

Operating Procedure: Recruitment

Primary Contact: *Servicing Human Resources Specialist, Office of the Chief Human Capital Officer, Human Resources Operations and Policy*

1. Purpose and Scope

1.1. Purpose

The Purpose of this document is to 1) provide instructions on identifying agency and office recruitment needs, and 2) define roles and responsibilities for those personnel involved in the process.

1.2. Scope

This document applies to the following:

- Entry-level hires
- Nuclear Safety Professional Development Program (NSPDP)
- Student Programs (temporary and co-op)
- Graduate Fellowship Program (GFP)
- Office-specific staffing plan vacancies

2. Roles and Responsibilities

OCHCO is responsible for:

- Working with the office to develop a hiring strategy to forecast the number and types of hires for the office, given the full-time equivalent (FTE) ceiling, salaries and benefits (S&B) goals, and projected attrition.
- Reviewing and approving office-specific recruitment plans.
- On-going discussions with office to review staffing plan and assess hiring needs.
- Maintaining office staffing plans.
- Discussing hiring options and recruitment sources with hiring manager.
- Assisting hiring manager in identifying appropriate hiring incentives.

Program offices are responsible for:

- Identifying, in draft form, office-specific recruitment needs through on-going engagement with servicing Human Resources (HR) Specialist
- On-going discussions with their servicing HR Specialist to address planned and unforeseen staffing needs.
- Coordinating with HR Specialist to identify target timelines for all elements of the hiring process.

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3. Staffing Call

Once a year, in the August/September timeframe, upon receipt of the FTE approved number for the following fiscal year from the Office of the Chief Financial Officer (OCFO), OCHCO will issue a staffing plan call for program offices to identify: the number of new hires including NSPDP, potential unexpected vacancies, administrative assistants vacancies, and positions that could be eliminated or restructured to a lower grade as opportunities arise through retirements, resignations, reassignments and other departures.

OCHCO will work with program offices to review their staffing plans, position descriptions, and assist with position management. In addition, OCHCO will help to identify appropriate recruitment methods and venues.

4. Outreach and Recruitment Activities

For information regarding outreach and recruitment events and schedule, recruiter responsibilities and logistical information, please refer to <http://www.internal.nrc.gov/HR/recruitment.html/Outreach> and Recruitment Schedule standard operating procedure.

5. Graduate Fellowship Program

The Nuclear Regulatory Commission (NRC) Graduate Fellowship Program (GFP) develops staff for engineering, science, and other identified disciplines critical to the agency's mission. Vacant positions will be reviewed to see if the GFP program is a viable recruitment tool and will be discussed with each hiring manager individually. For more information on GFP, please visit: [http://papaya.nrc.gov/HRTD/employeeDevelopment/devprogs2.cfm?prog_id=6&page_id=2&sub_title=Graduate%20Fellowship%20Program%20\(GFP\)](http://papaya.nrc.gov/HRTD/employeeDevelopment/devprogs2.cfm?prog_id=6&page_id=2&sub_title=Graduate%20Fellowship%20Program%20(GFP)).

6. Hiring Process

Program offices will work with their Human Resources (HR) Specialist to identify and prioritize the vacancies on the staffing plan submitted to OCHCO. Prioritization will allow the HR Specialist to begin working with the hiring managers to initiate the recruitment process.

Initiation of Recruit Actions:

- HR Specialist will add approved vacancies into WTTS.
- Program office will meet with the HR Specialist who will provide a report of staffing plan vacancies for review.
- Program offices will use the staffing plan vacancies report to prioritize and develop an office recruitment plan.
- Program office will initial the report as approval for the HR Specialist to initiate the recruitment process to fill a vacancy.
- HR Specialist will engage the supervisor to discuss best options for filling a vacancy.

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- HR Specialist will prepare the recruitment package, including position description, draft announcement, crediting plan etc.
- Upon approval from the supervisor, the HR Specialist will forward the SF-52 to the requester for electronic signature in the Federal Personnel/Payroll System (FPPS) which will then feed back to WTTS.
- Upon receipt, the requesting office will sign the electronic 52.
- Upon receipt back of the electronic signature, the HR Specialist will post the vacancy or Solicitation of Interest.

Applicant Review:

- Once a vacancy closes, the HR Specialist will review applications for basic eligibility and minimum qualifications and send the hiring manager an email notifying them of the number of qualified applicants.
- Hiring manager will provide the name of a selecting official or rating panel to review the applications as needed.
- HR Specialist will send the rating official/panel a link and password to view through Enterprise Solutions, the NRC's job website, to the applications of minimally qualified applicants.
- After rating official/panel review, HR Specialist will issue a certificate via Enterprise Solutions for the candidates deemed to be "best qualified" and send the link and password with access to their applications and a hard copy of the certificate to the hiring manager.

Interview process for vacancies:

Offices will be expected to coordinate phone and in-person interviews as well as any travel authorization and vouchers.

Interview Process for NSPDP:

Entry level vacancies, including the NSPDP, are posted on USAJOBS during early September and remain posted through mid-November. Once the vacancy closes, electronic certificates of eligible candidates are prepared and submitted to selecting officials. Selecting officials with entry level or NSPDP positions review electronic certificates, identify candidates to interview, and schedule interviews as appropriate. If the agency has hiring goals for entry level and/or NSPDP that exceeded 50 open positions for that fiscal year, OCHCO will consider scheduling an invitational, in which OCHCO would select top students to attend a one-day interview event and invite offices to participate.

Interview Process for Student Programs:

A student internship vacancy is posted on USAJOBS during early September and remains posted through mid-November. Once the vacancy closes, electronic certificates of eligible

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candidates are prepared and submitted to selecting officials. Selecting officials with student internship opportunities review the electronic certificates, identify candidates to interview, and schedule phone interviews. All summer hire interviews are telephonic unless the candidate is local.

Selection:

Once a selection has been made, the hiring manager will send the HR Specialist the following:

- Signed certificate.
- References (if applicable).
- Form 236.
- Form 306 – to be filled out when an applicant is interviewed.

HR Specialists will consult with the hiring official regarding appropriate hiring incentives and procedures for requesting approval of incentives, if needed.

After the HR Specialist has reviewed the documentation and determined it is complete, the HR Specialist will call the candidate to make the offer. Subsequently, the HR Specialist will issue a written offer letter.

Offices may call the candidate after OCHCO has made the verbal offer.

Once the candidate accepts the offer, the HR Specialist will notify the other candidates of nonselection, collaborate with Personnel Security to begin security clearance process if needed, and set entrance on duty date.

U.S. NUCLEAR REGULATORY COMMISSION

DIRECTIVE TRANSMITTAL

TN: DT-95-19

To: NRC Management Directives Custodians

Subject: Transmittal of Management Directive 10.1, "Appointments, General Employment Issues, Details, and Position Changes"

Purpose: Directive and Handbook 10.1 are being revised in their entirety to reflect regulatory changes and clarification of practices relating to temporary and term employment and details.

