(1)(v)].
- f. Reinstatement to a permanent or temporary position at a higher grade or with more promotion potential than a position previously held on a permanent basis in the competitive service [5 CFR 335.103(c)(1)(vi)].
- g. Inservice placement action (e.g., reassignment, repromotion, reinstatement, voluntary demotion) when the minimum qualification requirements are modified and the position has more promotion potential.

2. What's **Not** Covered?

The plan doesn't cover:

- a. Career promotion [5 CFR 335.103(c)(3)(i)].
- b. Selection from a "Certificate of Eligibles" resulting from the competitive examining process.
- c. Designation of an employee to temporarily serve in an acting capacity.
- d. Position change permitted by reduction in force regulations [5 CFR 335.103(c)(2)(ii)].
- e. Noncompetitive promotion resulting from the upgrading of a position, without significant change in the duties or responsibilities, due to issuance of a new classification standard or correction of a classification error [5 CFR 335.103(c)(2)(i)].
- f. Permanent promotion to a position currently held under a temporary promotion when:
 - (1) The temporary promotion was a competitive merit promotion selection; and
 - (2) The vacancy announcement stated that the temporary promotion might become permanent without further competition. [5 CFR 335.103(c)(1)(i)]
- g. Reinstatement of a former career or career-conditional employee who served under a career Senior Executive appointment, to any position and grade for which qualified.

- h. Temporary promotion, or detail to a position at a higher grade level or with known promotion potential, for 120 calendar days or less during any 12 month period [5 CFR 335.103(c)(3)(iii)].

NOTE: *Any service in a higher-graded position during the preceding 12 months under noncompetitive temporary promotions and/or noncompetitive details counts toward the 120-day limitation.*

- i. Temporary promotion beyond 120 calendar days in any 12-month period based on the employee's eligibility for noncompetitive promotion to the same or higher grade level.
- j. Promotion, reassignment, change to a lower grade, transfer, reinstatement or detail to a position having promotion potential no greater than the potential of a position the employee holds or previously held on a permanent basis in the competitive service which the employee lost for reasons other than performance or conduct [5 CFR 335.103(c)(3)(v)].
- k. Consideration of an individual not given proper consideration by SBA in a promotion action [5 CFR 335.103(c)(3)(vi)].
- l. Selection under the Career Transition Assistance Plan, the Reemployment Priority List, or the Interagency Career Transition Assistance Plan (see Chapter 17).
- m. Appointment or conversion to the Senior Executive Service (see SOP 39 20, "Senior Executive Service").
- n. Excepted service, Public Law or other appointment which is an exception to competitive procedures (e.g., attorney appointment, Veterans Readjustment appointment, Outstanding Scholar appointment).
- o. Noncompetitive promotion, when consistent with the Merit System Principles, attributable to the assignment of duties that results in an employee's position being reclassified at a higher grade [5 CFR 335.103(c)(3)(ii)]. Reclassification to the higher grade must be confirmed by an audit and the supervisor must submit written certification (Appendix 16) to the servicing personnel office that all of the following conditions are met:
- (1) The employee continues to perform the same basic functions of the former position and the duties of the former position are absorbed into the new position;
 - (2) The new position has no known promotion potential;

- (3) The employee is the only employee in the office/field site at his/her grade level who meets the minimum qualifications and time-in-grade requirement for promotion to the new position;

NOTE: *If there is more than one employee who meets these requirements, the manager has the option to either advertise the higher-graded position for open competition or take the higher-graded duties away from the employee performing them.*

- (4) The additional duties and responsibilities do not adversely affect another encumbered position;
 - (5) The position does not change from non-supervisory to supervisory; and
 - (6) The supervisor provides the servicing personnel office with the following information:
 - (a) How the additional duties and responsibilities were identified; and
 - (b) Why this specific employee is the only employee in the office/field site to whom the additional duties and responsibilities can be assigned.
- p. Placement resulting from a decision or settlement by a Federal court, the Merit Systems Protection Board, Federal Labor Relations Authority, Office of Equal Employment Opportunity, arbitrator, etc.

3. How Do Bargaining Agreements Relate to This Plan?

To the extent that this plan conflicts with a negotiated agreement, the negotiated agreement shall prevail when filling bargaining unit positions.

4. How Does Career Transition Assistance Impact Recruitment?

The Career Transition Assistance Plan (Chapter 18) requires that certain individuals who have lost or will lose their jobs due to reduction in force or downsizing be selected for positions before other applicants, including those who apply under Merit Promotion.

5. Where Are SBA's Career Ladders Documented?

SBA's career ladders are documented in Appendix 17. The career ladder of an individual position should also be documented on the "Position Description" cover sheet (OF 8) and on the employee's "Notification of Personnel Action" (SF 50).

6. When May I Be Given a Career Ladder Promotion?

If you are in a career ladder, below the full performance level, you may be given a career ladder promotion when you:

- a. Meet the time-in-grade and qualification requirements;
- b. Have demonstrated the ability to perform at the next higher grade level;
- c. Have a current rating of record of at least "Fully Successful" (Level 3) and a rating of at least "Fully Successful" on each critical element; and
- d. Are recommended for promotion by your supervisor.

The fact that you are in a career ladder position does not entitle you to promotion. Management retains the right to decide whether and when you are promoted.

7. As a Supervisor, What Are My Responsibilities to Employees in Career Ladders?

You must:

- a. Ensure that career ladder employees receive necessary training to perform at the higher grade level;
- b. Provide career ladder employees with opportunities to demonstrate their ability to perform at the next higher grade level by assigning work that is typical of that level;
- c. Notify career ladder employees immediately any time their performance is less than fully successful, clearly and fully explaining to them what is expected before you will promote them, and offer reasonable assistance (e.g., training) so they have the opportunity to demonstrate the ability to perform at the higher grade level; and
- d. Submit a "Request for Personnel Action" (SF 52) to your servicing personnel office at least 2 weeks in advance of the proposed effective date of a career ladder promotion.

NOTE: *The same process applies to promotion of employees in jobs with known promotion potential.*

8. Can a Promotion Be Temporary?

- a. You can be promoted for a specified time period up to 5 years to fill a temporary need such as filling a temporary position, accomplishing work of a project nature, or filling a position temporarily pending recruitment, reorganization or downsizing. Promotions lasting longer than a total of 120 calendar days must generally be announced under the Merit Promotion and Placement Plan [5 CFR 335.102(f), 5 CFR 335.103(c)(i)].
- b. You may be noncompetitively promoted for a total of 120 calendar days in any 12-month period. Any service in a higher-graded position during the preceding 12 months under noncompetitive temporary promotions and details counts toward the 120-day limitation.
- c. If you are temporarily promoted, your servicing personnel office will notify you in advance in writing of the conditions of the temporary promotion. Appendix 18 contains a sample notification.

9. What Is Priority Consideration?

Priority consideration is consideration given to individuals who were not properly considered by the SBA for a previous placement action. Priority consideration must be given before the servicing personnel office may refer other individuals for selection. The servicing personnel specialist must notify in writing any individuals entitled to priority consideration (see Appendix 19) with a copy to HR's Director, Guidance, Innovation and Review Division.

10. What Am I Entitled to Under Priority Consideration?

You are entitled to:

- a. One priority consideration for each action for which you didn't get proper consideration.
- b. Consideration for a position for which you qualify that is in the same series and grade, has the same promotion potential, and is in the same geographic location as the position for which you didn't receive proper consideration.
- c. Consideration for a position filled by the same servicing personnel office as the position for which didn't get proper consideration.

The selecting official is not required to select you or to justify nonselection. Priority consideration does not mean that you have a right to a position. If you are not selected, you will be considered again along with all other applicants.

11. What Are the Procedures for Giving Priority Consideration?

Servicing personnel offices must:

- a. Keep a Priority Consideration File containing the applications of individuals who are entitled to priority consideration;
- b. Refer priority consideration individuals to the selecting official before referring other applicants. These individuals' names are placed in alphabetical order on SBA Form 422A, "Noncompetitive Eligibles List," (Appendix 20) which is sent to the selecting official along with the individuals' applications; and
- c. Notify individuals in writing when they receive priority consideration (see Appendix 21).

12. If I Will Be Absent for an Extended Period, Can I Still Be Considered for Promotion?

If you are absent for 5 or more consecutive workdays for one of the following reasons, you may be considered for promotion opportunities in the same area of consideration as your current position which are announced during your absence:

- a. Military duty;
- b. Training held away from your worksite;
- c. Detail to an international organization or another Federal agency (Chapter 13), or detail to a non-Federal organization under the Intergovernmental Personnel Act (Chapter 14); or
- d. Leave, including leave without pay.

13. How Do I Receive Consideration During My Absence?

- a. You must send to your supervisor:
 - (1) An up-to-date application;
 - (2) A copy of your most recent annual performance appraisal;

- (3) A list of the job series for which you want consideration; and
 - (4) The reason for and dates of your absence.
- b. Your supervisor will:
- (1) Submit copies of your application and performance appraisal for appropriate promotion opportunities announced during your absence; and
 - (2) Notify you of the vacancy announcements for which your application was submitted.
- c. You may submit a narrative addressing the quality ranking factors (QRFs) up until the servicing personnel office prepares the “Competitive Eligibles List” for the position. You may also ask your servicing personnel office for typical QRFs for the positions for which you want consideration so that you may address the QRFs in your application package.

14. What Is Automatic Consideration?

Automatic consideration is the referral of all SBA employees in the minimum area of consideration who meet the minimum qualifications and time-in-grade requirement based on information in their Official Personnel Folders (OPFs). The vacancy is not announced under this procedure, but the servicing personnel office must notify employees in the area of consideration (e.g., e-mail, post a notice) to give them the opportunity to update the applications in their OPFs or decline consideration.

15. When May Automatic Consideration Be Used?

- a. Automatic consideration may be used to fill:
- (1) Bargaining unit vacancies at the GS-7 level and below which are at the full performance level; and
 - (2) Non-bargaining unit vacancies at any grade level which are at the full performance level.
- b. Automatic consideration may not be used to fill positions under the Upward Mobility Program (see Chapter 15 of this SOP).

16. What Are SBA's Policies on Considering Applications?

- a. Applications which arrive or are postmarked on or before the vacancy announcement closing date are considered as timely.
- b. Applications mailed in Government postage-paid envelopes, metered mail, or sent by Federal Express, UPS or other delivery services paid for by the Government will not be considered. (Employees who submit job applications in this manner may be disciplined for such conduct.) Applications sent to an SBA facsimile machine or sent by electronic mail will not be considered unless otherwise stated on the vacancy announcement.

17. How Are Applicants for Noncompetitive Selection Referred to the Selecting Official?

The servicing personnel specialist:

- a. Rates applicants against the minimum qualification requirements, including any selective factors, and records each rating on an SBA Form 1239A, "Applicant Rating and Ranking Form" (Appendix 22);
- b. Prepares a "Noncompetitive Eligibles List" (SBA Form 422A) listing all qualified applicants in alphabetical order within each grade level; and
- c. Sends the SBA Form 422A and applications to the selecting official.

18. How Are Applicants Evaluated Under the Merit Promotion and Placement Plan?

- a. The servicing personnel specialist rates applicants against the minimum qualification requirements, including any selective factors, and records each rating on an SBA Form 1239A, "Applicant Rating and Ranking Form" (Appendix 22).
- b. The servicing personnel specialist or a merit promotion panel normally ranks the applicants (see Chapter 6, question 21).

NOTE: If there are 10 or fewer qualified applicants at a grade level, the selecting official, in conjunction with the servicing personnel specialist, may identify job-related criteria to distinguish well-qualified applicants from those who only meet the minimum qualification requirements, and the well-qualified

applicants may be referred for selection. The well-qualified applicants are those who demonstrate possession of the most desirable quality ranking factors identified for the position and will be referred to the selecting official using the procedures in Chapter 6, question 24. The servicing personnel specialist must document the merit promotion file to show how the well-qualified group was determined.

19. Who May Serve on Merit Promotion Panels?

A panel member must be:

- a. At a grade at least equal to the full performance level of the vacancy;
- b. Thoroughly familiar with the duties of the vacancy;
- c. Not an applicant for the vacancy, the immediate supervisor of an applicant, or the relative of an applicant; and
- d. Not the selecting official or the immediate supervisor of the vacancy.

20. How Does the Servicing Personnel Specialist Conduct a Merit Promotion Panel?

When using a panel, the servicing personnel specialist:

- a. Arranges for at least 2 panel members, who are chosen by the selecting official, to serve on the panel;
- b. Invites a representative of SBA's Office of Equal Employment Opportunity (EEO) to observe the panel process (at the Office of EEO's option);
- c. If the vacant position is a bargaining unit position, notifies the local union which may send a union representative to observe the panel process; and
- d. Explains the ranking process to the panel members, the EEO representative and the union representative, and gives each a copy of Appendix 23, Instructions to Merit Promotion Panels, and Appendix 24, Guidelines for Crediting Training, Awards and Performance Appraisal.

21. How Does the Panel Rank the Applicants?

- a. The panel members (or personnel specialist) individually review the qualified applications and assign points for the quality ranking factors, training, awards, and performance appraisal according to the Instructions to Merit Promotion Panels (Appendix 23), the crediting plan and the Guidelines for Crediting Training, Awards and Performance Appraisal (Appendix 24). Panel members may only assign points based on evidence found in the application package.
- b. The panel members (or personnel specialist) must record the points assigned for each factor and a brief notation of the evidence on SBA Form 1239A, "Applicant Rating and Ranking Form."
- c. If there is a significant difference between the points the panel members assigned to a factor for the same applicant, they should discuss their reasons for assigning the scores and come to an agreement on the final score for the factor. The reason(s) for the final score must be documented. If there is no significant differences between the scores, the average score can be used.
- d. The servicing personnel specialist records the points assigned to each applicant for each grade level on SBA Form 1239, "Merit Promotion Ranking Summary" (Appendix 25).

22. What Must the Servicing Personnel Specialist Do After the Panel Ranks the Applicants?

The servicing personnel specialist must review all documents completed by the panel to assure that:

- a. The panel members ranked all qualified applicants; and
- b. Records are complete enough to reconstruct the case.

23. How Are the Best Qualified Applicants Identified?

The panel members (or the servicing personnel specialist) use the total scores on SBA Form 1239, "Merit Promotion Ranking Summary," to list the applicants in score order on the form and determine which are the best qualified. The best qualified may be determined by establishing a cut-off point where there is a significant score difference between applicants or some other justifiable method (e.g., applicants whose scores equal or exceed a specific percentage of the total possible points). The method used to determine the best qualified applicants must be documented on the form.

24. How Are the Best Qualified Applicants Referred to the Selecting Official?

The servicing personnel specialist:

- a. Prepares an SBA Form 422, “Competitive Eligibles List,” (Appendix 26) listing the best qualified applicants in alphabetical order within each grade level (without scores); and
- b. Sends the “Competitive Eligibles List,” along with the applications, to the selecting official.

25. Can a Competitive Eligibles List Be Amended?

- a. The servicing personnel specialist may only amend a Competitive Eligibles List to correct errors or, after the original list is returned by the selecting official, to replace applicants who declined the position.
- b. The servicing personnel specialist must document the reason for the amendment in the remarks section.

26. What Must the Servicing Personnel Specialist Do After the Selecting Official Returns Competitive and Noncompetitive Eligibles Lists?

The servicing personnel specialist:

- a. Reviews the lists to assure that the selecting official fully documented the actions taken on the lists;
- b. Tentatively offers the position to the selected applicant contingent upon completion of the required security paperwork (see Chapter 10, Background Investigations and Suitability Determinations), or delegates this responsibility to the selecting official;
- c. E-mails the Office of Inspector General’s Director, Office of Security Operations, the selected applicant’s full name, social security number, date and place of birth, proposed entry-on-duty date, the title, series, grade and duty station of the position accepted; and
- d. Arranges the release date (for current Federal employees) or the entry-on-duty date (for the outside applicant) once OIG provides a preliminary employment check.

27. When Do Selections Become Effective?

Release dates are negotiable between the losing and the gaining organizations. SBA employees are usually released from their present positions at the end of the pay period closest to 2 weeks after selection.

28. How is the Selected Employee's Official Personnel Folder (OPF) Documented?

The servicing personnel office must:

- a. Include the vacancy announcement number and full performance level of the position on the "Notification of Personnel Action" (SF 50); and
- b. File the submitted job application in the employee's OPF.

29. May a "Competitive Eligibles List" Be Used to Fill Another Position?

A previously issued "Competitive Eligibles List" may be used to fill another position if all of the following apply:

- a. The list resulted from a previous merit promotion action which complied with this plan;
- b. The new vacancy is identical to the previous vacancy (same job series, grade, duties, responsibilities, qualification requirements, selective factors, quality ranking factors, and geographic location); and
- c. No more than 180 calendar days have passed since the closing date of the previous vacancy announcement (90 calendar days for an AFGE bargaining unit position covered by the Master Agreement).

30. What Information Must the Servicing Personnel Office Keep in Merit Promotion Files and How Long Must They be Kept?

- a. The servicing personnel office must file a completed SBA Form 2046, "Merit Promotion Checklist" (Appendix 27) and the items listed on the checklist in the merit promotion record.
- b. The servicing personnel office must maintain merit promotion records until at least 2 years have passed since:

- (1) The effective date of the personnel action; or
- (2) The date the vacancy announcement was cancelled.

31. What Information in Merit Promotion Files May the Personnel Office Release to an Applicant?

The personnel office may release the following information to an applicant upon written request of the applicant, or the applicant's attorney or other representative with the applicant's notarized consent:

- a. Quality ranking factors (QRFs) as shown on the vacancy announcement;
- b. Total possible points for each QRF;
- c. Final scores the applicant received for the QRFs, training, awards and performance appraisal;
- d. A copy of the "Merit Promotion Ranking Summary" excluding the names of the other applicants;
- e. How the best qualified group was determined;
- f. Name(s) of the person(s) selected for the position;
- g. A copy of the "Competitive Eligibles List(s)" and/or "Noncompetitive Eligibles List(s)" sent to the selecting official showing only the names of the requester, if referred, and the person(s) selected;
- h. The applicant's own application and attachments; and
- i. Information which does not compromise the objectivity and fairness of the rating and ranking process (e.g., whether applicants were ranked by a personnel specialist or panel, the appointing authority used to fill the position).

32. Can I Grieve My Merit Promotion Rating and/or Ranking?

If you believe your rating and/or ranking was improper, you may file a grievance under SOP 37 71, "Employee Dispute Resolution Process."

- 33. What Can I Do if I Believe that Merit Promotion Procedures Were Not Followed?**
- a. If you believe the procedures were not properly applied to you, you and/or your officially designated representative should discuss the issue with the appropriate personnel representative.
 - b. If you are not satisfied after you are given a full explanation, you may:
 - (1) File a grievance under SOP 37 71, “Employee Dispute Resolution Process,” if you are:
 - (a) A non-bargaining unit SBA employee;
 - (b) A bargaining unit SBA employee not covered by a negotiated grievance procedure; or
 - (c) Not an SBA employee.
 - (2) File a grievance under SBA’s negotiated grievance procedure if you are an SBA employee covered by a negotiated grievance procedure;
 - (3) Contact an SBA equal employment opportunity counselor if you believe you were discriminated against based on race, color, religion, sex, national origin, age, physical or mental disability and/or reprisal (applies to all applicants).
 - c. File an allegation of prohibited personnel practice with SBA or with the Office of Special Counsel (see SOP 37 71, “Employee Dispute Resolution Process”) if you believe that a prohibited personnel practice occurred (see Appendix 4).

Chapter 7

Delegated Examining

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1. What Procedures Must Servicing Personnel Specialists Follow for Delegated Examining?

Servicing personnel specialists must follow the procedures in this Chapter and those in :

- a. The Office of Personnel Management's (OPM) Delegated Examining Operations Handbook; and
- b. The current interagency agreement between the SBA and OPM (Appendix 28).

2. What Must an Examiner Do in Cases of Potential Conflict of Interest?

If an examiner or a relative or member of the examiner's household applies for a position announced by the examining unit, the examiner must notify the unit's supervisor and withdraw from any involvement in the examining process for that position.

3. What Are SBA's Policies on Granting Application Extensions, Veteran Preference and Considering Incomplete Applications?

- a. SBA generally does not grant application extensions and only considers application materials received or postmarked by the vacancy announcement closing date, unless otherwise stated on a specific vacancy announcement.
- b. SBA only grants veteran preference based on the required proof of preference received or postmarked by the vacancy announcement closing date, unless otherwise stated on a specific vacancy announcement.
- c. SBA does not request missing application material from individuals who submit incomplete applications. The servicing personnel specialist will rate and rank applicants based only on application materials received or postmarked by the vacancy announcement closing date, unless otherwise stated on a specific vacancy announcement.

4. How Are Applicant Ratings and Rankings Documented?

Servicing personnel specialists must document: whether or not the applicant met the minimum qualification requirement, including any selective factor(s); points awarded for each quality ranking factor; and veteran preference points and type. SBA Form 2038, “Delegated Examining Rating and Ranking Form,” (Appendix 29) may be used to document applicant ratings and SBA Form 2039, “Delegated Examining Ranking Summary” (Appendix 30), may be used to summarize the ranking of applicants. Documentation must contain enough detail so that each applicant’s rating and ranking can be reconstructed, and must be signed and dated by the personnel specialist.

5. What Are the Procedures for Breaking Ties?

The servicing personnel specialist uses name requests, if any, to break tied rankings. If ties remain after applying name requests, the personnel specialist breaks the ties by using the random number procedures in OPM’s Delegated Examining Operations Handbook.

6. How Are “Certificates of Eligibles” Issued?

The servicing personnel specialist prepares “Certificates of Eligibles” according to OPM’s Delegated Examining Operations Handbook. SBA Form 2040, “Certificate of Eligibles” (Appendix 31) may be used for this purpose. Each examining unit must establish a system, based on the requirements in OPM’s Delegated Examining Operations Handbook, for numbering the certificates it issues.

7. What Are the Procedures for Reconsidering Applicant Ratings and Rankings?

Written requests for reconsideration are handled as follows:

- a. For the Human Resources Operations Division (HROD) delegated examining units in Washington, DC and Denver, CO:
 - (1) A team leader conducts the first level review.
 - (2) The Director or Deputy Director, Human Resources Operations Division conducts the second, final review, if requested by the applicant.

- b. For the Office of Disaster Assistance's delegated examining unit in Washington, DC:
 - (1) The Deputy Director, Office of Disaster Personnel conducts the first level review.
 - (2) The Director, Office of Disaster Personnel conducts the second, final review, if requested by the applicant.
 - c. For the delegated examining units in the disaster area offices:
 - (1) The Area Personnel Officer conducts the first level review.
 - (2) The Director or Deputy Director, Office of Disaster Personnel conducts the second, final review, if requested by the applicant.
 - (3) If the Area Personnel Officer made the original rating and ranking decision, the Deputy Director for Disaster Personnel conducts the first level review and the Director, Office of Disaster Personnel conducts the second, final review, if requested by the applicant.
 - d. For the Office of Inspector General's delegated examining unit:
 - (1) The Assistant Inspector General for Management and Policy conducts the first level review.
 - (2) The Deputy Inspector General conducts the second, final review, if requested by the applicant.
- 8. Who Adjudicates a Selecting Official's Objection to an Individual on a Certificate of Eligibles?**
- a. The Office of Personnel Management adjudicates objections based on:
 - (1) Qualifications which would result in passing over a 30 percent or more disabled veteran;
 - (2) Medical reasons of preference eligibles; and
 - (3) Suitability issues.

- b. The following SBA officials adjudicate other objections:
 - (1) Team leaders adjudicate for the Human Resources Operations Division's examining units in Washington, DC and Denver.
 - (2) The Deputy Director, Office of Disaster Personnel adjudicates for the Office of Disaster Assistance's examining unit in Washington, DC.
 - (3) The Area Personnel Officer adjudicates for the examining units in the disaster area offices. If the Area Personnel Officer rated the applicant, the Deputy Director, Office of Disaster Personnel adjudicates the objection.
 - (4) The Assistant Inspector General for Management and Policy adjudicates for the Office of Inspector General's examining unit.

9. Does SBA Grant Priority Consideration?

SBA grants priority consideration to individuals who lost opportunities for certification or consideration. Each SBA examining unit must:

- a. Keep a Priority Consideration File containing the applications of priority consideration eligibles;
- b. Notify individuals in writing of eligibility for priority consideration (see Appendix 32) and place a copy in the Priority Consideration File;
- c. Check the Priority Consideration File before issuing a Certificate of Eligibles and document the "Delegated Examining Checklist," SBA Form 2048 (Appendix 34), to show that the file was checked;
- d. Refer priority consideration eligibles according to OPM's Delegated Examining Operations Handbook;
- e. Notify individuals in writing when they receive the priority consideration to which they were entitled (see Appendix 33) and place a copy of the notification in the Priority Consideration File; and
- f. Keep the application and related documentation on file for 1 year after priority consideration is given.

10. What Are the Procedures for Retaining and Considering Unsolicited Applications from 10-Point Preference Eligibles?

Each examining unit must:

- a. Keep a 10-Point Preference File containing acceptable unsolicited applications from 10-point preference eligibles (acceptable applications are those with an SF 15, "Application for 10-Point Veteran Preference," and proof required by the SF 15, for positions which the examining office has filled by nontemporary appointment within the preceding 3 years);
- b. Place acceptable applications in the 10-Point Preference File;
- c. Return applications which don't meet the conditions described above, with a written explanation;
- d. Send written notification to individuals who submit acceptable applications that their application will be kept on file for 6 months and how they may request an extension of the consideration period;
- e. Follow the procedures in OPM's Delegated Examining Operations Handbook to check the 10-Point Preference File, refer applications, and document the examining record; and
- f. Destroy applications after the consideration period ends.

11. What Items Must Be Kept in a Delegated Examining File?

The delegated examining file must contain the items listed on SBA Form 2048, "Delegated Examining Checklist" (Appendix 34).

12. Who Prepares and Submits the Reports on Delegated Examining Activity?

- a. The following officials are responsible for assuring that reports required by the Interagency Agreement (Appendix 28, section E.2.r.) for the examining units under their jurisdiction are submitted to OPM:
 - (1) The Director, Human Resources Operations Division;
 - (2) The Office of Inspector General's Personnel Officer; and
 - (3) The Director, Office of Disaster Personnel.

- b. Examining units must send a copy of each report, including negative reports, to the Employment Officer in Human Resources' Guidance, Innovation and Review Division.

13. Are Delegated Examining Units Subject to Audit?

The Employment Officer in Human Resources' Guidance, Innovation and Review Division conducts audits and certifies completion of audits to OPM.

Chapter 8

Employment Interviews

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1. Who May Interview Job Applicants?

Selecting officials may interview job applicants or designate another individual or individuals to conduct interviews. A selecting official who designates another individual to conduct interviews is still required to document on the selection lists that interviews were conducted, as appropriate.

2. How Long Do I Have to Conduct Interviews?

You should complete interviews within 2 weeks after receiving lists of applicants from the servicing personnel specialist. If you need more time (e.g., to conduct a second round of interviews, allow for scheduling conflicts, etc.), you must notify your servicing personnel specialist.

3. Do I Have to Interview All of the Applicants on a List?

- a. If you interview one applicant on an SBA Form 422, "Competitive Eligibles List" (Appendix 26), you must interview all of them. If the position is one for which the Executive Resources Board (ERB) interviews and the ERB has interviewed the applicant within the past year for a similar position, in lieu of a second interview, the ERB may document the "Competitive Eligibles List" with the position title, series, grade and vacancy announcement number of the position for which the applicant was previously interviewed.

- b. You may interview any number of applicants referred on SBA Form 422A, “Noncompetitive Eligibles List” (Appendix 20). You need not interview them all.
 - c. You may interview any of the applicants referred on an SBA Form 2040, “Certificate of Eligibles” (Appendix 31). However, you should keep the following in mind:
 - (1) You may select from among the highest three applicants available for each vacancy.
 - (2) You may not pass over a veteran preference eligible to select a non-preference applicant unless you submit a written objection through your servicing personnel office which is sustained by the examining unit in the servicing personnel office or by the Office of Personnel Management.
- 4. What if I Can’t Contact an Applicant for an Interview?**
- a. If the applicant is on a “Certificate of Eligibles” resulting from the competitive examining process and you are unable to contact the applicant, or the applicant doesn’t show up for an interview, contact your servicing personnel specialist.
 - b. If the applicant is on a “Noncompetitive Eligibles List” or a “Competitive Eligibles List” and you made reasonable efforts to contact the applicant in writing and documented these efforts on the list of applicants (e.g., dates, times, methods), you don’t have to interview the applicant.
- 5. What Must I Do About Employment Interviews With Disabled Applicants?**
- a. If a applicant is hearing impaired, you must offer the applicant the services of a sign language interpreter. If the applicant requests an interpreter, you must arrange for one to be present during the interview.
 - (1) For interviews in the Washington, DC metropolitan area, contact the HROD at least 3 workdays before the interview. You’ll need to tell HROD whether the applicant prefers American Sign Language, English-based sign language or signed code for English. If a blanket purchase agreement is in place, HR will arrange for an interpreter and pay for the services. Otherwise, you’ll need to follow the procedure below.

- (2) For interviews outside of the Washington, DC metropolitan area, contact your servicing personnel office at least 3 workdays before the interview. You'll need to tell your servicing personnel office whether the applicant prefers American Sign Language, English-based sign language or signed code for English. Your servicing personnel office will provide you with the name of a certified interpreter from the Membership Directory of the Registry of Interpreters for the Deaf. You will need to submit a "Requisition for Supplies, Services and Federal Assistance," SBA Form 2, through normal clearance to obtain the interpreter's services.
- b. If a disabled applicant requests other reasonable accommodation, contact your servicing personnel specialist for guidance.

6. Do I Have to Interview Applicants in Person?

Although face-to-face interviews are preferable, you may:

- a. Interview an applicant by telephone; or
- b. Ask another SBA employee working nearby the applicant's residence to conduct the interview for you. Such an SBA employee must hold a position at a grade at least equal to the full performance level of the vacancy.

7. May SBA Pay an Applicant's Travel Expenses for an Employment Interview?

Yes, SBA can pay an applicant's travel expenses (see SOP 20 11, "Travel," for request and approval procedures) for employment interviews should the selecting official consider it necessary. The selecting official's office must pay the applicant's travel expenses.

8. What Must I Do after Considering Job Applicants?

You must:

- a. Document the actions taken on each applicant and sign the “Competitive Eligibles List,” “Noncompetitive Eligibles List” and/or “Certificate of Eligibles” and return them along with the applications to your servicing personnel specialist; and
- b. Inform only the approving or reviewing official of any selection(s). The servicing personnel office will inform the selected applicant. If you wish to inform the selected applicant(s) personally, you must make arrangements in advance with your servicing personnel specialist.
- c. As a courtesy, it is strongly recommended that you or your designee, notify interviewed applicants of their nonselection.

Chapter 9

Recruitment, Relocation and Retention Incentives

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General Information

1. What Incentives Are Available?

- a. Recruitment Bonus. A recruitment bonus is a lump-sum payment of up to 25 percent of annual basic pay used to attract qualified candidates in a competitive job market.
- b. Superior Qualifications Appointment. A superior qualifications appointment allows a candidate for a General Schedule position to begin working at the lowest step of the grade that meets or exceeds his/her current pay or a competitive job offer. (These appointments were formerly known in SBA as advanced in-hires.)

NOTE: SBA must always consider paying a recruitment bonus before authorizing a superior qualifications appointment (see question 14).

- c. Relocation Bonus. A relocation bonus is a lump-sum payment of up to 25 percent of the annual rate of basic pay granted to an eligible SBA employee who relocates to accept a hard-to-fill SBA position in another commuting area.

- d. Retention Allowance. A retention allowance is a continuing payment of up to 25 percent of basic pay paid to retain a current employee who has unusually high or unique qualifications or meets a special need of the Agency and who is likely to leave Federal service for any reason.

2. Aren't Recruitment, Relocation and Retention Incentives Rare?

Recruitment, relocation and retention incentives are extremely rare. SBA will only offer an incentive in a rare situation where, after extensive recruitment, it is determined that an incentive is necessary to attract qualified applicants, compete with non-Federal employers, or retain an employee in a hard-to-fill position.

3. How are Incentives Funded?

a. Regular-Funded Employees

Incentives for employees who are paid out of the regular Salaries and Expenses account are funded from a central budget established specifically for recruitment, relocation and retention incentives. The Management Board member submitting the incentive request must obtain written certification from the Office of Planning and Budget in the Office of the Chief Financial Officer stating that funds are available to pay for the incentive and include the certification with the incentive request.

b. Other-Funded Employees

The Management Board members responsible for managing other funding sources (i.e., Disaster Assistance; Inspector General; special initiatives such as HubZone, Small Disadvantaged Businesses) must set up their own budgets for paying incentives and include written certification that funds are available with their incentive requests.

- c. For superior qualifications appointments, the amount to be funded is the difference between the annual starting salary the employee would get without a superior qualifications appointment (usually step 1 of the grade) and annual salary for the step requested under the superior qualifications appointment.
- d. For retention allowances, the amount to be funded is the amount of allowance for the first year.

4. Is it True that Selecting Officials Must Not Negotiate With a Candidate for an Incentive?

Selecting officials must not negotiate incentives directly with the candidate, but can discuss the minimum compensation package the candidate would accept after the candidate has declined an offer made by the servicing personnel office.

5. Who Negotiates with the Candidate for an Incentive?

If the senior Management Board member in your organization supports your request for an incentive, the servicing personnel office, after consulting with you, will negotiate with the candidate.

6. Can Incentives Be Combined?

- a. A recruitment bonus may be combined with a superior qualifications appointment for a General Schedule position.

NOTE: To request simultaneous consideration of both incentives, follow the procedures for requesting a superior qualifications appointment in question 17.

- b. A recruitment bonus and relocation bonus CANNOT be combined.
- c. A retention allowance CANNOT be paid during a period of employment required by a service agreement for a recruitment or relocation bonus.
- d. A relocation bonus may be paid after payment of a retention allowance begins.

7. Are Incentives Counted as Basic Pay?

- a. A superior qualifications appointment sets an employee's basic pay at a step above the minimum.
- b. A recruitment bonus, relocation bonus or retention allowance is NOT part of an employee's rate of basic pay for any purpose (e.g., retirement, Federal Employees Group Life Insurance).

8. Are Service Agreements Required for Incentives?

Recruitment bonuses and relocation bonuses require the individual to sign an agreement to remain with the Agency for a specified period of time.

- a. Bonuses of 10 percent or less require a service agreement of at least 12 months.
- b. Bonuses of more than 10 percent require a minimum service agreement of 24 months.

NOTE: If an employee is also serving under a service agreement for reimbursement of relocation expenses, the service agreements run concurrently.

9. What Happens if an Employee Separates Before Fulfilling His/Her Service Agreement?

- a. The employee must pay back a prorated share of the bonus according to the service agreement, unless the employee is involuntarily separated for reasons other than cause or charges of misconduct. The amount to be repaid is based on the gross amount of the bonus.

NOTE: The servicing personnel office will initiate recovery of the money through the National Finance Center's (NFC) Special Payroll Processing System from the employee's final salary payment, lump-sum annual leave payment, and refund of retirement contributions. If the full amount can't be recovered from these payments, NFC will set up a receivable account in its Administrative Billings and Collections System, bill the indebted individual and make arrangements to collect from other sources (e.g., future Federal tax refunds, Social Security payments). If the individual is employed by another Federal agency, the debt will be recovered through administrative offset procedures [5 CFR Part 550, Subpart K].

- b. Repayment of a bonus may be waived only if recovery would be against equity and good conscience or against the public interest (e.g., the cost of recovery is greater than the debt).

NOTE: The employee may request a waiver of repayment through his/her supervisor or former supervisor. The request must include the employee's name, a copy of the service agreement, and the reason(s) why repayment should be waived. The supervisor sends the request, along with his/her recommendation, to the appropriate Management Board member. If the Management Board member agrees, he/she will forward the request, along with his/her rationale, to the Recruitment and Retention Incentives Approval Panel or the Inspector General. If the panel or the IG doesn't approve the waiver request, they will return it to the Management Board member with a written explanation.

- c. The Recruitment and Retention Incentives Approval Panel or the Inspector General, as appropriate, may waive all or part of the repayment. The approval or disapproval of the waiver must be documented in writing with a copy provided to the servicing personnel office (see Appendix 37, item 2 for servicing personnel office procedures).

10. Will SBA’s Use of Recruitment, Relocation and Retention Incentives Be Evaluated?

The Office of Human Resources’ Guidance, Innovation and Review Division will evaluate SBA’s use of incentives every 2 years to determine if they are accomplishing their intended purpose and if any changes to SBA’s policies or procedures are needed.

Recruitment Incentives

11. Are All Positions Eligible for Recruitment Incentives?

- a. Not all positions are eligible. Use the table below to determine eligibility.
- b. Temporary and term appointments are eligible if the length of the appointment equals or exceeds the length of the service agreement required for the bonus amount (see question 8).

TYPE OF APPOINTMENT	ELIGIBLE FOR A RECRUITMENT BONUS?	ELIGIBLE FOR SUPERIOR QUALIFICATIONS APPOINTMENT?
Presidential Appointees	Yes*	No
Senior Executives	Yes	No
General Schedule	Yes	Yes
Prevailing Rate Systems	No	No

* *A recruitment bonus may not be paid to an individual appointed as the Administrator, or appointed to a position with the expectation of being appointed Administrator.*

12. Are All Candidates Eligible for Recruitment Incentives?

Candidates who are newly appointed to the Federal service or have at least a 90-day break in service are eligible. There are some exceptions to the requirement for a 90-day break in service which are described in the table below.

EXCEPTIONS TO THE 90-DAY BREAK IN SERVICE		
WITHIN THE LAST 90 DAYS, CANDIDATE HAS SERVED UNDER:	RECRUITMENT BONUS	SUPERIOR QUALIFICATIONS APPOINTMENT
Permanent employment that was neither full-time nor principal employment	Ineligible	Eligible
Temporary employment that was neither full-time nor principal employment	Eligible	Eligible
Student Temporary Employment Program [5 CFR 213.3202(a)]	Eligible	Eligible
Student Career Experience Program [5 CFR 213.3202(b)]	Eligible	Eligible
Law Clerk [5 CFR 213.3102(e)]	Eligible	Ineligible
Temporary employment as student during school vacation (5 CFR 575.103)	Eligible	Ineligible
Provisional appointment (5 CFR 316.403)	Eligible if new appointment is permanent and will immediately follow the provisional appointment	Ineligible
Appointment as expert or consultant (5 USC 3109)	Ineligible	Eligible
Appointment in District of Columbia government made on or after 10-1-87	Eligible	Eligible
Appointment in District of Columbia government made on or before 9-30-86	Ineligible	Ineligible

13. Must I Get Prior Approval for a Recruitment Incentive?

5 CFR 575.104(c)(1) requires written approval of a recruitment bonus before the employee enters on duty. 5 CFR 531.203(b)(1) authorizes the use of a superior qualifications appointment. The use of such an appointment must be approved before the appointment effective date. Once the candidate becomes an employee, a recruitment incentive can no longer be authorized.