Office of Origin: Office of Human Resources

Contact: Pamela Gallagher, 415-7858

Date Approved: October 12, 1994 (Revised: October 10, 1995)

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Part: 1 Employment and Staffing

Directive: 10.1 Appointments, General Employment Issues, Details, and Position Changes

Availability: Rules and Directives Branch
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OFFICE OF ADMINISTRATION

**Appointments, General
Employment Issues,
Details, and Position
Changes**

**Directive
10.1**

Volume 10, Part 1 - Employment and Staffing
Appointments, General Employment Issues, Details, and
Position Changes
Directive 10.1

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U. S. Nuclear Regulatory Commission

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Part: 1 Employment and Staffing

OP

Appointments, General Employment Issues, Details, and Position Changes Directive 10.1

Policy

(10.1-01)

It is the policy of the U.S. Nuclear Regulatory Commission to appoint and assign employees who are well qualified to carry out the mission of the agency efficiently and effectively without regard to political affiliation, race, color, religion, national origin, sex, marital status, age, or handicapping condition; without favoritism based on personal relationship or patronage; and with proper regard for their privacy and constitutional rights.

Objectives

(10.1-02)

- To effect appointments in a fair and equitable manner following basic general employment guidelines in use within the Federal sector. (021)
- To meet organizational mission needs and efficiently utilize the skills, knowledges, and abilities of NRC employees through application of details and position changes. (022)
- To ensure agencywide uniformity in the application of appointment and employment practices and in the use of details and position changes. (023)

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Objectives

(10.1-02) (continued)

- To maintain a drug-free Federal workplace. (024)

Organizational Responsibilities and
Delegations of Authority

(10.1-03)

Chairman

(031)

- Initiates the appointment, subject to the approval of the Commission, of the members of the Atomic Safety and Licensing Board Panel. (a)
- Serves as the appointing authority for executives reporting to the Chairman, and for the Director and the Senior Executive Service (SES) staff of the Office of Public Affairs, and for the Director of the Office of Congressional Affairs. (b)
- Delegates to the Executive Director for Operations the function of appointing all employees under the Commission and covered by this directive (other than those whose appointment is specifically provided for by the Chairman or by the Commission). (c)
- Appoints the personnel employed in his or her immediate office. (d)

The Commission

(032)

- Serves as the appointing authority for the Directors of the Offices of the General Counsel, International Programs, State

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**Organizational Responsibilities and
Delegations of Authority**

(10.1-03) (continued)

The Commission

(032) (continued)

Programs, Secretary of the Commission, Commission Appellate Adjudication, and the Chief Administrative Judge, Atomic Safety and Licensing Board Panel, as well as the Executive Director for Operations and the Directors of the Office of Nuclear Regulatory Research, Nuclear Reactor Regulation, and Nuclear Material Safety and Safeguards. (a)

- Delegates to the respective heads of Commission-level offices the function of appointing the staff to those offices (other than the Offices of Public Affairs and of Congressional Affairs). (b)
- Delegates to the appropriate chairperson the function of appointing the staff of the Atomic Safety and Licensing Board Panel and the Advisory Committee on Reactor Safeguards. (c)
- Approves interim access authorizations and employment clearances as necessary. (d)
- Each Commissioner appoints the personnel employed in his or her immediate office. (e)

Director, Office of the Inspector General (OIG)

(033)

- Grants exceptions to personnel practices and procedures for employees in OIG as specified in Handbook 10.1. (a)
- Signs agreements for reimbursable details affecting OIG employees. (b)

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Organizational Responsibilities and
Delegations of Authority

(10.1-03) (continued)

Executive Director for Operations (EDO)

(034)

- Under authority delegated by the Chairman, appoints without any further action by the Commission all employees under the Commission and covered by this directive other than those whose appointment is specifically provided for by the Chairman or the Commission. (a)
- As appropriate, delegates to office directors and regional administrators authority to make selection for appointments and positions of general employment. (b)
- Designates positions (other than those filled by readers, interpreters, and personal assistants to employees with disabilities) to be filled by NRC limited (excepted) appointments in accordance with the criteria set forth in Handbook 10.1. (c)
- Grants exceptions or deviations from the administrative or procedural requirements of this directive when such requirements are not based on law or Executive order. (d)

Director, Office of Personnel (OP)

(035)

- Grants exceptions to personnel practices and procedures as specified in Handbook 10.1. (a)
- Prescribes the standards, requirements, and guidance for the appointment of individuals for employment in the NRC and for effecting details and position changes. (b)

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**Organizational Responsibilities and
Delegations of Authority**

(10.1-03) (continued)

Director, Office of Personnel (OP)

(035) (continued)

- Provides staff assistance to Commissioners, office directors, and regional administrators in carrying out their appointment and general employment responsibilities, including the detail of employees and the changing of positions of employees. (c)
- Provides final interpretations or decisions regarding the intent and applicability of this directive. (d)
- Ensures that operating practices and procedures meet the intent of the interchange agreement with the Office of Personnel Management, as described in Exhibit 1 of Handbook 10.1. (e)
- Delegates to regional administrators personnel authorities, as appropriate, through a signed delegation agreement. (f)
- Serves as Appointing Officer to ensure that all personnel actions conform to merit principles, are consistent with sound management practices, and are in accord with legal and regulatory requirements and applicable instructions. (g)
- Makes appropriate reports concerning the employment of retired members of the uniformed services. (h)
- Signs agreements concerning the detail of employees, with the exception of OIG employees, between the NRC to another Federal agency or a State agency. (i)

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Organizational Responsibilities and
Delegations of Authority

(10.1-03) (continued)

Director, Office of Personnel (OP)

(035) (continued)

- Reviews and signs, or delegates authority to review and sign, "Notification of Personnel Action" (Standard Form 50). (j)

Director, Office of Administration (ADM)

(036)

- Determines the initial and continuing eligibility of NRC applicants, employees, and student volunteers for employment, clearance, and access authorization required for NRC employment. (a)
- Determines whether any security objection exists to the employment of NRC applicants before the completion of the preappointment investigation and grant of access authorization. (b)
- Requests approval of the Commission to grant interim access authorization and employment clearance to designated individuals who require access to restricted data before completion of the required investigation, based on Subsection 145b of the Atomic Energy Act of 1954, as amended. (c)

Deputy Chief Financial Officer and
Controller (DCFO/C)

(037)

- Furnishes required information concerning the employment of retired members of the uniformed services to the finance center of the appropriate uniformed service. (a)

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**Organizational Responsibilities and
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(10.1-03) (continued)

**Deputy Chief Financial Officer and
Controller (DCFO/C)**

(037) (continued)

- As delegated to the Director, Division of Budget and Analysis (OC/DBA), approves agreements in advance under which there is a detail of employees from the NRC to an outside agency, regardless of whether the NRC is to be reimbursed in accordance with Section (035)(f)) of Management Directive (MD) 4.2, "Administrative Control of Funds." (b)

**Office Directors and
Regional Administrators**

(038)

As provided for in any applicable delegation agreements and in Handbook 10.1, carry out their personnel management responsibilities regarding the appointment; general employment, details, and position changes of employees in their offices.

Applicability

(10.1-04)

All NRC employees shall follow the policy and guidance of this directive and handbook except—

- Members of the Senior Executive Service (see MD 10.135, "Senior Executive Service (SES) Employment and Staffing Programs") (a)
- Experts, consultants, and members of advisory committees (b)

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Handbook

(10.1-05)

Handbook 10.1 provides the operational practices and procedures applicable to appointments, general employment, details, and position changes affecting NRC employees with exceptions as noted above.