14. Must a Recruitment Bonus Be Considered Before a Superior Qualifications Appointment Can Be Authorized?

SBA is required by 5 CFR 531.203(b)(3) to consider a recruitment bonus before authorizing a superior qualifications appointment. You may request simultaneous consideration of both incentives by following the procedures in paragraph 16 for requesting a superior qualifications appointment.

15. What Documentation Must I Have to Request a Recruitment Incentive?

- a. You must document the extensive recruitment efforts conducted for the position, and certify you are unable to fill the position without a recruitment incentive.
- b. For a recruitment bonus, you must have copies of letters issued by your servicing personnel office offering the acceptable referred candidate(s) the position at the normal starting salary, and documentation that each candidate declined. You must also document your reason for not selecting any of the referred candidates.
- c. For a superior qualifications appointment, you must have written documentation that supports your reason(s) for requesting a superior qualifications appointment for this candidate rather than selecting another candidate. You must have a copy of the written offer your servicing personnel office made to the superior candidate at the normal starting salary, and documentation of the candidate's declination (written declination from the candidate is preferred, but not required). You must also document your rationale for offering the specific salary.

16. How Do I Request a Recruitment Bonus and Who Is Authorized to Approve It?

- a. For positions in the Office of Inspector General (OIG)
- (1) Send your written request (see Appendix 35) to the OIG Personnel Officer, who reviews it to ensure that it meets technical requirements, concurs and forwards it to the Deputy IG.
 - (2) If your request does not meet technical requirements, the OIG Personnel Officer will notify you. You may modify and resubmit your request as long as the candidate has not been appointed.
 - (3) If the Deputy IG recommends your request, he/she will forward it to the Inspector General, who is authorized to approve the bonus. If the IG approves the request, he/she will send it to the OIG Personnel Officer, who will process your request (see Appendix 37).
 - (4) If the IG doesn't approve your request, he/she will return it to the Deputy IG with a written explanation. You may modify and resubmit your request as long as the candidate has not been appointed.
- b. For all other positions
- (1) Send your written request (see Appendix 35) through the senior Management Board member in your organization to your servicing personnel office, which will review your request to ensure that it meets technical requirements.
 - (a) The Director, Office of Disaster Personnel, must concur on requests involving Office of Disaster Assistance positions.
 - (b) The Executive Resources Manager must concur on requests involving Senior Executive Service (SES), Executive Schedule, and Schedule C positions.
 - (c) The Director, Human Resources Operations Division, must concur on requests involving non-Disaster and non-SES positions.
 - (2) If your request meets technical requirements, your servicing personnel office will forward it to the Chair of the Recruitment and Retention Incentives Approval Panel (see Appendix 36).

- (3) If your request does not meet technical requirements, your servicing personnel office will notify you. You may modify and resubmit your request as long as the candidate has not been appointed.
- (4) The Recruitment and Retention Incentives Approval Panel will consider your request and normally approve or disapprove it within 5 workdays of receiving it.
- (5) If the panel approves your request, the Chair will forward it to your servicing personnel office, which will notify you of the decision and process your request according to Appendix 37, including preparation of SBA Form 2045, "Recruitment Bonus Service Agreement" (Appendix 38).
- (6) If the panel doesn't approve your request, the Chair will return it to the senior Management Board member in your organization with a written explanation. You may modify and resubmit your request as long as the candidate has not been appointed.

17. How Do I Request a Superior Qualifications Appointment and Who Is Authorized to Approve It?

a. For positions in the Office of Inspector General

- (1) Send your written request (see Appendix 39) to the OIG Personnel Officer, who reviews it to ensure that it meets technical requirements, concurs and forwards it to the Deputy IG.
- (2) If your request does not meet technical requirements, the OIG Personnel Officer will notify you. You may modify and resubmit your request as long as the candidate has not been appointed.
- (3) If the Deputy IG recommends your request, he/she will forward it to the Inspector General, who is authorized to approve the request. If the IG approves the request, he/she will send it to the OIG Personnel Officer, who will process your request.
- (4) If the IG doesn't approve your request, he/she will return it to the Deputy IG with a written explanation. You may modify and resubmit your request as long as the candidate has not been appointed.

b. For all other positions

- (1) Send your written request (see Appendix 39) to your servicing personnel office for review to ensure that it meets technical requirements.
 - (a) The Director, Office of Disaster Personnel, must concur on requests involving Office of Disaster Assistance positions.
 - (b) The Executive Resources Manager must concur on requests involving Senior Executive Service (SES), Executive Schedule, and Schedule C positions.
 - (c) The Director, Human Resources Operations Division, must concur on requests involving non-Disaster and non-SES positions.
- (2) If your request meets technical requirements, your servicing personnel office will forward it to the senior Management Board member in your organization.
- (3) If your request does not meet technical requirements, your servicing personnel office will notify you. You may modify and resubmit your request as long as the candidate has not been appointed.
- (4) If the senior Management Board member recommends your request, he/she will forward it to the Chair of the Recruitment and Retention Incentives Approval Panel (see Appendix 36).
- (5) The Recruitment and Retention Incentives Approval Panel will consider your request and normally approve or disapprove it within 5 workdays of receiving it.
- (6) If the panel approves your request, the Chair will forward it to your servicing personnel office, which will notify you of the decision and process your request.
- (7) If the panel doesn't approve your request, the Chair will return it to the senior Management Board member in your organization with a written explanation. You may modify and resubmit your request as long as the candidate has not been appointed.

Relocation Bonuses

18. Who Is Eligible for a Relocation Bonus?

An SBA employee serving in a General Schedule or Senior Executive Service position who is appointed without a break in service to a position in a different commuting area or whose duty station is permanently or temporarily changed to a different commuting area is eligible. The position must be one which would be difficult to fill without offering the bonus.

NOTE: A relocation bonus may not be paid to the Administrator or to an individual appointed to a position in the expectation of being appointed as the Administrator.

19. What is the Difference Between Relocation Bonuses and Payment of Relocation Expenses?

The payment of relocation expenses is governed by Federal Travel Regulations and SOP 20 15, "Relocation Allowance." An employee may be eligible for both a relocation bonus and payment of relocation expenses. However, there are different eligibility criteria and procedures for each.

20. Must I Get Prior Approval for a Relocation Bonus?

5 CFR 575.204(c)(1) requires written approval of a relocation bonus before the employee reports for duty in the position to which he/she is being relocated. Once the employee has reported for duty in the position to which he/she is being relocated, a relocation bonus can no longer be authorized.

NOTE: If you are requesting a bonus for an employee currently detailed to a position for which a relocation bonus is requested, the bonus must be approved before the effective date of the formal position change.

21. What Documentation Must I Have to Request a Relocation Bonus?

- a. You must document the extensive recruitment efforts conducted for the position, and certify you are unable to fill the position without offering a relocation bonus; and
- b. You must have copies of letters issued by your servicing personnel office offering the acceptable referred candidates the position at the normal starting salary, and documentation that each candidate declined. You must also document your reason for not selecting any of the referred candidates.

NOTE: If you are requesting a relocation bonus for an employee who is likely to decline a directed reassignment to a hard-to-fill position, you are not required to have the items described in subparagraph b.

22. How Do I Request a Relocation Bonus and Who Is Authorized to Approve It?

- a. For positions in the Office of Inspector General

- (1) Send your written request (see Appendix 40) to the OIG Personnel Officer, who reviews it to ensure that it meets technical requirements, concurs and forwards it to the Deputy IG.
- (2) If your request does not meet technical requirements, the OIG Personnel Officer will notify you. You may resubmit your request as long as the candidate has not reported for duty in the position to which he/she is being relocated.
- (3) If the Deputy IG recommends your request, he/she will forward it to the Inspector General, who is authorized to approve the bonus. If the IG approves the request, he/she will send it to the OIG Personnel Officer, who will process your request (see Appendix 37).
- (4) If the IG doesn't approve your request, he/she will return it to the Deputy IG with a written explanation. You may modify and resubmit your request as long as the candidate has not reported for duty in the position to which he/she is being relocated.

b. For all other positions

- (1) Send your written request (see Appendix 40) through the senior Management Board member in your organization to your servicing personnel office, which will review your request to ensure that it meets technical requirements.
 - (a) The Director, Office of Disaster Personnel, must concur on requests involving Office of Disaster Assistance positions.
 - (b) The Executive Resources Manager must concur on requests involving Senior Executive Service (SES), Executive Schedule, and Schedule C positions.
 - (c) The Director, Human Resources Operations Division, must concur on requests involving non-Disaster and non-SES positions.
- (2) If your request meets technical requirements, your servicing personnel office will forward it to the Chair of the Recruitment and Retention Incentives Approval Panel (see Appendix 36).
- (3) If your request does not meet technical requirements, your servicing personnel office will notify you. You may resubmit your

request as long as the candidate has not reported for duty in the position to which he/she is being relocated.

- (4) The Recruitment and Retention Incentives Approval Panel will consider your request and normally approve or disapprove it within 5 workdays of receiving it.
- (5) If the panel approves your request, the Chair will forward it to your servicing personnel office, which will notify you of the decision and process your request according to Appendix 37, including preparation of SBA Form 2100, "Relocation Bonus Service Agreement" (Appendix 41).
- (6) If the panel doesn't approve your request, the Chair will return it to the senior Management Board member in your organization with a written explanation. You may modify and resubmit your request as long as the candidate has not reported for duty in the position to which he/she is being relocated.

23. Must the Employee Establish a Residence in the New Commuting Area Before the Bonus Can Be Paid?

An employee whose duty station is permanently changed must establish a residence in the new commuting area and provide proof of residence to the servicing personnel specialist, who will document the type of proof provided on the service agreement, before the bonus can be paid. Acceptable proof is a house deed or rental agreement in the employee's name and/or spouse's name or jointly in the employee's name and a family member's or a roommate's name.

NOTE: An employee whose duty station is temporarily changed is not required to establish a residence in the new commuting area.

Retention Allowances

24. Who Is Eligible for a Retention Allowance?

An employee serving in the competitive service, excepted service, Senior Executive Service or in an Executive Schedule position, except the Administrator, is eligible for a retention allowance when:

- a. He/she has unusually high or unique qualifications, or the Agency has a special need for his/her services making it essential to retain the employee;
- b. He/she is not covered by a service agreement for a recruitment bonus or a relocation bonus; and
- c. Without the allowance, the employee would be likely to leave Federal service.

NOTE: A retention allowance may not be paid to an SBA employee who is likely to leave his/her position for employment in any position in the executive, legislative or judicial branch of the Federal Government, including another SBA position.

25. How Long Can an Employee Receive a Retention Allowance?

SBA limits the length of retention allowances to 1 year, with reapproval necessary each year.

26. How Do I Request a Retention Allowance and Who Is Authorized to Approve It?

- a. For positions in the Office of Inspector General
 - (1) Send your written request (see Appendix 42) to the OIG Personnel Officer, who reviews it to ensure that it meets technical requirements, concurs and forwards it to the Deputy IG.
 - (2) If your request does not meet technical requirements, the OIG Personnel Officer will notify you. You may modify and resubmit your request.
 - (3) If the Deputy IG recommends your request, he/she will forward it to the Inspector General, who is authorized to approve the allowance. If the IG approves the request, he/she will send it to the OIG Personnel Officer, who will process your request (see Appendix 37).
 - (4) If the IG doesn't approve your request, he/she will return it to the Deputy IG with a written explanation. You may modify and resubmit your request.
- b. For all other positions
 - (1) Send your written request (see Appendix 42) through the senior Management Board member in your organization to your servicing

personnel office, which will review your request to ensure that it meets technical requirements.

- (a) The Director, Office of Disaster Personnel, must concur on requests involving Office of Disaster Assistance positions.
 - (b) The Executive Resources Manager must concur on requests involving Senior Executive Service (SES), Executive Schedule, and Schedule C positions.
 - (c) The Director, Human Resources Operations Division, must concur on requests involving non-Disaster and non-SES positions.
- (2) If your request meets technical requirements, your servicing personnel office will forward it to the Chair of the Recruitment and Retention Incentives Approval Panel (see Appendix 36).
 - (3) If your request does not meet technical requirements, your servicing personnel office will notify you. You may modify and resubmit your request.
 - (4) The Recruitment and Retention Incentives Approval Panel will consider your request and normally approve or disapprove it within 5 workdays of receiving it.
 - (5) If the panel approves your request, the Chair will forward it to your servicing personnel office, which will notify you of the decision and process your request according to Appendix 37.
 - (6) If the panel doesn't approve your request, the Chair will return it to the senior Management Board member in your organization with a written explanation. You may modify and resubmit your request.

27. What Should I Do if the Conditions Which Warranted the Allowance Change or No Longer Exist?

- a. If the conditions which warranted the allowance change (e.g., the Agency's special need for the employee's service has been reduced), you should determine if the allowance is still needed to retain the employee or if a smaller allowance will be sufficient to retain the employee.
- b. If the conditions which warranted the allowance no longer exist (e.g., qualified candidates are available to fill the Agency's special need), you should request termination of the allowance.

28. How Do I Request a Reduction or Termination of a Retention Allowance?

- a. Send your written request through the senior Management Board member in your organization to your servicing personnel office. Your request will be handled according to question 26.
- b. Your request must include:
 - (1) Employee's name, pay plan, series, grade, position title, and duty station;
 - (2) The action being requested (i.e., reduction or termination);
 - (3) If a reduction, the amount of reduction requested (e.g., request reduction of a 20 percent allowance to 10 percent); and
 - (4) Your reason(s) for requesting reduction or termination of the allowance (e.g., SBA's need for the employee's services has been reduced, the employee is unlikely to leave the Federal service if the retention allowance is reduced or terminated, changes in labor-market conditions, budgetary considerations).

Chapter 10

Background Investigations and Suitability Determinations

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1. What Regulations Govern Background Investigations?

- a. 5 CFR Part 731 governs suitability for Federal employment.
- b. 5 CFR Part 732 governs national security positions.
- c. 5 CFR Part 736 governs personnel investigations.
- d. 15 U.S. Code, Section 1681 (Fair Credit Reporting Act) authorizes the use of consumer credit reports for employment purposes.

2. Will I Be Investigated?

Most SBA employees undergo some type of investigation [5 CFR 731.104; 5 CFR 732.201(a) and 202(b)(i); CFR 736.101(a)].

3. What Type of Investigation Is Required?

- a. The type of investigation depends on the risk designation of your position. [5 CFR 731.106(c); 5 CFR 732.201(b)]

The risk designation is documented on SBA Form 1939, "Position Designation Record," which is completed by your servicing human resources (HR) specialist, with input from your supervisor (see SOP 35 00, "SBA Position Classification and Management Program"). For OIG and ODA positions, the HR specialist will prepare the position designation record without the supervisor's input. The HR specialist is responsible for ensuring that SBA Form 1939 is complete and correct (signed, points added correctly, points and risk designation agree).

- b. The Office of Inspector General's Director, Office of Security Operations (OSO), reviews the risk designation, contacts your servicing HR specialist to resolve situations if he/she does not concur with the risk designation, and makes a final determination.

4. How Does My Servicing Human Resources Office Request a Preliminary Employment Check?

- a. Your servicing HR office, or other employee designated to handle the matter (e.g., administrative officer) through your servicing HR office, will notify the Office of Inspector General's Director, OSO in writing of your full name, social security number, date, and place of birth, proposed entry on duty date/effective date, the title, series, and grade of the position you accepted, the duty station, and whether your appointment is permanent or temporary. (Due to the high volume and speed of filling disaster assistance positions, disaster HR offices need only submit the selectee's full name for low risk positions.)
- b. The OSO will conduct a preliminary employment check and notify your servicing HR office in writing of the security papers you must complete, if required. A final effective date must not be established until the Office of Inspector General's Director, OSO has notified your servicing HR specialist.

5. What Security Papers Must I Complete?

Listed below are the documents required for employment at various risk designations:

- a. **Temporary Appointment Not to Exceed 90 Calendar Days in a Low Risk Position.** Unless the appointment would result in your being employed by SBA for more than 90 calendar days in any 12 month period, the SBA will ask you to complete a “Declaration for Federal Employment,” OF 306, a “Credit Report Release for Employment,” SBA Form 2044 (Appendix 43) and a “Fingerprint Chart,” SF 87.
- b. **Temporary Appointments of Students which Do Not Exceed a Total of 180 Calendar Days of Service.** Unless the appointment would result in your being employed by SBA for more than a total of 180 calendar days, the SBA will ask you to complete a “Declaration for Federal Appointment,” OF 306. Once you complete a total of 180 calendar days of service in such an appointment (or appointments), SBA will ask you to complete the paperwork required for a Low Risk and Non-Sensitive Position. Your servicing personnel office, or other employee designated to handle the matter (e.g., administrative officer) through your servicing personnel office, must submit your completed security forms no later than 14 workdays after you complete a total of 180 calendar days of service to the Office of Personnel Management (OPM) Federal Investigations Processing Center in Boyers, Pennsylvania.
- c. **Low Risk and Non-Sensitive Position.** The SBA will ask you to complete a “Questionnaire for Non-Sensitive Positions,” SF 85, a “Fingerprint Chart,” SF 87, a “Declaration for Federal Employment,” OF 306, and a “Credit Report Release for Employment,” SBA Form 2044 (Appendix 43). (If you are on a temporary appointment not to exceed 90 calendar days in a low risk position that is now being extended, you are not required to complete another SF 87, OF 306 or SBA Form 2044.) Your servicing personnel office, or other employee designated to handle the matter (e.g., administrative officer) through your servicing personnel office, must submit your current application/resume and your completed security forms no later than 14 workdays after your entry on duty date to the Office of Personnel Management (OPM) Federal Investigations Processing Center in Boyers, Pennsylvania. The SF 85 should be coded with a #2 in Block B “Extra Coverage,” to initiate a National Agency Check and Inquiry and Credit Report (NACI&C).

- d. **Moderate Risk Public Trust Position.** The SBA will ask you to complete a “Questionnaire for Public Trust Positions,” SF 85P, a “Fingerprint Chart,” SF 87, a “Declaration for Federal Employment,” OF 306, and a “Credit Report Release for Employment,” SBA Form 2044 (Appendix 43). Your servicing personnel office, or other employee designated to handle the matter (e.g., administrative officer) through your servicing personnel office, must submit your application/resume and your completed security forms to the OIG’s Director, Office of Security Operations, no later than 7 calendar days after your entry on duty date. The Office of Security Operations will initiate a Limited Background Investigation (LBI) on you.
- e. **High Risk Public Trust Position.** The SBA requires completion of a Background Investigation (BI). The SBA will ask you to complete a “Questionnaire for Public Trust Positions,” SF 85P, a “Fingerprint Chart,” SF 87, a “Declaration for Federal Employment,” OF 306, and a “Credit Report Release for Employment,” SBA Form 2044 (Appendix 43). Your servicing personnel office, or other employee designated to handle the matter (e.g., administrative officer) through your servicing personnel office, must submit your application/resume and your completed forms to the OIG’s Director, Office of Security Operations, no later than 7 calendar days after your entry on duty date. The Office of Security Operations will initiate your Background Investigation (BI) which normally takes 4 weeks to complete.
- f. **Non-Critical Sensitive National Security Position with Secret and/or Confidential Access.** The SBA will ask you to complete a “Questionnaire for National Security Positions,” SF 86, a “Fingerprint Chart,” SF 87, a “Declaration for Federal Employment,” OF 306, and a “Credit Report Release for Employment,” SBA Form 2044 (Appendix 43). Your servicing personnel office, or other employee designated to handle the matter (e.g., administrative officer) through your servicing personnel office, must submit your application/resume and your completed forms to the OIG’s Director, Office of Security Operations, no later than 7 calendar days after your entry on duty date. The Office of Security Operations will then initiate your LBI.
- g. **Critical Sensitive National Security Position with Secret Access.** The SBA requires completion of a BI before employing you. The SBA will ask you to complete a “Questionnaire for National Security Positions,” SF 86, a “Fingerprint Chart,” SF 87, a “Declaration for Federal Employment,” OF 306, and a “Credit Report Release for Employment,” SBA Form 2044 (Appendix 43). Your servicing personnel office, or other employee designated to handle the matter (e.g., administrative officer) through your servicing personnel office, will submit your application/resume and your completed security forms to the OIG’s Office of Security Operations

which will arrange for a BI. The OIG estimates BIs take 4 weeks to complete.

h. Critical Sensitive National Security Positions with Top Secret Access.

The SBA requires the completion of a Single Scope Background Investigation (SSBI) before employing you. The SBA will ask you to complete a “Questionnaire for National Security Positions,” SF 86, a “Fingerprint Chart,” SF 87, a “Declaration for Federal Employment,” OF 306, and a “Credit Report Release for Employment,” SBA Form 2044 (Appendix 43). Your servicing personnel office, or other employee designated to handle the matter (e.g., administrative officer) through your servicing personnel office, will submit your application/resume and your completed security forms to the OIG’s Office of Security Operations which will schedule the SSBI. The OIG estimates SSBIs take 4 weeks to complete.

6. How Will SBA Use My Credit Report?

- a. Appendix 44 explains how SBA uses credit reports for employment purposes, how credit reports are safeguarded, and your rights.
- b. Servicing personnel offices are encouraged to include the fact sheet with the security papers new employees must complete. The fact sheet may also be given to anyone who has questions or concerns about how SBA uses credit reports for employment purposes (e.g., job applicants, supervisors).

7. When Must I Complete Security Papers?

The SBA requires you to complete appropriate security paperwork before determining the date you will begin working for the SBA. SBA also requires updated security paperwork for periodic reinvestigations (only applies to positions described in questions 5d through 5h, usually every 5 years) and to initiate a higher level investigation should the SBA select you for a position with a higher risk designation. Security paperwork required for a reinvestigation or selection for a position requiring a higher level investigation must be submitted according to the timeframes in question 5.

8. What Procedures Does the Servicing Personnel Office Follow?

- a. Your servicing personnel office will review the following documents for completeness and have you correct any deficiencies (see section b of this paragraph for the most common deficiencies) before sending your security paperwork to the Office of Personnel Management for NACI&Cs or to the OIG's Director, Office of Security Operations for BIs, LBIs and SSBI's.
 - (1) Your current application/resume;
 - (2) A copy of your classified position description ("Position Description" cover sheet, Optional Form 8, and duty statement);
 - (3) Your "Position Designation Record," SBA Form 1939;
 - (4) Your "Declaration for Federal Employment," OF 306;
 - (5) Your SF 85, SF 85P or SF 86 (as appropriate) and SF 87; and
 - (6) Your "Credit Report Release for Employment," SBA Form 2044.

- b. The most common deficiencies in security paperwork are:
 - (1) Forms not signed and/or not dated;
 - (2) Application/resume, OF 306 or security forms (SF 85, SF 85P or SF 86) signed and dated more than 120 calendar days before submission;
 - (3) Unacceptable version of SF 85, SF 85P or SF 86 used;
 - (4) Unacceptable fingerprints;
 - (5) Incomplete data, including unaccounted for gaps in the subject's history; and
 - (6) Incomplete addresses (e.g., incomplete street address, no zip code, no telephone number).

9. Can an Investigation Be Waived?

In emergency cases only, the Administrator, or the Inspector General for OIG employees, may waive the requirement for completion of a BI or SSBI before you enter on duty. In those rare cases where a waiver is necessary, the supervisor requesting the waiver must submit your completed security papers and request for waiver of required investigation through his/her Management Board member to the servicing personnel office. If the paperwork is complete, the servicing personnel office will send the request to the OIG's Director, Office of Security Operations, who will forward the waiver request to the Administrator or the Inspector General, as appropriate, recommending approval or disapproval.

10. What Happens if the Risk Designation of My Position Changes?

- a. If your supervisor determines that the sensitivity level of your position has changed, he/she must complete a new "Position Designation Record," SBA Form 1939 (see SOP 35 00, "SBA Position Classification and Management Program"), and send it to the Director, Office of Security Operations before the change occurs.
- b. The Director, Office of Security Operations:
 - (1) Reviews the risk designation made by your supervisor;
 - (2) Contacts your servicing personnel office if SBA Form 1939 is not completed correctly (e.g., missing signature, points in Part II not added correctly). The servicing personnel office will make the correction or obtain the missing information from your supervisor;
 - (3) Contacts your supervisor to resolve situations if he/she does not concur with the risk designation made by your supervisor;
 - (4) Makes a final risk designation determination; and
 - (5) Notifies your servicing personnel office in writing of the security papers you must complete, if a different type of investigation is required.

11. Where Is My “Questionnaire for Non-Sensitive Positions,” SF 85, Sent?

No later than 14 calendar days after your entry on duty, your servicing personnel office will send your SF 85, along with your application/resume, “Declaration for Federal Employment,” OF 306, your “Credit Report Release for Employment,” SBA Form 2044, “Fingerprint Chart,” SF 87, and the results of the FBI fingerprint check, if available, to:

Office of Personnel Management
Federal Investigations Processing Center
Boyers, PA 16018

12. Where Is My “Questionnaire for Public Trust Positions,” SF 85P, and “Questionnaire for National Security Positions,” SF 86, Sent?

- a. No later than 3 calendar days after your entry on duty, your administrative officer or other employee designated to handle the matter must send your completed SF 85P or SF 86, along with your application/resume, “Declaration for Federal Employment,” OF 306, “Fingerprint Chart,” SF 87, and “Credit Report Release for Employment,” SBA Form 2044, to your servicing personnel specialist.
- b. No later than 7 calendar days after your entry on duty, your servicing personnel office must send your SF 85P or SF 86, along with the application/resume, “Declaration for Federal Employment,” OF 306, “Fingerprint Chart,” SF 87, and “Credit Report Release for Employment,” SBA Form 2044, to OIG’s Director, Office of Security Operations.

13. When Should a Servicing Personnel Office Cancel a Requested Investigation?

If you decline a job offer or resign within 14 calendar days of entering on duty, your servicing personnel office must request:

- a. The OPM to cancel your NACI&C; or
- b. The OIG’s Director, Office of Security Operations to cancel your LBI, BI or SSBI.

14. What Happens When the Office of Inspector General Receives My Background Investigation Report?

- a. If your investigation report does not identify any derogatory suitability information, the OIG will send your servicing personnel office a “Memorandum for Official Personnel Folder,” SBA Form 272, which documents completion of your investigation, for filing in your Official Personnel Folder.
- b. If your investigation report identifies a suitability issue (derogatory information), OIG’s Director, Office of Security Operations (OSO), will contact you and/or your supervisor, as appropriate, to request information to clarify and/or resolve the issue. For political appointees, the Director, OSO, will contact the Chief of Staff. An employee or supervisor who fails to provide the Director, OSO, with the requested information is subject to disciplinary action.
- c. Supervisors are responsible for dealing with suitability issues seriously and judiciously (within 60 calendar days from the date of contact by the OIG). The Office of Human Resources is available to advise the supervisor of an appropriate course of action.

15. Will I Have an Opportunity to Respond to Derogatory Information?

Most suitability issues are adjudicated favorably without contacting the employee. If your case could result in an unfavorable determination, you will be given the opportunity to explain or refute any derogatory information developed during your investigation. If derogatory information is contained in your credit report, you will be given a copy of the report and the Federal Trade Commission’s Consumer Rights Notice.

16. Which SBA Officials Make Suitability Determinations?

The following SBA officials, or their designees, are authorized to make suitability determinations based on the results of the investigation:

- a. The Chief of Staff, in consultation with the Inspector General, for all political appointees;
- b. Inspector General for OIG employees;
- c. Associate Administrator for Disaster Assistance for Office of Disaster Assistance employees;

- d. The Director, Office of Security Operations (OSO), when there are either no suitability issues resulting from an LBI, BI, SSBI, SSBI-PR (Single Scope Background Reinvestigation) or PRIR (Periodic Reinvestigation - Residence), or when there are issues that are resolved between the supervisor, employee and the Director, OSO; and
- e. The Assistant Administrator for Human Resources, in consultation with the Inspector General, for all other SBA employees.

17. What Happens After the Suitability Determination is Made?

- a. Should a suitability determination be unfavorable, the servicing personnel office and the appropriate supervisor will initiate whatever corrective action is necessary.
- b. Once the final suitability determination is made on an individual subject to a NACI, the authorized official completes the “Report of Agency Adjudicative Action on OPM Personnel Investigation,” INV 79A, and forwards it to:

Office of Personnel Management
Federal Investigations Processing Center
Boyers, PA 16018

- c. Once the final suitability determination is made on an individual subject to an initial background investigation or periodic reinvestigation, the authorized official returns the investigation report and a copy of the suitability determination, including documentation of any disciplinary or adverse action taken, to the OIG.
- d. The OIG’s Director, Office of Security Operations forwards a “Memorandum for Official Personnel Folder,” SBA Form 272, to the servicing personnel office within 30 calendar days for filing in the employee’s Official Personnel Folder to document completion of the investigation.

18. What Will Happen if I Don’t Complete the Required Security Forms?

The SBA will not hire applicants who refuse to complete required security forms. If you already are an SBA employee and you do not complete all required security forms, expect your supervisor to initiate appropriate disciplinary or adverse action, up to and including your removal from the Federal service.

Chapter 11

Probationary Periods for New Employees

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1. Must I Serve a Probationary Period?

You must serve a probationary or trial period if your initial appointment is to a:

- a. Competitive or excepted service position [5 CFR Part 315, Subpart H]; or
- b. Term appointment (trial period) [5 CFR 316.304].

2. How Long Is My Probation?

Your probationary or trial period is 1 year long.

3. Does Prior Service Count Toward My Probation?

- a. Prior SBA service counts if it is in the same line of work and does not contain or is not followed by a break in service of 31 or more calendar days. Your servicing personnel specialist determines if any of your prior service is credited according to 5 CFR 315, Subpart H.
- b. Prior service in another agency only counts if you have already successfully completed your probationary period.

4. When Must My Supervisor Decide if I Have Successfully Completed Probation?

- a. Your supervisor is encouraged to decide if you have successfully completed probation no later than 30 calendar days before the end of your probationary period. Your supervisor must document his/her decision on SBA Form 2034, "Probationary Period Report" (Appendix 45), and send it to your reviewing official for signature. Your reviewing official signs and returns SBA Form 2034 to your supervisor.
- b. If your supervisor determines that you should be separated for not successfully completing probation, he/she sends the original "Probationary Period Report" together with a "Request for Personnel Action," SF 52, for termination to your servicing personnel specialist for appropriate action.

5. What Happens if My Reviewing Official Doesn't Agree With My Supervisor's Decision?

If your reviewing official and your supervisor don't agree, your reviewing official's decision is final.

6. What Are the Procedures for Separating a Probationary Employee for Conditions Arising Before Appointment?

- a. The supervisor must prepare advance written notice of the proposed action to separate the probationary employee. The notice must contain:
 - (1) Specific facts and conclusions to make the reason for the separation clear;
 - (2) The proposed effective date of the separation;
 - (3) Information about the employee's right to reply in writing and submit affidavits to support the reply;
 - (4) The time limit for replying (see section b of this question); and
 - (5) The name and address of where to send the reply.
- b. The employee must be given 15 calendar days from the date the advance notice was issued to submit a reply.

- c. The reviewing official makes the final decision after considering the employee's reply.
 - d. The employee's supervisor must prepare written notice of the final decision according to 5 CFR Part 315, Subpart H.
- 7. What Are the Procedures for Separating a Probationary Employee for Unsatisfactory Performance or Misconduct After Appointment?**
- a. The supervisor must prepare a written notice to separate the employee according to 5 CFR 315.804.
 - b. Before issuing the notice to the employee, the supervisor must send the notice, along with SBA Form 2034, "Probationary Period Report," through the reviewing official to the servicing personnel specialist for review.
 - c. The supervisor issues the notice to the employee.

Chapter 12

Supervisory and Managerial Probationary Periods

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1. Must I Serve a Supervisory or Managerial Probationary Period?

You must serve a supervisory or managerial probationary period if you are initially appointed to a permanent supervisory or managerial position in the competitive or excepted service [5 USC 3321 and 5 CFR Part 315, Subpart I].

2. How Long Are These Probationary Periods?

Supervisory and managerial probationary periods at SBA are 1 year long.

3. Does Prior Service in a Supervisory or Managerial Position Count Toward My Probationary Period?

You may get credit for prior satisfactory service for which there is proof. Your servicing personnel office determines if prior service is credited according to 5 CFR 315, Subpart I. If you are serving a supervisory probationary period and are transferred, reassigned, or promoted to a managerial position, you get credit toward the managerial probationary period for satisfactory service in the supervisory position.

4. How Is My Probationary Period Documented?

Your servicing personnel office will:

- a. Send you a statement of understanding (Appendix 46) which you must sign and return before entering the position;
- b. File your signed statement in your Official Personnel Folder; and
- c. Give a copy to your supervisor.

5. What Is My Supervisor's Role During My Probationary Period?

Your supervisor:

- a. Should inform you anytime your performance falls below "Fully Successful" on any performance element and advise you that to pass your probationary period you must improve your performance to the "Fully Successful" level or better. Your supervisor should take proactive steps to improve your performance (see the chapter in SOP 34 30, "Performance Management and Appraisal System," Addressing Less than Fully Successful Performance) and consider offering you training, if appropriate. If your performance continues to show supervisory or managerial deficiencies that make you unsuited for the position, your supervisor must document the deficient performance on SBA Form 1229, "Supervisory/Managerial Probationary Report" (Appendix 47), and decide if you should be assigned to a non-supervisory or non-managerial position.
- b. Is encouraged to decide if you have successfully completed your probationary period no later than 30 calendar days before the end of your probationary period and document that decision on SBA Form 1229, sign as rating official, and send the form to your reviewing official; and
- c. Should give you a copy of the completed SBA Form 1229 signed by the reviewing official and send the original to your servicing personnel office for filing in your Official Personnel Folder.

6. What Is My Reviewing Official's Role During My Probationary Period?

Your reviewing official:

- a. Makes a final decision on whether you passed your probation; and
- b. Signs and returns SBA Form 1229 to your supervisor.

7. What Happens if I Fail My Probationary Period?

- a. If you were promoted to the supervisory or managerial position, you are entitled to a position at the same grade as the position you held before promotion. Your pay will be set as if you had not been promoted.
- b. If you were reassigned to the supervisory or managerial position, you are entitled to a position at the same grade and pay.
- c. If you were changed to a lower grade to move into the supervisory or managerial position, you are entitled to a position at the same grade and pay as the probationary position.
- d. If you entered the supervisory or managerial position from outside the Federal Government and are serving a probationary or trial period under 5 CFR Part 315, Subpart H (probation on initial appointment to a competitive position), you must be separated.
- e. If you entered the supervisory or managerial position from outside the Federal Government having already completed a probation or trial period under 5 CFR Part 315, Subpart H, you are entitled to a position at the same grade and pay.

8. How Am I Informed that I Will Be Assigned to a Non-Supervisory or Non-Managerial Position?

Your supervisor will send you a written notice (see Appendix 48) along with a copy of SBA Form 1229, through your reviewing official and your servicing personnel office for review. Once approved, your supervisor will issue the notice to you.

9. Who Determines What Position I Will Be Assigned to?

- a. Your servicing personnel office prepares a list of available positions for which you qualify and sends it to your reviewing official. Your reviewing official considers positions for you in the following order:
 - (1) Within your current commuting area;
 - (2) Within your current region or disaster area;
 - (3) Within the Agency.
- b. If your reviewing official is not authorized to obligate the position, your servicing personnel office contacts the appropriate Agency official and requests their cooperation. If the matter cannot be resolved, the Inspector General is authorized to obligate positions in the OIG. The Deputy Administrator has authority to obligate all other positions.

Chapter 13

Details

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General Information

1. What Is a Detail?

- a. A detail is the temporary assignment of an employee to a different position or set of duties for a specified period of time. There is no formal position change; officially, the employee continues to hold the position from which detailed and keeps the same status and pay.
- b. An employee who continues to carry out the duties of the position to which permanently assigned and also performs some of the duties of another position for a limited time is not considered to be on a detail, but is serving in an acting capacity.

2. What Regulations and Decisions Govern Details?

- a. 5 USC 3341 (details within the Agency);
- b. 5 CFR Part 300, Subpart C (details within the Agency);
- c. 5 CFR 317.903 (details to and from Senior Executive Service positions);
- d. 5 USC 3343 (details to international organizations);
- e. 5 CFR 6.5 (inter-agency details);
- f. Comptroller General decision B-211373, dated March 20, 1985 (non-reimbursable interagency details); and
- g. 3 USC 112 (details to the White House).

3. Who Can Be Detailed?

- a. Competitive service employees can be detailed to competitive service positions and Schedule A and B excepted service positions.
- b. Excepted service employees can be detailed to other excepted service positions. Excepted service employees serving under Schedule A appointments (e.g., attorneys, physically disabled individuals), Schedule B appointments (e.g., the Student Educational Employment Programs) or the Veterans Readjustment Act can be detailed to competitive service positions within SBA. Details to the competitive service of all other excepted service employees require advance approval from the Office of Personnel Management.

- c. General Schedule employees can be detailed to Senior Executive Service positions. [5 CFR 317.903]
- d. Senior Executives can be detailed to General Schedule positions and unclassified duties. [5 CFR 317.903]
- e. Career Senior Executives and permanent General Schedule employees can be detailed to SES career reserved positions.
- f. Any employee can be detailed to an SES general position.

4. What Are Appropriate Reasons for Details?

Appropriate reasons for details are:

- a. Handling unexpected workloads or special projects;
- b. Filling in during another employee's absence;
- c. Pending an employee's official assignment to another position;
- d. Pending the establishment and/or classification of a new position;
- e. Pending completion of a background investigation;
- f. Pending resolution of a sensitive investigation case; and
- g. Training.

5. What Are the Time Limits on Details?

- a. Details of SBA employees within the Agency may not initially exceed 120 calendar days. They may be extended in increments of 120 calendar days or less for a total of 1 year, except as provided in d and e below.
- b. Non-reimbursable inter-agency details with negligible impact on the loaning agency's appropriation are limited to 120 calendar days.
- c. The time limits on reimbursable inter-agency details are negotiable, except as provided in e below. SBA usually limits initial inter-agency details, and their extensions, to 1 year or less.

- d. Details of Senior Executives to the same set of unclassified duties may not exceed 240 calendar days.
- e. Details exceeding 240 calendar days of General Schedule employees to SES positions that supervise other SES positions and details exceeding 240 calendar days of Senior Executives to General Schedule positions require advance approval from the Office of Personnel Management.
- f. Details to international organizations are limited to a total of 5 years. In unusual circumstances, a detail to an international organization may be extended for up to an additional 3 years when the President determines it to be in the national interest.

Details Within SBA

6. When Must a Detail to a Higher-Graded Position Be Competitive?

- a. A detail to a higher graded competitive service position for more than 120 calendar days in any 12 month period may only be made under the competitive procedures of SBA's Merit Promotion and Placement Plan (Chapter 6).
- b. A detail of a General Schedule employee to a Senior Executive Service (SES) position for more than 240 calendar days may only be made under the competitive procedures in SOP 39 20, "Senior Executive Service," unless the employee is eligible for noncompetitive career SES appointment.

7. What Is the Process for Requesting an Intra-Agency Detail?

- a. The gaining organization formally requests the action by submitting a "Request for Personnel Action" (SF 52) along with a position description or statement of duties to the servicing personnel office. The owning office must sign the SF 52 approving the action. Both offices should agree upon the specific conditions of the detail before submitting the request to the servicing personnel office.
- b. There are two exceptions. An SF 52 is not required for:
 - (1) Details of 30 calendar days or less; and

- (2) Assignments to positions with the same series, grade and basic duties as the employee's current position.

Interagency Details and Details to International Organizations

8. Which SBA Officials May Initiate Interagency Details?

- a. Management Board members may initiate action with other Federal agencies to detail employees to and from their organizations, and to initiate action to detail their employees to international organizations. The organizations involved should agree upon the specific conditions of the detail and obtain approvals before submitting the request to the servicing personnel office.
- b. A manager requesting to send or receive an employee on an interagency detail or a detail to an international organization submits the following through the senior Management Board member in his/her organization to his/her servicing personnel office at least 15 workdays before the proposed effective date.
 - (1) A "Request for Personnel Action" (SF 52) showing the name of the other agency or the international organization; the name of the employee being detailed; and the proposed beginning and ending dates of the detail;
 - (2) Reason(s) for the detail, including a description of the duties (a classified position description is not required);
 - (3) The costs that will be reimbursed, including the employee's current salary amount and any anticipated increases during the detail, for reimbursable details (see Chapter 13, question 9);
 - (4) If the request is for an SBA employee to serve on a non-reimbursable detail to another agency, the reason(s) a non-reimbursement detail is in SBA's best interest;
 - (5) Name, phone numbers (voice and fax) and e-mail address of the person who will keep time and attendance records on the detailed employee;
 - (6) Name, phone numbers (voice and fax) and e-mail address of a contact person in the SBA organization sending or receiving the detailed individual;

- (7) How the employee may be reached during the detail (phone number, fax number, e-mail address, etc.); and
- (8) The name and title of the individual at the other organization who is authorized to sign the agreement if the agreement is for a reimbursable detail or a non-reimbursable detail of 30 calendar days or more.

9. Is Reimbursement Required for Interagency Details?

- a. Reimbursement is required for all interagency details, except when the detail:
 - (1) Involves a matter related to SBA's appropriation and will help accomplish the purpose for which appropriations are provided; or
 - (2) Will have negligible impact on SBA's appropriation.

[Comptroller General decision B-211373, dated March 20, 1985]
- b. Reimbursement for details to international organizations is negotiable between the SBA and the international organization [5 USC 3343].
- c. The detail of an SBA employee to the White House must be reimbursable for any period exceeding 180 calendar days in a fiscal year [3 USC 112].

10. Which Organization Prepares the Interagency Detail Agreement?

- a. Either organization may prepare the agreement. SBA will ask an agency detailing an employee to SBA on a reimbursable basis to prepare the agreement. For assignments to and from the OIG, the OIG's Personnel Officer prepares the agreement or serves as the point of contact when the other organization prepares the agreement. For all other assignments, the Employment Policy Officer in the Office of Human Resource's Guidance, Innovation and Review Division (GIRD) prepares the agreement or serves as the point of contact when the other organization prepares the agreement.
- b. At a minimum, the agreement must contain the items listed in Chapter 13, question 8b and information on how to submit requests for reimbursement (for reimbursable details only).

11. What Is the Approval Process for Interagency Detail Agreements?

a. Interagency Details Involving the OIG

- (1) For interagency details to and from the OIG, the OIG's Personnel Officer sends the agreement for concurrence to the Deputy Inspector General and the Chief Financial Officer's Budget Officer (for details requiring SBA to reimburse another agency), and sends it to the other agency for signature.
- (2) The Inspector General is authorized to approve agreements, extensions and modifications of interagency details to and from the Office of Inspector General. The OIG's Personnel Officer keeps the original and distributes copies to:
 - (a) The other Federal agency or the international organization;
 - (b) The Chief Financial Officer's Budget Officer (for reimbursable details);
 - (c) The Chief, Administrative Accounting Branch
Denver Finance Center
P.O. Box 748
Denver, CO 80201

(for collection or disbursement, as appropriate); and
 - (d) GIRD's Employment Policy Officer.
- (3) If an OIG employee is detailed, the OIG's Personnel Officer prepares an SF 50, "Notification of Personnel Action," and distributes copies of the agreement and the SF 50 to the employee, the supervisor and the employee's Official Personnel Folder. See Appendix 49 for instructions to prepare the SF 50 to document the detail.

b. Details Not Involving the OIG

- (1) For interagency details not involving the OIG, GIRD's Employment Policy Officer sends the agreement to the following SBA officials for concurrence in this order:
 - (a) The appropriate Management Board member;
 - (b) The Chief Financial Officer's Budget Officer (for details requiring SBA to reimburse another agency); and

- (c) The General Counsel (for legal sufficiency).
- (2) The Administrator has authorized the Associate Deputy Administrator for Management and Administration to approve agreements, extensions and modifications not involving the Office of Inspector General.
- (3) GIRD's Employment Policy Officer sends the agreement to the approving official at the other agency or the international organization for signature.
- (4) If the agreement is approved, GIRD's Employment Policy Officer keeps the original and distributes copies to:
 - (a) The other Federal agency or the international organization;
 - (b) To the SBA employee's servicing personnel office (two copies) for:
 - (i) Preparation of an SF 50, "Notification of Personnel Action (see Appendix 49 for instructions to prepare the SF 50 to document the detail);" and
 - (ii) Distribution of copies of the agreement and the SF 50 to the employee, the supervisor and the employee's Official Personnel Folder.
 - (c) The Chief Financial Officer's Budget Officer (for reimbursable details); and
 - (d) The Chief, Administrative Accounting Branch
Denver Finance Center
P.O. Box 748
Denver, CO 80201

(for collection or disbursement, as appropriate)

12. How Is an Interagency Detail Extended, Modified or Terminated?

- a. To extend the detail of an SBA employee, the manager submits a “Request for Personnel Action” (SF 52) through the senior Management Board member in his/her organization to GIRD’s Employment Policy Officer or the OIG’s Personnel Officer, as appropriate, at least 10 workdays before expiration of the agreement for preparation of an extension agreement for concurrence, approval and distribution (see Chapter 13, question 11).
- b. To extend the detail of an employee from another agency, the manager submits a written request through the senior Management Board member in his/her organization to GIRD’s Employment Policy Officer or the OIG’s Personnel Officer, as appropriate, to prepare an extension agreement for concurrence, approval and distribution (see Chapter 13, question 11).
- c. To modify a detail agreement, the manager sends a written description of the requested modification through the senior Management Board member in his/her organization to GIRD’s Employment Policy Officer or OIG’s Personnel Officer, as appropriate, at least 10 workdays before the proposed effective date of the modification(s), to prepare a new agreement for concurrence, approval and distribution (see Chapter 13, question 11).
- d. To terminate a detail, the organization requesting termination must provide advance written notice (preferably 30 days notice) to the other organization and the assignee. When sending or receiving a termination notice, the SBA manager must provide copies of the notice to GIRD’s Employment Policy Officer or the OIG’s Personnel Officer, as appropriate, for distribution according to Chapter 13, question 11a(2) or Chapter 13, question 11b(4), as appropriate.

13. What Is the Denver Finance Center’s Role in Interagency Details?

The Denver Finance Center’s Administrative Accounting Branch:

- a. Bills and collects from other Federal agencies and international organizations their share of the costs for SBA employees detailed on a reimbursable basis;
- b. Promptly pays bills from the other organization for SBA’s share of the costs;

- c. Notifies GIRD's Employment Policy Officer when collection or disbursement has been completed (applies to all assignments); and
- d. Notifies OIG's Personnel Officer when collection or disbursement has been completed (applies to assignments involving OIG).

14. What Is the Servicing Personnel Office's Role?

The servicing personnel office:

- a. Prepares an SF 50, "Notification of Personnel Action," to document interagency details of SBA employees and extensions and terminations of such details; and
- b. Distributes the SF 50, along with a copy of the agreement, to the SBA employee, the supervisor and the SBA employee's Official Personnel Folder.

15. What Is the Supervisor's Role?

Supervisors are responsible for:

- a. Obtaining approved written agreements before sending or receiving individuals on interagency details; and
- b. Providing adequate notice to GIRD's Employment Policy Officer or the OIG's Personnel Officer, as appropriate, when details are to be extended, modified or terminated.

Chapter 14

Intergovernmental Personnel Act Assignments

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1. What Are Intergovernmental Personnel Act (IPA) Assignments?

IPA assignments are temporary assignments of employees between Federal agencies and State, local and Indian tribal governments, institutions of higher education, and other eligible organizations authorized by 5 USC 33 subchapter VI §§3371-3376 and 5 CFR Part 334.

2. Who Can Be on an IPA Assignment?

- a. Career and career-conditional employees.
- b. Permanent excepted service employees.
- c. Career Senior Executives.

- d. Presidential Management Interns.
- e. Individuals employed for at least 90 calendar days in a career position with a State, local or Indian tribal government, an institution of higher education, or other eligible organization.

3. How Is an IPA Assignment Initiated?

A non-Federal organization requests the assignment of an SBA employee, or an SBA manager or supervisor requests the assignment of a non-Federal employee to their organization. The officials at SBA and the non-Federal organization should discuss at this time: cost-sharing arrangements covering the assignee's salary, benefits, leave, and travel; how SBA and the other organization will administer these items; and the length of the assignment.

4. What Are the Criteria for the Cost-Sharing Arrangement?

The cost-sharing arrangement is negotiable, but should be based on the extent to which each organization will benefit from the assignment. Since IPA assignments are intended to be mutually beneficial, costs should normally be split 50-50.

5. What Are the Time Limits on IPA Assignments?

- a. An individual may be assigned for up to 2 years and may be extended up to 4 continuous years. A Federal agency may not approve or extend an IPA assignment for any individual who has served on IPA assignments for 4 continuous years without at least a 12-month return to duty with the organization from which assigned.
- b. Federal employees may not serve on IPA assignments for more than 6 years during their Federal career.

6. What Is the Process for Requesting, Preparing and Approving IPA Agreements?

- a. The supervisor of a requested SBA employee or the manager of the SBA organization requesting a non-Federal employee should consult with his/her servicing personnel office before requesting an IPA agreement. The supervisor or manager sends a written request at least 15 workdays before the proposed effective date through the senior Management Board member in his/her organization to the Office of Inspector General's (OIG's) Personnel Officer, for assignments involving OIG employees, or through the Employment Policy Officer in the Office of Human Resources' Guidance, Innovation and Review Division (GIRD), for all other assignments. The request must include:
 - (1) General information about the proposed assignment;
 - (2) The anticipated benefits to SBA and the other organization;
 - (3) The proposed beginning date and length of the assignment;
 - (4) The anticipated cost-sharing arrangements covering the assignee's salary, benefits, leave, and travel, and how SBA and the other organization will administer the cost-sharing arrangements;
 - (5) A "Request for Personnel Action" (SF 52) when the proposed assignment is for an SBA employee being assigned (on detail or leave without pay) to a non-Federal organization; and
 - (6) Name, phone numbers (voice and fax) and e-mail address of a contact person in the SBA organization sending or receiving the assignee.

- b. Assignments Involving the OIG
 - (1) For assignments to and from the OIG, the OIG's Personnel Officer prepares an "Assignment Agreement" OF 69 (Appendix 50), sends the agreement for concurrence to the Deputy Inspector General and the Chief Financial Officer's Budget Officer (for reimbursable assignments only), and sends it to the non-Federal organization and the assignee for signature.
 - (2) The Inspector General is authorized to approve agreements, extensions and modifications of IPA assignments to and from the Office of Inspector General. The OIG's Personnel Officer keeps the original and distributes copies to:
 - (a) The non-Federal organization;

(b) The Chief Financial Officer's Budget Officer (for reimbursable assignments);

(c) The Chief, Administrative Accounting Branch
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(for collection or disbursement, as appropriate); and

(d) GIRD's Employment Policy Officer.

(3) If an OIG employee is assigned, the OIG's Personnel Officer prepares an SF 50, "Notification of Personnel Action," and distributes copies of the agreement and the SF 50 to the employee, the supervisor and the employee's Official Personnel Folder.

c. Assignments Not Involving the OIG

(1) For assignments not involving the OIG, GIRD's Employment Policy Officer prepares an "Assignment Agreement" OF 69 (Appendix 50) and sends the agreement to the following SBA officials for concurrence in this order:

(a) The senior Management Board member in the organization;

(b) The Assistant Administrator for Human Resources;

(c) The Chief Financial Officer's Budget Officer (for reimbursable assignments only); and

(d) The General Counsel (for legal sufficiency).

(2) The Administrator has authorized the Associate Deputy Administrator for Management and Administration to approve IPA agreements, extensions and modifications not involving the Office of Inspector General.

(3) GIRD's Employment Policy Officer sends the agreement to the approving official at the non-Federal organization and to the assignee for signature.

(4) If the agreement is approved, GIRD's Employment Policy Officer keeps the original and distributes copies to:

(a) The non-Federal organization;

- (b) To the SBA employee's servicing personnel office (two copies) for:
 - (i) Preparation of an SF 50, "Notification of Personnel Action;" and
 - (ii) Distribution of copies of the agreement and the SF 50 to the employee, the supervisor and the employee's Official Personnel Folder.
- (c) The Chief Financial Officer's Budget Officer (for reimbursable assignments); and
- (d) The Chief, Administrative Accounting Branch
Denver Finance Center
P.O. Box 748
Denver, CO 80201

(for collection or disbursement, as appropriate)

7. How Is an IPA Assignment Extended, Modified or Terminated?

- a. To extend the assignment of an SBA employee, the manager submits a "Request for Personnel Action" (SF 52) through the senior Management Board member in his/her organization to GIRD's Employment Policy Officer or the OIG's Personnel Officer, as appropriate, at least 10 workdays before expiration of the agreement for preparation of an extension agreement for concurrence, approval and distribution (see Chapter 14, question 6).
- b. To extend the assignment of an employee from a non-Federal organization, the manager submits a written request through the senior Management Board member in his/her organization to GIRD's Employment Policy Officer or the OIG's Personnel Officer, as appropriate, to prepare an extension agreement for concurrence, approval and distribution (see Chapter 14, question 6).
- c. To modify an assignment agreement, the manager sends a written description of the requested modification through the senior Management Board member in his/her organization at least 10 workdays before the proposed effective date of the modification(s) to GIRD's Employment Policy Officer or the OIG's Personnel Officer, as appropriate, for preparation of a modified agreement for concurrence, approval and distribution (see Chapter 14, question 6).

- d. To terminate an IPA assignment, the organization requesting termination must provide advance written notice (preferably 30 days notice) to the other organization and the assignee. When sending or receiving a termination notice, the SBA manager must provide copies of the notice to GIRD's Employment Policy Officer or the OIG's Personnel Officer, as appropriate, for distribution according to Chapter 14, question 6b(2) or Chapter 14, question 6c(4), as appropriate.

8. What Is the Role of the Office of the Denver Finance Center?

The Denver Finance Center's Administrative Accounting Branch:

- a. Bills and collects from non-Federal organizations their share of the costs for SBA employees assigned on a reimbursable basis;
- b. Promptly pays bills from non-Federal organizations for SBA's share of the costs;
- c. Notifies GIRD's Employment Policy Officer when collection or disbursement has been completed (applies to all assignments); and
- d. Notifies OIG's Personnel Officer when collection or disbursement has been completed (applies to assignments involving OIG).

9. What Is the Servicing Personnel Office's Role?

The servicing personnel office:

- a. Prepares an SF 50, "Notification of Personnel Action," to document IPA assignments of SBA employees and extensions and terminations of such assignments; and
- b. Distributes the SF 50, along with a copy of the agreement, to the SBA employee, the supervisor and the SBA employee's Official Personnel Folder.

10. What Is the Supervisor's Role?

Supervisors are responsible for:

- a. Obtaining approved written agreements before sending or receiving individuals on IPA assignments; and

- b. Providing adequate notice to GIRD's Employment Policy Officer or the OIG's Personnel Officer, as appropriate, when assignments are to be extended, modified or terminated.

11. What Is the Service Requirement for an SBA Employee on an IPA Assignment?

SBA employees must agree in writing, as a condition of accepting an IPA assignment, to return to SBA for a period equal to the length of the assignment. The "Assignment Agreement," OF 69, includes a statement about the service requirement.

12. What Happens if an SBA Employee Doesn't Fulfill the Service Requirement?

- a. If an employee leaves SBA before completing the service requirement, the employee must repay SBA for SBA's cost of the assignment (except for salary and benefits costs). The servicing personnel office will initiate through the National Finance Center's (NFC) Special Payroll Processing System the recovery of any monies due SBA from monies due the employee including the employee's final salary payment, lump-sum annual leave payment, and refund of retirement contributions. If the full amount can't be recovered from these payments, NFC will set up a receivable account in its Administrative Billings and Collections System, bill the indebted individual and make arrangements to collect from other sources (e.g., future Federal tax refunds, Social Security payments). If the individual is employed by another Federal agency, the debt will be recovered through administrative offset procedures [5 CFR Part 550, Subpart K].
- b. Repayment may be waived for good and sufficient reason by the Inspector General for OIG employees or by the Deputy Administrator for all other employees. The employee may request a waiver of repayment through his/her supervisor or former supervisor. The request must include the employee's name, a copy of the IPA assignment agreement (OF 69), and the reason(s) why the employee believes repayment should be waived. The supervisor sends the request, along with his/her recommendation, to the senior Management Board member in his/her organization. If the Management Board member agrees, he/she sends the request, along with his/her rationale, to the Deputy Administrator or the Inspector General, as appropriate, who may waive all or part of the repayment amount. Such a waiver must be documented in writing with a copy provided to the servicing personnel office.
- c. The servicing personnel office sends copies of the decision to GIRD's Employment Policy Officer, the employee and the employee's supervisor, and if the waiver is granted, files a copy in the employee's Official Personnel Folder.

13. Who Prepares and Submits SBA's Annual Report on the IPA Program?

The Guidance, Innovation and Review Division in the Office of Human Resources prepares and submits the Intergovernmental Personnel Act Mobility Program Annual Report to the Office of Personnel Management.

Chapter 15

Upward Mobility Program

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1. What Is the Purpose of the Upward Mobility (UPMO) Program?

The UPMO Program gives employees in positions with limited or no promotion potential the chance to obtain higher-level skills and experience so they may fully qualify for occupations in different career fields with greater promotion potential.

2. What Positions Can Be Filled Using the UPMO Program?

The program can be used to fill professional, administrative, and technical positions at grades up to and including GS-11. The full performance level of the position being filled may be above the GS-11 level.

3. Who Is Eligible for the UPMO Program?

Eligible employees are those SBA employees in grades GS-and below 11 (or wage grade equivalent) who are not in a career ladder and who are serving on:

- a. Career or career-conditional appointments;
- b. Veterans Readjustment Act appointments; or
- c. Permanent excepted service appointments for the severely physically disabled under 5 CFR 213.3102(u).

4. How Is an UPMO Opportunity Announced?

The servicing personnel office announces an UPMO opportunity on a vacancy announcement and attaches SBA Form 1264, "Supervisor's Assessment of Potential" (Appendix 50) to the announcement. The opportunity is announced as a trainee position with a target grade at the next higher grade level in the career ladder for the position (e.g., trainee position at GS-7 with the target position at GS-9 and a career ladder to the GS-12).

5. How Are UPMO Program Applicants Evaluated and Referred to the Selecting Official for Consideration?

The servicing personnel office:

- a. Determines which applicants meet the eligibility requirements in Chapter 15, question 3.
- b. Rates and ranks each eligible applicant according to the Merit Promotion and Placement Plan (Chapter 6) using the application package and information on SBA Form 1264, "Supervisor's Assessment of Potential" (Appendix 51) according to a crediting plan developed by the supervisor with the assistance of the servicing personnel office.
- c. Refers the best qualified applicants to the selecting official in alphabetical order on SBA Form 422, "Competitive Eligibles List" (Appendix 27).

6. At What Grade Level Does an Employee Enter the UPMO Program?

- a. An employee enters the UPMO Program at or below his/her current grade. Employees may not be promoted into the program.
- b. An employee accepting an UPMO position at a lower grade usually does not lose pay. The employee's pay rate (including a special salary rate) is either accommodated in the salary range of the lower grade or the employee is placed on pay retention. In rare situations, pay retention can result in a lower rate of pay. Before accepting an UPMO position at a lower grade, successful applicants should check with their servicing personnel office to verify their rate of pay.

7. What Happens to an Employee on a Veterans Readjustment Act (VRA) Appointment Who Enters the UPMO Program?

If the employee is on an Individual Development Plan (IDP) which was not completed, the IDP is modified when the employee enters the UPMO Program (see Chapter 15, question 10). The employee remains on the VRA appointment and is converted to the competitive service after satisfactorily completing 2 years of substantially continuous service, as required by 5 CFR 315.705.

8. What Happens to an Employee on an Appointment for the Physically Disabled who Enters the UPMO Program?

Before the employee enters the UPMO Program, the selecting official and the servicing personnel office must assure themselves that the employee meets the physical qualification requirements at the full performance level of the position. They should involve a rehabilitation counselor in this decision. The physical requirements will be waived when there is sufficient evidence that the employee, with or without reasonable accommodation, can perform the essential duties of the position without endangering his or her health or safety, or the health or safety of others [5 CFR 339.204].

9. How Long Does Training Under the UPMO Program Last?

- a. The minimum training period is 6 months. The program normally does not exceed 12 months (see Chapter 15, question 11 for exceptions).
- b. The length of training depends on the identified gap between the trainee's qualifications on entering the program and the qualifications required for the target position.

- c. Training under the UPMO program is credited at the rate of 2 months of experience for each month of training.

10. When Is the Upward Mobility Individual Development Plan (IDP) Prepared?

The supervisor, with input from the employee and the concurrence of the servicing personnel specialist, must complete the IDP and the performance plan before the employee may be placed in the trainee position. The IDP must include:

- a. Trainee's name;
- b. Target position title, series, and grade;
- c. Qualifications required for the target position;
- d. Trainee's current qualifications;
- e. Qualifications the trainee needs to obtain before promotion or reassignment to the target position;
- f. The minimum amount of time the trainee must serve in the trainee position before review for promotion or reassignment to the target position;
- g. Descriptions of the work assignments and training activities (on-the-job, classroom, etc.), with anticipated completion dates;
- h. Trainee's signature and date;
- i. Supervisor's signature and date; and
- j. Personnel specialist's signature and date.

11. May the Supervisor Modify the IDP?

- a. The supervisor may modify or extend the IDP for up to an additional 6 months after consulting with their servicing personnel specialist, to allow for:
 - (1) Scheduling formal training or scheduling training experiences in response to actual work situations;
 - (2) Emergencies, such as extended sick leave or emergency annual leave; and

- (3) The trainee to perform a collateral assignment (e.g., Equal Employment Opportunity counselor), if the time spent on the collateral assignment significantly infringes on the time required for training.
- b. The supervisor must document the length of the extension and the reason(s) for it on the IDP, and provide a copy to the employee and the servicing personnel specialist.

12. Who Is Responsible for Implementing the IDP?

The supervisor is responsible for assuring that the trainee is given the opportunity to take the training described in the IDP. The servicing personnel office will work with the supervisor to enroll the trainee in formal training classes (see SOP 34 10, “Employee Development”).

13. When Must the Supervisor Evaluate the Trainee?

The supervisor should provide constant feedback to the trainee on his/her progress, successes and weaknesses. The supervisor must formally evaluate the trainee’s performance and progress approximately halfway through the training period and documents it on SBA Form 1267, “Upward Mobility Program Trainee Evaluation” (Appendix 52). The trainee evaluates the training received and records it on the form.

14. When Can the Trainee Be Promoted or Reassigned to the Target Position?

The trainee may be promoted or reassigned to the target position upon meeting the time-in-grade requirement in 5 CFR Part 300, Subpart F, and the appropriate qualification requirements as prescribed by the Office of Personnel Management's Qualification Standards for General Schedule Positions. The trainee is considered to have met the qualification requirements for the target position upon successfully completing a properly prepared IDP. For example, an employee placed in a GS-7 trainee position in a two-grade interval job series, in a 6-month training period, successfully completes his IDP. He may be promoted to the GS-9 after 52 weeks of successful performance at the GS-7 level. (By successfully completing his IDP, he met the qualification requirements for the GS-9 target position. However, he must serve 52 weeks in the GS-7 position to meet the time-in-grade requirement for promotion to GS-9.)

15. What Happens if a Trainee Has Performance Problems While in the UPMO Program?

- a. If the supervisor finds the trainee is not performing satisfactorily, after consulting with the servicing personnel specialist, the supervisor is responsible for taking appropriate corrective action such as:

- (1) Modifying the IDP; or
 - (2) Extending the employee's training up to 6 more months.
- b. In situations where even after receiving additional help, the trainee continues performing unsatisfactorily, the supervisor, after consulting with the servicing personnel specialist, may:
- (1) Reassign the employee to a position at the same grade as the UPMO trainee position; or
 - (2) Take appropriate action based on less than Fully Successful performance (see SOP 34 30, "Performance Management and Appraisal System").

Chapter 16

District Director Candidate Development Program

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1. What Is the District Director Candidate Development Program (DDCDP)?

The DDCDP is a training program which prepares high potential competitively selected individuals for district director positions, and loan servicing center director positions, at the GS-15 level.

2. What Is the Goal of the DDCDP?

The goal is to ensure that a diverse, highly qualified and well trained group of individuals is available for noncompetitive placement into these key field positions.

3. Who Is Responsible for the DDCDP?

- a. The Administrator decides:
 - (1) When to open the DDCDP;
 - (2) Which of the following groups can apply:
 - (a) SBA employees with competitive status only;
 - (b) Any individual with competitive status; and/or
 - (c) Non-status individuals;
 - (3) The number of candidates to be selected; and
 - (4) Who is selected for the DDCDP.
- b. The Executive Resources Board (ERB):
 - (1) Recommends the policy and establishes operating procedures;
 - (2) Conducts interviews and recommends applicants for selection to the Administrator; and

- (3) Approves or disapproves mentor selections.
- c. The Assistant Administrator for Human Resources (HR):
 - (1) Administers the recruitment and evaluation processes, and the training program;
 - (2) In consultation with appropriate Management Board members, identifies a pool of current and/or former district directors with proven management skills to serve as mentors and recommends mentor selections to the ERB.
 - (3) Supervises the DD Candidate while he/she is in the program;
 - (4) Assigns the DD Candidate's performance rating based on input from the candidate, mentor and rotational assignment supervisors (see Chapter 16, question 20).

4. At What Grade Level Is an Applicant Eligible for the DDCDP?

- a. The GS-13 level is the lowest grade at which the DDCDP may be announced.
- b. Applicants with competitive status are eligible at their current or retained grade. Current SBA employees who were demoted to the GS-12 level through no fault of their own and whose grade retention has ended are eligible to be promoted into the program at the GS-13 level.
- c. Non-status applicants are eligible at the grade level(s) for which they have equivalent experience.

5. What Qualifications Are Required for the DDCDP?

An applicant must have experience which demonstrates the abilities necessary for successful performance as a district director.

6. How Are DDCDP Applicants Evaluated and Referred for Selection?

- a. The Office of Human Resources (HR) determines which applicants meet the basic eligibility requirements.
- b. An evaluation panel or an HR specialist ranks each eligible non-status applicant on the quality ranking factors and veteran preference. The Office of Personnel Management's competitive examining procedures govern the order of non-status applicants on a "Certificate of Eligibles," SBA Form 2040.

- c. An evaluation panel ranks each eligible status applicant on the quality ranking factors. HR assigns points for training, awards and performance appraisals; determines which status applicants are the best qualified at each grade level using the procedures in the Merit Promotion Plan (Chapter 6); lists the best qualified applicants at each grade level in alphabetical order on SBA Form 422, “Competitive Eligibles List” (Appendix 28); and sends the lists and Certificates of Eligibles through the AA/HR to the ERB.

7. Who Selects the Evaluation Panel?

The ERB, in consultation with the AA/HR, selects at least 2 current district directors for the evaluation panel. A representative from the Office of Equal Employment Opportunity will be invited to observe the evaluation panel process.

8. Are There Mobility or Service Requirements for DD Candidates?

Yes, district director candidates must sign an SBA Form 2047, “District Director Candidate Mobility and Service Agreement” (Appendix 53) before entering the program. The selected candidates prepare and sign three copies of the mobility and service agreement. HR ensures that copies are distributed as follows:

- a. The candidate’s Official Personnel Folder;
- b. The DDCDP Coordinator; and
- c. The candidate.

9. Who Can Waive Reimbursement if a Candidate Doesn’t Fulfill the Service Agreement?

The AA/HR may waive reimbursement for good cause.

10. Where Is the Candidate’s Official Duty Station While in the Program?

The candidate’s official duty station is the district office located closest to the geographic location from which he/she was selected.

11. How are DD Candidates Trained?

Each candidate receives training to close the gap between their work experience, education and training when they enter the program and the knowledge, skills, abilities and perspectives needed for successful performance as a district director. Training may include formal classroom training, rotational assignments, seminars, workshops, etc. The core curriculum includes:

- a. Program training - finance, loan servicing, loan liquidation, marketing, and outreach, entrepreneurial development, Government contracting, and minority enterprise development.
- b. Administrative training - human resources, budget, information resources, and media skills.
- c. Management training - leadership, management “fundamentals,” partnership, equal employment opportunity, diversity, ethics, congressional relations, and some exposure to Headquarters mission and policy planning to get the “big picture” of SBA.

12. What Is the Role of a Mentor?

The mentor:

- a. Participates in developing the DD Candidate’s Individual Development Plan (see Chapter 16, question 17);
- b. Counsels and coaches the DD Candidate during the program;
- c. Hosts the DD Candidate on the first rotational assignment;
- d. Provides input for the DD Candidate’s evaluations (see Chapter 16, question 20); and
- e. Makes recommendations to the ERB about the DD Candidate’s readiness for graduation.

13. What Are Rotational Assignments?

Rotational assignments are generally 60 to 90 calendar day assignments to SBA organizations in Headquarters and field offices, and to outside organizations to gain experience and expose candidates to different perspectives and management styles.

14. Does SBA Consider Family and Personal Needs when Making Rotational Assignments?

Yes, the AA/HR and the ERB share the responsibility for considering family and personal needs in determining rotational assignments. To the extent possible, some rotational assignments will take place at locations convenient to the DD candidate's home to allow for daily or weekly commutes that would not require travel reimbursement. However, when a rotational assignment involves temporary duty travel, SOP 20 11, "Travel," provides for DD candidates to return to their residence after 28 consecutive calendar days.

15. How Long Does Training Under the DDCDP Last?

- a. The minimum training period is 6 months. The program normally does not exceed 18 months (see Chapter 16, question 16 for exceptions).
- b. The length of training depends on the identified gap between the candidate's qualifications on entering the program and the qualifications required for district director positions.
- c. Training under the DDCDP is credited at the rate of 2 months of experience for each month of training. For example, a candidate with no specialized experience would need at least 6 months of accelerated, specialized training under the DDCDP to qualify for a district director position.

16. Can the Training Period Be Extended?

- a. The candidate or the AA/HR may request an extension to allow for:
 - (1) Specialized training;
 - (2) Emergencies, such as extended sick leave; and
 - (3) Conflicts in training or rotational assignments.
- b. The ERB is authorized to approve extensions up to 24 months of total training.
- c. The ERB must notify the DDCDP Coordinator in the Office of HR of approved extensions.

17. Who Prepares, Approves and Distributes the Individual Development Plan (IDP) for a DD Candidate?

- a. The candidate and his/her mentor, with the assistance of the DDCDP Coordinator, prepare an SBA Form 2052, "District Director Candidate Individual Development Plan" (see Appendix 54).
- b. The ERB approves the IDP.
- c. The DDCDP Coordinator distributes copies of the approved plan to the candidate and the mentor.

18. When Must the IDP Be Approved?

The DD candidate must submit his/her IDP for approval no later than 30 calendar days after he/she begins the program. Once approved, the DDCDP Coordinator, in conjunction with the candidate and the mentor, arranges training courses and rotational assignments.

19. Can the IDP Be Modified?

- a. The candidate may request modification of his/her IDP.
- b. The AA/HR is authorized to approve additions, deletions, or modifications to specific training to meet the individual training needs of the candidate or to take advantage of special training or rotational assignments which may arise. The core curriculum must be considered when making changes to the IDP. If the training period needs to be extended, see Chapter 16, question 16.
- c. The DDCDP Coordinator must document the approved changes on the candidate's IDP and give copies to the candidate, the mentor and the ERB.

20. How Is the Candidate Evaluated While in the Program?

- a. A core group of ERB members will review the candidate's progress and performance monthly for the first 6 months and quarterly thereafter.
- b. The candidate, the mentor and the rotational supervisors will provide written input for the evaluations.
- c. The ERB will conduct comprehensive evaluations of the candidate at the end of the first year and at the end of the program to determine if the candidate has

clearly demonstrated the knowledge, skills, and abilities required for successful performance as a district director.

21. Who Decides Which Candidates Graduate from the DDCCDP?

The ERB decides which candidates graduate.

22. Can a District Director Candidate Be Promoted While in the Program?

The AA/HR may promote a candidate at the GS-13 level to the GS-14 level, based on progress and performance. The candidate must meet the qualification and time-in-grade requirements at the time of promotion.

23. In What Positions May DDCCDP Graduates Be Placed?

Graduates may be noncompetitively placed in vacant district director and deputy district director positions, and loan servicing center director positions at the GS-14 or 15 level. Appointment to these positions is not guaranteed. Graduates not immediately placed in a district director position will be considered for alternative assignments as determined appropriate by the ERB and the AA/HR, in conjunction with the Office of Field Operations.

24. How Long Is a DDCCDP Graduate Eligible for Noncompetitive Placement?

A graduate is eligible for noncompetitive placement for 3 years after graduation. The ERB may extend eligibility for 2 more years.

25. What Happens if a DD Candidate Has Performance Problems?

If the evaluation process indicates that a candidate is not performing or progressing satisfactorily, the AA/HR and the ERB must review the situation. The ERB is authorized to take appropriate action such as:

- a. Revising the candidate's IDP;
- b. Extending the candidate's training (see Chapter 16, question 16);
- c. Having the candidate appear before the ERB for final decision about his/her status; or
- d. Removing the candidate from the program.

26. What Happens to an Individual Who Is Removed from the Program?

- a. An SBA employee who entered the program (reassigned, voluntarily changed to a lower grade or repromoted) will be reassigned to a position at the same grade level as the District Director Candidate position. If possible, the employee will be placed back in the SBA organization which he/she came from. If an appropriate position in that organization is unavailable, the employee will be reassigned to another position, regardless of geographical location.
- b. An individual who entered the program from another Federal agency or based on reinstatement eligibility will be reassigned to a position at the same grade as the District Director Candidate position, regardless of geographical location.
- c. Depending on the reason for removal from the DDCCDP, an employee on a probationary period may be:
 - (1) Removed from the Federal service (see Chapter 11, Probationary Periods for New Employees); or
 - (2) Reassigned to another position, regardless of geographic location.

Chapter 17

Reduction in Force

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1. What Is a Reduction in Force (RIF)?

RIF is a uniform and systematic way of making organizational changes. However, RIF is also the most disruptive and expensive method of change which usually involves displacing a greater number of employees from their current jobs. It results in a temporary loss of organizational efficiency ... a loss SBA cannot afford as long as less disruptive options remain available. So RIF is SBA’s option of last resort.

2. Where Can I Find Reduction in Force Regulations?

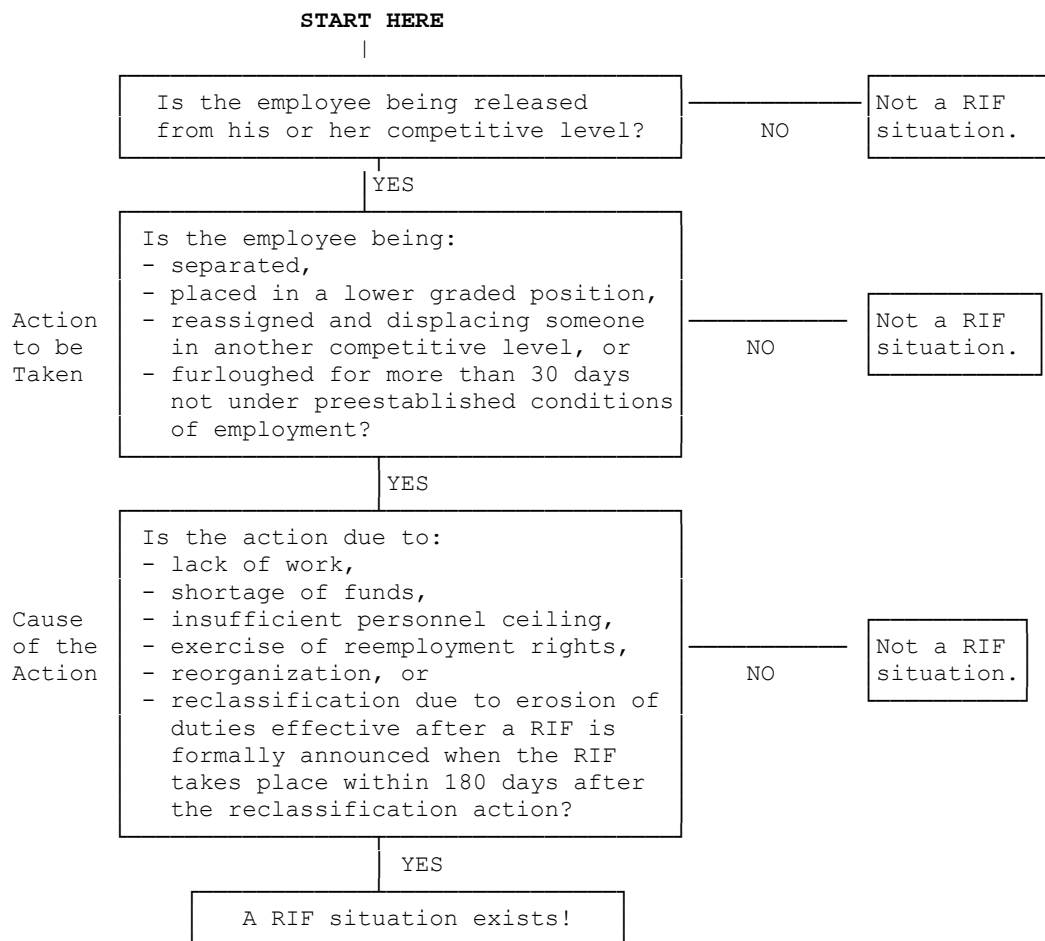
Title 5 of the Code of Federal Regulations, Part 359 Subpart F and SOP 39 20, “Senior Executive Service,” provide the policies SBA will follow in the event it is necessary to remove Career Senior Executives through reduction in force. Title 5 of the United States Code, Chapter 35 Subpart I, and Title 5 Code of Federal Regulations Part 351 and this

SOP provide the structure for SBA’s RIF policies for other employees. You should also check any negotiated agreement covering the affected organizations to determine if it addresses RIF issues.