References

(10.1-06)

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

Code of Federal Regulations—

5 CFR 352, Subpart C, "Detail and Transfer of Federal Employees to International Organizations."

5 CFR 353, "Reemployment of Military and Civilian Retirees to Meet Exceptional Employment Needs."

5 CFR 553, "Restoration to Duty from Military Service of Compensable Injury."

10 CFR 10, "Criteria and Procedures for Determining Eligibility for Access to Restricted Data or National Security Information or an Employment Clearance."

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

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

Intergovernmental Personnel Act of 1970, as amended (5 U.S.C. 3371-3376).

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References

(10.1-06) (continued)

NUREG/BR-0086, "The Individual Development Plan (IDP) Process," latest revision.

--- 0136, "NRC Drug Testing Program," Rev. 2, December 1990.

NRC Management Directive 4.2, "Administrative Control of Funds."

--- 7.6, "Public and Confidential Financial Disclosure Reports."

--- 10.13, "Special Employment Programs."

--- 10.15, "Merit Staffing Program."

--- 10.41, "Pay Administration."

--- 10.67, "Non-SES Performance Appraisal System."

--- 10.99, "Discipline, Adverse Actions, and Separations."

--- 12.3, "NRC Personnel Security Program."

--- 14.2, "Relocation Allowances."

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

United States Code, Title 5 "Government Organization and Employees."

5 U.S.C. 3343, "Details; to International Organizations."

5 U.S.C. 7532, "Suspension and Removal."

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**Part I
General Information**

Purpose of This Handbook (A)

This handbook contains the program requirements and practices relating to appointments and general employment requirements for positions within the Nuclear Regulatory Commission and to the staffing of agency positions (excluding those in the Senior Executive Service [SES], experts and consultants, and members of advisory committees) involving details and position changes. (1)

Appointments, general employment requirements, and staffing practices for SES positions are described in Management Directive (MD) 10.135, "Senior Executive Service (SES) Employment and Staffing Programs." (2)

Practices applicable to experts and consultants are described in MD 10.6, "Use of Consultants and Experts," whereas practices applicable to members of advisory committees are described in MD 10.12, "Member Appointments for Advisory Committees." (3)

Merit staffing procedures for agency positions, excluding those of the SES, are described in MD 10.15, "Merit Staffing Program." (4)

Additional practices and procedures applicable to the staffing of positions for the Senior Level System and Administrative Judges may be found in MD 10.145, "Senior Level System," and MD 10.153, "Administrative Judges—Compensation and Staffing." (5)

Collective Bargaining Agreement (B)

When provisions of the collective bargaining agreement with the employees' exclusive representative are in conflict with the

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Collective Bargaining Agreement (B) (continued)

provisions of this handbook with regard to bargaining unit employees and bargaining unit positions, the provisions of the agreement will govern.

Office of Personnel Management (OPM) (C)

The NRC's independent merit system has been recognized by OPM, as evidenced by its continued interchange agreement with OPM (formerly the Civil Service System; see Exhibit 1 of this handbook).

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**Part II
Appointments**

NRC Authority for Appointments (A)

Positions in the NRC, excluding those in the Senior Executive Service (SES), are filled under the authority of Section 161d of the Atomic Energy Act of 1954, as amended, and the Energy Reorganization Act of 1974. By action of the NRC, the NRC excepted itself on January 20, 1975, under that authority from the regulations and procedures of the competitive civil service. While NRC personnel practices and procedures generally are consistent with those of the competitive service, NRC appointments carry the term "excepted" to indicate exception from the competitive civil service. However, all NRC appointments except Presidential appointments and SES appointments are subject to the veterans' preference requirements. (1)

An appointment is the action of effecting the employment of a person as an employee of the NRC. (2)

Types of Appointments (B)

Appointments in the NRC fall into two major categories: (1)

- Appointments of a permanent nature (a)
- Appointments of a temporary or time-limited nature, such as temporary, term, or "serves at the pleasure of" types of appointments (b)

The specific type of appointment and the title for the "nature of action" will be determined by the personnel representative on the basis of management needs and the parameters of the position being filled. (2)

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Types of Appointments (B) (continued)

The personnel representative will advise the appropriate supervisor or manager of any special employment conditions, renewal options, return rights, or other factors that are applicable to the specific type of appointing authority used. (3)

Appointments to "Obligated"
Positions (C)

Positions vacated by employees having permanent type appointments who are called to military service or who are transferred with reemployment rights to a national defense agency may be filled only on a temporary or an indefinite basis. Appointees to these positions must be informed that they are in Tenure Group II for reduction-in-force purposes and that they will be reassigned or otherwise removed from those positions when the former occupants return to the positions.

Effecting Appointments (D)

Offers of Appointment (1)

Offers of appointment may only be made by authorized Office of Personnel (OP) or regional personnel representatives.

Reference Inquiries (2)

A tentative offer of appointment to an outside candidate will usually be made by the personnel representative after a number of reference inquiries have been completed, depending on the circumstances. (a)

Reference inquiries may be made through personal or telephone interviews, or by written inquiries. All written responses to inquiries will become part of the official merit selection record. In the case

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Effecting Appointments (D) (continued)

Reference Inquiries (2) (continued)

of personal and telephone inquiries, answers should be recorded specifically as they are given by the interviewee for placement in the official file. All reference checks must be conducted in accordance with Exhibits 14, 15, and 16, as appropriate, of Management Directive (MD) 12.3, "NRC Personnel Security Program." (b)

Medical Fitness (3)

Before making an appointment or effecting a transfer from another Government agency, the appointing officer (the Director, OP, or his or her designee or a regional personnel officer [RPO], as appropriate) must determine the appointee's medical fitness for the position. This determination will be made on the basis of an assessment of the duties of the position and a review of pertinent pre-employment documents on file and drug-testing analysis, when required. (a)

The determination of medical fitness must be made before the appointee begins any travel necessary to report for duty. (b)

Selective Service Registration Status (4)

The procedures described in Part III of this handbook must be followed.

Tentative Offer Contingencies (5)

The personnel representative must explain to the candidate in the tentative written offer the specific pre-employment contingencies that must be met, such as requirements for a trial period and requirements involving conflicts of interest, financial disclosure,

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Effecting Appointments (D) (continued)

Tentative Offer Contingencies (5) (continued)

drug testing, and eligibility for employment clearance and access authorization.

Final Offer (6)

When the conditions set forth under the certification by the appointing authority are met, the OP representative or the RPO notifies the candidate that conditions have been met, and the approximate entrance-on-duty date is set.

Certification by the Appointing Authority (7)

The Director, OP, or his or her designee, or the RPO, as appropriate, will certify by signing the Standard Form (SF) 50, "Notification of Personnel Action," at the time of appointment that to the best of his or her knowledge, the various laws, regulations, standards, policies, procedures, and requirements concerning the selection have been adhered to.