3. When Must SBA Use RIF Procedures?

SBA must use RIF procedures when both the action taken and the cause of action meet the criteria shown below in the RIF Decision Chart. An action that meets one but not both criteria is not a RIF action and may only be taken under another appropriate authority. The RIF Decision Chart is an easy way to decide whether or not any given situation meets the definition of RIF. An employee has the right to compete under RIF procedures only if the action to be taken and the cause of the action are covered by the criteria in the RIF Decision Chart.

RIF Decision Chart



4. Are There Alternatives to Using RIF Procedures?

Since RIF is the most disruptive and expensive method for making organizational changes, SBA managers, in partnership with bargaining unit representatives (where they exist), should take various steps to lessen the likelihood or the impact of a RIF and try to avoid the necessity for a RIF altogether. Here are some of the techniques SBA can use:

- a. Communicate RIF policies and procedures to employees and unions to forestall rumors and their adverse affects on morale;
- b. Request early out retirement authority from the U.S. Office of Personnel Management;
- c. Freeze hiring and promotions;
- d. Offer employees in impacted areas the opportunity to volunteer for assignment to vacant continuing jobs in other geographic areas;
- e. Separate temporary employees and re-employed annuitants;
- f. Reassign career employees from impacted organizations into vacant continuing jobs in other organizations;
- g. Detail employees on a reimbursable basis to other agencies;
- h. Encourage interested employees to voluntarily change from full-time to part-time employment;
- i. Furlough employees;
- j. Operate an aggressive outplacement program.

5. Who Approves Reductions in Force?

Before RIF notices may be issued, the responsible manager must obtain written clearance from:

- a. The Associate Administrator for Disaster Assistance for Office of Disaster Assistance employees, except those serving on career, career-conditional and Senior Executive Service appointments;
- b. The Deputy Inspector General for Office of Inspector General employees; or
- c. The Assistant Administrator for Human Resources for all other employees.

The responsible manager must send copies of all RIF approvals to the Director, Guidance, Innovation and Review Division in the Office of Human Resources before issuing any RIF notices.

NOTE: Details for submitting a request for RIF approval are in Appendix 55

6. What Is a “Competitive Area?”

A competitive area is the organizational and geographic boundaries in which employees compete in a reduction of force. Appendix 56 lists SBA’s current competitive areas.

7. What Is a “Competitive Level” and How Is it Determined?

A competitive level is a group of positions in a competitive area which have the same grade and series and which are similar enough in duties, qualification requirements, pay schedules, and working conditions that switching incumbents would not cause undue interruption (see Appendix 57).

8. What Is the Process for Changing Competitive Areas?

Management Board members must submit requests to change existing competitive areas or to establish new competitive areas to the Assistant Administrator for Human Resources (AA/HR). Requests must include:

- a. Identification of the proposed competitive area, including the organizational component, geographic location, and limits of the local commuting area;
- b. A description of how the proposed area differs from the current area for the same organizational component and geographic area;
- c. An organizational chart showing the relationship between the organizational components within the proposed competitive area and other SBA components in the same commuting area;
- d. The number of competing employees in the proposed competitive area;
- e. A description of the operation, work function and staff in the proposed area; and
- f. The circumstances which led to the proposed changes.

The AA/HR will publish the change in a revised Appendix 57 to this SOP at which time the change becomes effective.

9. How Am I Awarded Additional Service Credit Based on My Performance?

- a. Your three most recent ratings of record received during the 4-year period before the date you are issued a RIF notice are used to determine the amount of additional service credit you will get.
- b. Your additional service credit will be based on the average (fractions rounded up to the next whole number) of the value of your ratings of record:
 - (1) 20 years for an “Outstanding” rating (Level 5);
 - (2) 16 years for an “Exceeds Fully Successful” rating (Level 4); and
 - (3) 12 years for a “Fully Successful” rating (Level 3).
- c. To get credit for ratings of record you received from other agencies, your servicing personnel office must receive the ratings, or verification of such ratings, at least 21 calendar days before issuing specific RIF notices. The servicing personnel office must input all ratings received in a timely manner into the National Finance Center personnel system before issuing RIF notices.

10. What if I Received Fewer than Three Ratings During the 4-Year Period?

- a. If you received only two ratings during the period, the value of your ratings is added together and divided by two to determine the amount of additional service credit you will get. For example, if you received an “Exceeds Fully Successful” and an “Outstanding,” you will get 18 years of additional service credit (16 years + 20 years = 36 years, 36 years divided by 2 = 18 years).
- b. If you received only one rating of record during the period, its value is the amount of additional service credit you will get.
- c. If you received no rating of record during the 4-year period, SBA will credit you with the value of the most frequently assigned summary rating level in SBA during the previous appraisal period.

11. How Am I Awarded Additional Service Credit for Ratings from a Rating System that Is Different from SBA’s 5-Level Rating System?

Your servicing personnel office will grant you additional service credit as follows:

- a. 20 years for a rating equivalent to SBA’s “Outstanding;”

- b. 16 years for a rating equivalent to SBA's "Exceeds Fully Successful;"
- c. 12 years for a passing rating under a "Pass/Fail" rating system or a rating equivalent to SBA's "Fully Successful."

12. Who Prepares and Maintains RIF Retention Registers?

- a. The servicing personnel office prepares retention registers. Appendix 58 has a worksheet that personnel offices may use to request retention registers from the National Finance Center personnel system.
- b. The servicing personnel office must maintain retention registers and related records for at least 1 year from the date of issuing RIF notices or until any appeal is decided, whichever is later.
- c. Employees may inspect retention registers to the extent that they have a bearing on a specific action taken or to be taken against the employee.

13. Who Prepares and Issues RIF Notices?

- a. The servicing personnel office prepares and issues RIF notices.
- b. The servicing personnel office sends copies of all RIF notices to the Career Transition Assistance Coordinator at:

Small Business Administration
Office of Human Resources
Guidance, Innovation and Review Division
Attention: CTAP Coordinator
409 Third Street, SW, Suite 4200
Washington, DC 20416-5221

14. Who Is Authorized to Waive Qualification Requirements in a RIF?

- a. The Office of Inspector General's Personnel Officer (OIG) may waive qualifications requirements for OIG employees reached for separation by RIF, when the employee is able to perform the work of a vacant position without undue interruption and is otherwise eligible for the position. The waiver must be documented in writing.

- b. The Assistant Administrator for Human Resources may waive qualifications requirements for all other employees reached for separation by RIF, when the employee is able to perform the work of a vacant position without undue interruption and is otherwise eligible for the position. The limits of any applicable negotiated agreement apply. The waiver must be documented in writing.

Chapter 18

Career Transition Assistance Plan

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General Information

1. What Is the Purpose of the Career Transition Assistance Plan (CTAP)?

The purpose of the Career Transition Assistance Plan (CTAP) is to help SBA employees, who are at risk of losing their jobs because of downsizing or restructuring, through the career transition process. This comprehensive approach maximizes opportunities for SBA employees to find other employment with SBA, other Government agencies, and in the private sector.

2. Am I Eligible for Help Under SBA's CTAP?

You may be eligible for help under SBA's CTAP if:

- a. You receive a RIF separation notice; or
- b. You are in jeopardy of losing your job because of a proposed downsizing (such as an office closing).

For specific eligibility requirements, see Chapter 18, questions 9, 18 and 31.

3. What Services Are Available Under SBA's CTAP?

There are three basic services or benefits available:

- a. Outplacement Assistance (Chapter 18, questions 7 through 16);
- b. Special Selection Priority (Chapter 18, questions 17 through 29); and
- c. Reemployment Priority (Chapter 18, questions 30 through 39).

4. Are There Other Services That Can Help Me?

- a. The Employee Assistance Program (EAP) offers counseling to employees and their families to cope with stress, financial impact and other difficulties related to job change. Employees may use the EAP for 90 calendar days after separation. Contact the EAP directly at 1-800-222-0364.

- b. The Interagency Career Transition Assistance Plan for Displaced Employees (ICTAP) may also help (Chapter 18, questions 40 through 53).

5. Where Can I Get More Information About SBA's CTAP and the Interagency Career Transition Assistance Plan?

- a. If you need more information, contact your administrative officer or servicing personnel specialist.
- b. Should you become eligible for outplacement assistance services, special selection priority under SBA's CTAP or the Interagency Career Transition Assistance Plan, SBA will give you the opportunity to attend an orientation session.

6. What Are the Responsibilities of the Assistant Administrator for Human Resources?

The Assistant Administrator for Human Resources:

- a. Oversees management of the CTAP;
- b. Implements ICTAP in SBA;
- c. Shares current information on CTAP with union officials;
- d. Evaluates CTAP operations and effectiveness; and
- e. Submits agencywide reports required by the Office of Personnel Management.

Outplacement Assistance

7. What is Outplacement Assistance?

Outplacement assistance is a variety of resources and services which help SBA employees at risk of losing their jobs because of downsizing or restructuring to find other jobs.

8. What Outplacement Assistance Is Available?

SBA offers the following:

- a. Counseling;
- b. Skills assessment;
- c. Résumé preparation;
- d. Job search planning;
- e. Interviewing techniques;
- f. Retraining if you are reassigned to another SBA position;
- g. Use of Government equipment and supplies;
- h. Use of administrative leave; and
- i. Information on other Federal, state and local assistance available to support career transition for employees with disabilities.

NOTE: SBA may contract with private companies to provide some of these services.

9. Am I Eligible for Outplacement Assistance?

You are eligible if you are currently employed on a permanent appointment (without time limit) in the competitive, excepted, or Senior Executive Service and you received:

- a. A RIF separation notice;
- b. A notice of proposed separation for declining a directed reassignment outside of your commuting area due to closing of an SBA office, ceiling or budget limitations or a transfer of function; or
- c. A notice that your position is being eliminated and that you are eligible for discontinued service retirement.

10. How Long Am I Eligible for Outplacement Assistance?

- a. Your eligibility begins on the date you are issued a:
 - (1) RIF separation notice;

- (2) Notice of proposed separation for declining a directed reassignment or transfer of function outside the local commuting area; or
 - (3) Notice that your position is being abolished and that you are eligible for discontinued service retirement.
- b. Your eligibility ends on the earliest of the following:
- (1) 90 calendar days after you are separated from SBA, including separation by retirement or resignation;
 - (2) Your RIF separation notice expires or is canceled; or
 - (3) Your notice of proposed separation for declining a directed reassignment or transfer of function is canceled.

11. How Can I Take Advantage of This Assistance?

You should contact your administrative officer or your servicing personnel office to request outplacement assistance. You will be assisted by telephone, electronic mail, fax or on-site visits. If you are disabled, you may request that your servicing personnel office arrange reasonable accommodation for you.

12. How Much Administrative Leave May I Use for Outplacement Assistance?

As a CTAP eligible, your supervisor is authorized to approve up to 16 hours of administrative leave each pay period for you to participate in this program. This includes any time you spend using Government office space and equipment. You may be granted more than 16 hours per pay period under special circumstances, such as to attend a 3 day training course.

13. What Government Equipment and Supplies May I Use?

You may use available SBA office space, computers (including use of the Internet to locate job listings and submit résumés), typewriters, telephones, copy machines and reasonable office supplies (excluding Government postage-paid envelopes, metered mail, Federal Express, UPS or other delivery services paid for by SBA) to prepare résumés, complete job application forms and contact prospective employers. You may arrange with your supervisor (or former supervisor) for reasonable use of a fax machine to receive job announcements and send job applications to prospective employers.

14. What Retraining Is Available?

SBA will retrain you if you are reassigned to a position for which you are not fully qualified. Your supervisor, with assistance from you and your servicing personnel office, will prepare an Individual Development Plan (IDP) for you (see SOP 34 10, “Employee Development,” Chapter 2 for requesting training, and Chapter 4 for preparing an IDP).

15. Will SBA Refer My Job Application to Potential Employers?

- a. If you sign a release statement (Appendix 59) and send it to your servicing personnel office, SBA may refer your application or résumé to any potential employers that the Agency might identify. However, you should not rely solely on this method to find other employment.
- b. The Office of Human Resources, servicing personnel offices and/or administrative officers in district offices and loan servicing centers may identify potential employers. The Human Resources Operations Division, the Office of Inspector General and the Office of Disaster Assistance may refer their displaced employees’ applications to potential employers.

16. What Must Servicing Personnel Offices Do to Provide Outplacement Assistance Services?

Servicing personnel offices must:

- a. Send copies of the notices listed in Chapter 18, question 9 to:

Small Business Administration
Office of Human Resources
Guidance, Innovation and Review Division
Attention: CTAP Coordinator
409 Third Street, SW, Suite 4200
Washington, DC 20416-5221
- b. Conduct orientation sessions on outplacement assistance, retirement and reassignment for eligible employees (see Appendix 60 for topics to be covered);

- c. Contact the CTAP Coordinator in the Office of Human Resources, Guidance, Innovation and Review Division to arrange for outplacement assistance services and coordinate delivery of services;
- d. Arrange reasonable accommodation for disabled employees who request it;
- e. Inform eligible persons about the Employee Assistance Program; and
- f. Assist supervisors in preparing Individual Development Plans for employees reassigned to positions for which they are not fully qualified.

Special Selection Priority

17. What Is Special Selection Priority?

Special selection priority requires that SBA employees on career, career-conditional and permanent Schedule A and B excepted service appointments who are in jeopardy of losing their jobs through RIF or downsizing be selected for other SBA jobs.

18. Am I Eligible for Special Selection Priority?

You are eligible if:

- a. You have received a RIF separation notice; a notice of proposed removal for declining a directed reassignment due to closing of an SBA office, or ceiling or budget limitations; a notice of proposed removal for declining a transfer of function to another commuting area; or a notice that your position is being abolished and that you are eligible for discontinued service retirement; and
- b. You are currently on a:
 - (1) Career or career-conditional appointment in the competitive service at grade level GS-15 or below (or equivalent); or
 - (2) Permanent Schedule A or B excepted service appointment (e.g., attorney, Student Career Experience Program, physically disabled); and
- c. Your last performance rating was “Fully Successful” (Level 3) or better.

19. What Positions Am I Eligible For?

a.

IF YOU ARE ON A ...	THEN YOU ARE ELIGIBLE FOR ...
Permanent competitive service appointment	Competitive service appointments lasting 121 calendar days or more agencywide
Permanent Schedule A or B excepted service appointment	Permanent appointment under the <u>same</u> Schedule A or B appointing authority in the same commuting area

- b. The position must be at or below the grade level of your current position, have no greater promotion potential than your current position, and you must be well-qualified for the position.
- c. If you are on a permanent competitive service appointment, you may exercise special selection priority for announced vacancies agencywide. However, the selecting official must first select eligibles whose current positions are in the same commuting area as the vacancy before selecting eligibles from outside the commuting area [5 CFR 330.604(i)(3)].

20. What Is Meant by Well-Qualified?

You are well-qualified if you meet the minimum qualification requirements for the position (including any selective factors) and receive at least two-thirds of the total possible points for the quality ranking factors (knowledge, skills and abilities) for the position. For example, if there are 30 total possible points for the quality ranking factors, you must receive at least 20 points to be well-qualified.

21. How Long Am I Eligible for Special Selection Priority?

- a. Your eligibility begins on the date you are issued:
- (1) A RIF separation notice;
 - (2) A notice of proposed separation for declining a directed reassignment or transfer of function outside the local commuting area; or
 - (3) A notice that your position is being abolished and that you are eligible for discontinued service retirement.
- b. Your eligibility ends on the earliest of the date:

- (1) You are separated by RIF;
- (2) You are separated for declining a directed reassignment or transfer of function outside the local commuting area;
- (3) You resign;
- (4) You retire;
- (5) The notice eliminating your position is canceled;
- (6) You receive a career, career-conditional or excepted service appointment without time limit at any grade level in SBA or another agency (including positions with part-time or intermittent work schedules);
- (7) You receive a temporary or term appointment in another agency; or
- (8) You decline a written job offer under special selection priority.

22. Am I Still Eligible if I Take a Temporary or a Term Appointment in SBA?

If you receive a separation notice, but are placed into a temporary or term position before the involuntary separation takes place, your eligibility ends because you are no longer scheduled to be separated by RIF.

23. How Do I Apply for Special Selection Priority?

- a. You must apply in response to SBA vacancy announcements by the closing date of the announcement. If there is an appropriate unannounced vacancy in your commuting area, your servicing personnel office will inform you of the vacancy and you must apply within 5 workdays of notification by your servicing personnel office (i.e., your application must be received by your servicing personnel office within 5 workdays).
- b. You must submit a copy of your RIF notice or notice that you will be separated for declining a directed reassignment outside the commuting area, along with your application and indicate that you are applying for special selection priority.

24. Who Determines if I Am Well-Qualified?

- a. If you apply for a position in the Office of Inspector General (OIG), the OIG Personnel Officer will determine if you are well-qualified. If the OIG personnel office determines that you are not well-qualified, the Assistant Inspector General

for Management and Policy will conduct a second independent review of your application and make a determination. If the two determinations conflict, the Deputy Inspector General will make the final determination.

- b. If you apply for a non-OIG position, a personnel specialist will determine if you are well-qualified. If the specialist determines that you aren't well-qualified, another personnel specialist will conduct a second independent review of your application and make a determination. If the two determinations conflict, a higher level personnel official will make the final determination.

25. How Will I Be Informed of My Application Results?

The servicing personnel office must notify you in writing:

- a. Whether or not you were found well-qualified;
- b. If you were not found well-qualified, the results of the independent, second review and final determination, if applicable; and
- c. If you were found well-qualified, but another well-qualified applicant was selected under special selection priority, the name of the selected applicant.

26. If I Am Not Found to be Well-Qualified, Can I File a Grievance or Appeal?

If you are currently in a bargaining unit represented by either AFGE or NFFE and believe your reemployment priority rights were violated, you may file a grievance under the appropriate bargaining unit procedure. If you are a non-bargaining unit employee, you may file under SOP 37 71, "Employee Dispute Resolution Process." There is no right of appeal to the Office of Personnel Management or the Merit Systems Protection Board.

27. Does Special Selection Priority Mean that I Have a Right to a Vacant Position?

When filling a vacancy, the selecting official must select an employee eligible under SBA's Career Transition Assistance Plan before selecting any other applicant from within or outside SBA, unless doing so would cause another employee to be separated by RIF. However, there are exceptions to the requirement mandating selection [see Title 5, Code of Federal Regulations (5 CFR), Part 330.606(d) for a complete list]. Exceptions include, but are not limited to:

- a. Temporary appointments of less than 121 calendar days;
- b. Time-limited promotions of less than 121 calendar days;
- c. Extensions of temporary actions, provided that the vacancy announcement for the original action stated that eligible career transition assistance applicants would be

given special selection priority and that extension of the action was possible without further announcement;

- d. Excepted service appointments, except permanent Schedule A and B appointments; and
- e. Positions filled under RIF regulations.

28. What Happens if More than One Eligible and Well-Qualified Employee Applies for Special Selection Priority?

If more than one eligible and well-qualified employee applies, the selecting official must select in the following order:

- a. For competitive or excepted service appointment, any well-qualified special selection priority eligible whose current position is in the same commuting area as the vacancy (see Chapter 18, question 19c for restrictions on excepted service appointments);
- b. For competitive service appointment, any well-qualified special selection priority eligible from another commuting area.

29. What Must Servicing Personnel Offices Do to Implement Special Selection Priority under SBA's CTAP?

Servicing personnel offices must:

- a. Be familiar with the regulations in 5 CFR, Part 330, Subpart F;
- b. Include a copy of this plan with each RIF notice and each written notice to an employee that his/her position may be eliminated;
- c. Send a copy of each RIF notice and each written notice to an employee that his/her position may be eliminated to SBA's CTAP coordinator in the Office of Human Resources, Guidance, Innovation and Review Division;
- d. Conduct orientation sessions on special selection priority within SBA for eligible employees (see Appendix 60 for topics to be covered);
- e. Include the CTAP/ICTAP statement in Appendix 15 on all vacancy announcements for competitive service positions lasting 121 calendar days or more and permanent Schedule A and B appointments;

- f. Contact the CTAP coordinator to clear the SBA special selection priority list before filling an unannounced vacant position in the competitive service lasting 121 calendar days or more or an unannounced Schedule A or B position without time limit; if any eligible employees are on the special selection priority list, provide those employees an opportunity to apply for the unannounced SBA vacancy; and document the case file accordingly;
- g. Determine whether employees who apply for special selection priority are eligible, including verification that the RIF notice contains the information in 5 CFR 351.802(a) and verification by the CTAP coordinator that the employee has not declined a position under SBA's special selection priority plan;
- h. Document in writing whether or not employees who apply for special selection priority are well-qualified, including results of second independent reviews and final determinations, and send copies to the CTAP coordinator;
- i. Refer eligible employees on SBA Form 422A, "Referral List," for appropriate SBA vacancies and advise the selecting official of the mandatory selection requirement;
- j. Send a written job offer to an employee selected under special selection priority and inform him/her that if he/she declines the offer, he/she is no longer eligible for special selection priority under SBA's CTAP;
- k. Notify each special selection priority applicant of the results of his/her application; and
- l. Notify the CTAP coordinator by e-mail or in writing when special selection priority eligibles accept or decline job offers.

Reemployment Priority

30. What Is Reemployment Priority?

Reemployment priority requires that permanent competitive service SBA employees who have been or will be separated by RIF and those fully recovered from a compensable injury after more than a year be selected for vacancies before most applicants outside the Agency (see question 34 for the exceptions). The position must be at the same or lower grade than the last position the employee held, must have no greater promotion potential, and must be in the competitive service. Individuals entitled to reemployment priority based on RIF are eligible for positions in their current or former commuting area and for any grade up to the highest grade previously held on a nontemporary basis in the competitive service from which demoted in a previous RIF. Individuals entitled to reemployment priority based on recovery from compensable injury are eligible for positions agencywide.

31. Am I Eligible for Reemployment Priority?

- a. You are eligible due to RIF if:
- (1) You were or are a permanent employee in the competitive service who was or will be separated by RIF;
 - (2) You did not decline an offer of a position under RIF regulations with the same work schedule and at the same or higher grade than that from which you were or will be separated;
 - (3) Your last performance rating was “Minimally Successful” (Level 2) or better;
 - (4) You apply no later than 30 calendar days after separation; and
 - (5) You meet the minimum qualifications for the position, including any minimum educational requirements, and selective placement factors, and physical and medical qualifications.
- b. You are eligible due to compensable injury if:
- (1) You were a permanent employee in the competitive service who was separated due to compensable injury or are a permanent employee in the competitive service who accepted a lower-graded position in lieu of separation due to a compensable injury;
 - (2) You fully recovered more than 1 year after compensation began;
 - (3) You apply within 30 calendar days after injury compensation ends; and
 - (4) You meet the minimum qualifications for the position, including any minimum educational requirements, selective placement factors, and physical and medical qualifications.

32. How Long Am I Eligible for Reemployment Priority?

a.

IF YOU WERE ...	THEN YOU ARE ELIGIBLE FOR ...
A career-conditional or probationary employee in the competitive service (Tenure Group II)	1 year
A career employee (Tenure Group I)	2 years

b. Your eligibility begins on the date your name is entered on the Reemployment Priority List (RPL).

c. You lose your eligibility before the end of the time period above when you:

- (1) Receive a career, career-conditional or excepted appointment without time limit in any Federal agency;
- (2) Decline a career, career-conditional or excepted service appointment without time limit at the same grade level and with the same work schedule as that of the position from which you were separated;
- (3) Separate from SBA for some other reason, such as resignation or retirement, before you are separated by RIF;
- (4) Decline an interview, or don't appear for a scheduled interview;
- (5) Don't answer a written inquiry or offer from a servicing personnel office about a specific position at the same grade level and with the same work schedule as that of the position from which you were separated [the personnel office must have evidence a written inquiry or offer was made (e.g., return receipt signed by you) before removing you from the RPL];
- (6) If you decline a career, career-conditional or excepted appointment without time limit or don't answer an inquiry from a servicing personnel office about a specific position that meets the acceptable conditions listed on your application, you will lose consideration for all positions at or below that grade; or
- (7) Move from the Alaska commuting area while you are registered for reemployment priority in Alaska (only applies to individuals eligible for reemployment priority based on RIF).

NOTE: If you leave the Alaska commuting area while you are registered, you may make a written request for entry on the Reemployment Priority List for another area in the United States. Send your written request to the address in Chapter 18, paragraph 33(e).

33. How Do I Apply for Reemployment Priority?

- a. To apply, you must submit your application to the SBA servicing personnel office which services your current or former position no later than 30 calendar days after separation by RIF or after injury compensation ends. If you don't know where to submit your application, call the Career Transition Assistance Program Coordinator in the Office of Human Resources at (202) 205-6162.
- b. Your application must be an "Optional Application for Federal Employment" (OF 612) or must contain all of the items on the OF 612. If your separation is due to RIF, you must also include a copy of your RIF notice and your last annual performance rating.
- c. You must indicate on your application that you are applying for reemployment priority and:
 - (1) The title and series of the positions you want to be considered for;
 - (2) The lowest grade you are willing to accept;
 - (3) If you are willing to accept a nonpermanent (temporary or term) appointment; and
 - (4) The type of work schedules you are willing to accept (i.e., full-time, part-time, intermittent)
- d. If you ask, your servicing personnel office will:
 - (1) Help you identify positions in the commuting area for which you are qualified and interested;
 - (2) Advise you how your pay will be set if you are reemployed after injury compensation ends and/or you are willing to accept lower-graded positions;
 - (3) Advise you how acceptance of nonpermanent (temporary or term) appointments will affect your employment status and eligibility for benefits (e.g., retirement, health benefits, life insurance).

- e. You should send updates to your application, especially changes to your address or telephone number, to the address below. If the personnel office can't contact you, your reemployment priority consideration will be suspended until you update your application. The period of suspension will not extend your 1 or 2 year eligibility period.

Small Business Administration
Office of Human Resources
Guidance, Innovation and Review Division
Attention: CTAP Coordinator
409 Third Street, SW, Suite 4200
Washington, DC 20416-5221

34. If an Individual Is on the Reemployment Priority List, Can SBA Select Someone from Outside the Agency?

SBA usually may not select someone from outside the Agency when a qualified individual is available on the RPL. The following exceptions to this restriction are listed in 5 CFR 330.205(b):

- a. Appointment of a person with 10-point veteran preference;
- b. Transfer or reemployment of a preference eligible; and
- c. Transfer or reemployment of an individual exercising statutory or regulatory reemployment rights.

35. What if There Is More than One Individual Eligible for Reemployment Priority for a Particular Vacancy?

If there is more than one individual eligible for reemployment priority, they will be referred to the selecting official in the group and subgroup order used in a RIF [5 CFR 351.501(b) and (c)]. Group order is based on employment tenure, and subgroup order is based on veteran preference. The selecting official may not pass over an individual in a higher group to select from a lower group, and may not pass over an individual in a higher subgroup to select from a lower subgroup [5 CFR 330.207(b)].

36. Am I Still Eligible if I Accept or Decline a Temporary or Term Appointment?

Yes, you remain eligible for reemployment priority for permanent appointments.

37. Do I Have Any Appeal Rights?

- a. If you have already been separated from SBA or are a current non-bargaining unit employee and you believe your reemployment priority rights were violated because another person was appointed improperly, you may appeal to the Merit Systems Protection Board. Contact your servicing personnel office for detailed information on the procedures and time limit for filing an appeal.
- b. If you are currently in a bargaining unit represented by either the American Federation of Government Employees or the National Federation of Federal Employees and believe your reemployment priority rights were violated, you may either file a grievance under the appropriate bargaining unit procedure or appeal to the Merit Systems Protection Board. However, you do not have the right to file under both procedures.

38. Who Establishes and Maintains Reemployment Priority Lists?

The CTAP coordinator in the Office of Human Resources, Guidance, Innovation and Review Division establishes and maintains RPLs based on timely input from servicing personnel offices, keeps and updates registrants' applications, and provides applications to servicing personnel offices for referral.

39. What Must Servicing Personnel Offices Do to Implement Reemployment Priority?

Servicing personnel offices must:

- a. Be familiar with the regulations in 5 CFR, Part 330, Subpart B;
- b. Attach a copy of this plan to each RIF notice issued;
- c. Help an individual eligible for reemployment priority identify SBA positions for which he/she qualifies;
- d. Advise an individual how much his/her pay will be if he/she is reemployed after injury compensation ends and/or is willing to accept lower-graded positions;
- e. Advise an individual how acceptance of nonpermanent (temporary or term) appointments will affect his/her employment status and eligibility for benefits (e.g., retirement, health benefits, life insurance);

- f. Send RPL applications, including the information described in Chapter 18, question 33c, to the CTAP coordinator at the address in Chapter 18, question 33e within 5 calendar days of receipt;
- g. Contact the CTAP coordinator to clear the RPL before filling appropriate vacancies;
- h. Send a written inquiry and/or a job offer to a person on the RPL, including notification that if he/she fails to respond, he/she will lose reemployment priority for positions at or below that grade;
- i. Keep evidence of all written offers and inquiries made;
- j. Refer the applications of persons eligible for reemployment priority on SBA Form 422A, "Referral List," and advise the selecting official of the mandatory selection requirement and selection order in Chapter 18, question 35;
- k. Notify the CTAP coordinator when persons eligible for reemployment priority don't respond to written inquiries, decline or don't appear for scheduled interviews or decline written job offers, and send copies to the CTAP coordinator of undeliverable mail; and
- l. Notify the CTAP coordinator when reemployment priority eligibles are selected for career, career-conditional or excepted appointments without time limit.

Interagency Career Transition Assistance Plan

40. What Is the Interagency Career Transition Assistance Plan (ICTAP) for Displaced Employees?

The ICTAP gives former and current Federal employees who have been or will be separated by RIF or for declining a transfer of function or a directed reassignment outside the commuting area and former Federal employees who retired with a disability whose annuity has been terminated, an opportunity for priority selection for another Federal job. The position must be in the competitive service and last 121 calendar days or more, be in the same commuting area as the last Federal position the employee held, and be at or below their grade with no higher promotion potential than the position the employee last held.

41. Am I Eligible for ICTAP?

- a. You are eligible if:

- (1) You are a current or former career or career-conditional employee in the competitive service at grade level GS-15 or below (or equivalent);
 - (2) You were or will be separated by RIF, or because you declined a transfer of function or directed reassignment outside the commuting area, or you retired either on the effective date of a RIF or under the discontinued service retirement option;
 - (3) Your last performance rating was “Fully Successful” (Level 3) or better;
 - (4) You apply for a vacancy that is at or below the grade level from which you were or will be separated that does not have higher promotion potential;
 - (5) You apply for a vacancy in the same commuting area;
 - (6) You apply for the vacancy within the timeframe stated in the vacancy announcement; and
 - (7) You meet the agency’s definition of well-qualified.
- b. You may also be eligible if your workers compensation or disability retirement is terminated [see 5 CFR 330.703(b) and 704(b)].

42. What Is Meant by Well-Qualified?

Each agency has its own definition of well-qualified. If it is not stated on the vacancy announcement, contact the agency and ask them. SBA’s definition of well-qualified is:

The individual meets the minimum qualification requirements for the position (including any selective factors) and receives at least two-thirds of the total possible points for the quality ranking factors (knowledge, skills and abilities) for the position. For example, if there are 30 total possible points for the quality ranking factors, the individual must receive at least 20 points to be well-qualified.

43. How Long Am I Eligible for Special Selection Priority Under ICTAP?

- a. Your eligibility begins on the date:
- (1) Your RIF separation notice is issued; or
 - (2) You are issued a formal notice of proposed separation for declining a transfer of function or directed reassignment outside the local commuting area.

- b. You are eligible until:
- (1) One year after separation by RIF or because you declined a transfer of function or a directed reassignment outside the commuting area;

NOTE: Preference eligibles separated from restricted positions by RIF because their work is contracted out have special selection priority for 2 years after separation. [5 CFR 330.407(b)]
 - (2) You receive a career, career-conditional or excepted service appointment without time limit in any agency at any grade level;
 - (3) Your RIF notice, transfer of function or directed reassignment letter is canceled, or you resign or retire before the RIF effective date (and not by discontinued service retirement); or
 - (4) You may lose eligibility if you decline or fail to respond to a written offer of a permanent position, including a part-time or intermittent position, in the competitive or excepted service (see Chapter 18, question 50).

44. How Do I Apply for Special Selection Priority under ICTAP?

You apply directly to other agencies for advertised vacancies. Your application must include the following:

- a.
 - (1) A copy of your RIF separation notice or notice of proposed removal for declining a directed reassignment or transfer of function outside the commuting area; or
 - (2) Notification of Personnel Action (SF 50), showing separation by RIF or removal for declining a directed reassignment or transfer of function outside the local commuting area; or
 - (3) Certificate of expected separation; or
 - (4) Other notice that you are a surplus employee or eligible for discontinued service retirement; and
- b. A copy of a Notification of Personnel Action (SF 50) which shows the promotion potential of your current position or the position you last held; and
- c. A copy of your last performance rating of record.

NOTE: Current and former SBA employees are not eligible for special selection priority under ICTAP at SBA [5 CFR 330.705(a)].

45. What Happens When More than One Eligible and Well-Qualified Person Applies for a Vacancy under ICTAP?

The agency may select any of them.

46. What Happens When Persons Eligible under ICTAP, Displaced DC Corrections Employees and/or Displaced Panama Canal Zone Employees Apply and Are Found Well-Qualified?

The agency may select any of them.

47. How Will I Be Informed of My Application Results?

The agency must notify you in writing:

- a. Whether or not you were found well-qualified;
- b. If you were not found well-qualified, the results of the independent, second review and final determination, if applicable; and
- c. If you were found well-qualified, but another well-qualified applicant was selected under ICTAP.

48. If I Am Not Found to be Well-Qualified, Can I File a Grievance or Appeal?

You may file under the dispute resolution process of the agency which did not find you to be well-qualified. SBA's Employee Dispute Resolution Process is SOP 37 71. There is no right of appeal to the Office of Personnel Management or the Merit Systems Protection Board.

49. Does Special Selection Priority under the ICTAP Mean I Have a Right to the Position?

No. ICTAP gives you preference when an agency fills a vacancy from outside its workforce. The selecting official must select an applicant eligible for ICTAP before selecting any other outside applicant, including a temporary employee currently employed by the agency, with the following exceptions [see 5 CFR 330.705(c) for a complete list]:

- a. Appointment of a person with 10-point veteran preference;
- b. Filling an excepted service position;
- c. Reemployment of a former agency employee from that agency's RPL;

- d. Reemployment of a former agency employee who has reemployment rights under regulation or statute;
- e. Selection of an individual eligible for selection priority based on displacement from the District of Columbia Department of Corrections (see Chapter 18, questions 54 through 63) or displacement from Panama Canal Zone employment (see Chapter 18, questions 64 through 72).

50. Am I Still Eligible if I Decline a Job Offer?

If you decline or fail to respond to a written offer of a permanent position, including a part-time or intermittent position, in the competitive or excepted service, you may lose eligibility with that agency but you may still apply to other agencies. Each agency sets its own policy as to whether eligibility ends when ICTAP eligibles decline or fail to respond to offers of permanent positions.

NOTE: ICTAP eligibles who decline offers from SBA lose their eligibility with SBA.

51. Am I Still Eligible if I Take a Temporary or Term Position?

It depends on when you accept the position. If you receive a separation notice, but are placed into a temporary or term position before the involuntary separation takes place, your eligibility ends because you are no longer scheduled to be separated by RIF. However, if you are separated involuntarily and accept a temporary or term position afterward, you are still eligible.

52. Am I Still Eligible if I Take a Job Outside of the Federal Government?

If you resign or retire before the RIF or other involuntary separation is carried out, you will lose your eligibility. However, taking a job outside the Federal Government after you have been separated involuntarily doesn't affect your eligibility.

53. What Must SBA Servicing Personnel Offices Do to Implement Special Selection Priority under ICTAP?

Servicing personnel offices must:

- a. Be familiar with the regulations in 5 CFR, Part 330, Subpart G;
- b. Include a copy of this plan with each RIF notice, notice of transfer of function or letter directing reassignment outside the commuting area;
- c. Conduct orientation sessions on special selection priority under the ICTAP for eligible SBA employees (see Appendix 60 for topics to be covered);

- d. Include the CTAP/ICTAP vacancy announcement statement in Appendix 15 on all vacancy announcements for competitive service appointments lasting 121 calendar days or more which are open to applicants outside the Agency;
- e. Provide the Office of Personnel Management with electronic copies of all vacancy announcements for competitive service appointments lasting 121 calendar days or more which are open to applicants outside the Agency;
- f. Determine whether persons who apply under ICTAP are eligible using the procedures in Chapter 18, questions 40 through 43 and 53g, including verification that the RIF notice contains the information in 5 CFR 351.802(a) and verification by SBA's CTAP coordinator in the Office of Human Resources, Guidance, Innovation and Review Division, that the person has not declined an SBA position under ICTAP;
- g. Document in writing whether or not individuals who apply for special selection priority are well-qualified using the procedures in Chapter 18, question 24;
- h. Send copies of written determinations of whether individuals who apply for special selection priority are well-qualified, including second independent review and final determinations, to the CTAP coordinator;
- i. Refer eligible individuals to the selecting official on SBA Form 422A, "Referral List," and advise the selecting official of the mandatory selection requirement;
- j. Send a written job offer to a selected individual, including notification that if he/she declines the offer, he/she is no longer eligible for special selection priority in the SBA;
- k. Notify each special selection priority applicant of the results of his/her application; and
- l. Notify the CTAP coordinator by e-mail or in writing when persons selected under ICTAP decline SBA positions.