Oath of Office and Appointment Affidavit (8)

The appointment affidavit is usually executed on the day of entrance on duty except that under special circumstances it may be executed before or after the employee is placed on the rolls. (a)

The oath of office must be administered and the affidavits must be signed before any salary is paid. (b)

Agreement Covering Discoveries, Inventions, and Improvements (9)

Each new appointee, except clerical and manual labor personnel who will have no access to technical data, will be required to

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Effecting Appointments (D) (continued)

**Agreement Covering Discoveries, Inventions, and
Improvements (9) (continued)**

complete an NRC Form 203, "Agreement Covering Discoveries, Inventions, and Improvements," as part of the employment process. (a)

If a new appointee has an existing agreement with another party relating to inventions, discoveries, or improvements, he or she is required to obtain execution of the Consent and Waiver portion of the NRC Form 203 from the other party. (b)

Any request for an exception or modification of this requirement will be forwarded to the Office of the General Counsel (OGC) for a decision. Completed NRC Form 203s will be forwarded to OGC. (c)

Restrictions Against Owning Certain Security Interests (10)

Agency regulations provide that certain employees of the NRC and their spouses or minor children shall not own any stock, bonds, or other security interests issued by any company included on a list that is published by the Commission. (a)

The designation of agency employees covered by the security ownership restriction is governed by MD 7.6, "Public and Confidential Financial Disclosure Reports." (b)

Formalization of Appointment (11)

All of the actions concerned with appointment to a position in the NRC are formalized with the issuance of the SF 50 by the personnel representative. The SF 50 is the evidence of the legal basis for payment of an employee and for determining the rights

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Effecting Appointments (D) (continued)

Formalization of Appointment (11) (continued)

and privileges to which an employee is entitled under law and regulation.

Official Personnel File (OPF) (12)

An OPF will be established for each employee. The records and reports of personnel actions effected during the employee's service and the necessary documents and papers relating to these actions will be filed in the OPF in accordance with applicable Office of Personnel Management (OPM) regulations. (a)

Information from the OPF will only be disclosed in accordance with the provisions of the Privacy Act and the Freedom of Information Act. (b)

Reporting the Employment of Retired Members of the Uniformed Services (13)

The Director, OP (or his or her designated representative or the RPO, as appropriate), will report to the finance center of the appropriate uniformed service each accession to a civilian position of a retired member of the uniformed services (Regular or Reserve, and regardless of the basis for the retirement) and each personnel action that moves an employee from a position for which exception is authorized to a position for which exception is not authorized, or vice versa, in accordance with OPM regulatory instructions. An accession means any addition to the agency's rolls, regardless of the type of personnel action. (a)

The Office of the Controller will furnish information in the form requested by the finance centers concerning NRC salary payments to retired persons. (b)

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**Part III
General Employment Issues**

Nondiscrimination (A)

All employees and applicants for employment with the NRC shall receive fair and equitable treatment in all aspects of personnel management without regard to race, color, religion, sex, handicapping condition, age, marital status, political affiliation, or national origin, and with proper regard for their privacy and constitutional rights. (1)

Vacant positions in the NRC may be filled by noncompetitive appointment and internal placement described in this handbook or by competitive appointment and internal placement described in Management Directive (MD) 10.15, "Merit Staffing Program." Each position will be filled on the basis of merit, fitness, and qualifications without discrimination because of reasons other than merit and without favoritism because of personal relationship or patronage. This requirement must not be interpreted in such a way, that it restricts the right of the selecting official to fill a vacancy by utilizing, when appropriate, one of the authorized exceptions to competitive procedures as described in MD 10.15. (2)

Citizenship (B)

Positions in the NRC will usually be filled with citizens of the United States, unless the Director, Office of Personnel (OP), determines that a noncitizen's potential contribution to the nuclear regulatory program will materially benefit the program by contributing unique or unusual skills or talent not possessed to any comparable degree by an available U.S. citizen. Such individual(s) must be found eligible for NRC employment clearance and access authorization to be employed by NRC.

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Veterans' Preference (C)

Except for the Senior Executive Service (SES) and Presidential appointments, positions in the NRC are filled in accordance with veterans' preference requirements.

Nepotism (D)

A relative is an individual who is related to the NRC official as one of the following: father, mother, son, daughter, brother, sister, uncle, aunt, first cousin, nephew, niece, husband, wife, father-in-law, mother-in-law, son-in-law, daughter-in-law, brother-in-law, sister-in-law, stepfather, stepmother, stepson, stepdaughter, stepbrother, stepsister, half brother, or half sister.

A public official is an 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, in connection with employment in the NRC. The employment of relatives is subject to the restrictions described below. (1)

- A public official in the NRC may not appoint, employ, promote, advance, or advocate for appointment, employment, promotion, or advancement in the NRC any individual who is a relative of the public official. An individual may not be appointed, employed, promoted, or advanced in or to a position in the NRC if such action has been advocated by a public official who is serving in or exercising jurisdiction or control over the NRC and who is a relative of the individual. (a)
- An individual appointed, employed, promoted, or advanced in violation of this part is not entitled to pay. Money may not be paid from the Treasury as pay to an individual so appointed, employed, promoted, or advanced. (b)

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Nepotism (D) (continued)

- This requirement must not be construed in such a way as to prohibit the appointment of a preference-eligible individual in any case in which the passing over of the individual certified to a selecting official in accordance with merit staffing procedures would result in the selection for appointment of an individual who is not preference eligible. (c)
- When necessary to meet urgent needs resulting from an emergency posing an immediate threat to life or property, relatives of NRC public officials may be appointed to meet those needs under temporary appointments not to exceed (NTE) 1 month. These appointments may be extended NTE a second month if the emergency still exists. (d)
- No employee shall be retained in a position under the administrative direction or supervision of any relative, and no person shall be selected for or retained in a position in which he or she will exercise administrative direction or supervision over a relative. (e)
- No relative of any employee in OP may be appointed to a position in any program for which OP staff members possess authority to make final selections, including positions as summer aids, student employees, summer clerical employees, and central support secretaries. (f)

Additional guidance regarding nepotism, when applicable, is described in the management directive for the specific program. For example, special guidance on nepotism applicable to mentally retarded or severely disabled students is described in MD 10.13, "Special Employment Programs." (2)

Before appointing any relative of any NRC employee to a position in the NRC, the personnel representative must notify the Director, OP. (3)

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Conduct and Suitability (E)

If the conduct of an applicant for employment with the NRC may reasonably be expected to interfere with or prevent effective performance, either in the position applied for or by the NRC in the accomplishment of its mission, the applicant may be barred from employment with NRC. These reasons include—

- Delinquency or misconduct in prior employment (1)
- Criminal, dishonest, infamous, or notoriously disgraceful conduct (2)
- Intentional false statements or deception or fraud in connection with an application (3)
- Habitual use of intoxicating beverages to excess without adequate evidence of rehabilitation (4)
- Abuse of narcotics, drugs, or other controlled substances without adequate evidence of rehabilitation (5)
- Any statutory disqualification (6)
- Ineligibility under the provisions of 10 CFR 10 or 5 U.S.C. 7532 for NRC employment clearance and access authorization (7)

Annuitants (F)

An annuitant under the Civil Service Retirement System (CSRS) or the Federal Employees' Retirement System (FERS) cannot be barred from employment in any position for which qualified solely because of retired status. (1)

The NRC observes the conditions of employment applicable to annuitants described in appropriate regulatory instructions of the Office of Personnel Management (OPM). (2)

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Selective Service Registration (G)

A male who was born after December 31, 1959, who was or is required to register under Section 3 of the Military Selective Service Act, and who is not so registered or knowingly and willfully did not so register before the requirement terminated or became inapplicable to him, is not eligible for employment with the NRC.