Selection Priority for Displaced District of Columbia Department of Corrections Employees

54. What Is Selection Priority for Displaced District of Columbia (DC) Department of Corrections Employees?

A displaced DC Corrections employee who is separated as a result of the closure of the Lorton Correctional Complex, and who is not appointed to a Federal Bureau of Prisons law enforcement position, is entitled to selection priority for vacancies at other Federal agencies when he/she applies and is found well-qualified [5 CFR Part 330, Subpart K].

55. Are There Exceptions to Selection Priority for Displaced DC Corrections Employees?

When filling a vacancy from outside the Agency, the selecting official must select a displaced DC Corrections employee eligible for special selection priority before selecting any other outside applicant. However, there are exceptions [see 5 CFR 330.705(c) for a complete list]. The exceptions include:

- a. Appointment of a person with 10-point veteran preference;
- b. Filling an excepted service position;
- c. Reemployment of a former agency employee from SBA's RPL;
- d. Reemployment of a former SBA employee who has reemployment rights under regulation or statute; and
- e. Selection of an individual eligible for selection priority based on eligibility for the ICTAP (see Chapter 18, questions 40 through 54) or displacement from Panama Canal Zone employment (see Chapter 18, questions 64 through 72).

56. Which Displaced DC Corrections Employees Are Eligible for Selection Priority?

An individual is eligible if he/she meets all of the following criteria:

- a. Is/was a DC Corrections employee who received a specific RIF separation notice resulting from the closing of the Lorton Correctional Complex (the individual must attach a copy of the RIF separation notice to his/her application);
- b. Has not been appointed to a Federal Bureau of Prisons law enforcement position;
- c. Applies for a temporary or permanent competitive service position in any series, location and grade (regardless of the promotion potential of the position) within the timeframe stated in the vacancy announcement; and
- d. Is well-qualified for the position. To be well-qualified, the individual must meet minimum qualification requirements for the position, including any selective factors, and receive at least two-thirds of the total possible points for the quality ranking factors (knowledge, skills and abilities).

57. What Is the Eligibility Period?

- a. Eligibility begins on the date the DC Corrections employee receives or is issued a specific RIF notice.

- b. Eligibility expires on the earliest of the following dates:
- (1) One year after the Lorton Correctional Complex closes or December 31, 2002, whichever is later.
- NOTE:** *The Office of Personnel Management will inform Federal agencies of the actual closing date.*
- (2) When the DC Corrections employee is no longer being separated by RIF;
 - (3) When the DC Corrections employee receives a career, career-conditional or excepted service appointment without time limit in any agency at any grade level;
 - (4) When the DC Corrections employee voluntarily separates by resignation or retirement before the RIF effective date; or
 - (5) When the DC Corrections employee is separated involuntarily other than by RIF before the RIF effective date.

58. Who Determines if a Displaced DC Corrections Employee Is Well-Qualified?

- a. For a position in the Office of Inspector General (OIG), the OIG Personnel Officer will determine if the individual is well-qualified. If the OIG personnel office determines the individual is not well-qualified, the Assistant Inspector General for Management and Policy will conduct a second independent review and make a determination. If the two determinations conflict, the Deputy Inspector General will make the final determination.
- b. For a non-OIG position, a personnel specialist will determine if the individual is well-qualified. If the specialist determines the individual is not well-qualified, another personnel specialist will conduct a second independent review and make a determination. If the two determinations conflict, a higher level personnel official will make the final determination.

59. Must a Displaced DC Corrections Employee Have a Satisfactory Performance Rating to Be Eligible?

There is no requirement for the DC Corrections employee to have a satisfactory performance rating to be eligible.

60. What Happens When More than One Displaced DC Corrections Employee Applies and is Found Well-Qualified?

The selecting official may select any of them.

61. What Happens When Displaced DC Corrections Employees, Displaced Panama Canal Zone Employees and/or Persons Eligible Under ICTAP Apply and Are Found Well-Qualified?

The selecting official may select any of them.

62. How Are DC Corrections Employees Appointed?

They are given excepted service appointments to positions in the competitive service.

63. What Must Servicing Personnel Offices Do to Implement Special Selection Priority for Displaced DC Corrections Employees?

Servicing personnel offices must:

- a. Be familiar with the regulations in 5 CFR, Part 330, Subpart K;
- b. Include the CTAP/ICTAP vacancy announcement statement in Appendix 15 on all vacancy announcements open to individuals from outside the Agency;
- c. Verify that persons who apply for DC Corrections special selection priority are eligible using the criteria in Chapter 18, questions 56 and 57;
- d. Document in writing whether or not individuals who apply for DC Corrections special selection priority are well-qualified, including second independent reviews and final determinations, if necessary; and
- e. Refer eligible individuals to the selecting official on SBA Form 422A, "Referral List," and advise the selecting official of the mandatory selection requirement.

Selection Priority for Displaced Panama Canal Zone Employees

64. What Is Selection Priority for Displaced Panama Canal Zone Employees?

An eligible displaced employee of the former Panama Canal Zone is entitled to selection priority for competitive service vacancies in the continental United States (the 48 contiguous United States and the District of Columbia) lasting 121 days or more when he/she applies and is found well-qualified [5 CFR Part 330, Subpart L].

65. Are There Exceptions to Selection Priority for Displaced Panama Canal Zone Employees?

When filling a vacancy from outside the Agency, the selecting official must select a displaced Panama Canal Zone employee eligible for special selection priority before

selecting any other outside applicant. However, there are exceptions [see 5 CFR 330.705(c) for a complete list]. The exceptions include:

- a. Appointment of a person with 10-point veteran preference;
- b. Filling an excepted service position;
- c. Reemployment of a former Agency employee from SBA's RPL;
- d. Reemployment of a former SBA employee who has reemployment rights under regulation or statute; and
- e. Selection of an individual eligible for selection priority based on eligibility for the Interagency Career Transition Assistance Plan (see Chapter 18, questions 40 through 53) or displacement from the District of Columbia Department of Corrections (see Chapter 18, questions 54 through 63).

66. Which Displaced Panama Canal Zone Employees Are Eligible for Selection Priority?

An individual is eligible if he/she meets the following criteria:

- a. Is a United States citizen;
- b. Holds or held a position in the Panama Canal Employment System in tenure group 1 or 2 as defined in 5 CFR 351.501(a);
- c. Was an employee of the Panama Canal Company or the Canal Zone Government on March 31, 1979, and has been continuously employed in the former Panama Canal Zone under the Panama Canal Employment System;

OR

Has been continuously employed since March 31, 1979, in the former Panama Canal Zone under the Panama Canal Employment System as an employee of an executive agency, or as an employee of the Smithsonian Institution;

- d. Holds or held a position that is eliminated as the result of the implementation of the Panama Canal Treaty of 1977 and related agreements;
- e. Is not appointed to another appropriate Federal position located in Panama;
- f. Has received a specific notice of separation by RIF (the individual must attach a copy of the RIF separation notice to his/her application);

- g. Applies for a temporary or permanent competitive service position in any series and grade (regardless of the promotion potential of the position) located in the continental United States (the 48 contiguous states and the District of Columbia) within the timeframe stated in the vacancy announcement; and
- h. Is well-qualified for the position. To be well-qualified, the individual must meet minimum qualification requirements for the position, including any selective factors, and receive at least two-thirds of the total possible points for the quality ranking factors (knowledge, skills and abilities).

67. What Is the Eligibility Period?

- a. Eligibility begins on the date the Panama Canal Zone employee receives a specific RIF separation notice.
- b. Eligibility expires on the earliest of the following dates:
 - (1) One year after the effective date of the RIF;
 - (2) When the employee receives a career, career-conditional or excepted service appointment without time limit in any agency at any grade level; or
 - (3) When the employee is separated involuntarily for cause prior to the effective date of the RIF action.

68. Who Determines if a Displaced Panama Canal Zone Employee Is Well-Qualified?

- a. For a position in the Office of Inspector General (OIG), the OIG Personnel Officer will determine if the individual is well-qualified. If the OIG personnel office determines the individual is not well-qualified, the Assistant Inspector General for Management and Policy will conduct a second independent review and make a determination. If the two determinations conflict, the Deputy Inspector General will make the final determination.
- b. For a non-OIG position, a personnel specialist will determine if the individual is well-qualified. If the specialist determines the individual is not well-qualified, another personnel specialist will conduct a second independent review and make a determination. If the two determinations conflict, a higher level personnel official will make the final determination.

69. Must a Displaced Panama Canal Zone Employee Have a Satisfactory Performance Rating to be Eligible?

There is no requirement for a displaced Panama Canal Zone employee to have a satisfactory performance rating to be eligible.

70. What Happens When More than One Displaced Panama Canal Zone Employee Applies and is Found Well-Qualified?

The selecting official may select any of them.

71. What Happens When Displaced Panama Canal Zone Employees, Displaced DC Department of Corrections Employees and/or Persons Eligible under ICTAP Apply and Are Found Well-Qualified?

The selecting official may select any of them.

72. What Must Servicing Personnel Offices Do to Implement Special Selection Priority for Displaced Panama Canal Zone Employees?

Servicing personnel offices must:

- a. Be familiar with the regulations in 5 CFR, Part 330, Subpart L;
- b. Include the CTAP/ICTAP vacancy announcement statement in Appendix 15 on announcements for competitive service vacancies in the continental United States lasting 121 days or more open to individuals outside the Agency;
- c. Verify that persons who apply for Panama Canal Zone special selection priority are eligible using the criteria in Chapter 18, questions 66 and 67;
- d. Document in writing whether or not individuals who apply for Panama Canal Zone special selection priority are well-qualified, including second independent reviews and final determinations, if necessary; and
- e. Refer eligible individuals to the selecting official on SBA Form 422A, "Referral List," and advise the selecting official of the mandatory selection requirement.

Chapter 19

Volunteers

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1. Can SBA Accept Volunteers?

- a. SBA cannot accept volunteer or gratuitous service for positions in the General Schedule and Wage Grade positions because Federal agencies are required by law to pay individuals serving in these positions. An SBA manager or supervisor may accept volunteer or gratuitous service for his/her organization only under the conditions described in the table below. The Agency can only accept service from individuals who have been legally admitted to the U.S. When there are two or more individuals available for uncompensated service who are equally qualified for the duties, SBA will give preference to U.S. citizens and nationals over non-citizens.

	Student Volunteers	Volunteers under the Small Business Act	Gratuitous Service
Eligibility:	Students enrolled in accredited educational institutions at least half-time and in good academic standing	Service is initiated by the individual and may be accepted for SBA's 7(i), 7(j), 8(a) and disaster programs	SBA must request the services
Governing laws and regulations:	5 USC 3111 and 5 CFR Part 308	Small Business Act 15 USC 636(k)	Small Business Act 15 USC 637(b)(1)(G)
Volunteer is covered by:	Federal Tort Claims Act [28 USC 2671 - 2680] and Federal Employees Compensation Act [5 USC Chapter 81]	Federal Tort Claims Act and Federal Employees Compensation Act	Federal Tort Claims Act
Agreement approval required by:	Student, school representative, SBA authorizing official	Volunteer, SBA authorizing official	Volunteer, SBA authorizing official

- b. Before the Agency may accept uncompensated service from a non-citizen, the servicing personnel office must have the Office of Inspector General's Office of Security Operations (OSO) verify that the individual has been legally admitted to the United States. The servicing personnel office will request from the individual an application or resume which indicates their citizenship and proof of legal admission to the U.S. (e.g., student visa) and send copies of these documents to the OSO. The OSO will determine if the individual was legally admitted to the United States and inform the personnel office of the results by e-mail within 5 workdays of receiving the documents.

2. Are Agreements Required for Volunteer or Gratuitous Service?

- a. Before a manager or supervisor accept volunteer or gratuitous service, he/she must prepare an agreement (Appendix 61, 62 or 63) for review and concurrence by legal counsel and obtain the required signatures for approval. SBA officials authorized to sign agreements are:
 - (1) Director, Office of Disaster Personnel for volunteers in the Office of Disaster Assistance;
 - (2) The Office of Inspector General's Personnel Officer for volunteers in the OIG; and
 - (3) Director, Human Resources Operations Division for all other volunteers.
- b. The servicing personnel office:
 - (1) Prepares a "Notification of Personnel Action" (SF 50) documenting the service and gives a copy to the volunteer [individuals providing gratuitous service are appointed under 5 CFR 213.3102(k)];
 - (2) Prepares an Official Personnel Folder, and files the SF 50 and the original agreement in it; and
 - (3) Distributes copies of the agreement to the individuals who signed it.

Chapter 20

Data Collection and Report Requirements

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1. What Data Must SBA Servicing Personnel Offices Collect and Report?

a. As Required by the Luevano Consent Decree

Servicing personnel offices must ask eligible applicants for Outstanding Scholar appointments (see Appendix 11 for a list of SBA’s positions which can be filled by Outstanding Scholars) to complete and return a form OPM 1386B, “Applicant Race and National Origin Questionnaire” (Appendix 64).

(1) Servicing personnel offices:

- (a) Store OPM Forms 1386B separately from applications in locked cabinets within the servicing personnel office and limit access to these forms to the servicing personnel office staff;
- (b) Report data from Outstanding Scholar applicants on OPM Form 1592, “Outstanding Scholar Provision Reporting Form for the Luevano Decree” (Appendix 65) using the instructions in Appendix 66; and
- (c) Submit the OPM Form(s) 1592 (Appendix 65) and the narrative report information described in Appendix 66 to the Employment Policy Officer in the Office of Human Resources’ Guidance, Innovation and Review Division the 10th of the month following the previously completed calendar quarter (i.e., April 10th, July 10th, October 10th and January 10th) for preparation of the Statistical Report of Race and National Origin Data on Applicants

for Outstanding Scholar Appointments and the Narrative Report on Special Employment Programs Covered by the Luevano Consent Decree.

b. For the Federal Equal Opportunity Recruitment Program (FEORP) Report

Servicing personnel offices must submit the information described in Appendix 67 to the Employment Policy Officer in GIRD by the 10th of the month following the previously completed calendar quarter (i.e., April 10th, July 10th, October 10th and January 10th) for the preparation of the FEORP report.

d. For the Disabled Veterans Affirmative Action Program (DVAAP) Report

Servicing personnel offices must submit the information described in Appendix 67 to the Employment Policy Officer in GIRD by the 10th of the month following the previously completed calendar quarter (i.e., April 10th, July 10th, October 10th and January 10th) for the preparation of the DVAAP report.

e. For Delegated Examining

Servicing personnel offices must submit quarterly workload reports (see Chapter 7, question 12).

f. For the Career Transition Assistance Plan (CTAP) and the Interagency Career Transition Assistance Plan (ICTAP):

Servicing personnel offices must send the documents described in Chapter 18, questions 29c, 29h, 29l, 54h and 54l, to the CTAP Coordinator in the Office of Human Resources for preparation of the CTAP/ICTAP report.

g. For the Federal Equal Opportunity Recruitment Program (FEORP) Plan and the Disabled Veterans Affirmative Action Program (DVAAP) Plan

(1) Servicing personnel offices must submit, through the appropriate SBA official listed below, the information described in Appendix 69 for each upcoming fiscal year to the Guidance, Innovation and Review Division by October 30th:

- (a) Director, Human Resources Operations Division;
- (b) Director, Office of Disaster Personnel; and
- (c) The Office of Inspector General's Personnel Officer.

(2) The Office of Human Resources' Guidance, Innovation and Review Division (GIRD) prepares the annual plans and distributes copies to:

- (a) Assistant Administrator for Human Resources;
- (b) Director, Human Resources Operations Division;
- (c) Director, Office of Disaster Personnel;
- (d) The Office of Inspector General's Personnel Officer; and
- (e) The Assistant Administrator for Equal Employment Opportunity and Civil Rights Compliance.

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Definitions

AREA OF CONSIDERATION - the geographic area and/or Agency organizational unit where a vacancy announcement is distributed.

BEST QUALIFIED - those eligible applicants who rank the highest when compared with other applicants.

CAREER APPOINTMENT - a permanent competitive service appointment given to an employee who has completed 3 substantially continuous, creditable years of Federal service.

CAREER-CONDITIONAL APPOINTMENT - a permanent competitive service appointment given to an employee who has not yet completed 3 substantially continuous, creditable years of Federal service.

CAREER LADDER - an occupational group of positions designed to provide increasing responsibilities through which successive career promotions can be made from entry level to full performance level.

CAREER PROMOTION - promotion of an employee without current competition when competition was held at an earlier stage with the documented intention that the position has promotion potential to a higher grade or grades [5 CFR 335.103(c)(3)(1)].

CITIZENS – United States citizens primarily include individuals born in the U.S., naturalized citizens and natives of Guam, the Northern Mariana Islands, Puerto Rico and the Virgin Islands of the United States.

COMPETITIVE SERVICE - all civilian positions in the Federal Government that are not specifically excepted from the civil service laws by or pursuant to statute, by the President, or by the Office of Personnel Management regulation, and that are not in the Senior Executive Service [5 CFR 212.101(a)(1)].

COMPETITIVE STATUS - basic eligibility for noncompetitive assignment to a competitive position. A person on a career or career-conditional appointment acquires competitive status upon satisfactory completion of a probationary period. Competitive status may also be granted by statute, Executive Order, or the civil service rules without competitive examination [5 CFR 212.301].

CONVERSION - the change of an employee from one appointment to another appointment in the same agency without a break in service of more than 3 calendar days.

CREDITING PLAN - the documented criteria for measuring the degree to which applicants possess the quality ranking factors.

DELEGATED EXAMINING UNIT - a person or group of persons delegated authority by the Office of Personnel Management to conduct examining for competitive service positions. SBA's delegated examining units are located in servicing personnel offices throughout the Agency.

DEMOTION - a personnel action that moves an employee, while continuously serving in the same agency, to:

- a. A position at a lower grade when both the old and the new positions are under the General Schedule or under the same type graded wage schedule; or
- b. A position with a lower rate of basic pay when both the old and the new positions are under the same type ungraded wage schedule or in a different pay-method category. [5 CFR 210.102(b)(4)].

DETAIL - the temporary assignment of an employee to a different position or set of duties for a specified period of time. There is no formal position change; officially, the employee continues to hold the position from which detailed and keeps the same status and pay.

DISABLED VETERANS AFFIRMATIVE ACTION PROGRAM - a continuing affirmative program for the recruitment, hiring, placement and advancement of disabled veterans [5 CFR Part 720, Subpart C].

ELIGIBLE APPLICANT – an applicant who meets all of the requirements for a particular position, such as: area of consideration, citizenship, minimum or maximum age, qualification requirements, restriction on employment of relatives, time-in-grade, competitive status, suitability for Federal employment, satisfactory background investigation.

EXCEPTED SERVICE - unclassified service, unclassified Civil Service or positions outside the competitive service and the Senior Executive Service that have been excepted from the requirements of the competitive service by law, Executive Order, or Office of Personnel Management regulation [5 CFR 213.101(a)].

EXECUTIVE RESOURCES BOARD - a group of senior line managers, both career and non-career, appointed by the Administrator to conduct the merit staffing process for career entry into the Senior Executive Service [5 USC 3393(b)] and to advise the Administrator on matters involving SBA's career senior management.

FEDERAL EQUAL OPPORTUNITY RECRUITMENT PROGRAM - a continuing program for the recruitment of minorities and women for positions in the Agency [5 CFR Part 720, Subparts A and B].

FULL PERFORMANCE LEVEL - the documented highest grade potential of a position.

GRATUITOUS SERVICE - uncompensated service which is requested by the Agency from an individual.

KNOWLEDGE, SKILLS AND ABILITIES (KSAs) - Knowledge is a body of information applied directly to the performance of a task; skill is proficiency in performing an act; and ability is competence to perform an observable behavior or a behavior that results in an observable product.

KNOWN PROMOTION POTENTIAL - documented intent that a position has potential to a higher grade.

MANAGERIAL – the authority invested in some General Schedule positions which direct the work of an organizational unit, are held accountable for the success of specific line or staff functions, monitor and evaluate the progress of the organization toward meeting goals, and make adjustments in objectives, work plans, schedules and commitment of resources.

MINIMUM QUALIFICATION REQUIREMENTS - the qualifications prescribed or approved for the position by the Office of Personnel Management, plus any selective factors identified for the position by SBA.

NATIONALS – United States nationals are primarily natives of American Samoa and Swains Island.

NONCOMPETITIVE SELECTION, APPOINTMENT OR ACTION - a promotion, demotion, reassignment, transfer, reinstatement, or an appointment based on prior service [5 CFR 210.102(b)(8)] or other special appointing authorities.

ORGANIZATIONAL SEGMENT - An organizational segment is the immediate office and all offices under a major program area in Headquarters (e.g., Office of Chief Financial Officer, Investment Division); an entire disaster area office; an entire regional office; an entire district office; an entire branch office; or an entire service center.

ORGANIZATIONAL UNIT - In Headquarters, the organizational units are Offices, Divisions, Branches and Sections. In the field, the organizational units are Regions, Districts and Branches [SOP 30 08, Organizational Structure].

PERSONNEL APPOINTING AUTHORITY - the authority by law or delegated authority to make appointments.

POSITION CHANGE - the movement by an employee to another position during the employee's continuous service under the same appointment within the same agency [5 CFR 210.102(b)(10)].

PREVAILING RATE SYSTEM - the job-grading and pay system that applies to most trade, craft and labor positions.

PROMOTION - the change of an employee to:

- a. A position at a higher grade level within the same job classification system and pay schedule; or
- b. A position with a higher rate of basic pay in a different job classification system and pay schedule. [5 CFR 210.102(b)(11)].

PUBLIC LAW EMPLOYEES - those employees appointed in SBA's Office of Advocacy under the provisions of Public Law 95-305, Section 204, as amended [15 USC 634d].

PUBLIC OFFICIAL - an officer, an employee or any other individual in whom is vested the authority by law, rule or regulation, or to whom the authority has been delegated, to appoint, employ, promote or advance individuals, or to recommend individuals for appointment, employment, promotion or advancement [5 CFR 310.102(b)].

QUALIFIED APPLICANTS - applicants who meet the minimum qualifications for the position, including any selective factors.

QUALITY RANKING FACTOR - a knowledge, skill or ability which would significantly enhance job performance, but is not essential for successful job performance.

RANK - to determine the relative standing of eligible applicants based on the crediting plan for the position.

RATE - to determine if an applicant meets the minimum qualifications for the position, including any selective factors.

REASSIGNMENT - the change of an employee from one position to another without promotion or demotion [5 CFR 210.102(b)(12)].

REINSTATEMENT - the noncompetitive reemployment, in the competitive service, as a career or career-conditional employee, of a person who had competitive status when separated [5 CFR 210.102(b)(15)].

RELATIVE - 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 [5 CFR 310.102(a)].

REPROMOTION - promotion of an employee back to a grade previously held.

SCREEN-OUT FACTOR - a job-related factor that may be used when more than 25 qualified applicants are expected to apply for a merit promotion announcement.

SELECTING OFFICIAL - the person delegated the authority to select an applicant for a position.

SELECTIVE FACTOR - a knowledge, skill, ability or other requirement which is essential for successful job performance and which an applicant must possess to be minimally qualified for the job.

STANDARDIZED CREDITING PLAN - a crediting plan which is appropriate for more than one position.

STUDENT VOLUNTEER SERVICE - uncompensated service permitted by 5 CFR Part 308 to provide educational experience for students.

SUBJECT-MATTER EXPERT - someone with expert knowledge of the job, such as the first-level supervisor of the position or employees in the same or very similar positions.

SUPERVISOR – a position or employee that accomplishes work through the direction of other people and meets at least the minimum requirements for coverage under the General Schedule Supervisory Guide (available from your servicing personnel office).

TERM APPOINTMENT - appointment to a position that will last more than 1 year, but not more than 4 years, which is of a project nature and will end upon completion of the project [5 CFR 316. 301].

TRANSFER - a 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 that can be filled under the same appointing authority [5 CFR 210.102(b)(18)].

UNDERREPRESENTATION - the situation in which the number of women or members of a minority group within a category of civil service employment constitutes a lower percentage of the total number of employees within the employment category than the percentage of women or the minority constitutes within the U.S. civilian labor force [5 CFR 720.202(a)].

VOLUNTEER SERVICE - uncompensated service which is initiated by an individual who is not a student (see definition of STUDENT VOLUNTEER SERVICE). SBA may only accept volunteer service as specified in 15 USC 636(k).

WORK SCHEDULE - the time basis on which an employee is paid, such as full-time, part-time, intermittent, on-call or seasonal.

The Merit System Principles

1. Recruit qualified individuals from all segments of society, and select and advance employees on the basis of merit after fair and open competition.
2. Treat employees and applicants fairly and equitably, without regard to political affiliation, race, color, religion, national origin, sex, marital status, age, or handicapping condition.
3. Provide equal pay for work of equal value and reward excellent performance.
4. Maintain high standards of integrity, conduct, and concern for the public interest.
5. Manage employees efficiently and effectively.
6. Retain or separate employees on the basis of their performance.
7. Educate and train employees when it will result in better organizational or individual performance.
8. Protect employees from improper political influence.
9. Protect employees against reprisal for lawful disclosure of information in “whistleblower” situations (i.e., protect people who report things like illegal and/or wasteful activities).

[Adapted from Title 5 U.S. Code 2301(b)]

Prohibited Personnel Practices

It is a prohibited personnel practice to:

1. Discriminate on the basis of race, color, religion, sex, national origin, age, handicapping condition, marital status or political affiliation.
2. Solicit or consider recommendations based on factors other than personal knowledge or records of job related abilities or characteristics.
3. Coerce an employee's political activity.
4. Deceive or willfully obstruct a person's right to compete for Federal employment.
5. Influence any person to withdraw from competition for a position to improve or injure the employment prospects of any other person.
6. Give unauthorized preference or advantage to any person to improve or injure the employment prospects of any particular employee or applicant.
7. Employ or promote a relative.
8. Retaliate against a whistleblower, whether an employee or an applicant.
9. Retaliate against employees or applicants who exercise their appeal rights, testify or cooperate with an Inspector General or the Special Counsel, or refuse to break a law.
10. Discriminate based on personal conduct which is not adverse to on-the-job performance of the employee, applicant or others.
11. Knowingly violate any law, rule or regulation which implements or directly concerns the merit principles.
12. Knowingly take, recommend or approve a personnel action which would violate a veterans' preference requirement or knowingly fail to take, recommend or approve a personnel action which would violate a veterans' preference requirement.

[Adapted from Title 5 U.S. Code 2302(b)]

**U.S. Small Business Administration's
Qualification Standards for Law Clerks,
GS-904-9/11, and Attorneys, GS-905-9/15**

QUALIFICATION REQUIREMENTS FOR LAW CLERKS, GS-904-9/11

GS-9

Received the first professional law degree (LL.B. or J.D.) but not yet a member of the bar.

GS-11

1. Meets the GS-9 requirement and has 1 year of legal experience after admission to law school but before admission to the bar; or
2. Received the second professional law degree (LL.M.); or
3. Meets the GS-9 requirement and has superior law student work or activities such as:
 - a. Academic standing in the upper third of the law school graduating class;
 - b. Work or achievement of significance on a law school's official law review(s);
 - c. Special high-level honors for academic excellence in law school, such as election to the Order of the Coif;
 - d. Winning of a moot court competition or membership on the moot court team which represents the law school in competition with other law schools;
 - e. Full-time or continuous participation in a legal aid program; or
 - f. Other equivalent evidence of clearly superior achievement.

A Law Clerk with satisfactory employment may be converted to an Attorney position upon admission to the bar.

QUALIFICATION REQUIREMENTS FOR ATTORNEYS, GS-905-9/15

GS-9

Member of a State bar, the bar of the District of Columbia, or the bar of the Commonwealth of Puerto Rico or other possession of the United States.

GS-11

1. Meets the GS-9 requirement and has 1 year of professional legal experience after admission to the bar at a level of difficulty comparable to the GS-9 level; or
2. Meets the GS-9 requirement and received the second professional law degree (LL.M.); or
3. Meets the GS-9 requirement, received the first professional law degree (LL.B. or J.D.) and has superior law student work or activities as demonstrated by one of the following:
 - a. Academic standing in the upper third of the law school graduating class;
 - b. Work or achievement of significance on a law school's official law review(s);
 - c. Special high-level honors for academic excellence in law school, such as election to the Order of the Coif;
 - d. Winning of a moot court competition or membership on the moot court team which represents the law school in competition with other law schools;
 - e. Full-time or continuous participation in a legal aid program;
 - f. Significant experience as a law clerk; or
 - g. Other equivalent evidence of clearly superior achievement.

GS-12

Meets the GS-11 requirement plus:

1. One year of professional legal experience after admission to the bar at a level of difficulty comparable to the GS-11 level; or
2. Received a Scientiae Juris Doctor degree (Doctor of Juridical Science degree).

GS-13 and above

Meets the GS-11 requirement plus:

1. Two years of professional legal experience after admission to the bar, 1 year of which was at a level of difficulty comparable to the next lower grade in the Federal service; or
2. One year of professional legal experience after receiving a Scientiae Juris Doctor degree (Doctor of Juridical Science degree).

SPECIALIZED EXPERIENCE

Specific positions may require specialized experience related to one or more of SBA's legal functions.

Non-Citizens Eligible for Excepted Service Appointments

The U.S. Code [8 USC 1324a and 8 CFR 274a] has no prohibition on employing a non-citizen authorized under immigration law to work in the United States. However, the annual Treasury, Postal Service, and General Government Appropriations Act has historically prohibited using appropriated funds to compensate any Federal employee whose post of duty is in the District of Columbia or the contiguous 48 states unless the person is:

1. A U.S. citizen (primarily includes individuals born in the U.S., naturalized citizens, and natives of Guam, the Northern Mariana Islands, Puerto Rico and the Virgin Islands of the United States);
2. A person in the military or civilian service of the United States on the date of the enactment of the appropriations act who, being eligible for citizenship, has filed a declaration of intention to become a U.S. citizen before such date and is actually residing in the U.S.;
3. A U.S. national (primarily natives of American Samoa and Swains Island);
4. An alien from Cuba, Poland, South Vietnam, the countries of the former Soviet Union, or the Baltic countries (Estonia, Latvia, Lithuania) lawfully admitted to the United States for permanent residence;
5. A South Vietnamese, Cambodian or Laotian refugee paroled in the United States after January 1, 1975;
6. A national of the People's Republic of China who qualifies for adjustment of status under the Chinese Student Protection Act of 1992;
7. A citizen of Ireland, Israel, or the Republic of the Philippines;
8. To be temporarily employed as a translator;
9. To be temporarily employed in the field service (not to exceed 60 days) as a result of emergencies (applies to employment in a Disaster Assistance Center or employment in a Disaster Area Office when there is a shortage of qualified applicants due to a current disaster); or

10. A national of a country allied with the United States in a current defense effort:

Argentina	France	Norway
Australia	Germany	Panama
Bahamas	Greece	Paraguay
Belgium	Guatemala	Peru
Bolivia	Haiti	Philippines
Brazil	Honduras	Portugal
Canada	Iceland	Spain
Chile	Italy	Thailand
Colombia	Japan	Trinidad and Tobago
Costa Rica	Korea, Republic of	Turkey
Cuba	Luxembourg	United Kingdom
Denmark	Mexico	Uruguay
Dominican Republic	Netherlands	Venezuela
Ecuador	New Zealand	
El Salvador	Nicaragua	

NOTE: Although changes to this section of the Treasury, Postal Service and General Government Appropriations Act and the list of countries allied with the United States in a current defense effort are infrequent, contact the Employment Policy Officer in the Office of Human Resources, Guidance, Innovation and Review Division if you have a question about the eligibility of a non-citizen for an excepted service appointment.



U.S. Small Business Administration

Job Analysis Form

		E S S E N T I A L	D E S I R A B L E	S U P E R I O R	O R D E R
Position description number	Supervisor's signature and date				
Subject matter expert's signature and date	Subject matter expert's signature and date				
Personnel specialist's signature and date					
List the major functions of this position	For each function, list the knowledge, skills and abilities which are required				
1.					
2.					
3.					
4.					

SBA Form 1700 (9-00) REF SOP 33 00 previous edition is obsolete

Effective Date: September 6, 2000

209

Effective Date: Sept

5.					
6.					
7.					
8.					
9.					

SBA Form 1700 (9-00) REF SOP 33 00 previous edition is obsolete



U.S. Small Business Administration Job Analysis Form

Position title, series and grade	Position description number	E S S E N T I A L	D E S I R A B L E	S U P E R I O R	O R D E R
Office Automation Clerk, GS-326-04	CF 612701				
Subject matter expert's signature and date Joseph Smith 9-2-98	Subject matter expert's signature and date Betty Lane 9-2-98				
Personnel specialist's signature and date Mary Johnson 9-3-98	Supervisor's signature and date Kathy Jones 9-3-98				
List the major functions of this position	For each function, list the knowledge, skills and abilities which are required				
1. Types a variety of correspondence, reports and forms on the personnel computer.	Knowledge of spelling, punctuation and grammar. Skill in the operation of a personal computer, including use of a variety of Microsoft software applications.		X	X	1
2. Creates and maintains files of various types (alphabetical, chronological). Files reports, correspondence, publications and other materials.	Knowledge of basic filing procedures to create and maintain alphabetical and/or chronological filing systems.		X	X	3
3. Prepares various reports based on input from specialists.	Skill in gathering and compiling data for various reports.		X	X	2
4. Answers telephone inquiries and gives out information on matters pertaining to the functions of	Skill in oral communication.		X	X	4

SBA Form 1700 (9-00) REF SOP 33 00 previous edition is obsolete

the office. Refers callers to other staff members, if necessary.					
5.					
6.					
7.					
8.					
9.					

SBA Form 1700 (9-00) REF SOP 33 00 previous edition is obsolete



U.S. Small Business Administration

KSA Level Definition Form

Position title, series, grade		Position description number	
KSA		KSA weight:	
Level 3		Points: _____ X 3 = _____	
Level 2		Points: _____ X 2 = _____	
Level 1		Points: _____ X 1 = _____	
Subject-matter expert(s)' signature(s)		Date	
Supervisor's signature		Date	
Personnel specialist's signature		Date	

SBA Form 1699 (9-00) REF SOP 33 00 previous edition is obsolete



U.S. Small Business Administration

KSA Level Definition Form

Position title, series, grade Office Automation Clerk, GS-326-04		Position description number CF 612701
KSA Skill in gathering and compiling data for various reports		KSA weight: 2
Level 3		Points: 2 X 3 = 6
Applicant was responsible for gathering and compiling data from several sources for recurring and ad hoc reports. Applicant used database or spreadsheet to enter, revise, sort, calculate and retrieve data for reports.		
Level 2		Points: 2 X 2 = 4
Applicant was responsible for gathering and compiling data for recurring reports. Applicant entered data into database or spreadsheet.		
Level 1		Points: 2 X 1 = 2
Applicant assisted in gathering and compiling information for recurring reports.		
Subject-matter expert(s)' signature(s) Joseph Smith		Date 9-4-98
Betty Lane		Date 9-5-98
Supervisor's signature Kathy Jones		Date 9-5-98
Personnel specialist's signature Mary Johnson		Date 9-5-98

SBA Form 1699 (9-00) REF SOP 33 00 previous edition is obsolete

Administrative Careers With America Positions at SBA

<u>Series</u>	<u>Occupation</u>
0080	Security Administration
0110	Economist
0201	Personnel Management
0212	Personnel Staffing
0221	Position Classification
0230	Employee Relations
0233	Labor Relations
0235	Employee Development
0301	Miscellaneous Administration and Programs
0334	Computer Specialist (Trainee)
0341	Administrative Officer
0343	Management and Program Analysis
0501	Financial Administration and Programs
0560	Budget Analysis
0950	Paralegal Specialist
1035	Public Affairs
1082	Writing and Editing
1101	General Business and Industry
1102	Contract Specialist
1140	Trade Specialist
1150	Industrial Specialist
1160	Financial Analysis
1165	Loan Specialist
1811	Criminal Investigator



U.S. Small Business Administration Student Career Experience Agreement

Student's name

School name and address

Position title, series, grade, organization and location

NATURE OF WORK ASSIGNMENTS

A copy of the position description is attached.

SCHEDULE OF WORK AND CLASS ATTENDANCE

List the days of the week and hours the student will work. State whether the student will alternate periods of work with class attendance, or work and attend class concurrently.

EVALUATION PROCEDURES

If the student's appointment is for 120 calendar days or more, the SBA will prepare work performance standards and provide them to the student. The student's work performance will be evaluated at least annually.

REQUIREMENTS FOR CONTINUATION IN THE PROGRAM

The student must:

- a. Continue to be enrolled in the school on at least a half-time basis as defined by the school;
- b. Continue studies in the field related to the position;
- c. Not work in a position with a direct reporting relationship to a relative or in which a relative is in a position to influence or control the student's appointment, employment, promotion or advancement within the SBA;

SBA Form 2051 (4-98) REF SOP 33 00

- d. Maintain an average of 2.0 on a 4.0 scale, or equivalent, and at least a "C" average in the major field of study. If the student is in high school, he/she must maintain grades predictive

of graduation; and	
e. Perform job duties at or above the “Fully Successful” level (Level 3).	
REQUIREMENTS FOR CONVERSION	
<p>a. The student must be a United States citizen at the time of conversion.</p> <p>b. The student must have successfully completed at least 640 hours of career-related work at SBA.</p> <p>c. During the 120 calendar days following graduation, SBA may noncompetitively convert the student to a term, career or career-conditional appointment if the student meets the qualification requirements for the position for which trained.</p>	
If the SBA cannot convert the student for administrative reasons (e.g., budget, lack of personnel slots), the SBA will attempt to identify another Federal agency with a suitable position for the student. If the SBA does not convert the student within 120 calendar days of graduation, the student must be terminated.	
Student’s signature	Date
Supervisor’s signature	Date
Name, title and phone number of supervisor	
School representative’s signature	Date
Name, title and phone number of school representative	
SBA authorizing official’s signature	Date
Name and title of SBA authorizing official	

SBA Form 2051 (4-98) REF SOP 33 00



CAREER OPPORTUNITY
for
(position title), GS-_____
(city, state)

Vacancy Announcement Contents

Unless otherwise specified, include the following information and statements on all vacancy announcements. Instructions to the personnel office are italicized. Use the headings that appear in bold, upper case letters (**GENERAL INFORMATION**, **DUTIES**, etc.) Statements in quotations should be used as quoted.

GENERAL INFORMATION

State the vacancy announcement number, opening and closing dates, and cut-off dates, if applicable

State the position title, pay plan, series, and grade(s)

Either “Full performance level is GS-____” or “Position is at the full performance level” as appropriate

For Upward Mobility Program positions, “This position is announced under SBA’s Upward Mobility Program. If you are selected, you will enter the program at the same grade, or at a lower grade with pay retention. The target position is at GS-____ with promotion potential to GS-____.”

State the pay range for each grade and either “Includes locality pay adjustment” or “Plus a cost of living allowance equal to ____ percent of salary” For full-time positions, use the annual rate of pay. For part-time and intermittent positions, use hourly rates.

State the organization and duty location, including city and state.

State the type of appointment (permanent, temporary, term, excepted service). If a temporary or term appointment, include “Not to exceed _____. More information about temporary and term appointments is available at <http://www.usajobs.opm.gov/ei36.htm>.” and, when applicable, “This appointment may be extended beyond _____.” When applicable, include “This appointment may be made permanent without further competition.”

State the work schedule (full-time, part-time, or intermittent). For part-time work schedules, include “This is a part-time position, not to exceed ____ hours per week.”

“This position may be filled with a job sharing team. Applicants interested in a job sharing arrangement are encouraged to apply.” (if applicable to the position)

“Alternate work schedules are available.” (if applicable to the position)

Either “Relocation expenses are authorized” or “Relocation expenses are NOT authorized,” as appropriate.

State the area of consideration using one of the following:

For positions announced under the Merit Promotion and Placement Plan, state the geographic area and/or SBA organizational unit.

For positions announced under delegated examining, “Any U.S. citizen.”

For Upward Mobility program positions, use “SBA employees at the GS- _____ level and above who are serving under career and career-conditional appointments; Veterans Readjustment Act appointments; and permanent excepted service appointments for the physically disabled [5 CFR, 213.3102(u)] are eligible to apply.”

For positions announced under the Merit Promotion and Placement Plan, include “Competitive status is required unless you are eligible for appointment under a special hiring authority (e.g., Veterans Readjustment Act, appointments for the disabled, Outstanding Scholars, etc.). More information on special appointing authorities is available at <http://www.usajobs.opm.gov/b1h.htm> (disabled), <http://www.usajobs.opm.gov/b2b.htm> (veterans), <http://www.usajobs.opm.gov/ei52.htm> (veterans), <http://www.usajobs.opm.gov/b11.htm> (Outstanding Scholars)”

For positions announced under the Merit Promotion and Placement Plan open to applicants outside the Agency and positions open to ICTAP eligibles only, include: “Veteran preference eligibles and veterans honorably separated from the armed forces after substantially completing 3 years or more of continuous active service may apply. You must indicate on your application or résumé that you are eligible under the Veterans Employment Opportunity Act, as amended, and include proof of your veteran’s preference or military service.”

For all other announcements, include “Competitive status is not required.”

For competitive service positions, “U.S. citizenship is required.”

DUTIES

Briefly describe the major duties of the position.

MINIMUM QUALIFICATION REQUIREMENTS

Summarize the minimum qualification requirements, including selective factors, minimum education requirements, written test requirements, typing proficiency, physical requirements, maximum entry age and any other requirements. Describe the specialized experience

requirement and how to qualify at each grade level by substituting and/or combining education and experience, or Superior Academic Achievement.

For Upward Mobility Program positions, “Qualification requirements for this position are waived.”

List screen-out factors, if applicable

“You must meet the time-in-grade requirement by the vacancy announcement closing date.” (for announcements open under merit promotion procedures only) OR “If you are a current Federal employee applying for consideration under SBA’s Merit Promotion and Placement Plan, you must meet the time in grade requirement by the vacancy announcement closing date.” (for an announcement open under both merit promotion and competitive examining procedures)

QUALITY RANKING FACTORS

“Applicants who meet the minimum qualification requirements will be ranked on the following quality ranking factors. Your ranking will be used to determine if you will be referred to the selecting official. We strongly recommend that you submit a statement which supplements your application or résumé specifically addressing each factor. Please limit your response to one page per factor.”

OTHER INFORMATION

“SBA is an Equal Employment Opportunity Employer”

“If selected, you will be required to provide documents proving that you are eligible to work in the U.S.”

“If you are a male born after December 31, 1959, you must have registered with the Selective Service System (or have an exemption) to be eligible for a Federal job.”

For positions announced under the Upward Mobility Program, include the statement “Promotion to the target grade is contingent upon satisfactory performance and completion of required training. You must meet the qualification requirements and time-in-grade requirement before reassignment or promotion to the target grade.”

State the amount of travel required and conditions of travel (e.g., duration, short notice period), if applicable.

For intermittent employment, state the conditions of release to nonpay status and recall to duty.

For supervisory and managerial positions, “If selected, you may be required to serve a one year supervisory/managerial probation period.”

For District Director and District Director Candidate Development Program positions, “If selected, you will be subject to periodic rotation (reassignment) to other geographic areas. You must sign a mobility agreement before entering this position.”

For drug testing designated positions (see Chapter 2, question 5 for a current list), “If you are tentatively selected for this position, you must submit to a urinalysis which screens for illegal drug use. Final selection requires a negative drug test result.”

State any other conditions of employment (e.g., substantial overtime).

HOW TO APPLY

For a vacancy announced under both competitive examining procedures and the Merit Promotion and Placement Plan, use all of the following statements:

“Individuals who are current career or career-conditional employees in the Federal service or are eligible for reinstatement to the Federal service (check <http://www.usajobs.opm.gov/b1j.htm> to see if you are eligible) have competitive status and may be considered under both competitive examining and SBA’s Merit Promotion and Placement Plan. Status applicants who wish to be considered under both procedures must submit two complete applications. When only one application is received from a status applicant, it will be considered under SBA’s Merit Promotion and Placement Plan only.”

“Individuals who are eligible for noncompetitive consideration under a special appointing authority (e.g., 30 percent compensable veterans, severely disabled persons, persons eligible under the Veterans Readjustment Act, etc.) may apply. Applicants who wish to be considered under a special appointing authority as well as under the competitive examining procedures must submit two complete applications. When only one application is received from a noncompetitive eligible, it will be considered under the special appointing authority only. More information on special appointing authorities is available at <http://www.usajobs.opm.gov/b1h.htm> (disabled), <http://www.usajobs.opm.gov/b2b.htm> (veterans), <http://www.usajobs.opm.gov/ei52.htm> (veterans), <http://www.usajobs.opm.gov/b1l.htm> (Outstanding Scholars) ”

“Individuals who do not have competitive status and who are not eligible under a special appointing authority will be considered under competitive examining procedures only.”

“Veteran preference only applies to applicants applying under competitive examining procedures. Information about veteran preference is available at <http://www.usajobs.opm.gov/ei3.htm>. The time-in-grade requirement only applies to current Federal employees applying under SBA’s Merit Promotion and Placement Plan.”

“You may use any written format you choose to apply for this position. However, your application or résumé must include all of the items listed in Optional Form (OF) 612, Optional Application for Federal Employment (available at <http://www.opm.gov/forms/html/of.htm#of612>). Only your application or résumé will be used to determine if you meet the minimum qualifications for the job and the grade level(s) for which you are qualified. If your application or résumé does not include the required information, you may lose consideration for the job. You should also submit:”

“Supplemental statement addressing the quality ranking factors”

“If you are a current Federal employee, your most recent performance appraisal” (*for vacancies announced under the Merit Promotion and Placement Plan*)

“If you are a current or former Federal employee, your most recent SF 50, Notification of Personnel Action” (*for vacancies announced under the Merit Promotion and Placement Plan*)

“If you claim 5-point veteran preference, submit your DD Form 214, Certificate of Release or Discharge From Active Duty. If you claim 10-point veteran preference, submit an SF 15, Application for 10-Point Veteran Preference, and proof required by that form. The SF 15 is available at <http://www.opm.gov/forms/html/sf.htm>.” (*for vacancies announced under competitive examining procedures*)

“SBA Form 1264, Supervisor’s Assessment of Potential” (*for Upward Mobility Program positions*)

“Certification of your typing speed” (*if applicable*)

“If you claim Superior Academic Achievement, submit college transcripts or a letter from your college stating your class standing, or proof of honor society membership.” (*for vacancies announced at the GS-7 level*)

“You must submit an application for each geographic location for which you want consideration.” (*optional for multiple geographic location announcements*)

Include the following statements on announcements of competitive service positions lasting 121 calendar days or more and permanent Schedule A or B positions open to SBA employees only; and for competitive service positions lasting 121 calendar days or more open to non-SBA applicants:

“If you are applying for special selection priority under SBA’s Career Transition Assistance Plan (open to surplus SBA employees only) or the Interagency Career Transition Assistance Program (see <http://www.opm.gov/ctap/html/egct.htm#ICTAP> for eligibility requirements), you must submit one of the following as proof of your eligibility: reduction-in-force (RIF) separation notice; Notification of Personnel Action (SF 50) showing separation by RIF or removal for declining a directed reassignment or transfer of function outside the local commuting area; certificate of expected separation

or other notice that you are a surplus employee or eligible for discontinued service retirement; notice from a Federal agency that your injury compensation has been or is being terminated and that it cannot place you; notice from the Office of Personnel Management terminating your disability annuity; or notice from the military or National Guard that you retired under 5 USC 8337(h) or 8456.

If you are eligible for special selection priority based on RIF, declining a directed reassignment or transfer of function outside the commuting area, retiring on the effective date of a RIF, or retiring under the discontinued service retirement option, you must also submit a copy of a Notification of Personnel Action (SF 50) which shows the promotion potential of the career or career-conditional position from which you have been or will be separated and a copy of your last performance rating of record.

If you are applying for special selection priority under the Federal Employment Priority Consideration Program for Displaced Employees of the District of Columbia Department of Corrections or Interagency Career Transition Assistance for Displaced Panama Canal Zone Employees, you must submit a copy of your RIF separation notice.

To be found well-qualified for special selection priority by the Small Business Administration, you must meet the minimum qualification requirements for the position, including any selective factors, and receive at least two-thirds of the total possible points for the quality ranking factors (knowledge, skills and abilities)."

"If you wish to be considered under a special appointing authority (e.g., disabled, Veterans Readjustment Act, Veterans Employment Opportunity Act, etc.), you must indicate on your application or résumé the authority under which you are applying and include proof of your eligibility."

"Send your application to:" *(give address)*

"Only applications received or postmarked by the closing date of this announcement will be considered. Only material requested by this announcement will be used to rate your application. Your application will NOT be returned to you."

"Applications submitted by facsimile (fax), electronic mail (e-mail), or at Government expense (postage-paid envelopes) will NOT be considered." *(optional)*

EVALUATION CRITERIA

For a vacancy announced under the Merit Promotion and Placement Plan only:

"If you meet the minimum qualification requirements, you will be evaluated on:

Quality Ranking Factors
Training completed in the last 5 years

Awards received in the last 3 years
Your most recent performance rating of record”

For a vacancy announced under competitive examining procedures only:

“If you meet the minimum qualification requirements, you will be evaluated on:

Quality Ranking Factors
Veteran preference”

For a vacancy announced under both the Merit Promotion and Placement Plan and competitive examining procedures:

“If you meet the minimum qualification requirements, you will be evaluated on:

Quality ranking factors (all applicants)
Training completed in the last 5 years (for merit promotion only)
Awards received in the last 3 years (for merit promotion only)
Your most recent performance rating of record (for merit promotion only)
Veteran preference (for competitive examining only)”

For a vacancy announced under the Upward Mobility Program:


“If you meet the minimum qualification requirements, you will be evaluated on:

Quality ranking factors
Training completed in the last 5 years
Awards received in the last 3 years
Your most recent performance rating of record
Your supervisor’s assessment of your potential (SBA Form 1264)”

WHERE TO GET FORMS AND ADDITIONAL INFORMATION

“Optional Application for Federal Employment (OF 612) is available at <http://www.opm.gov/forms/html/of.htm#of612>. U.S. Small Business Administration’s Applicant Survey is available at <http://www.sba.gov/sbaforms/sba1843.pdf>. You may also obtain OF 612 by calling (*state the name and telephone number (and TDD number, if available) of the personnel office representative to contact for forms and additional information*).”

“Hearing impaired individuals who need assistance may call the Federal Information Relay Service at 1-800-877-8339. Contact the person named above if you need reasonable accommodation for a disability.”

 <h2 style="text-align: center;">U.S. Small Business Administration</h2> <h3 style="text-align: center;">Certification for Noncompetitive Promotion</h3>	
Employee's name	Organization (office, division)
Current position title, series, grade and position description number	
New position title, series, grade	
<p>As the immediate supervisor of this employee, I certify:</p> <ol style="list-style-type: none"> 1. This employee will continue to perform the same basic functions of the former position and the duties of the former position will be absorbed into the new position; 2. The new position has no known promotion potential beyond the grade of the proposed noncompetitive promotion; 3. The employee is the only employee in the office/field site at his/her grade level who meets the minimum qualifications and time-in-grade requirement for promotion to the new position; 4. The additional duties and responsibilities assigned to the new position will not adversely affect another encumbered position (i.e., do not affect the grade controlling duties and responsibilities of another position within the organizational unit); and 5. The position will not change from non-supervisory to supervisory. <p>I have attached a written explanation of: (1) how the additional duties and responsibilities evolved, and (2) why this employee is the only employee in the office/field site to whom I can assign the additional duties and responsibilities. I have also attached a signed OF 8, "Position Description" cover sheet and a statement of duties for the new position.</p>	
Immediate supervisor's name and title	
Immediate supervisor's signature	Date
Second level supervisor's name and title	
Second level supervisor's signature	Date

SBA Form 2117 (7-99) REF SOP 33 00

SBA Career Ladders

Office of Inspector General

Auditor	GS-511-5/7/9/11/12/13
Criminal Investigator	GS-1811-5/7/9/11/12/13
Program Analyst	GS-343-5/7/9/11/12/13

Office of Disaster Assistance

Computer Specialist	GS-334-5/7/9/11/12
Construction Analyst	GS-828-5/7/9/11/12 (Cadre only)
Legal Assistant (Office Automation)	GS-986-5/6/7
Loan Specialist (General)	GS-1165-5/7/9/11/12 (Cadre only)
Personnel Assistant	GS-203-5/6/7
Personnel Management Specialist	GS-201-5/7/9/11/12

Offices Serviced by the Office of Human Resources

Accountant	GS-0510-5/7/9/11/12
Accounting Technician	GS-0525-5/6/7
Administrative Officer	GS-0341-7/9/11
Auditor	GS-0511-5/7/9/11/12
Budget Analyst	GS-0560-5/7/9/11/12
Budget Assistant	GS-0561-5/6/7
Business Information Specialist	GS-1101-5/7/9/11/12
Business Opportunity Assistant	GS-1101-5/6/7
Business Opportunity Specialist	GS-1101-5/7/9/11/12
Cash Clerk	GS-0503-5/6/7
Computer Assistant	GS-0335-5/6/7
Computer Specialist	GS-0334-5/7/9/11/12
Congressional/Legislative Affairs Specialist	GS-0301-5/7/9/11/12/13
Contract Specialist	GS-1102-5/7/9/11/12
Economic Development Assistant	GS-1101-5/6/7
Economic Development Specialist	GS-1101-5/7/9/11/12
Economist	GS-0220-5/7/9/11/12/13
Employee Development Specialist	GS-0235-5/7/9/11/12

Employee Relations Specialist	GS-0230-5/7/9/11/12
Equal Opportunity Assistant	GS-0361-5/6/7
Equal Opportunity Specialist	GS-0360-5/7/9/11/12
Examiner	GS-0501-5/7/9/11/12*
Export Development Specialist	GS-1101-5/7/9/11/12/13
Financial Analyst (Investment Division)	GS-1160-5/7/9/11/12/13
Financial Analyst (Other Offices)	GS-1160-5/7/9/11/12
Financial Specialist	GS-0501-5/7/9/11/12
Industrial Analyst	GS-1101-5/7/9/11/12
Industrial Specialist	GS-1150-5/7/9/11/12
International Trade Specialist	GS-1140-5/7/9/11/12/13
Loan Processing Assistant	GS-1101-5/6/7
Loan Servicing Assistant	GS-1101-5/6/7
Loan Specialist (Commercial)	GS-1165-5/7/9/11/12*
Mail & File Clerk	GS-0305-2/3/4/5
Management Analyst	GS-0343-5/7/9/11/12*
Miscellaneous Administrative Positions	GS-0301*
Miscellaneous Clerical Positions	GS-303*
Office Automation Assistant	GS-0326-5/6/7
Office Automation Clerk	GS-0326-2/3/4
Personnel Clerk/Assistant	GS-0203-5/6/7
Personnel Management Specialist	GS-201-5/7/9/11/12
Procurement Analyst (Government Contracting Field)	GS-1102-5/7/9/11/12/13
Procurement Analyst (Other Offices)	GS-1102-5/7/9/11/12
Program Analyst	GS-0343-5/7/9/11/12*
Public Affairs Specialist	GS-1035-5/7/9/11/12
Surety Bond Guarantee Assistant	GS-1101-5/6/7
Surety Bond Guarantee Specialist	GS-1101-5/7/9/11/12

*Career ladders for this occupation may vary from office to office, depending on the work environment and the typical complexity of assignments.

Sample Offer of a Temporary Promotion

Dear (name):

You are being offered a temporary promotion to the position of (position title, series, grade and salary) in (organization and geographic location). This promotion will last a maximum of (length of time) because (reason for the time limit). The proposed effective date is (date).

The following conditions apply:

1. You may be noncompetitively promoted for a total of 120 calendar days in any 12 month period. Any service in a higher-graded position during the preceding 12 months under noncompetitive temporary promotions and/or noncompetitive details counts toward the 120 day limitation. Promotions lasting longer than a total of 120 calendar days must generally be announced under SBA's Merit Promotion and Placement Plan.
2. If you accept this promotion, you will be returned to your present position or to a different position of equal grade and pay when the promotion ends. Return to the previous grade level after a temporary promotion is not subject to reduction in force, performance-based reduction in grade, or adverse action procedures. When you are returned, you are entitled to any salary increases you would have received if you had not accepted the promotion.
3. This promotion may be terminated at any time, at management's discretion.

Please indicate below whether you accept this offer, sign and return this letter to (name, location) no later than (date). If you have any questions, please contact (name, telephone number).

Sincerely,

(name)
(title)

I have read and understand the above conditions. I accept this offer of a temporary promotion.

Signature

Date

I do not accept this offer.

Signature

Date

Sample Notice of Priority Consideration Entitlement
(for merit promotion or non-competitive placement)

Dear (Name):

The Small Business Administration's Merit Promotion and Placement Plan states that an individual who was not given proper consideration by the SBA in a previous promotion or placement action is entitled to a one-time priority consideration for a position announced by this servicing personnel office in the same job series, grade, and geographic location with the same promotion potential as the position for which proper consideration was not given. Because you were not given proper consideration for the position of (position title, series, grade, promotion potential, geographic location and vacancy announcement number), you are entitled to priority consideration.

If there are changes to any of the information in your application or resume, please send a copy of your updated application and/or new performance appraisal to:

(servicing personnel office address)

If you have any questions, please contact (name and telephone number of servicing personnel specialist).

Sincerely,

(name)

(title)



U.S. Small Business Administration

Noncompetitive Eligibles List

Position title, series, grade	Location	Return list by
Issued to	Issued by (specialist's signature)	Issued on

- This list supplements the Competitive Eligibles List for vacancy announcement number _____.
- The following individuals are eligible for repromotion consideration under SOP 33 00, "Employment," Chapter 6, Merit Promotion and Placement Plan.
- The following individuals are entitled to priority consideration under SOP 33 00, "Employment," Chapter 6, Merit Promotion and Placement Plan.
- The following individuals are entitled to special selection priority under SOP 33 00, "Employment," Chapter 18, Career Transition Assistance Plan.

Please indicate whether or not you interviewed the applicants. Record the actions you take under "Results": "S" - selected; "C" - considered; "D" - applicant declined. Include any remarks, sign and date on the reverse and return this list and the applications to your servicing personnel office by the date shown above.

Do not show this list to any individual except those in your supervisory chain, as disclosure of this information constitutes an unwarranted invasion of personal privacy. Do not contact the selected applicant, unless you arranged with the servicing personnel office to notify the applicant personally. The personnel specialist will notify the selected applicant.

Eligible for grade	Name	Interviewed		Results
		Yes	No	

SBA Form 422A (9-00) REF SOP 33 00 previous edition is obsolete

Eligible for grade	Name	Interviewed		Results
		Yes	No	
Remarks				
Selecting official's signature			Date	

SBA Form 422A (9-00) REF SOP 33 00 previous edition is obsolete

Sample Notice of Priority Consideration Given
(for merit promotion or non-competitive placement)

Dear (name):

On (date of letter), we notified you that you were entitled to priority consideration for a position in (job series, grade, promotion potential, geographic location). On (date referral list issued), you were given priority consideration for the position of (position title, series, grade, promotion potential, geographic location, and vacancy announcement number). You have received the consideration you were entitled to and are no longer entitled to priority consideration.

If you have any questions, please contact (name and telephone number of servicing personnel specialist).

Sincerely,

(name)
(title)



U.S. Small Business Administration Applicant Rating and Ranking Form

Applicant	Vacancy announcement number	
Position title, series, grade, location		
Qualified for: _____ grade level(s)		
Not qualified for: _____ grade level(s)		
Describe qualifying experience, dates, comments:		
QUALITY RANKING FACTORS	EVIDENCE OF FACTOR	POINTS ASSIGNED
1		
2		
3		
4		
5		
6		

SBA Form 1239A (9-00) REF SOP 33 00 previous edition is obsolete

	EVIDENCE	POINTS ASSIGNED
TRAINING		
AWARDS		
PERFORMANC E APPRAISAL		
Personnel specialist's signature		Date
Panel members' signatures		Date

SBA FORM 1239A (9-00) REF SOP 33 00 previous edition is obsolete

Instructions to Merit Promotion Panels

Using the crediting plan and the “Guidelines for Crediting Training, Awards and Performance Appraisals,” assign each applicant points for the quality ranking factors, training, awards, and performance appraisal. An applicant can gain knowledge, skills and abilities through job experience (paid and unpaid), education, training (classroom or on-the-job), hobbies, and service with community, social, religious, fraternal, or professional associations.

The crediting plan is used to match the applicant’s knowledge, skills and abilities with an assigned point level. The descriptions in the crediting plan are not intended to be all inclusive, but to provide examples of the kind and level of experience, education or training which would meet that point level.

You must maintain an objective approach when ranking applicants. You must not make decisions based on personal knowledge or second-hand information. Don’t make assumptions or draw conclusions which are not reasonable based on the information in the application.

You must make decisions without discrimination for reasons such as race, color, religion, sex, national origin, political affiliation, marital status, non-disqualifying disability, age, membership/non-membership in a labor organization, child care or housing arrangements, or any other non-merit factor.

As a panel, you must record any significant problems, disagreements, decisions, etc.

The crediting plan is restricted to use by personnel officials and merit promotion panel members on a need-to-know basis. SBA equal employment opportunity officials and authorized union officials invited to observe the panel process may review the crediting plan during panel meetings. You must not show or discuss the crediting plan or applications with anyone else. You must return the crediting plan and applications to the personnel specialist each time the panel adjourns.

All discussions, rankings, and recommendations which take place during a merit promotion panel are strictly confidential and are not to be discussed with anyone other than the panel members, personnel office representatives, or other properly authorized officials.

If you have questions, please contact _____, your servicing personnel specialist at (phone number) and (e-mail address).

Guidelines for Crediting Training, Awards and Performance Appraisal

TRAINING - maximum of 5 points

Give 1 point for each job-related training course completed within the last 5 years

AWARDS - maximum of 5 points

Give points for awards received within the last 3 years, as follows:

<u>Points</u>	<u>Awards</u>
5	time-off award(s) of more than 80 hours
4	Sustained Superior Performance, Quality Step Increase, time-off award(s) totaling 61 to 80 hours
3	time-off award(s) totaling 41 to 60 hours
2	Special Act Award, Superior Accomplishment Award, Special Achievement/Commendation Award, time-off award(s) totaling 21 to 40 hours
1	Letter or Certificate of Commendation (from Federal agency), Letter of Appreciation (from Federal agency), quick cash/on-the spot cash awards, time-off award(s) totaling up to 20 hours

PERFORMANCE APPRAISAL - maximum of 5 points

Give points for final performance appraisals dated within 1 year of the vacancy announcement closing date, as follows:

<u>Points</u>	<u>Appraisal</u>
5	“Outstanding” or equivalent
3	“Exceeds Fully Successful” or equivalent
1	“Fully Successful” or equivalent



U.S. Small Business Administration

Merit Promotion Ranking Summary

Vacancy announcement number	Personnel specialist
Position title, series, grade	EEO/Union observer(s)
Location of position	Panel members' signatures and date

APPLICANTS	QUALITY RANKING FACTORS						TRAINING	AWARDS	APPRAISAL	TOTAL
	1	2	3	4	5	6				

SBA Form 1239 (9-00) REF SOP 33 00 previous edition is obsolete

Quality Ranking Factors: Possible points _____

Training: Possible points 5

Awards: Possible points 5

Performance appraisal: Possible points 5

TOTAL POSSIBLE POINTS: _____

DESCRIBE THE METHOD USED TO DETERMINE THE BEST QUALIFIED

SBA Form 1239 (9-00) REF SOP 33 00 previous edition is obsolete



U.S. Small Business Administration

Competitive Eligibles List

Position title, series, grade	Location	Vacancy ann. no.
Issued to	Issued by (personnel specialist's signature)	Issued on
For information, contact:		Return roster by:

The following applicants are referred for selection for this position according to SOP 33 00, "Employment," Chapter 6, Merit Promotion and Placement Plan. If you interview any applicant on this list, you must interview all applicants for the same grade level. If the position is one for which the Executive Resources Board (ERB) members interview, the ERB is not required to interview an applicant interviewed by ERB members within the past year, and the ERB documents in the "Remarks" section on the reverse the position title, series, grade and vacancy announcement number of the position for which the applicant was previously interviewed.

Please indicate whether or not you interviewed the applicants. Record the actions you take under "Results": "S" - selected; "C" - considered; "D" - applicant declined. If no action is taken, record the reason(s) and any further action(s) requested in the "Remarks" section on the reverse. Sign and date on the reverse and return this list and the applications to your servicing personnel office by the date shown above.

Do not show this list to any individual except those in your supervisory chain, as disclosure of this information constitutes an unwarranted invasion of personal privacy. Do not contact the selected applicant, unless you arranged with the servicing personnel office to notify the candidate personally. The personnel specialist will notify the selected candidate.

Eligible for grade	Name	Interviewed		Results
		Yes	No	

SBA Form 422 (9-00) REF SOP 33 00 previous edition is obsolete

Eligible for grade	Name	Interviewed		Results
		Yes	No	

Remarks				
Selecting official's signature			Date	

SBA Form 422 (9-00) REF SOP 33 00 previous edition is obsolete

Merit Promotion Checklist

Vacancy announcement number	Date personnel action completed or vacancy cancelled
Position title, series, grade(s) and location	
Personnel specialist's signature	Date

INITIAL WHEN THE FOLLOWING REQUIRED INFORMATION OR ITEMS ARE IN THIS MERIT PROMOTION FILE:

- ___ This checklist
- ___ The servicing personnel office's Priority Consideration File was checked on _____ and ___ applications were referred on _____.
- ___ Position description (signed and certified OF 8, "Position Description" cover sheet with duty statement) for each grade
- ___ Qualification standard used (e.g., Group Coverage Qualification Standard for Administrative and Management Positions) _____

- ___ Separate crediting plan for each grade, certified as up-to-date and signed and dated by the selecting official and the servicing personnel specialist
- ___ Location of the job analysis within the personnel office: _____
- ___ Vacancy announcement (include canceled, amended or reannounced vacancy announcements)
- ___ All applications received, date stamped and noted with postmark date, including postmarked envelopes of late applications
- ___ SBA Form 1239A, "Applicant Rating and Ranking Form," for each timely applicant and, if a panel was held, notes to show how final scores on individual factors were reached
- ___ SBA Form 1239, "Summary of Applicant Rankings," with applicants' names, scores and explanation of how the best qualified group was determined
- ___ SBA Form 422A, "Noncompetitive Eligibles List"
- ___ SBA Form 422, "Competitive Eligibles List"
- ___ Copies of results notifications sent to applicants

INITIAL THE ITEMS WHICH APPLY TO THIS FILE

- ___ Justification for selective factor(s), signed and dated by the selecting official and personnel specialist

SBA Form 2046 (4-98) REF SOP 33 00

- ___ SBA's Reemployment Priority List, in the Office of Human Resources, Guidance, Innovation and Review Division, was cleared on _____, clearance number _____ (if vacancy is open to individuals outside SBA)
- ___ SBA Form 422A, "Noncompetitive Eligibles List," referring priority consideration eligibles and/or individuals given special consideration for repromotion
- ___ Federal Job Opportunity Board control number _____ (if vacancy is open to individuals outside SBA)
- ___ A completed SBA Form 2053, "Non-Authorization of Relocation Expenses"
- ___ Documentation of reason(s) for and effective dates of cancellation, amendment or non-use of an SBA Form 422, "Competitive Eligibles List," in the remarks section of that form
- ___ Documentation of job declinations - written statement from applicant or a written summary of a verbal declination signed and dated by the selecting official or servicing personnel specialist
- ___ Explanation of any unusual action (e.g., revision of crediting plan)

SBA Form 2046 (4-98) REF SOP 33 00

INTERAGENCY AGREEMENT

Interagency Agreement Number **SBA-1**
between the
Office of Personnel Management (OPM)
and the
Small Business Administration (SBA)

This document is a two-part agreement between the above-named parties which contains a delegation of examining authority, and which sets forth the terms and conditions for reimbursable services when the SBA has requested such services by providing an executed OPM Form 1616 or other funding document.

I. THE DELEGATION AGREEMENT

A. AUTHORITY

Under the provision of 5 U.S.C. § 1104, as amended by P.L. No. 104-52 (1995), this Delegation Agreement authorizes the SBA to examine applicants for the positions indicated. Any authority delegated under this agreement can not be contracted out to private or commercial enterprises.

B. POSITIONS COVERED

All series and grade levels nationwide except Administrative Law Judge positions.

C. EFFECTIVE DATE OF THE AGREEMENT

This agreement will become effective upon execution by both parties.

D. APPLICABLE LAWS AND REGULATIONS

All examining activities initiated under this agreement must conform with the requirements of Federal laws, rules, regulations and of any applicable court orders.

E. RESPONSIBILITIES OF THE PARTIES

The responsibilities of the SBA and OPM under this agreement are set forth herein and constitute the entire agreement between the parties. The responsibilities may be met in the following ways: the SBA carries out its examining activities through one or more Delegated Examining Units (hereinafter referred to as DEUs), and/or the SBA contracts with OPM to carry out its examining activities. In other words, the SBA may carry out all its examining activities itself, contract with OPM to carry out all its examining activities, or carry out some examining activities through its DEU(s) and contract with OPM to perform other examining activities. The SBA recognizes that it may, but is not obligated to, contract with OPM to provide examining activities on a reimbursable basis. Authorities for such an agreement are 5 U.S.C. § 1304(e)(1) and 31 U.S.C. § 1535.

1. OPM Responsibilities

OPM shall:

- a. Provide operating guidelines and basic technical assistance, to the extent possible, if requested.
- b. Perform initial certification and periodic recertification of DEUs. OPM may suspend or revoke this delegation if certification requirements are not met.
- c. Provide job seekers with up-to-date information about job opportunities and application procedures through the government-wide automated employment information systems--the Career America Connection telephone system, the Federal Job Opportunities Board (FJOB) computer bulletin board, and the Federal Job Information Computer touch screen kiosk.
- d. Make final decisions on:
 - (i) Adverse suitability determinations, unless OPM has delegated to the head of the SBA authority to adjudicate such determinations, in accordance with OPM's suitability regulations at 5 CFR Part 731 et seq.
 - (ii) All adverse medical determinations of preference eligibles. (5 CFR § 339.306)
 - (iii) All objections based on qualifications which would result in the passover of a compensable (CP) eligible with a disability of 30% or more. (5 U.S.C. § 3318)
- e. Establish and maintain an oversight program to ensure that activities under any authority delegated under 5 U.S.C. § 1104(a) are in accordance with the merit system principles and the standards established under 5 U.S.C. § 1104(b)(1) and support mission accomplishment. Any actions contrary to any law, rule, regulation, or any OPM established standard shall be corrected as required by OPM. (5 U.S.C. § 1104(c))

2. Agency Responsibilities

Effective Date: September 6, 2000

The SBA shall:

- a. Ensure adequate competition for positions in the competitive service by recruiting adequate numbers of well-qualified applicants for consideration.
 - (i)(a) Provide public notice of the opportunity to compete. As required under 5 U.S.C. §§ 3327 and 3330, all jobs must be listed in the Federal Jobs Data Base. Jobs, with complete text vacancy announcements, should be entered directly into the data base through the data entry program available on the Federal Job Opportunities Board (FJOB). Entry of jobs in OPM's Federal Jobs Data Base fulfills the requirement to notify State Employment Services offices of the vacancy. OPM electronically transmits this information to State Employment offices nationwide.
 - (i)(b) Determinations of appropriate public notice areas and length of open periods for receipt of applications are made by considering the nature of the positions covered by the examination, their career potential, and the mobility/availability characteristics of the appropriate labor market. However, announcement open periods must be for a minimum of five business days with applications being accepted based on their postmark date.
 - (i)(c) Public notice should be expanded if it is anticipated that normal recruiting would result in an insufficient number of quality eligibles. This may be done through longer open periods, broader areas of publicity, and/or specific recruitment activities designed to positively attract applicants. This could include paid advertising, commercial recruiting firms, and nonprofit employment services.
 - (ii) Distribute application materials to applicants.
- b. Respond to correspondence/inquiries including requests for information covered under the provisions of the Freedom of Information Act and the Privacy Act.
- c. Develop applicant appraisal procedures (rating schedules/job element standards). (5 CFR Part 300, Subpart A.) Technical standards of the Uniform Guidelines on Employee Selection Procedures must also be met if there is adverse impact as defined in the Guidelines.
 - (i) Standards in the Operating Handbook, Qualification Standards for General Schedule Positions, may not be modified without prior OPM approval unless otherwise provided for in the General Policies and Instructions.
 - (ii) Personality and similar tests may not be used without prior OPM approval.
- d. Develop supplemental qualifications statement forms when necessary. (See item o in this part for general information on required OMB clearances.) Personally sensitive background questions,

such as those dealing with political affiliations or religious beliefs, shall not be asked. (5 CFR § 4.2)

- e. Rate applications, notify applicants of assigned ratings, and provide a procedure for applicants to request reconsideration of their ratings. The same procedure may be incorporated into the agency administrative grievance system or alternative dispute resolution system and used for agency employed applicants who grieve an assigned rating.
 - (i) Rating decisions are not appealable to OPM.
 - (ii) Issues involving ineligibility based upon suitability considerations shall be referred to OPM for review and final approval, unless OPM has delegated to the head of the SBA authority to adjudicate suitability determinations, in accordance with OPM's suitability regulations at 5 CFR Part 731 et seq.
 - (iii) Ineligible determinations on preference eligibles based on medical considerations must be referred to OPM for review and final approval.
 - (iv) Make determinations on veteran preference claims, including claims for spouse or mother preference based on the service-connected disability of a veteran.
- f. Administer and score written tests.
- g. Issue certificates of eligibles, audit certificates, and establish objection/passover procedures. OPM will retain final approval authority on:
 - (i) Objections/passovers based on suitability considerations as provided in item e.(ii), above.
 - (ii) Objections/passovers based on medical considerations of preference eligibles (5 CFR 339.306).
 - (iii) Objections based on qualifications which would result in the passover of a Compensable Preference eligible with a disability of 30% or more. (5 U.S.C. § 3318)
- h. Apply veteran preference provisions of Title 5, United States Code, including:
 - 5 U.S.C. § 3305 (competitive service; examinations; when held)
 - 5 U.S.C. § 3309 (additional points for examinations)

- 5 U.S.C. § 3311 (examining credit for military service)
 - 5 U.S.C. § 3313 (register order of eligibles)
 - 5 U.S.C. § 3314 (restoration to the register of preference eligibles who resign)
 - 5 U.S.C. § 3315 (restoration to the register of preference eligibles who have been furloughed or separated)
 - 5 U.S.C. § 3317 (certification and selection from top-three register eligibles)
- i. Approve selective and quality-ranking factors.
 - j. Make determinations on conversion to career or career-conditional appointment. (5 CFR § 315.703)
 - k. Make determinations on exceptions to the time-in-grade restriction when an employee is within reach on a register for competitive appointment to the position to be filled. (5 CFR § 300.603)
 - l. Make determinations on exceptions to time-after-competitive appointment restriction. (5 CFR § 330.505)
 - m. Operate its examining activities in conformance with the agency's career transition assistance plan.
 - n. Provide for a procedure whereby examining unit employees notify their supervisor in writing when they intend to apply for a position covered by this agreement. Employees must give similar notice if they know that a relative, or a member of their household intends to apply. Such employees should be appropriately monitored or segregated from the examining and certification process. This includes subject matter experts who participate in the development of standards or ranking of candidates.
 - o. Develop and print any forms necessary for examining operations. Forms that collect information directly from the public must be cleared with the office of Management and Budget (OMB). (See 5 CFR Part 1320 or Standard Form 83-A.)
 - p. Ensure that maintenance of the records used to implement the delegation of authority, that are maintained as a system of records subject to the Privacy Act, is consistent with OPM's Government-wide system of records (OPM/GOVT-5) and the Privacy Act. Any request for changes to the OPM system notices or regulations may be submitted, through the agency

headquarters, to the Associate Director for Employment Service, Office of Personnel Management, Washington, DC, 20415.

- q. Adhere to OPM's schedule of records retention/disposition.
- r. Provide quarterly reports to OPM on such measures as will be required by OPM to fulfill its oversight responsibility. At a minimum, these measures include
 - (i) Total applications processed,
 - (ii) Total selections, including selections for temporary positions, and
 - (iii) Certification that the required annual audit has been completed. (See item u below.)
- s. Take such action as OPM may require to correct an action that OPM has found to be contrary to any law, rule, regulation, or any OPM established standard. (5 U.S.C. § 1104(c))
- t. Conduct annual audits of DEU activities using non-DEU staff and certify completion of the audit to OPM. The SBA must maintain a list of all discrepancies and corrective actions for a period of three years after the audit.
- u. Establish and maintain an internal accountability system designed to assure that the use of delegated examining authorities is in compliance with law and merit system principles. This system will be subject to regular periodic management review by OPM.
- v. Must continue to comply with the data collection and reporting requirements under the Luevano Consent Decree.