Employment Eligibility Verification (H)

The NRC is required to verify employment eligibility of individuals on the "Employment Eligibility Verification" form approved by the Attorney General (Form I-9 see Exhibit 2). (1)

Any individual hired after November 6, 1986, must complete a Form I-9. For purposes of completion, the term "hired" applies to those employed, recruited, or referred for a fee. (2)

**Conditions of Employment for
Retired Members of the
Uniformed Services (I)**

Retired members of the uniformed services may be employed in NRC positions, in accordance with merit principles and practices, under the conditions specified by OPM in appropriate regulatory instructions. (1)

Conditions and requirements applicable to a request to waive limitations on dual compensation for retired members of the uniformed services are described in 5 CFR 553. (2)

Retired members of the Armed Forces who are preference eligible are granted any earned veterans' preference in appointment actions. (3)

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Conditions of Employment for
Retired Members of the
Uniformed Services (I) (continued)

Retired members of the Armed Forces are granted earned preference in reduction-in-force actions in accordance with reduction-in-force regulatory instructions of OPM. (4)

Time in military service can count for purposes of setting the rate of annual leave accrual and for purposes of retirement. (5)

Pay From More Than One
Civilian Position (J)

An individual may not receive pay from more than one civilian position for more than a total of 40 hours of work in any 1 week. No restriction exists on the number of appointments the individual may hold simultaneously, only on the number of hours for which he or she may be paid.

Employment on a Part-Time or
Intermittent Basis (K)

As required, employment may be on a part-time basis or on an intermittent basis, regardless of the type of appointment given. (1)

Employment guidelines for NRC's Part-Time Career Employment Program are described in MD 10.13, "Special Employment Programs." This program is applicable to individuals holding permanent type appointments only. (2)

Part-time employees work on a prearranged regular schedule of less than 40 hours per week. These employees are subject to the same conditions and entitled to the same benefits as a full-time employee on the same type of appointment, except that leave is

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**Employment on a Part-Time or
Intermittent Basis (K) (continued)**

earned on a prorated basis and, in most cases, NRC's contribution to any Federal Employee Health Benefits plan is also prorated. (3)

Intermittent employees perform work on an irregular, occasional, or intermittent basis in which the hours or days of work are not based on a prearranged schedule. The employee is paid only for the time he or she is actually employed. These individuals are subject to the same conditions as full-time employees on the same type of appointment. They are also entitled to the same benefits as full-time employees on the same type of appointment, except as indicated: (4)

- They are not covered by retirement system benefits (FERS or CSRS). (a)
- They are not eligible for health or group life insurance benefits. (b)
- They do not earn annual or sick leave. (c)

An employee who is changed without a break in service to an intermittent work schedule from another type of work schedule continues to receive the benefits held while on the other type of work schedule, except that he or she does not earn annual or sick leave. (5)

Temporary Employment (L)

Temporary employment is used— (1)

- To fill a short-term position not expected to last longer than 1 year (a)

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Temporary Employment (L) (continued)

- To meet an employment need that is scheduled to be terminated within the time parameters of term employment as described below for such reasons as abolishment, reorganization, contracting out of the function, funding reductions, or completion of a specific project or peak workload (b)
- To fill positions on a temporary basis when the positions are expected to be needed for placement of permanent employees who would otherwise be displaced from other parts of the organization (c)

Temporary employment is for a specified period of time not to exceed 1 year. The appointment may be extended up to a maximum of an additional year (24 months of total service). (2)

Employment in successor positions (positions that replace and absorb the position to which the individual was originally assigned) are considered extensions of the original appointment as are employment in positions involving the same basic duties and in the same major office or region and same commuting area as the original appointment. (3)

Positions that have been previously filled by a temporary appointment for an aggregate of 2 years or 24 months within the preceding 3 years cannot be filled again by a temporary appointment. (4)

The NRC may make an overseas limited appointment for 1 year or less to meet administrative needs for temporary employment. Such appointment may be extended for up to a maximum of an additional year. (5)

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Temporary Employment (L) (continued)

Temporary employees generally are not eligible to receive benefits such as participation in the retirement, health benefits, or life insurance programs unless their appointment exceeds 1 year. (6)

Term Employment (M)

Term employment is used— (1)

- To carry out special project work (a)
- To staff new or existing programs of limited duration (b)
- To fill positions in activities undergoing contracting out or in the process of being closed (c)
- To adjust for the uncertainty of future funding (d)
- To replace permanent employees who have been temporarily assigned to another position, are on extended leave, or who have entered military service (e)

Term and temporary employment may cover the same situations. The only difference is the service limit. (2)

Term employment involves work designated to last for a specified period of time exceeding 1 year and lasting not more than 4 years on a calendar basis. (3)

Term employees may work on a full-time, part-time, or intermittent basis. (4)

Term employees are eligible for a variety of benefits including within-grade increases and participation in the retirement, health benefits, and life insurance programs. (5)

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Term Employment (M) (continued)

Term employment within the NRC also includes "professional term employment" positions that are especially designed for professional personnel working in project-type assignments. (6)

Restoration to Duty From Military
Service or Compensable Injury (N)

The NRC will follow the restoration requirements described in 5 CFR 553.

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**Part IV
Details and Rotational Assignments**

Details in General (A)

Details are used to meet the temporary needs of an organization when necessary services cannot be obtained by other more desirable or practicable means. (1)

All details must be made without discrimination because of reasons other than merit. (2)

Agreements under which there is a detail of employees are subject to the administrative control of funds procedures set forth in Parts VI and VIII of the Handbook to Management Directive (MD) 4.2, "Administrative Control of Funds." The Office of the Controller (OC) must approve the following details in advance: (3)

- Details to another Government entity regardless of whether NRC is to be reimbursed (Director, Division of Budget and Analysis [OC/DBA]) (a)
- Nonreimbursable details from another Government entity to the NRC (Director, OC/DBA) (b)
- Details to another NRC organization with a different fund source (Deputy Chief Financial Officer and Controller) (c)

Details involve the temporary assignment of an employee, with no official change in position classification or grade, to a different position for a specified period, with the employee returning to his or her regular duties at the end of a detail. Technically, a position is not filled by a detail because the employee continues to be the incumbent of the position from which he or she is detailed. (4)

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Details in General (A) (continued)

An employee who continues to carry out the duties of the position to which he or she is assigned and who also performs some of the duties of another position for a **limited** time is generally not considered to be on detail. (5)

For qualifications purposes, the experience of employees on detail is credited as an extension of the work the employee was performing immediately before the detail, or on its own merit, whichever is more beneficial to the employee. (6)

Service while on detail is generally credited for time-in-grade purposes at the grade of the position the employee officially holds. (7)

Interagency Details and Details From
or To State, Local, and Indian Tribal
Governments, Institutions of Higher
Education, and Other Eligible
Organizations (B)

Interagency Details and Details From or To a State Agency (1)

An interagency detail is an authorized temporary assignment of an employee from one Federal agency to another that does not change the employee's official position assignment or basic pay status. (a)

A detail from or to a State agency is an authorized temporary assignment of an employee that does not change the employee's official position assignment or basic pay status. (b)