F. CERTIFICATION OF DELEGATED EXAMINING UNITS

1. The SBA shall provide OPM with the location of its proposed DEU(s) on the attached certification form. The SBA must send the certification form to the appropriate OPM service center. Certification of the DEU by OPM must be completed before the unit begins to function.

2. Employees of the DEU shall be trained by OPM prior to performing their duties as members of the DEU.

3. If administering OPM written tests, the SBA test administrators must be trained and certified by OPM.
4. OPM will recertify the DEUs at regularly scheduled time frames to be determined by OPM.

G. TERMINATION, SUSPENSION OR REVOCATION

1. This agreement may be terminated at any time by either party with 90 days advance notice to OPM. In such cases, the SBA would not be able to fill positions using competitive examining procedures.
2. certification of an Individual DEU may be revoked or suspended at any time by OPM.

H. AMENDMENT OR MODIFICATION

Any amendment or modification of this agreement must be in writing and agreed to by both OPM and the SBA. This agreement will automatically be renewed each fiscal year unless a termination notice is provided by one party to the other party.

II. Terms and Conditions for OPM Providing Examining services and other Staffing Related Services on a Reimbursable Basis

Should the SBA request OPM to provide any examining and/or other staffing related services on a reimbursable basis, the following terms and conditions apply. Signature of this delegation agreement constitutes agreement with these terms in the event that the SBA requests OPM to perform reimbursable services.

A. AUTHORITY

Examining services are authorized under the provision of 5 U.S.C. § 1104, as amended by P.L. No. 104-52 (1995). Other staffing related services are authorized under the provision of U.S.C. § 1304.

1. SERVICES COVERED

Under this agreement OPM agrees to provide examining and/or other staffing-related services as specified on OPM Form 1616, or other funding document, for the prices listed in the official OPM Service and Pricing Guide for the current fiscal year.

2. FUNDING FOR THE AGREEMENT

Upon execution of a funding document, an agreed upon dollar amount will be obligated to OPM. OPM shall notify the SBA in writing on a monthly or other agreed upon basis of the costs incurred.

3. DISPUTES AND TERMINATION

In the event the SBA wishes to terminate the initiation of an action request, it must do so in writing to the appropriate OPM service center.

Termination of an agreement for reimbursable services by either party must be provided to the other party in writing 90 days prior to the effective date of the termination. The SBA's notice of termination is to be addressed to the Director, Washington Service Center, OPM, 1900 E Street NW, Washington, DC 20415. If termination of an agreement is to occur prior to the end of the fiscal year, OPM will be entitled to retain sufficient funds as necessary to cover the expenses incurred for terminating the agreement and will provide a final accounting of those expenses to the SBA 60 days after receipt of the termination notice. Upon termination of the agreement prior to the end of the fiscal year, all of the SBA's funds not obligated prior to the termination notice will be returned to the SBA 30 days after the termination.

4. MENDMENTS OR MODIFICATIONS OF THE AGREEMENT

Any amendments or modifications of the agreement must be in writing and agreed to by both OPM and the SBA. If OPM needs to modify the prices agreed upon, then OPM will notify the other party 90 days in advance of the proposed change. The other party must respond to the proposed change in writing within 45 days of receipt of the proposed change.

(signed by Leonard R. Klein)

(signed by Carolyn J. Smith)

Office of Personnel Management Small Business Administration

2-5-96

2-9-96



U.S. Small Business Administration Delegated Examining Rating and Ranking Form

Applicant	Vacancy Announcement Number
------------------	------------------------------------

Position title, series, grade(s), location

Qualified for _____ **Not qualified for** _____
grade level(s) grade level(s)

List qualifying experience:

Quality ranking factor	Evidence of Factor	Points assigned
1		
2		
3		
4		
5		
6		


Base score _____ 70
 Total quality ranking factor score _____ Final score w/veteran preference type _____
 Veteran preference points (0, 5 or 10) _____
 Veteran preference type (CPS, CP, XP, TP or NV) _____ Personnel specialist's signature and date _____
 SBA Form 2038 (9-00) REF SOP 33 00



U.S. Small Business Administration
Delegated Examining Ranking Summary

Position title, series, grade	Vacancy announcement number
Location of position	Personnel specialist's signature and date

Applicants	QRF points	+ 70	+ VP points	rating w/VP type	order

		U.S. Small Business Administration Certificate of Eligibles	
Position, title, series, grade and location			Certificate number
Certificate issued by:			Date certificate issued
INSTRUCTIONS FOR THE SELECTING OFFICIAL ARE ON THE REVERSE SIDE			
Action	Rating	Veteran preference	Name
Selecting official's signature, date and remarks (e.g., reason certificate not used)			
Certificate audited by:			Date certificate audited

SBA Form 2040 (9-00) REF SOP 33 00

INSTRUCTIONS FOR THE SELECTING OFFICIAL:

This certificate is valid only for the position, grade and location indicated.

- You may select from among the highest three applicants available for each vacancy. You may not pass over a veteran preference eligible to select a non-preference applicant unless you submit a written objection through your servicing personnel office which is sustained by the examining unit in the servicing personnel office or the Office of Personnel Management.
- You are not required to consider an eligible whom you have considered for three separate appointments from the same or different certificates for the same position (you must document the “Remarks” section of this certificate with the vacancy announcement number(s) under which the applicant was previously considered).
- If the applicant is already serving under your supervision, in the same type position, in the same or higher grade, at the same duty location and under the same (or preferable) type of appointment as that for which this certificate was issued, you do not have to consider the applicant (you must document the “Remarks” section of this certificate with the position title, series, grade and duty location as evidence that all of the above conditions are met).
- If an applicant declines the position, you must provide your servicing personnel office with a written statement of the reason(s) for declination (from the applicant or the Agency official who received a verbal declination).
- If an applicant fails to report for an interview or you cannot contact an applicant for an interview, notify your servicing personnel office.
- Document the actions taken in the “Action” column using the codes below. Sign and date this certificate and include any pertinent remarks before returning it to your servicing personnel office with the applications.

ACTION CODES

A	Selected
NS	Not selected after interview
NN	Not selected, not contacted
DG	Declined grade
DD	Declined until a later date
DZ	Declined for other reason(s)
NC	Appointed by noncompetitive action
CE*	Career or career-conditional employee
TE*	Temporary employee

* Applicant was not considered because he/she is already serving under my supervision, in the same type position, in the same or higher grade, at the same duty location, and under the same (or preferable) type of appointment as that for which this certificate was issued

EXPLANATION OF VETERAN PREFERENCE CODES:

CPS	10-point veteran preference based on a service-connected disability of 30 percent or more
CP	10-point veteran preference based on a service-connected disability of 10 to 29 percent
XP	10-point veteran preference granted to recipients of the Purple Heart, persons with a non-compensable service-connected disability of less than 10 percent, widow/widower or mother of a deceased veteran, or spouse or mother of a disabled veteran
TP	5-point veteran preference

SBA Form 2040 (9-00) REF SOP 33 00

Sample Notice of Priority Consideration Entitlement
(for competitive examining)

Dear (name):

The Office of Personnel Management's competitive examining procedures require that an individual who lost opportunity for (certification or consideration) under competitive examining procedures is entitled to priority consideration for another vacancy. Because you were not given proper consideration for the position of (position title, series, grade, promotion potential, duty location, type of appointment and vacancy announcement number), you are entitled to a one-time priority consideration for another SBA vacancy. The vacancy must be announced by this examining office under competitive examining procedures and it must be a position for which you qualify. The vacancy must also be: in the same job series; at the same grade level with the same promotion potential; in the same duty location; and of the same appointment type (temporary, term or permanent) as the vacancy for which you lost opportunity.

If your address or phone number changes, you must notify the person named below:

(name)
(address)
(phone number)
(fax number)
(e-mail address)

Entitlement to priority consideration does not mean that you have a right to a position. It means that the selecting official must consider you for the position before other applicants are considered under competitive examining procedures.

If you have any questions, please contact (name and telephone number of servicing personnel specialist).

Sincerely,

(name)
(title)

Sample Notice of Priority Consideration Given
(for competitive examining)

Dear (name):

On (date of letter), we notified you that you were entitled to priority consideration for another vacancy for which you qualify announced by this examining office under competitive examining procedures.

On (date certificate of eligibles returned to the delegated examining unit), you were given priority consideration for the position of (position title, series, grade, promotion potential, duty location, type of appointment and vacancy announcement number). You have received the consideration you were entitled to and are no longer entitled to priority consideration.

If you have any questions, please contact (name and telephone number of servicing personnel specialist).

Sincerely,

(name)
(title)

Delegated Examining Checklist

Position title, series, grade(s) and location	Vacancy ann. no.
Personnel specialist's signature	Date

INITIAL WHEN THE FOLLOWING REQUIRED INFORMATION AND ITEMS ARE CONTAINED IN THIS DELEGATED EXAMINING FILE:

- ___ SBA's Reemployment Priority List, in the Office of Human Resources, Guidance, Innovation and Review Division, was cleared on _____, clearance number _____
- ___ The examining unit's 10-Point Preference File was checked on _____ and _____ applications were submitted on _____.
- ___ The examining unit's Priority Consideration File was checked on _____ and _____ applications were referred on _____.
- ___ SF 39, "Request for Referral of Eligibles," for each grade level, duty location, type of appointment (career/career-conditional, term, temporary), and work schedule (full-time, part-time, intermittent)
- ___ Position description (signed and certified OF 8, "Position Description" cover sheet with duty statement) for each grade
- ___ Qualification standard used (e.g., Group Coverage Qualification Standard for Administrative and Management Positions): _____
- ___ Separate crediting plan for each grade, certified as up-to-date and signed and dated by the selecting official and the servicing personnel specialist
- ___ Location of the job analysis within the examining unit: _____
- ___ Vacancy announcement (include cancelled, amended or reannounced vacancy announcements)
- ___ Federal Job Opportunity Board control number _____
- ___ All applications received, date stamped and noted with postmark date, including postmarked envelopes of late applications
- ___ Documentation of rating for each timely application (e.g., SBA Form 2038, "Delegated Examining Rating and Ranking Form")
- ___ SBA Form 2039, "Delegated Examining Ranking Summary," for each grade level

SBA Form 2048 (4-98) REF SOP 33 00

- ___ SBA Form 2040, "Certificate of Eligibles," for each grade, signed and dated by the servicing personnel specialist and selecting official (include supplemental and amended certificates, if applicable)
- ___ Copies of results notifications sent to applicants

INITIAL THE ITEMS WHICH APPLY TO THIS FILE:

- ___ Justification for selective factor(s), signed and dated by the selecting official and personnel specialist
- ___ A completed SBA Form 2053, "Non-Authorization of Relocation Expenses"
- ___ List of name requests and/or random number used to break ties
- ___ Documentation of the reason(s) for and effective dates of extension, suspension, cancellation or non-use of an SBA Form 2040, "Certificate of Eligibles," in the remarks section of that form
- ___ Applicant request(s) for rating reconsideration, and a copy of the rating reconsideration decision(s) issued by the examining unit to the applicant(s)
- ___ Documentation of job declinations - written statement from applicant or a written summary of a verbal declination signed and dated by the selecting official or servicing personnel specialist
- ___ Documentation of failure to respond to a written inquiry about availability for employment - a copy of the properly addressed letter marked "Failed to Respond" or the properly addressed envelope containing the correspondence returned by the Postal Service because it was undeliverable (telephone calls alone are not reasonable efforts to reach the individual)
- ___ Documentation of failure to report for an interview - documentation of notice to the applicant that failure to appear for the interview will be considered as unavailability for the position, including the date, time and location of the interview, any travel required and the amount of notice given for travel
- ___ Documentation of objections and passover of preference eligibles on SF 62, "Agency Request to Pass Over a Preference Eligible or Object to an Eligible"
- ___ Copy of advance notice issued by the examining unit to veteran preference eligible of proposed passover, and the final decision notice issued by the examining unit to the preference eligible

SBA Form 2048 (4-98) REF SOP 33 00

Requesting a Recruitment Bonus

To request a recruitment bonus under 5 CFR Part 575, Subpart A, the selecting official must submit, through his/her Management Board member, the following:

1. The classified position description (duty statement and signed OF 8, "Position Description" cover sheet).
2. The candidate's application and salary history.
3. Whether the appointment is permanent or non-permanent. If it is non-permanent, include the length of the appointment.
4. Certification that funds are available to pay the bonus (see Chapter 9, question 3).
5. The bonus amount requested as a percentage of basic pay and the length of the service agreement.
6. Copies of the letters issued by your servicing personnel office offering the position at the normal starting salary, documentation that each candidate declined (written declination from the candidate is preferred, but not required), and your reason for not selecting any of the other referred candidates.
7. Your written justification for the recruitment bonus. Be certain to address each of the following:
 - a. Any special qualifications needed for the position;
 - b. Recent turnover in this or similar positions;
 - c. The results of recent recruitment efforts to fill this position and/or similar positions (include recruiting sources and methods used, offer acceptance and declination rates, the proportion of positions filled, length of time to fill similar positions);
 - d. Labor market factors affecting the ability to recruit candidates for similar positions now or in the future (e.g., similar vacancies in the private sector with substantially better salaries and benefits); and

- e. An explanation of why the Agency would have difficulty filling the position without a recruitment bonus.
- 8. The length of training needed to reach full productivity (for formal training, include course names and dates).
- 9. The anticipated effect on equity and morale that a recruitment bonus will have on current employees in similar positions in the same organization (identify the employees by name, position title, job series, grade, length of time in the position; identify employees in the organization who have received a recruitment bonus or a superior qualifications appointment from SBA).

Recruitment and Retention Incentives Approval Panel

1. Purpose

The Recruitment and Retention Incentives Approval Panel is an ad hoc panel which approves or denies requests for recruitment bonuses, superior qualifications appointments, relocation bonuses and retention allowances. The panel ensures consistent, equitable use of these incentives in those rare cases when they are approved.

- a. The panel must reach a consensus on whether or not to approve a:
 - (1) Recruitment bonus;
 - (2) Superior qualifications appointment instead of a recruitment bonus;
 - (3) Superior qualifications appointment in addition to a recruitment bonus;
 - (4) Relocation bonus;
 - (5) Retention allowance; or
 - (6) Waiver of repayment of a recruitment or relocation bonus.
- b. When a request is approved, the panel determines:
 - (1) The percentage of the bonus or allowance;
 - (2) The appropriate pay rate for a superior qualifications appointment based on the criteria in Appendix 39, item 7;
 - (3) The length of the service agreement for a recruitment or relocation bonus; and
 - (4) The amount of repayment of a recruitment or relocation bonus that is waived.

2. Panel Members

The Recruitment and Retention Incentives Approval Panel is composed of:

- a. Chief of Staff;
- b. Associate Deputy Administrator for Management and Administration;
- c. Assistant Administrator for Human Resources (Chair);
- d. Chief Operating Officer;

- e. Assistant Administrator for Equal Employment Opportunity and Civil Rights Compliance; and
- f. Chief Financial Officer.

3. Alternates

Each panel member must designate an alternate to serve on the panel in the event that he/she is unavailable and notify the Chair in writing of the designation.

4. Quorum

Three members of the panel (and/or their alternates), including the Chair, constitute the quorum necessary to make decisions on incentives.

5. Attendance at Panel Meetings by the Requesting Organization

The senior Management Board member of the organization requesting the incentive, or his/her designee, will be invited to attend the panel meeting to discuss the incentive request. He/she is not a member of the panel for any of the purposes described in #1 above and will not be present when the panel votes to approve/disapprove the request.

6. Panel Coordinator

The Employment Policy Officer in the Office of Human Resources' Guidance, Innovation and Review Division, is the panel coordinator. He/she:

- a. Provides technical advice at panel meetings;
- b. Provides summaries of previously approved incentives to the panel to assist them in making consistent, equitable decisions;
- c. Supports the panel's operations;
- d. Provides copies of incentive approvals for non-OIG employees to the Office of Planning and Budget in the Office of the Chief Financial Officer; and
- e. Maintains any related files (e.g., copies of incentive requests, panel recommendations, final decisions).

Personnel Office Procedures for Recruitment Incentives, Relocation Bonuses and Retention Allowances

1. When a Recruitment Incentive, Relocation Bonus or Retention Allowance Is Approved

The servicing personnel office:

- a. Keeps the original request and final decision on file for 3 years;
- b. For recruitment bonuses and relocation bonuses only, prepares three copies of SBA Form 2045, "Recruitment Bonus Service Agreement" (Appendix 38) or SBA Form 2100, "Relocation Bonus Service Agreement" (Appendix 41), as appropriate, for the employee's signature and distributes them to:
 - (1) The employee's supervisor;
 - (2) The employee; and
 - (3) The employee's Official Personnel Folder (left side).
- c. Sends copies of signed service agreements to the Director of the Guidance, Innovation and Review Division in the Office of Human Resources;
- d. For recruitment bonuses, prepares and processes the personnel action to pay the bonus after the employee enters on duty.
- e. For relocation bonuses, prepares and processes the personnel action to pay the bonus after the employee provides acceptable proof of residence in the new commuting area.
- f. For retention allowances, prepares and processes the personnel action to begin payment of the allowance, reduce the percentage of the allowance or terminate the allowance.

2. After a Bonus Repayment Waiver Is Approved or Denied

The servicing personnel office sends copies of the decision to:

- a. The employee;
- b. The employee's supervisor;
- c. The employee's Official Personnel Folder (approvals only); and
- d. The Director, Guidance, Innovation and Review Division in the Office of Human Resources.



U.S. Small Business Administration Recruitment Bonus Service Agreement

Employee's name

Position title, series, grade

Organization and duty station

Supervisor's name

I understand and agree that:

1. In return for a recruitment bonus of \$ _____, I will remain employed with the Small Business Administration for _____ months from the effective date of my appointment;
2. If I fail to fulfill the terms of this agreement, I will repay the United States Government any monies expended for this recruitment bonus, unless I am involuntarily separated through no fault of my own;
3. Repayment will be on a pro rata basis. The amount to be repaid will be determined by providing credit for each full month of employment completed under this agreement.

Employee's signature

Date

File completed agreement in employee's Official Personnel Folder and send a copy to the Director, Guidance, Innovation and Review Division in the Office of Human Resources.

SBA Form 2045 (4-98)

Effective Date: September 6, 2000

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Requesting a Superior Qualifications Appointment

To request a superior qualifications appointment under 5 CFR 531.203(b), the selecting official must submit, through their Management Board member, the following:

1. The classified position description (duty statement and signed OF 8, "Position Description" cover sheet).
2. The candidate's application and salary history.
3. A copy of the written offer your servicing personnel office made to the superior candidate at the normal starting salary, and documentation of the candidate's declination (written declination from the candidate is preferred, but not required).
4. The requested grade and step, and the corresponding rate of pay, including locality pay.
5. Certification that funds are available to pay the salary difference (see Chapter 9, question 3).
6. The reason(s) for requesting a superior qualifications appointment instead of or in combination with a recruitment bonus. If requesting a superior qualifications appointment in combination with a recruitment bonus, state whether the appointment is permanent or non-permanent. If it is non-permanent, include the length of the appointment. Also include the recruitment bonus amount requested as a percentage of basic pay and the length of the service agreement.
7. Your written justification for the superior qualifications appointment. Be certain to address each of the following:
 - a. Any special qualifications needed for the position;
 - b. Recent turnover in similar positions;
 - c. The results of recent recruitment efforts to fill this position and/or similar positions (include recruiting sources and methods used, offer acceptance and declination rates, the proportion of positions filled, length of time to fill similar positions);
 - d. Labor market factors affecting the ability to recruit candidates for similar positions now or in the future (e.g., similar vacancies in the private sector with substantially better salaries and benefits);
 - e. A comparison of the candidate's qualifications with those of other qualified candidates; and

- f. A statement regarding SBA's need for this candidate's services (include an explanation of how the candidate's qualifications meet the Agency's need, how the Agency's need relates to the basic mission or function of the organization, and how essential it is to hire this candidate).
8. Justification for the higher pay rate, including:
- a. The lowest compensation (salary and benefits) the candidate is willing to accept (see Chapter 9, question 4).
- b. Calculation of the candidate's current pay.

To calculate current pay, consider:

- (1) *Candidate's current gross salary (basic pay, excluding locality pay or cost of living allowance, if the candidate is a current Federal employee) or net income from self-employment (from the candidate's most recent income tax return). If the candidate currently works part-time or part of the year, only consider the actual income; do not use the amount the candidate would earn if he/she worked full-time or year round;*
- (2) *Permanent salary increases already approved by the candidate's current employer;*
- (3) *Regular bonuses from the current employer (include the history of regular bonuses); and*
- (4) *Outside employment earnings that have been a regular part of the candidate's income which the candidate won't be able to continue as a Federal employee.*

Don't consider income that wouldn't be affected by the Federal job (e.g., income that would continue during Federal employment, income that would be forfeited whether or not the candidate entered the Federal service, and income that must be forfeited to comply with a specific legal requirement).

- c. A comparison of the candidate's current benefits with Federal benefits.
- d. A copy of any current written job offers the candidate has received from competing employers.
- e. The average starting salary and benefits for comparable positions in the private sector, and supporting documentation (recent job announcements or advertisements, salary surveys, etc.) used to arrive at that figure. Comparable positions are those with the same or similar duties and qualifications in the same location.

- f. An explanation of your reason(s) for requesting a rate higher than that needed to match the candidate's existing pay, if applicable.
-
9. The anticipated effect on equity and morale that a superior qualifications appointment will have on current employees in similar positions in the same organization (identify the employees by name, position title, job series, grade, length of time in the position; identify employees in the organization who have received a recruitment bonus or a superior qualifications appointment from SBA).

Requesting a Relocation Bonus

To request a relocation bonus under 5 CFR Part 575, Subpart B, the selecting official must submit through his/her senior Management Board member, the following:

1. The classified position description for the new position (duty statement and signed OF 8 “Position Description” cover sheet).
2. The employee’s up-to-date application.
3. Whether the employee’s appointment to the new position is permanent or non-permanent. If it is non-permanent, include the length of the appointment.
4. Whether the employee’s duty station change is permanent or temporary. If the change is temporary, indicate the duration.
5. The employee’s current pay (if the employee is currently on a part-time or intermittent work schedule, only consider the actual income; do not use the amount the employee would earn if he/she worked full-time).
6. Changes in the employee’s cost of comparable Federal health benefits in the new location (if the employee is enrolled in the Federal Employees Health Benefits program).
7. The bonus amount as a percentage of basic pay and the length of the service agreement.
8. Certification that funds are available to pay the bonus (see Chapter 9, question 3).
9. The employee’s performance appraisals for the last 3 years.
10. Your written justification for the relocation bonus. Be certain to address each of the following:
 - a. Any special qualifications needed for the position.
 - b. Recent turnover in similar positions.
 - c. The results of recent recruitment efforts to fill this position and/or similar positions (include recruiting sources and methods used, acceptance and declination rates, the proportion of positions filled, length of time to fill similar positions).

- d. Labor market factors affecting the ability to recruit candidates for similar positions now or in the future (e.g., salaries and benefits for similar vacancies in the private sector).
 - e. An explanation with available documentation of why the Agency would have difficulty filling the position without a relocation bonus.
 - f. A statement regarding SBA's need for this employee's services in the new position (include an explanation of how the employee's qualifications meet the Agency's need, how the Agency's need relates to the basic mission or function of the organization, and how essential it is to fill the position with this employee).
 - g. The need for the bonus to entice the employee to relocate (would the employee accept the new position without the bonus).
 - h. How large a bonus it will take for the employee to relocate.
11. Justification for the length of the service agreement based on:
- a. Size of the bonus:
 - (1) Bonuses of 10 percent or less require a service agreement of at least 12 months.
 - (2) Bonuses of more than 10 percent require a minimum service agreement of 24 months.
 - b. The length of training and orientation needed for full productivity (for formal training, include course names and dates);
12. The effect on equity and morale that a relocation bonus will have on current employees in similar positions in the same organization (identify the employees by name, job series, grade, length of time in the position; identify employees in the organization who have received a relocation bonus from SBA).



U.S. Small Business Administration

Relocation Bonus Service Agreement

Employee's name		<input type="checkbox"/> Permanent change of station <input type="checkbox"/> Temporary change of station
Position title, series, grade		
Organization and duty station		
Supervisor's name (in the new position)		
I understand and agree that:		
<ol style="list-style-type: none">1. In return for a relocation bonus of \$ _____, I will remain employed with the Small Business Administration in the position of _____ at _____ for _____ months from the date I report for duty in this position;2. I must provide documentation to the Agency to show that I have established a residence in the new commuting area before the bonus may be paid (only applies to a permanent change of station);3. If I fail to fulfill the terms of this agreement, I will repay the United States Government any monies expended for this relocation bonus, unless I am involuntarily separated through no fault of my own;4. Repayment will be on a pro rata basis based on the gross amount of the bonus. The amount to be repaid will be determined by providing credit for each full month of employment completed under this agreement.		
Employee's signature		Date
To be completed by the servicing personnel office on all copies: I certify that the employee reported for duty at _____ on _____. (Only applies to a permanent change of station) I certify that the employee provided the following proof of residence in the new commuting area: _____ _____ _____ _____		
Signature of servicing personnel specialist		Date
File completed agreement in employee's Official Personnel Folder and send a copy to the Director, Guidance, Innovation and Review Division in the Office of Human Resources.		

SBA Form 2100 (2-99)

Effective Date: September 6, 2000

Requesting a Retention Allowance

To request a retention allowance under 5 CFR Part 575, Subpart C, the employee's supervisor must submit through his/her senior Management Board member, the following:

1. The employee's classified position description (duty statement and signed OF 8, "Position Description" cover sheet).
2. The employee's up-to-date application;
3. The employee's most recent annual performance appraisal of record;
4. The employee's completed and signed "Request for Personnel Action," SF 52, showing the proposed effective date of the employee's resignation or retirement;
5. A written statement from the servicing personnel office indicating that the employee is not currently covered by a service agreement for a recruitment bonus or relocation bonus.
6. Your written justification for requesting the retention allowance. Be certain to address each of the following:
 - a. Any special qualifications needed for the position.
 - b. (1) Explain why this employee's unusually high or unique qualifications (describe the qualifications normally expected of an employee in this position) make it essential to retain the employee, and why the employee would be likely to leave the Federal service in the absence of a retention allowance; OR

(2) Explain the special need of the Agency for the employee's services that makes it essential to retain the employee.
 - c. Explain why this employee's services are especially important to the Agency, the extent to which the employee's departure would affect the SBA's ability to carry out an activity or perform a function that is essential to the Agency's mission (the impact of losing the employee, and why the activity or function is essential to the Agency's mission).

7. The result of recent efforts to recruit candidates and retain employees with similar qualifications to those possessed by the employee for positions similar to the position held by the employee;
8. The availability in the labor market of candidates who, with minimal training or disruption of service to the public, could perform the full range of duties and responsibilities assigned to the position held by the employee; and
9. The amount of the allowance being requested expressed as a percentage of basic pay (not to exceed 25 percent) and justification for this amount based on:
 - a. The need for the employee's services (how essential it is to retain the employee, the impact of losing the employee);
 - b. The Agency's ability to pay the allowance (is funding available, how large an allowance can be supported and for how long);
 - c. The potential difficulty in replacing the employee (see items 6 and 7); and
 - d. Competing pay rates (written salary offers the employee has received from non-Federal employers dated within 60 days, prevailing private sector salary for this occupation).
10. Certification that funds are available to pay the allowance (see Chapter 9, question 3).

U.S. Small Business Administration
Credit Report Release for Employment

PLEASE BE ADVISED THAT ONE OR MORE CONSUMER CREDIT REPORTS MAY BE OBTAINED FOR EMPLOYMENT PURPOSES PURSUANT TO THE FAIR CREDIT REPORTING ACT, AS AMENDED, 15 U.S.C., §1681, *ET SEQ.*

Information provided by you on this form will be furnished to the consumer reporting agency, in order to obtain information to determine your (1) suitability for Federal employment, (2) clearance to perform contractual service for the Federal Government, and/or (3) security clearance or access. The information obtained may be provided to other Federal agencies for the above purposes and in fulfillment of official responsibilities to the extent that such disclosure is permitted by law.

I hereby authorize the *U.S. Small Business Administration*, to obtain such report(s) from any consumer/credit reporting agency for employment purposes. I understand that if I am denied employment, either in whole or in part, based on this credit report, SBA will give me a copy of the report and information about my rights under the Fair Credit Reporting Act.

Print employee's name

Social Security number

Street address and apartment number, if applicable

City, state, zip code

Signature

Date

Your Social Security Number is needed to keep records accurate because other people may have the same name. Executive Order 9397 also asks Federal agencies to use this number to help identify individuals in agency records.

SBA Form 2044 (5-99) REF SOP 33 00

Facts on SBA's Use of Credit Reports for Employment

1. What Law Authorizes SBA to Obtain and Use My Credit Report?

SBA is authorized by the Fair Credit Reporting Act (15 U.S. Code, Section 1681) to obtain and use credit reports from consumer reporting agencies for employment purposes.

2. Why Does SBA Review My Credit Report?

SBA uses your credit report as one source of information when conducting a background investigation to:

- a. Determine your suitability for Federal employment;
- b. Issue you a security clearance, if required for your position; or
- c. Obtain clearance for you to perform contractual services for SBA.

3. Can SBA Obtain My Credit Report Without My Consent?

SBA cannot obtain your credit report without your written authorization on SBA Form 2044, "Credit Report Release for Employment."

4. What Happens if I Don't Complete the Credit Report Release for Employment?

- a. SBA does not hire applicants who refuse to complete required security forms, including the "Credit Report Release for Employment." SBA requires you to complete security forms, including the credit report release, before determining the date you will begin working.
- b. If you are an SBA employee who is being reinvestigated and you do not complete all required security forms, including the "Credit Report Release for Employment," expect your supervisor to initiate appropriate disciplinary or adverse action, up to and including your removal from the Federal service.

5. What Information is Contained in My Credit Report?

Your credit report contains information about your credit history such as payment history on loans and credit card accounts. If applicable to your case, it will include information on filed bankruptcies, tax liens, judgements (monetary obligations resulting from lawsuits), unpaid accounts assigned to collection agencies, late payments, and unpaid accounts reported as losses by creditors.

6. Who Will Have Access to My Credit Report?

You and your supervisor will have access to your credit report, as well as the person(s) who conduct your background investigation (SBA uses both the Office of Personnel Management and a private company to conduct investigations). The SBA official(s), or their designee(s), authorized to determine your suitability for Federal employment also has access to your credit report. They are:

- a. The Chief of Staff if you are a political appointee;
- b. The Inspector General if you are an Office of Inspector General employee;
- c. The Associate Administrator for Disaster Assistance if you are an Office of Disaster Assistance employee;
- d. The Assistant Administrator for Human Resources and the Inspector General if you are not included in a through c.

7. Is SBA Allowed to Disclose Information from My Credit Report?

- a. SBA is allowed to disclose information from your credit report to other Federal government agencies only for the purposes described in paragraph 2 and to fulfill official agency responsibilities to the extent that disclosure is permitted by law. For example, if you transfer to another Federal agency, SBA may release a copy of your background investigation, which includes your credit report, to the other agency's security office.
- b. Information contained in your investigation report, which includes your credit report, is protected by the Privacy Act (Public Law 93-579). SBA notifies in writing those SBA officials with access to your background investigation report (see paragraph 6) that:
 - (1) Unauthorized disclosure of this information may be a violation of the Privacy Act; and

- (2) SBA employees who make unauthorized disclosures are subject to disciplinary action under SOP 37 52, "Discipline and Adverse Actions," (up to and including removal) and if a violation of the Privacy Act is found, criminal penalties (punishable as a misdemeanor with a fine of not more than \$5,000).

You may also bring a civil action against the SBA in a United States District Court if the SBA violates the Privacy Act by wrongfully disclosing information in your background investigation report.

8. How Will SBA Safeguard My Credit Report from Unauthorized Access?

All security files in SBA, which contain background investigations and credit reports, are locked in a safe or file cabinet inside a room with a combination lock. Only the staff of the Security Operations and Investigations Division of the Office of Inspector General have access to these security files.

9. Will I Have an Opportunity to Respond to Derogatory Information in My Credit Report?

Yes. If derogatory information is contained in your credit report and could result in an unfavorable employment determination, you will be given a copy of your credit report, the opportunity to explain or refute the derogatory information and a copy of your rights under the Fair Credit Reporting Act.

10. What Are My Rights Under the Fair Credit Reporting Act (FCRA)?

The FCRA gives you specific rights, as outlined below.

- a. **You must be told if information in your file has been used against you.** Anyone who uses information from a consumer reporting agency (CRA) to take action against you – such as denying an application for credit, insurance, or employment – must tell you, and give you the name, address and phone number of the CRA that provided the consumer credit report.
- b. **You can find out what is in your file.** At your request, a CRA must give you the information in your file, and a list of everyone who has requested it recently. There is no charge for the report if a person has taken action against you because of information supplied by the CRA, if you request the report within 60 days of receiving notice of the action. You also are entitled to one free report every twelve months upon request if you certify that (1) you are unemployed and plan to

seek employment within 60 days, (2) you are on welfare, or (3) your report is inaccurate due to fraud. Otherwise, a CRA may charge you up to eight dollars.

- c. **You can dispute inaccurate information with the CRA.** If you tell a CRA that your file contains inaccurate information, the CRA must investigate the items (usually within 30 days) by presenting to its information source all relevant evidence you submit, unless your dispute is frivolous. The source must review your evidence and report its findings to the CRA. (The source also must advise national CRAs – to which it has provided the data – of any error.) The CRA must give you a written report of the investigation, and a copy of your report if the investigation results in any change. If the CRA’s investigation does not resolve the dispute, you may add a brief statement to your file. The CRA must normally include a summary of your statement in future reports. If an item is deleted or a dispute statement is filed, you may ask that anyone who has recently received your report be notified of the change.
- d. **Inaccurate information must be corrected or deleted.** A CRA must remove or correct inaccurate or unverified information from its files, usually within 30 days after you dispute it. However, the CRA is not required to remove accurate data from your file unless it is outdated (as described below) or cannot be verified. If your dispute results in any change to your report, the CRA cannot reinsert into your file a disputed item unless the information source verifies its accuracy and completeness. In addition, the CRA must give you a written notice telling you it has reinserted the item. The notice must include the name, address and phone number of the information source.
- e. **You can dispute inaccurate items with the source of the information.** If you tell anyone – such as a creditor who reports to a CRA – that you dispute an item, they may not then report the information to a CRA without including a notice of your dispute. In addition, once you’ve notified the sources of the error in writing, it may not continue to report the information if it is, in fact, an error.
- f. **Outdated information may not be reported.** In most cases, a CRA may not report negative information that is more than seven years old; ten years for bankruptcies.
- g. **Access to your file is limited.** A CRA may provide information about you only to people with a need recognized by the FCRA – usually to consider an application with a creditor, insurer, employer, landlord, or other business.
- h. **Your consent is required for reports that are provided to employers, or reports that contain medical information.** A CRA may not give our information about you to your employer, or prospective employer, without your written consent. A CRA may not report medical information about you to creditors, insurers or employers without your permission.

- i. **You may choose to exclude your name from CRA lists for unsolicited credit and insurance offers.** Creditors and insurers may use file information as the basis for sending you unsolicited offers of credit or insurance. Such offers must include a toll-free phone number for you to call if you want your name and address removed from future lists. If you call, you must be kept off the lists for two years. If you request, complete and return the CRA form provided for this purpose, you must be taken off the lists indefinitely.

- j. **You may seek damages from violators.** If a CRA, a user, or (in some cases) a provider of CRA data, violates the FCRA, you may sue them in state or federal court.

NOTE: You may have additional rights under state law. Contact your state or local consumer protection agency (<http://www.bbb.org/bureaus/index.html>) or your state attorney general (<http://www.inetbureau.com/ag.html>) to learn your rights.

11. Can I Be Fired Based on My Credit Report?

You cannot be fired based on your credit report alone. However, if you falsified information on a security form or your employment application, which is discovered as a result of your credit report, you could be terminated. For example, if you indicate on a security form that you are not currently past due on any loan or financial obligation, but your credit report indicates otherwise and is verified, you may be fired for making a false statement.



U.S. Small Business Administration

Probationary Period Report

Employee's name	Social Security Number
Position title, series, grade	Organization

Dates covered by report: From: _____ To: _____

Check the appropriate block to indicate if the employee is satisfactory or unsatisfactory in each of the following:

	SATISFACTORY	UNSATISFACTORY
Quality of work		
Quantity of work		
Dependability		
Initiative		
Attendance		
General conduct		
Customer service		

Comments:

I certify that the employee's performance and conduct are (check one)

Satisfactory and the employee be retained in the Federal service.

Unsatisfactory and the employee be separated from Federal service.

Rating official's signature	Title	Date
Reviewing official's signature	Title	Date

SBA Form 2034 (2-98) REF SOP 33 00

**Sample Statement of Understanding for Employees
Appointed to Supervisory/Managerial Positions**

Applicant's Name

I, _____, have been offered an appointment to the position of (title, series, and grade of position) located in (organization, address, city and state). This position is a supervisory/managerial position subject to SBA's policies on probationary periods for supervisors and managers in SOP 33 00, "Employment," Chapter 12, Supervisory and Managerial Probationary Periods.

I understand that if I accept this assignment, I must satisfactorily complete a (length of employee's probation) probation from the effective date of the assignment.

I make the following election with full knowledge of SBA's policies on this matter.

_____ I accept the position.

_____ I decline the position.

Signature

Date

Please return this statement to:

(name)
(address)



U.S. Small Business Administration

Supervisory/Managerial Probation Report

Employee's name	Position title, series, grade	Organization
Type of position <input type="checkbox"/> Supervisory <input type="checkbox"/> Managerial <input type="checkbox"/> Combined	Evaluation period From: _____ To: _____	Type of evaluation <input type="checkbox"/> Interim <input type="checkbox"/> Final

Rating and Reviewing officials - The rating official is the person who assigns and reviews the probationer's work and is normally the probationer's immediate supervisor. The reviewing official is the person responsible for reviewing the probationer's performance under SOP 34 30, "Performance Management and Appraisal System" and is normally the immediate supervisor of the rating official.

When to complete Part 1 and/or Part 2 - A probationary employee may be required to serve either a supervisory, a managerial, or a combined supervisory and managerial probationary period. Rate an employee serving a supervisory probationary period on Part 1 only. Rate an employee serving a managerial probationary period on Part 2 only. Rate an employee serving a combined supervisory and managerial probationary period on both Part 1 and Part 2.

Where to send the completed report - The rating official must send the completed report to the servicing personnel office no later than 30 calendar days before the end of the employee's probationary period and give a copy to the probationer.

PART 1 SUPERVISORY PERFORMANCE

	Satisfactory	Unsatisfactory
PRODUCTIVITY <ul style="list-style-type: none"> • Quantity of work produced by the unit supervised • Quality of work produced by the unit supervised • Dependability 		
PERSONNEL MANAGEMENT SKILLS <ul style="list-style-type: none"> • Review and evaluation of subordinate employees' work performance • Utilization, training and development of subordinates • Makes constructive and positive efforts toward meeting equal employment opportunity objectives • Takes effective action regarding labor-management relations and personnel management programs 		
LEADERSHIP SKILLS <ul style="list-style-type: none"> • Problem solving • Makes sound judgments • Skill in motivating subordinates to accomplish performance goals • Initiative and resourcefulness 		

SBA Form 1229 (9-00) REF SOP 33 00 previous edition is obsolete

PLANNING AND ORGANIZATION SKILLS	Satisfactory	Unsatisfactory
---	--------------	----------------

<ul style="list-style-type: none"> • Planning, scheduling and coordinating work unit operations • Determining material, equipment and facilities needed • Integration of subordinates' work with other organizational units • Effective communication with subordinates and other work units 		
PART 2 MANAGERIAL PERFORMANCE		
ACCOMPLISHMENT OF PROGRAM OBJECTIVES <ul style="list-style-type: none"> • Effectively accomplishes objectives • Quantity of work produced or projects completed • Quality of work produced or projects completed • Dependability 		
PERSONNEL MANAGEMENT SKILLS <ul style="list-style-type: none"> • Provides effective and timely instruction, guidance and review to subordinates • Adheres to SBA and OPM personnel management regulations and policies • Makes constructive and positive efforts toward meeting equal employment opportunity objectives • Takes effective action regarding personnel management programs 		
LEADERSHIP SKILLS <ul style="list-style-type: none"> • Makes sound decisions and accepts responsibility • Analyzes complete problems/issues thoroughly and quickly • Understands, interprets and gains support for management goals and objectives • Effectively handles change, work pressure and difficult situations 		
PLANNING AND ORGANIZATION SKILLS <ul style="list-style-type: none"> • Devises economical and effective organizational or operational plans • Establishes realistic/sound program objectives and performance goals • Coordinates and integrates program work with other organizational units • Skill in oral and written communication 		
PART 3 CERTIFICATION		
(Check one)		
<input type="checkbox"/> The employee's performance warrants retention in this position.		
<input type="checkbox"/> The employee did not satisfactorily complete the probationary period and should be placed in a non-supervisory or non-managerial position.		
Rating official's signature	Date	Reviewing official's signature
		Date

SBA Form 1229 (9-00) REF SOP 33 00 previous edition is obsolete

Sample Notice of Separation from a Supervisory or Managerial Position

Dear (name):

On (date of assignment) you were appointed to the position of (title, series, grade), in (organization, city and state). The appointment was subject to the successful completion of a (length) probationary period as accepted by you on (date employee signed statement of understanding).

Your performance as a (supervisor, manager, or supervisor and manager) during your probationary period has not been satisfactory for the reasons explained below. Therefore, effective (date of separation from position) you will be relieved of your (supervisory, managerial, or supervisory and managerial) duties and placed in a position according to SBA's policies on probationary periods for supervisors and managers in SOP 33 00, "Employment," Chapter 12, Supervisory and Managerial Probationary Periods. I will notify you in writing of the details of your new assignment as soon as this information is available.

This action is being taken for the following reasons:

(Identify the performance factors which were rated unsatisfactory on the SBA Form 1229, the performance standards which measured the performance of those factors, and the reasons the employee's performance of those factors was considered to be unsatisfactory. This explanation should contain enough information for the employee to fully understand the reasons for the determination.)

Enclosed is a copy of SBA Form 1229, "Supervisory/Managerial Probation Report," supporting this action. The original SBA Form 1229 will be filed in your Official Personnel Folder.

This action will not, in and of itself, adversely affect your career opportunities within SBA or your opportunities to apply and be considered for future supervisory or managerial positions. However, you are encouraged to develop your skills in these areas in order to enhance the achievement of your career goals.

Sincerely,

(Name and title of rating official)

Enclosures

Preparing an SF 50 to Document the Detail of an SBA Employee to Another Federal Agency or International Organization

Complete the following items for the SF 50:

Blocks on SF 50	Description
1	Name
2	Social Security Number
3	Date of Birth
4	Effective Date
5-A	Nature of Action Code (see table below)
5-B	Nature of Action (see table below)
7-14	Information about employee's current position (use data from the employee's most recent SF 50)
15-22	Information about the position or duties the employee is detailed to
23, 24, 26-35, 37	Employee data
38 and 39	Duty station and duty station code of the SBA position

Nature of Action Code and Nature of Action

If the action is	Nature of Action Code is:	Nature of Action is:
Begin the detail	922	Detail NTE (date)
Extend the detail	923	Extension of detail NTE (date)
Terminate the detail before the latest NTE date	924	Termination of detail

NOTE: There is no authority code or authority required.

Remarks

Use remark code 499 with one of the following remarks, as appropriate:

“This is a reimbursable detail.” **OR** “This is a non-reimbursable detail.”

OF 69 (Rev. 2-89)
U.S. Office of Personnel Management
FPM Chapter 934

ASSIGNMENT AGREEMENT
Title IV of the Intergovernmental Personnel Act of 1970 (5 U.S.C. 3371 - 3376)

INSTRUCTIONS

This agreement constitutes the written record of the obligations and responsibilities of the parties to a temporary assignment arranged under the provisions of the Intergovernmental Personnel Act of 1970.

The term "State or local government," when appearing on this form, also refers to an institution of higher education, an Indian tribal government, and any other eligible organization.

Copies of the completed and signed agreement should be retained by each signatory.

Within 30 days of the effective date of the assignment, two copies of this form must be sent to:

U.S. Office of Personnel Management
Personnel Mobility Program
Staffing Operations Division/CEG
1900 E Street, NW
Washington, D.C. 20415

Procedural questions on completing the assignment agreement form or on other aspects relating to the mobility program should be addressed to either mobility program coordinators in each Federal agency or to the staff of the Personnel Mobility Programs in the U.S. Office of Personnel Management.

PART 1 - NATURE OF THE ASSIGNMENT AGREEMENT

1. Check Appropriate Box

New Agreement Modification Extension

PART 2 - INFORMATION ON PARTICIPATING EMPLOYEE

2. Name (Last, First, Middle)

3. Social Security Number

4. Home Address (Street, City, State, ZIP Code)

5. - A. Have you ever been on a mobility assignment?

YES NO

5. - B. If "YES", date of each assignment (Month and Year)
From To

PART 3 - PARTIES TO THE AGREEMENT

6. Federal Agency (List office, bureau or organizational unit which is party to the agreement)

7. State or Local Government (Identify the governmental agency)

8. Is assignment being made through a faculty fellows program?
If "YES", give name of the program.

YES NO

PART 4 - POSITION DATA

A - Position Currently Held

9. Employment Office Name and Address (Street, City, State and ZIP Code)

10. Employee's Position Title

11. Office Telephone Number
(Include the Area Code)

12. Immediate Supervisor (Name and Title)

B - Type of Current Appointment

13. Federal Employees (Check appropriate box.)

14. State and Local Employees

Career Competitive
 Other (Specify):

Grade Level

State or Local Annual Salary

Original Date Employed by the State or Local Government (Month, Day, Year)

C - Position To Which Assignment Will Be Made

15. Employment Office Name and Address (Street, City, State and ZIP Code)

16. Assignee's Position Title

17. Office Telephone Number
(Include the Area Code)

18. Immediate Supervisor (Name and Title)

Previous edition is usable

50 69 - 105

PART 5 - TYPE OF ASSIGNMENT			
19. Check Appropriate Boxes		20. Period of Assignment (Month, Day, Year)	
<input type="checkbox"/>	On detail from a Federal agency	From	To
<input type="checkbox"/>	On leave without pay from a Federal agency	<input type="checkbox"/>	Full Time
<input type="checkbox"/>	On detail to a Federal agency	<input type="checkbox"/>	Part Time
<input type="checkbox"/>	On appointment in a Federal agency	<input type="checkbox"/>	Intermittent

PART 6 - REASON FOR MOBILITY ASSIGNMENT

21. Indicate the reasons for this mobility assignment and discuss how the work will benefit the participating governments. In addition, indicate how the employee will be utilized at the completion of this assignment.

PART 7 - POSITION DESCRIPTION

22. List the major duties and responsibilities to be performed while on the mobility assignment.

PART 8 - EMPLOYEE BENEFITS	
23. Rate of Basic Pay During Assignment	24. Special Pay Conditions (Indicate any conditions that could increase the assigned employee's compensation during the assignment period)
25. Leave Provisions (Indicate the annual and sick leave benefits for which the assigned employee is eligible. Specify the procedures for reporting, requesting and recording such leave.)	

PART 9 - FISCAL OBLIGATIONS

Identify, where appropriate, the office to which invoices and time and attendance records should be sent.

- | | |
|---|---|
| <p>26. Federal Agency Obligations (If paying more than 50 percent of a Federal employee's salary beyond a 6-month period, specify rationale for cost-sharing decision.)</p> | <p>27. State or Local Government Agency Obligations</p> |
|---|---|

PART 10 - CONFLICTS OF INTEREST AND EMPLOYEE CONDUCT

28. Applicable Federal, State or local conflict-of-interest laws have been reviewed with the employee to assure that conflict-of-interest situations do not inadvertently arise during this assignment.
29. The employee has been notified of laws, rules and regulations, and policies on employee conduct which apply to him/her while on this assignment.

PART 11 - OPTIONS

30. Indicate coverage "N/A", if not applicable

- A. Federal Employees Group Life Insurance
 Covered N/A
- B. Federal Civil Service Retirement System or Federal Employees Retirement System
 Covered N/A
- C. Federal Employee Health Benefits
 Covered N/A

31. State or Local Agency Benefits (Indicate all State employee benefits that will be retained by the State or local agency employee being assigned to a Federal agency. Also include a statement certifying coverage in all State and local employee benefit programs that are elected by the Federal employee on leave without pay from the Federal agency to a State or local agency.)

32. Other Benefits (indicate any other employee benefits to be made part of this agreement)

PART 12 - TRAVEL AND TRANSPORTATION EXPENSES AND ALLOWANCES

33. Indicate: (1) Whether the Federal agency or State or local agency will pay travel and transportation expenses to, from, and during the assignment as specified in Chapter 334 of the Federal Personnel Manual, and (2) which travel and relocation expenses will be included.

PART 13 - APPLICABILITY OF RULES, REGULATIONS AND POLICIES

34. Check Appropriate Boxes

- | | |
|---|---|
| <input type="checkbox"/> A. The rules and policies governing the internal operation and management of the agency to which my assignment is made under this agreement will be observed by me. | <input type="checkbox"/> D. I have been informed of applicable provisions should my position with my permanent employer become subject to a reduction-in-force procedure. |
| <input type="checkbox"/> B. I have been informed that my assignment may be terminated at any time at the option of the Federal agency or the State or local government. | <input type="checkbox"/> E. I agree to serve in the Civil Service upon the completion of my assignment for a period equal to that of my assignment. Should I fail to serve the required time, I have been informed that I will be liable to the United States for all expenses (except salary) of my assignment. (For Federal employees only) |
| <input type="checkbox"/> C. I have been informed that any travel and transportation expenses covered from Federal agency appropriations may be recoverable as a debt due the United States, if I do not serve until the completion of my assignment (unless terminated earlier by either employer) or one year, whichever is shorter. | |

PART 14 - CERTIFICATION OF ASSIGNED EMPLOYEE

In signing this agreement, I certify that I understand the terms of this agreement and agree to the rules, regulations and policies as indicated in Part 13 above.

35. Location of Assignment (<i>Name of Organization</i>)	36. Date (<i>Month, Day, Year</i>)	
	From	To
37. Signature of Assigned Employee	38. Date of Signature (<i>Month, Day, Year</i>)	

PART 15 - CERTIFICATION OF APPROVING OFFICIALS

In signing this agreement, we certify that:

- the description of duties and responsibilities is current and fully and accurately describes those of the assigned employee;
- this assignment is being entered into to serve a sound, mutual public purpose and not solely for the employee's benefit;
- at the completion of the assignment, the participating employee will be returned to the position he or she occupied at the time this agreement was entered into or a position of like seniority, status and pay.

State or Local Government Agency	Federal Agency
39. Signature of Authorizing Officer	40. Signature of Authorizing Officer
41. Date of Signature (<i>Month, Day, Year</i>)	42. Date of Signature (<i>Month, Day, Year</i>)
43. Typed Name and Title	44. Typed Name and Title

PRIVACY ACT STATEMENT

Sections 3373 and 3374, Assignment of Employees To or From State or Local Governments, of Title 5, U.S. Code, authorizes collection of this information. The data will be used primarily to formally document and record your temporary assignment to or from a State or local government, institution of higher education, Indian tribal government, or other eligible organization. This information may also be used as the legal basis for personnel and financial transactions, to identify you when requesting information about you, e.g., from prior employers, educational institutions, or law enforcement

agencies, or by State, local, or Federal income taxing agencies.

Solicitation of your Social Security Number (SSN) is authorized by Executive Order 9397, which permitted use of the SSN as an identifier of individual records maintained by Federal agencies. Furnishing your SSN or any other data requested is voluntary. However, failure to provide any of the requested information may result in your being ineligible for participation in the Intergovernmental Assignment Program.



U.S. Small Business Administration

Supervisor's Assessment of Potential

Applicant's name	Vacancy announcement number
Target position title, series, grade	Vacancy announcement closing date

This employee applied for SBA's Upward Mobility Program. Based on the employee's performance under your supervision, please rate the employee on each knowledge, skill and ability (KSA) below. Please provide detailed comments with examples of the experience, education and/or training which best describes the employee's possession of (or capability to develop) the KSA. You must discuss this assessment with the employee and have him/her sign it.

Rating Guide

- | | |
|----------------------------|---|
| A - Superior | D - Demonstrates capability to develop this KSA |
| B - Fully satisfactory | E - No basis to evaluate |
| C - Less than satisfactory | |

KSA #1 _____

Rating _____

Comments:

KSA #2 _____

Rating _____

Comments:

SBA Form 1264 (9-00) REF SOP 33 00 previous edition is obsolete

KSA #3 _____ _____ Rating _____ Comments:	
KSA #4 _____ _____ Rating _____ Comments:	
KSA #5 _____ _____ Rating _____ Comments:	
Supervisor's name and title	Supervisor's phone number
Supervisor's signature	Date
Employee's signature	Date

SBA Form 1264 (9-00) REF SOP 33 00 previous edition is obsolete



U.S. Small Business Administration Upward Mobility Program Trainee Evaluation

Trainee's name	Supervisor's name and title
Type of evaluation <input type="checkbox"/> Interim <input type="checkbox"/> Final	Evaluation period From _____ To _____
Assignments and training completed during the evaluation period	
Trainee's evaluation of the training period	

SBA Form 1267 (9-00) REF SOP 33 00 previous edition is obsolete

Supervisor's evaluation of the trainee's progress during the training period	
Amendments to the IDP, other comments	
Trainee's signature	Date
Supervisor's signature	Date

SBA Form 1267 (9-00) REF SOP 33 00 previous edition is obsolete



U.S. Small Business Administration
District Director Candidate Mobility and Service Agreement

Candidate's name

ROTATION POLICY FOR DISTRICT DIRECTOR CANDIDATES

It is SBA's policy to give District Director Candidates rotational assignments in various SBA organizations in Headquarters and field offices. District Director Candidates must be mobile and willing to undertake rotational assignments during the training period. The Office of Human Resources and the Executive Resources Board will assure that family and personal needs are taken into consideration in determining rotational assignments.

MOBILITY REQUIREMENTS

- a. I agree to accept directed rotational assignments during the District Director Candidate Development Program as part of my training. After graduation from the DDCCDP, if I am offered an assignment to a district director or deputy district director position, or a loan servicing center director position at the GS-15 level, I agree to accept the assignment under the conditions described in this agreement.
- b. After assignment to a district director position, I agree to accept directed reassignments to other district director positions within SBA.

SERVICE REQUIREMENTS

- a. I agree that when I complete this program, I will serve in the Small Business Administration for a period equal to at least three times the length of the training period.
- b. If I voluntarily leave Federal service, transfer to another Federal agency or fail to accept directed reassignments as provided in this agreement before completing the period of service agreed to, I agree to reimburse the Small Business Administration for all tuition and related fees, travel and other expenses (excluding salary and benefits) related to my DDCCDP training. The Assistant Administrator for Human Resources may waive all or part of the reimbursement for good cause upon my written request.
- c. I understand that this agreement does not in any way commit the Federal Government to continue my employment.
- d. I understand that any money which I may owe the SBA as a result of violating this agreement may be withheld from any money owed to me by the Federal Government, or may be recovered by other methods approved by law.

Candidate's signature

Date

File completed agreement in the employee's Official Personnel Folder and send a copy to the DDCCDP Coordinator in the Office of Human Resources.

SBA Form 2047 (4-98) REF SOP 33 00

District Director Candidate Individual Development Plan

Candidate's name: _____

Development Objective	Development Activities	Dates Scheduled	Cost Estimates	Date Completed	Remarks
Objectives:	Activities: Expected Result:				

Effective Date: September 6, 2000

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Requesting RIF Approvals

1. Before RIF notices may be issued, the responsible manager must obtain written clearance from:
 - a. The Associate Administrator for Disaster Assistance for Office of Disaster Assistance employees;
 - b. The Deputy Inspector General for Office of Inspector General employees; or
 - c. The Assistant Administrator for Human Resources (HR) for all other employees.

Send copies of all approved RIF plans to HR's Director, Guidance, Innovation and Review Division before implementation.

2. Management requests must include:
 - a. The action to be taken and the cause of the action (see Chapter 17, question 3);
 - b. The text that will be used in the notice to explain to the employees the reasons this action is being taken;
 - c. Organizational and geographic description of the competitive area (see Appendix 56);
 - d. Brief description of alternative action already taken (see Chapter 17, question 4) to minimize the impact of this action;
 - e. A certification that every employee in the competitive area has a current performance rating of record as required by SOP 34 30, "Performance Management and Appraisal System," or a list of every employee in the competitive area who does not. Such a list must include the name of each employee's rating official and reviewing official and the reasons why the employee's performance rating of record isn't current;
 - f. Total positions to be abolished;
 - g. Estimated number of employees to be separated and/or downgraded;
 - h. Number and projected issuance date of any general notices and specific RIF notices;
 - i. Projected effective date;
 - j. Whether or not this action involves a bargaining unit and if it does, what preliminary discussions, if any, have taken place with the union; and
 - k. Details of any unusual circumstances involved.

SBA Competitive Areas

SBA's competitive areas are:

- a. Office Inspector General employees in each local commuting area*;
- b. Disaster Assistance Area Office employees in each local commuting area*;
- c. The Master Agreement includes special conditions for Branch Offices and Posts of Duty represented by AFGE.
- d. All other SBA employees in their local commuting area*.

*Local commuting area is defined in 5 CFR 351.203 as “the geographic area that usually constitutes one area for employment purposes” and “includes any population center (or two or more neighboring ones) and the surrounding localities in which people live and can reasonably be expected to travel back and forth daily to their usual place of employment.” For example, the Washington, DC District Office and the Headquarters office are clearly in the same commuting area. In another example, the Baltimore District Office and the Washington, DC District Office are not in the same local commuting area since an employee whose duty station is in Washington, DC might live in Woodbridge, VA and commute approximately 22 miles to Washington, DC on a daily basis but a daily commute of approximately 67 miles from Woodbridge, VA to Baltimore would not be reasonable.

Competitive Level Descriptions

1. COMPETITIVE LEVELS

Competitive levels are defined in 5 CFR 351.403 and Chapter 17, question 7. The Agency's automated retention register sorts positions into competitive levels by service (competitive or excepted), appointment authority within the excepted service, work schedule (full-time, part-time, intermittent, on-call), grade, series, pay schedule, supervisory code and trainee status (in a formally designated trainee or developmental program).

Servicing personnel offices may use the competitive level code field to make further distinctions based on differences in the duties and qualification requirements of the otherwise similar positions (e.g., bilingual requirement). In most cases, such distinction will not be necessary and the competitive level code field should be left blank.

2. DOCUMENTATION

Each personnel officer must document in writing the establishment of competitive level codes by pay schedule, series, grade, service (competitive or excepted), work schedule, supervisory code, title, and other specifications for:

- a. Positions which are in the same service or have the same appointment authority within the excepted service, work schedule, grade, series, pay schedule, and supervisory code of established competitive level, where the duties and/or qualification requirements place them in different competitive levels;
- b. Classifications based on impact of the incumbent; and
- c. Positions in a formally designated trainee or developmental program.

Proper documentation of competitive level codes assures proper competitive level determination.

PERSONNEL OFFICE IDENTIFIER

--	--	--	--

You may either leave this item blank, or specify a Personnel Office Identifier (POI) to select records serviced by an individual personnel office. This option should only be used to verify records, and not to produce competitive level registers for use in an actual RIF since it could produce a partial competitive area.

	POI		POI		POI		POI
HROD	1826	IG	1826	DAO 1	4353	DAO 3	4355
HROD-Denver	1027	DA	4360	DAO 2	4354	DAO 4	4356

STANDARD METROPOLITAN STATISTICAL AREA:

--	--	--	--

You may leave this item blank, or describe the geographical area using a SMSA code, such as 8840 for Washington, D.C.

DUTY STATION:

FROM:

TO:

You may either leave this item blank, or describe the geographical area using one to five geographic location codes. As with the organizational structure, an individual duty station code or a range of codes may be specified.

COMPETITIVE LEVEL:

--

Enter a "D" to describe competitive level(s) using occupational series and grade either individually or as range. A maximum of ten entries is allowed. For each series entry, there must be a grade entry. NOTE: NFC has these on different screens.

SERIES FROM:

TO:

GRADE FROM:

TO:

Release Statement for Outplacement Assistance

To assist you in finding other employment, the Small Business Administration may identify potential employers to whom we may send information on your qualifications. You may provide your qualifications information in the form of an up-to-date résumé, curriculum vitae, “Optional Application for Federal Employment” (OF 612), or “Application for Federal Employment” (SF 171). The information you provide may be disclosed to public and private employers, Federal, State and local employment agencies, outplacement agencies, and public and community service agencies. Before we may send your application to potential employers, you must sign this release and send it along with your application to your servicing personnel office.

I authorize the Small Business Administration to disclose information regarding my employment qualifications to public and private sector employers, Federal, State and local employment agencies, outplacement agencies, and public and community service agencies. I understand that this authorization is voluntary. I understand that I may rescind this authorization in the future by notifying my SBA servicing personnel office in writing.

Signature

Date

Typed/printed name

SBA organization, duty city and state

Work phone

Home street address

Home phone

City, state, zip code

SBA Form 2166 (6-00)

Orientation and Counseling Session Coverage

The lists below outline the minimum coverage for each session.

Outplacement Assistance

Employee Assistance Program

Eligibility for outplacement assistance

How to request career counseling services (skills assessment, résumé preparation, job search assistance, interviewing techniques), including reasonable accommodation to use these services

Use of SBA office space, equipment and supplies for job search

Use of administrative leave for job search

Information on other Federal, state and local assistance available to support career transition for employees with disabilities

Severance pay eligibility and computation

Unemployment compensation eligibility and application information

Lump sum annual leave payment

Recredit of unused sick leave upon reemployment

Eligibility for Federal Employees Health Benefits after separation

Eligibility for Federal Employees Group Life Insurance after separation

Disposition of retirement contributions and Thrift Savings Plan money after separation

Reemployment priority list eligibility and application information

Finding other SBA and Federal employment

Information on finding other Federal employment (e.g., resume books, internet sites for Federal job listings, SBA's Intranet job listings)

Special Selection Priority under SBA's Career Transition Assistance Plan

Eligibility

How to apply

SBA's definition of well-qualified

Notification of application results

Grievance rights

Special Selection Priority under the Interagency Career Transition Assistance Plan

Eligibility
How to apply
Definition of well-qualified
Notification of application results
Grievance rights

Retirement Counseling

Eligibility under CSRS and FERS
Credit for unused sick leave under CSRS
Annuity computation
How to apply for retirement
Survivor annuity
Lump sum annual leave payment
Thrift Savings Plan
Eligibility for Federal Employees Health Benefits after separation
Eligibility for Federal Employees Group Life Insurance after separation
Eligibility for Social Security benefits

Counseling for employees who accept reassignment

Payment of relocation expenses
Modification of qualification requirements
Retraining if not fully qualified for new position (individual development plans)
Pay changes based on geographic change (locality pay, cost of living allowances, special salary rates)
Employee Assistance Program



U.S. Small Business Administration Student Volunteer Service Agreement

Student's name	
Social Security number	Date of birth
SBA organization and location where student will work	Dates of service: From: _____ To: _____
The student will perform the following duties:	
<p>Conditions of Service</p> <p>a. The student will:</p> <ul style="list-style-type: none"> (1) Work without pay or any other form of compensation (including cash awards); (2) Not be considered to be a Federal employee for any purpose other than: <ul style="list-style-type: none"> (a) The Federal Tort Claims Act [Title 28, U.S. Code 2671 through 2680]; or (b) The Federal Employees Compensation Act [Title 5 U.S. Code, Chapter 81] relative to compensation for injuries sustained during the performance of work assignments. (3) Be enrolled at least half-time, as defined by the school; and (4) Remain in good academic standing, as defined by the school. <p>b. This agreement may be terminated at any time due to: resignation; unsatisfactory work or academic performance; or the inability of the SBA, for administrative reasons, to retain the student.</p>	
Student's signature	Date
SBA supervisor's signature	Date
Name, title and phone number of SBA supervisor	
School representative's signature	Date
Name, title and phone number of school representative	
SBA authorizing official's signature	Date
Name and title of SBA authorizing official	

SBA Form 2049 (4-98) REF SOP 33 00



U.S. Small Business Administration

Volunteer Service Agreement

Volunteer's name	
Social Security number	Date of birth
SBA organization and location where volunteer will work	Dates of service: From: _____ To: _____
The volunteer will perform the following duties:	
<p>Conditions of Service</p> <p>a. The volunteer will:</p> <ul style="list-style-type: none"> (1) Work without pay or any other form of compensation (including cash awards); (2) Not be considered to be a Federal employee for any purpose other than: <ul style="list-style-type: none"> (a) The Federal Tort Claims Act [Title 28, U.S. Code 2671 through 2680]; (b) The Federal Employees Compensation Act [Title 5 U.S. Code, Chapter 81] relative to compensation for injuries sustained during the performance of work assignments. <p>b. This agreement may be terminated by either party at any time for any reason.</p>	
SBA authorizing official's signature	Date
Volunteer's signature	Date

SBA Form 2050 (4-98) REF SOP 33 00



U.S. Small Business Administration

Gratuitous Service Agreement

Volunteer's name	
Social Security number	Date of birth
SBA organization and location where volunteer will work	Dates of service: From: _____ To: _____
The volunteer will perform the following duties: 	
<p>Conditions of Service</p> <p>a. The volunteer will:</p> <ul style="list-style-type: none"> (1) Work without pay or any other form of compensation (including cash awards); (2) Not be considered to be a Federal employee for any purpose other than the Federal Tort Claims Act [Title 28, U.S. Code 2671 through 2680]. <p>b. This agreement may be terminated by either party at any time for any reason.</p>	
SBA authorizing official's signature	Date
Volunteer's signature	Date

SBA Form 2054 (4-98) REF SOP 33 00

U.S. Office of Personnel Management

APPLICANT RACE AND NATIONAL ORIGIN QUESTIONNAIRE

- For use when applying to agencies based on scholastic achievement
- Please complete items 1 through 7

Form Approved:
O.M.B. No. 3206-0095

- | | | |
|--|----------------------------------|---------------------------------|
| 1 Name (Last, First, Middle Initial) | 2 Date (Month, Day, Year) | 3 Social Security Number |
| 4 Title of Position to Which Applying | 5 Grade of Position | 6 Location of Position |

IMPORTANT INFORMATION

The United States District Court for the District of Columbia, in a Decree approved in a lawsuit entitled Luevano v. Newman, Civil Action No. 79-0271, has ordered that Federal Government agencies provide data on the race and national origin of applicants for certain Federal occupations. The position for which you are applying is one of those occupations.

Your Social Security Number (SSN) is requested under the authority of Executive Order 9397 (November 22, 1943) for the orderly administration of personnel records. Submission of your SSN is voluntary and failure to furnish your SSN on this form will have no effect on your application.

You are requested to complete this form. The data you supply will be used for statistical analysis pursuant to the requirements of the lawsuit. Submission of this information is voluntary. Your failure to do so will have no effect on the processing of your application for Federal employment.

Public burden reporting for this collection of information is estimated to take approximately 8 minutes per response, including time for reviewing instructions, searching existing data sources, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to Reports and Forms Management Officer, U.S. Office of Personnel Management, 1900 E Street, N.W., Room 6410, Washington, D.C. 20415; and to the Office of Management and Budget, Paperwork Reduction Project (3206-0095), Washington, D.C. 20503.

This form is authorized for use by the Office of Personnel Management ONLY for the purposes of complying with the requirements of the Luevano v. Newman Decree.

7 RACE AND/OR NATIONAL ORIGIN

The categories below provide descriptions of race and national origins. Read the Definition of Category descriptions and then check the box next to the category with which you identify yourself. If you are of mixed race and/or national origin, then select the category with which you most closely identify yourself. NOTE: Please mark only ONE box!

Name of Category	Definition of Category
A. American Indian or Alaskan Native	A person having origins in any of the original peoples of North America, and who maintains cultural identification through community recognition or tribal affiliation.
B. Asian or Pacific Islander	A person having origins in any of the original peoples of the Far East, Southeast Asia, the India subcontinent, or the Pacific Islands. For example, this area includes China, India, Japan, Korea, the Philippine Islands, and Samoa.
C. Black, not of Hispanic Origin	A person having origins in any of the black racial groups of Africa. This does not include persons of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish cultures or origins.
D. Hispanic	A person of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish cultures or origins. This does not include persons of Portuguese culture or origin.
E. White, not of Hispanic Origin	A person having origins in any of the original peoples of Europe, North America, or the Middle East. This does not include persons of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish cultures or origins.
F. Other	A person not included in another category.

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Series	OPM Zone (see reverse)	Category	Comments
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OPM Form 1386B (1-90)

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OPM GEOGRAPHIC ZONES

- INSTRUCTIONS:**
1. Find the zone from the list below which covers the location of the job for which the applicant is applying.
 2. Enter the number of the zone on the front of the form under OPM Zone.

1 ATLANTA
Alabama
Florida
Georgia
Mississippi
North Carolina
South Carolina
Tennessee
Virginia

2 CHICAGO
Illinois
Indiana
Iowa
Kansas
Kentucky
Michigan
Minnesota
Missouri
Nebraska
North Dakota
Ohio
South Dakota
West Virginia
Wisconsin

3 DALLAS
Arizona
Arkansas
Colorado
Louisiana
Montana
New Mexico
Oklahoma
Texas
Utah
Wyoming

4 PHILADELPHIA
Connecticut
Delaware
Maine
Maryland
Massachusetts
New Hampshire
New Jersey
New York
Pennsylvania
Rhode Island
Vermont

5 SAN FRANCISCO
California
Idaho
Nevada
Oregon
Washington

6 ALASKA
State of Alaska

7 CARIBBEAN
Puerto Rico and
the Virgin Islands

8 HAWAII
State of Hawaii
and Pacific
overseas area

9 WASHINGTON, DC: Washington, DC Metropolitan Area (Charles, Montgomery, and Prince George's Counties in Maryland; Arlington, Fairfax, Prince William, King George, Stafford and Loudoun Counties and Falls Church, Alexandria, and Fairfax cities in Virginia) and Atlantic overseas area (African, European, Middle Eastern, Central and South American countries).



United States
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Outstanding Scholar Provision Reporting Form for the Luevano Decree

Page of

1. Occupation Series Grade Title			2. Reporting Period From To	
3. Title of Department, Independent Establishment, or Government Corporation			4. Address of Submitting Office	
5. Name of Submitting Office				
6. Missing Data	7. Name of Agency Contact and Telephone Numbers			

NUMBER OF QUALIFIED* APPLICANTS BY ZONE

DESIGNATION CATEGORY	GEOGRAPHIC ZONES**									NATIONWIDE
	1. Atlanta	2. Chicago	3. Dallas	4. Philadelphia	5. San Francisco	6. Alaska	7. Caribbean	8. Hawaii	9. Washington, DC	
A. American Indian or Alaskan Native										
B. Asian or Pacific Islander										
C. Black, not of Hispanic Origin										
D. Hispanic										
E. White, not of Hispanic Origin										
F. Other qualified applicants										
F. Zone Totals										

* Only those applicants who meet the appropriate qualification requirements for the position.

** Zone definitions are on the reverse side of OPM Form 1386B Applicant Race and National Origin Questionnaire.

Luevano Consent Decree Data Instructions

Statistical Report of Race and National Origin Data on Applicants for Outstanding Scholar Appointments

Take the information from each form OPM 1386B, “Applicant Race and National Origin Questionnaire,” that Outstanding Scholar applicants provided and consolidate it onto form OPM 1592, “Outstanding Scholar Provision Reporting Form for the Luevano Decree.”

Count only those applicants who applied directly to SBA for covered positions (listed in Appendix 11), who qualified (met the qualification standard and the Outstanding Scholar provision) and who applied for actual vacancies.

Prepare an OPM Form 1592 for each series and grade. Enter counts of qualified applicants for each race and national origin category broken down by geographic zones. The geographic zone is determined from item 6, Location of Position, on the OPM 1386B. A list showing the coverage of each geographic zone is provided on the back of the questionnaire. Only use data from OPM Form 1386B. If a qualified applicant did not complete or did not submit the form, count the applicant under Missing Data (block 6 of OPM Form 1592). The missing data must also be reported in Designation Category F, Other Qualified Applicants, under the appropriate geographic zone.

Do not combine applicants for different grade levels on the same form. However, an applicant may need to be counted more than once if he/she applied and was qualified for more than one series or grade, or applied for positions in more than one geographic zone.

To help you in reporting your data for this report and the Narrative Report on Special Employment Programs Covered by the Luevano Consent Decree, use the National Finance Center FOCUS report named “LUEVANO.” This report identifies employees hired under the Outstanding Scholar and the Bilingual/Bicultural provisions of the Luevano decree, and the Student Career Experience program. It lists the following information by Personnel Office Identifier (POI): series, grade, position title, effective date, nature of action. When submitting this FOCUS report, you’ll need to enter the “from” and “to” dates in “YYYYMMDD” format.

Narrative Report on Special Employment Programs Covered by the Luevano Consent Decree

Report on efforts to use the following special programs when hiring for the occupations listed in Appendix 11:

- Outstanding Scholar provision
- Bilingual/Bicultural provision
- Student Career Experience Program (formerly known as the Cooperative Education Program)
- College Work-Study Program (also known as the Federal Work-Study Program)

The name, sex and race of each College Work-Study Program participant and the date each began participation

Include specific information about the publicity of your office's use of these programs and about any special recruiting efforts (e.g., targeted recruitment, on-campus visits, etc.). Include dates, names and titles of SBA representatives involved, names of colleges and other organizations where recruitment was conducted, and the results of the efforts (e.g., hired two Hispanic females for Loan Specialist positions, GS-12).

FEORP and DVAAP Report Data

Federal Equal Employment Opportunity Recruitment Program Data

Please describe any special activities related to recruitment of women and minorities (e.g., job fairs, targeted recruitment or advertising, use of special hiring authorities to hire women and minorities, etc.).

Include specific details, such as the job titles, series, grade levels, and organization for which recruitment was conducted, the names of the organization where recruitment was conducted, names of publications where advertisements were placed, names and titles of SBA representatives involved in job fairs and other recruitment efforts, results of recruitment efforts (e.g., race and sex of persons hired, number of persons hired). Don't include recruitment and placement of individuals into volunteer and other non-paid positions (e.g., student volunteers service, individuals paid by other organizations).

Disabled Veterans Affirmative Action Program Data

Describe any activities related to recruitment of disabled veterans (e.g., job fairs, targeted recruitment or advertising, use of special hiring authorities to hire disabled veterans, etc.). Include specific details, such as the names of the organization where recruitment was conducted, names and titles of SBA representatives involved, results of recruitment efforts (e.g., hired two 30 percent or more disabled veterans for Loan Specialist positions, GS-12).

Also include the following information on each employee who participated in the Upward Mobility Program: (1) name; (2) Social Security number; (3) sex; (4) race (from the National Finance Center System); and (5) veteran preference.

FEORP and DVAAP Plan Input

Federal Equal Employment Opportunity Recruitment Plan

1. State the number of positions expected to be filled in the upcoming fiscal year, and the job titles, series and grade levels of these positions.
2. Identify the positions in item 1 which are suitable for recruitment from outside the Federal Government and specifically describe the special efforts which will be made to recruit women and minorities for these positions.
3. Describe the specific, special efforts planned to recruit for the positions identified in item 1 in communities, educational institutions and other likely sources of qualified minorities and women.
4. Identify the positions in item 1 which are likely to be filled from within the SBA and/or Federal Government and specifically describe the special efforts which will be made to recruit women and minorities for these positions.
5. Assess the internal availability of individuals from underrepresented groups for higher level jobs by identifying job-related knowledge, skills and abilities which may be obtained at lower levels in the same or similar occupational series or through other experience.
6. Describe the methods which will be used to locate and develop minorities and women for each category of underrepresentation. Describe how such methods differ from and expand upon last fiscal year's recruitment activities.
7. Describe the efforts which will be made to identify positions which can be redesigned to improve employment and advancement opportunities for minorities and women, including positions requiring bilingual or bicultural capabilities or not requiring English fluency.
8. List your priorities for special recruitment efforts in the upcoming fiscal year in your area of responsibility based on:
 - a. The positions expected to be filled in the upcoming fiscal year where underrepresentation exists;
 - b. The hiring authorities which may be used to fill such jobs; and
 - c. The possible impact of these efforts on underrepresentation.

9. Identify the training and job development which will be used to provide the knowledge, skills and abilities to qualify more minority and female employees for job series and grade levels in which they are underrepresented.
10. Describe any impediments to recruiting qualified minorities and women.

Disabled Veterans Affirmative Action Program Plan

1. Describe the recruiting methods which will be used to seek out disabled veteran applicants, including special steps to be taken to recruit veterans who are 30 percent or more disabled.
2. Describe how internal advancement opportunities for disabled veterans will be provided or improved.