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**Interagency Details and Details From
or To State, Local, and Indian Tribal
Governments, Institutions of Higher
Education, and Other Eligible
Organizations (B) (continued)**

Use of Interagency Details (2)

The services of an employee of another Federal agency or a State, local, or other eligible agency may be secured for the performance of duties in NRC on a reimbursable or nonreimbursable basis for pay purposes, or for travel and per diem, or both. However, nonreimbursable details to other Federal agencies are generally not acceptable. (a)

An NRC employee may be detailed to another Federal agency or a State, local, or other qualified agency on a reimbursable or nonreimbursable basis if the employee's services can be spared without serious impairment of NRC operations and the loan will be in the national interest. (b)

Details of NRC employees to either a member or a committee of Congress will be on a reimbursable basis. The Director, Office of Personnel (OP), for NRC employees or the Inspector General, OIG, for OIG employees, will be advised immediately when these details are proposed. Section 303d of the Atomic Energy Act of 1954, as amended, provides requirements on details to congressional committees. (c)

Generally, all interagency details to other Federal agencies must be reimbursable except when the detail either— (d)

- Involves a matter related to the lending agency's appropriation and will aid the agency in accomplishing the purpose for which appropriations are provided (i)

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**Interagency Details and Details From
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Organizations (B) (continued)**

Use of Interagency Details (2) (continued)

- Will have a negligible impact on the lending agency's appropriation. All details based on negligible impact are subject to the time limits described for details within the NRC (ii)

The above information is not applicable to details under the Intergovernmental Personnel Act. (e)

Reimbursable Details (3)

Reimbursable details are limited to a 1-year period, subject to extension. The salary of an employee who is detailed on a reimbursable basis from one Federal agency to another or from one State, local, or other qualified agency to another is paid from the appropriation of the agency in which the employee is regularly employed. That agency is then reimbursed for the employee's salary based on a written agreement between the two agencies that is made in advance of the detail. This agreement, signed by the responsible administrative officials of both agencies (the Director, OP, for the NRC employees or the Inspector General, OIG, for OIG employees), must be cited on billing documentation issued to the reimbursing agency.

Nonreimbursable Details (4)

Nonreimbursable details also require a written agreement between the agencies concerned. The lending agency will not be

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Organizations (B) (continued)**

Nonreimbursable Details (4) (continued)

reimbursed for the employee's salary during the period of the detail. Nonreimbursable details must meet one of the two exception categories noted in Section (B)(2)(c) of this part. (a)

In addition, time and attendance reports must be submitted regularly to the agency from which the employee is detailed. (b)

Travel Expenses (5)

The expenses of any official travel performed in connection with the work of the agency to which an employee is detailed will usually be paid by the gaining agency. If the work is a joint effort, however, the lending agency may agree to pay all or part of the travel expenses.

Documentation (6)

A copy of the detail agreement is given to the employee concerned and one copy is placed in the employee's Official Personnel File (OPF) as a permanent document. Copies are also furnished to the finance and security offices of both the gaining and lending agencies.

**Agreement Covering Discoveries, Inventions, and
Improvements (7)**

Civilian or military personnel assigned to, or on detail to, the NRC from other agencies are required to complete NRC Form 203. (a)

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**Interagency Details and Details From
or To State, Local, and Indian Tribal
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**Agreement Covering Discoveries, Inventions, and
Improvements (7) (continued)**

If the detailee has an existing agreement with another party relating to inventions, discoveries, or improvements, he or she is required to obtain execution of the Consent and Waiver portion of the NRC Form 203 from the other party. (b)

Any request for an exception or modification of this requirement will be forwarded to the Office of the General Counsel (OGC) for a decision. The completed NRC Form 203 will be forwarded to OGC. (c)

Security (8)

The Office of Administration should be consulted before the beginning of an interagency detail to NRC for a determination regarding access authorization requirements.

Intergovernmental Personnel Act (9)

Guidance on temporary assignments under the provisions of the Intergovernmental Personnel Act of 1970 may be found in 5 CFR 334, and in the instructions specified on Office of Personnel Management Form OF 69, "Assignment Agreement" (Exhibit 3).

Details to International Organizations (10)

Assignments to international organizations are discussed in 5 U.S.C. 3343 and 5 CFR 352, Subpart C. Additional information

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**Interagency Details and Details From
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Education, and Other Eligible
Organizations (B) (continued)**

Details to International Organizations (10) (continued)

on assignments to international organizations can be obtained from the Office of Personnel (OP).

Details Within the NRC (C)

Details may be appropriate under circumstances such as meeting temporary workload needs, pending official assignment, pending description and evaluation of a new position, pending the return of an absent employee, and for training purposes, particularly when the training is part of established promotional or developmental programs. (1)

Since the use of details may conflict with the principles of sound management and of job evaluation, details will be made only when absolutely necessary, and for as short a period as possible. Extensions beyond a total 1-year period require the approval of the Director, OP, for NRC employees or the Inspector General, OIG, for OIG employees. (2)

Details of 90 days or more to higher graded positions or positions with higher promotion potential than the position held by the detailee must be handled through the use of merit selection procedures. This category includes details a Senior Level System position. Generally, an employee assigned to perform the full range of duties of a higher graded position for a period that is expected to exceed 90 days should be given a temporary promotion using competitive procedures. However, if the detail

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Details Within the NRC (C) (continued)

does not require the employee to perform the full range of the higher graded duties but only a portion of them, a detail is appropriate. (3)

Details of non-SES employees to SES positions should be kept to a minimum. These details should not be used as a trial period for consideration of an employee for an SES appointment or as a means of providing specific employees with the opportunity for acquiring the necessary qualifications for entry into the SES, unless the detail is part of the NRC SES Candidate Development Program requirements. Only NRC employees with "permanent" type appointments can be detailed to SES career reserved positions. (4)

Competitive procedures must be used when detailing a non-SES employee to an SES position for more than 240 days unless the employee is eligible for a noncompetitive career SES appointment. (5)

The Office of Personnel Management (OPM) must approve a detail of more than 240 days if the detail is of a non-SES employee to an SES position that supervises other SES positions. (6)

Details to unclassified duties generally should be limited to 120 days. Extensions beyond 120 days require the approval of the Director, OP, for NRC employees or the Inspector General, OIG, for OIG employees. (7)

Details to lower graded positions should be avoided when possible and should be kept to the minimum amount of time. (8)

Employees may be detailed without regard to qualification requirements and time-in-grade restrictions. (9)

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Details Within the NRC (C) (continued)

Performance plans (elements and standards) are required for individuals detailed for 120 days or more. (10)

Generally, a detail is initially made for 120 days or less and, when required, is extended in increments of up to 120 days up to the 1-year period. (11)

All details longer than 30 days shall be documented by issuing a Standard Form (SF) 50. The office to which the employee is being detailed (the gaining office) shall prepare an SF 52, "Request for Personnel Action," and shall route it through the office from which the employee is being detailed (the losing office) for concurrence, to the appropriate OP representative or regional personnel officer (RPO). This documentation must be made as soon as it is known that the detail will exceed 30 days. A short description of the duties to which the employee is detailed must be appended to the SF 52 to ensure proper evaluation of the employee's total experience. (12)

To terminate the detail at its conclusion, the office to which the employee has been detailed shall prepare an SF 52 and route it as previously indicated. This task must be accomplished whether or not the detail actually ends on the scheduled not-to-exceed date. (13)

Rotational Assignments (D)

General Information (1)

Rotational assignments are generally short-term lateral assignments of employees to other functions and components within the agency for the purpose of broadening staff capabilities. The purpose of rotational assignments is to develop greater overall capability and versatility within the staff to better accomplish the mission of the agency. These assignments are

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Rotational Assignments (D) (continued)

General Information (1) (continued)

designed to develop employee skills, foster a greater understanding of NRC programs, develop greater cohesion and cooperation among the staff, and provide employees with broader experiences and new challenges. (a)

Although rotational assignments directly benefit participating employees, it should be emphasized that the operating needs of NRC and its organizational components are of paramount concern when effecting rotational assignments. For this reason, final approval of a rotational assignment requires the concurrence of appropriate managers in the office to which the employee is permanently assigned. Although rotational assignments are not an employee entitlement, managers and supervisors should fully utilize the rotational assignment process to develop staff knowledge, skills, and abilities. (b)

All NRC offices and regions can participate in the rotational process. All NRC employees can participate in rotational assignments, except for employees serving under temporary appointments. Employees already participating in a developmental program that includes rotational assignments (e.g., the Women's Executive Leadership Program, the Executive Potential Program for Mid-Level Employees, and the Intern Program) will not be considered for additional rotational assignments. (c)

An employee may be rotated to a vacant position or to an unclassified set of duties. No vacancy announcement or vacant position is required for a rotational assignment to be developed. The normal duration of a rotational assignment is 3 to 6 months. (d)

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Rotational Assignments (D) (continued)

Participating in the Rotational Process (2)

Consideration for a rotational assignment can develop in several ways: (a)

- Employees may indicate their interest by contacting their regional personnel office or OP service center representative and providing a completed "Rotational Assignment Application" (NRC Form 711, Exhibit 4). Employees should discuss their interest in rotational assignments with their supervisors and, as appropriate, include such interests in their Individual Development Plans (see NUREG/BR-0086 latest revision). (i)
- With the current supervisor's approval, an employee also may identify and discuss a potential rotational assignment directly with a management official of another organization. (ii)
- Supervisors may identify employees believed to be well suited for rotational assignments to or from their organizations. (iii)

Appropriate supervisory approval is needed for consideration for all rotational assignments. (b)

Identifying Rotational Assignments (3)

Supervisors or managers having rotational opportunities may submit a "Rotational Assignment Opportunity Notice" (NRC Form 725, Exhibit 5) to the appropriate OP service center or regional personnel office representatives. The notice should describe the assignment, the qualifications desired, the length of rotation, and so forth. (a)

The Chief of Employment and Staffing, OP, along with OP service center and regional personnel office representatives, will compare rotational opportunities with employees' rotational assignment

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Rotational Assignments (D) (continued)

Identifying Rotational Assignments (3) (continued)

applications. The applications that potentially match rotational opportunities will be forwarded to the office(s) or region(s) in which the opportunities are available. Offices and regions will follow up with supervisors and employees, as appropriate. An agreement between the losing and gaining organizations must be reached before the employee is notified that a rotational assignment will be effected. (b)

At their discretion, supervisors may interview employees interested in rotational assignment when ready to fill the rotational opportunity. Telephone interviews are acceptable. There is no requirement for any or all interested employees to be interviewed. (c)

The Chief of Employment and Staffing, OP, will routinely provide copies of rotational assignment applications to offices and regions for their consideration in developing rotational opportunities. (d)

Implementing Rotational Assignments (4)

Usually, the office to which the employee is permanently assigned is responsible for the resource costs (e.g., FTE) associated with a rotational assignment. However, travel and other resource costs may be negotiated between the losing and gaining organizations. (a)

Agency performance appraisal regulations and bargaining agreement provisions apply to rotational assignments. Employees on rotational assignments for more than 120 days should be provided performance elements and standards and be given a summary rating by the rotational assignment supervisor. This rating should be considered by the supervisor of record in the annual performance appraisal. Employees on rotational

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Rotational Assignments (D) (continued)

Implementing Rotational Assignments (4) (continued)

assignments for more than 8 months during the rating period should be given their annual performance appraisals and ratings of record by the rotational assignment supervisor. (b)

Agency travel and per diem regulations apply to employees participating in rotational assignments away from their regular duty station. (c)

Employees who have any questions or want further information concerning rotational assignments should contact their OP service center or regional personnel office representatives. (d)

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Part V
Position Changes

Promotions (A)

General (1)

A promotion is the official change of a continuously employed NRC employee from one grade level to a higher grade level in the same pay system, or to a position with a higher representative rate under a different pay system. (a)

Employees under either "permanent" or "temporary" types of appointments may be changed to higher grade positions if the candidate for promotion meets the requirements outlined below. In addition, promotion of employees with "permanent" types of appointments are made in accordance with the NRC Merit Selection System as described in Management Directive (MD) 10.15. (b)

Rate of Promotion for Permanent Promotions (2)

For provisions governing bargaining unit positions and employees, the collective bargaining agreement with the employees' exclusive representative should be consulted. (a)

As a general rule, an employee is expected to serve in his or her current position long enough to demonstrate ability, competence, and fitness for promotion. However, the number of advancements an employee may receive and the number of grades he or she may be advanced are not limited so long as one of the following terms is met at the time of each advancement. (b)

- Advancement to Positions at the GG-6 Level or Above (i)

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Promotions (A) (continued)

Rate of Promotion for Permanent Promotions (2) (continued)

- Candidates for advancement to a position at GG-6 through GG-11 that is in a line of work properly classified at one-grade intervals must have completed at least 52 weeks of service in positions no more than one grade lower than the position to be filled. (a)
 - Candidates for advancement to a position at GG-7, GG-9, or GG-11 that is in a line of work properly classified at two-grade intervals must have completed at least 52 weeks of service in positions no more than two grades lower than the position to be filled. The NRC follows Office of Personnel Management (OPM) guidance for identifying lines of work properly classified at two-grade intervals. (b)
 - Candidates for advancement to a position at GG-12 or above must have completed at least 52 weeks of service in positions no more than one grade lower than the position to be filled. (c)
 - When there is no position at the next lower grade in the normal line of promotion to the position to be filled, candidates must have at least 52 weeks of service in positions no more than two grades lower than the position to be filled. (d)
- Advancement to Positions at the GG-5 Level or Below (ii)

A candidate may be advanced to a position at GG-5 or below if any of the following apply:

- The position is no more than two grades above the lowest grade level he or she held within the preceding 52 weeks under nontemporary appointment. (a)

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Promotions (A) (continued)

Rate of Promotion for Permanent Promotions (2) (continued)

- The candidate met this restriction for advancement to the grade of the position to be filled at any time in the past. (b)
- The candidate previously held a position at or above the grade level of the position to be filled at any time under any type of appointment. (c)

The NRC follows OPM guidance to determine how service under pay schedules other than the GG schedule is credited, what constitutes the "usual line of promotion," and so forth. (c)

Exceptions (3)

When it is determined to be in the best interests of the NRC, the Director, Office of Personnel (OP), may, in rare cases, approve exceptions to the rate of promotion upon written request by office directors or regional administrators.

Career Ladder Promotions (4)

Only an employee with a current annual summary performance rating of at least "Fully Successful" may be considered for a noncompetitive career ladder promotion to a higher grade level. (a)

No employee may receive a career ladder promotion who has a rating below "Fully Successful" on a critical element that is also critical to performance at the next higher grade of the career ladder. (b)

Generally, career ladder promotions are noncompetitive promotions within the career ladder up to and including promotion to the target position of the career ladder in which there was initial competitive selection for entry into the career ladder. (c)

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Promotions (A) (continued)

Career Ladder Promotions (4) (continued)

Promotion to the next stage or the target position in the career ladder is dependent, in addition to having no less than a "Fully Successful" performance rating, upon the individual's performing the full scope of duties and responsibilities described for the next or target career ladder position. (d)

Accretion of Duties Promotions (5)

An accretion of duties promotion is a noncompetitive promotion resulting from a reevaluation of the duties of the position. (a)

To warrant consideration for an accretion of duties promotion, at a minimum all of the following criteria must be met: (b)

- The duties of the "old" or current position must be absorbed into the "new" position. (i)
- The change in duties (additional duties) must not be the result of planned management action. (ii)
- The incumbent of the position must be performing the duties at no less than the "Fully Successful" level. (iii)

An accretion of duties promotion cannot be made from a nonsupervisory to a supervisory position. (c)

Temporary Promotions (6)

General Use (a)

Temporary promotions cannot be made to Senior Executive Service (SES) positions. (i)

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Promotions (A) (continued)

Temporary Promotions (6) (continued)

General Use (a) (continued)

Temporary promotions may be used when an employee performs the duties of a vacant position or replaces an incumbent during an extended absence. (ii)

Temporary promotions may be used when an employee assumes responsibility for a higher level workload for a limited period. (iii)

Temporary promotions may be used when an employee participates in a special project that will last for a limited period. (iv)

Competitive Procedures (b)

Competitive procedures must be used for temporary promotions of 90 days or more. (i)

If an employee has been detailed, rather than being temporarily promoted, to and is performing the full range of duties of a higher grade position, the assignment must be changed to a temporary promotion no later than the beginning of the pay period following the 90th day of the detail, regardless of whether time-in-grade requirements have been met. Details should not be used to circumvent competitive procedures for temporary promotions on temporary assignments of at least 90 days or more. (ii)

The competitive procedures discussed in MD 10.15, "Merit Staffing Program," must be used if a temporary promotion is scheduled to last longer than 90 days. (iii)

In no case may an employee who has completed 90 days on a temporary promotion be allowed to continue to perform the full

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Promotions (A) (continued)

Temporary Promotions (6) (continued)

Competitive Procedures (b) (continued)

range of duties of the temporary position after the promotion has been terminated and the employee returns to his or her position of record. (iv)

Noncompetitive Procedures (c)

If the temporary promotion is to last less than 90 days, it may be made with or without competition. However, if a temporary promotion is made noncompetitively and the assignment lasts 90 days or more, one of the following choices must be made:

- Competitive procedures may be used to select an employee (either the same employee who had been noncompetitively promoted or another employee). (i)
- A different employee may be noncompetitively promoted. (ii)

Inappropriate Use of Temporary Promotions (d)

Temporary promotions are not to be used in the following situations:

- To give an employee a trial period before permanent promotion (i)
- To decide among candidates for permanent promotion (ii)
- To train an employee in higher grade duties (iii)
- When the employee is not performing the full range of duties of the higher level position (iv)

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Promotions (A) (continued)

Temporary Promotions (6) (continued)

Inappropriate Use of Temporary Promotions (d) (continued)

- When a deputy or other staff member routinely acts for a brief period during a supervisor's absence (v)

Effective Date of a Temporary Promotion (e)

A temporary promotion may be effective at the beginning of an employee's assignment to perform the full range of duties of a higher grade position, or at the beginning of any pay period between the first and the 90th day of this assignment, at the supervisor's discretion in consultation with OP.

Qualifications for a Temporary Promotion (f)

Employees receiving temporary promotions, whether selected competitively or noncompetitively, are subject to the same qualifications requirements as employees receiving permanent promotions. (i)

The Director, OP, may waive requirements if no other employees are available to be temporarily promoted. (ii)

Time-in-grade requirements do not apply to temporary promotions. (iii)

Temporary Promotion Information (g)

An employee selected for a temporary promotion must be informed in writing in advance of the promotion of the circumstances that make a temporary promotion, rather than a permanent promotion, appropriate; of the temporary nature of the action and of all conditions relating to it, including the expected

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Promotions (A) (continued)

Temporary Promotions (6) (continued)

Temporary Promotion Information (g) (continued)

duration; and that he or she will return to his or her regular position or one at the same grade level when his or her services are no longer needed in the higher grade, whether or not the expected period has ended. (i)

The Standard Form (SF) 50, "Notification of Personnel Action," documenting the temporary promotion must state in the "Remarks" section that the employee has full knowledge of the conditions of the temporary promotion. (ii)

Length of a Temporary Promotion (h)

An employee may be temporarily promoted for the expected duration of his or her services in the higher grade using competitive or noncompetitive procedures, as appropriate. (i)

The initial period of a competitive temporary promotion may not exceed 1 year. (ii)

If the employee's services are still needed in the higher grade after a year, the Director, OP, will review the position to determine whether it is actually a temporary position. If it is not, the position will be filled permanently by appropriate means. (iii)

If the situation warrants, the temporary promotion may be extended for an additional year for a total of 2 years. (iv)

Ending a Temporary Promotion (i)

Unless extended by the NRC to meet additional temporary needs, a temporary promotion automatically ends on the specified date. (i)

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Promotions (A) (continued)

Temporary Promotions (6) (continued)

Ending a Temporary Promotion (i) (continued)

A temporary promotion may be ended at any time before the specified date at the discretion of the NRC. (ii)

Neither the adverse action procedures of MD 10.99, "Discipline, Adverse Actions, and Separations," nor the reduction-in-force (RIF) procedures of MD 10.103, "Non-SES Reduction in Force," apply when a temporary promotion is ended and the employee returns to his or her regular position or to a position at the same grade level. (iii)

Within-Grade Increases (j)

MD 10.41, "Pay Administration," contains specific information relating to within-grade increases during and after termination of temporary promotions.

Performance Appraisal (k)

Performance appraisals are required for temporary promotions of more than 120 days. (i)

MD 10.67, "Non-SES Performance Appraisal System," contains the specific information relating to performance appraisal requirements for temporary promotions of more than 120 days. (ii)

Promotion of Temporary Employees (l)

Temporary type employees are also eligible for promotions (i.e., changes to higher graded positions). Inasmuch as their appointments are not subject to merit staffing procedures, these promotions may be made noncompetitively. (i)

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Promotions (A) (continued)

Temporary Promotions (6) (continued)

Promotion of Temporary Employees (I) (continued)

These promotions are subject to applicable qualification requirements and time-in-grade restrictions. (ii)

Management may, at its discretion, extend the temporary appointment concurrently with the promotion action, but this extension is not mandatory. (iii)

Change to Lower Grade (Demotion) (B)

General (1)

A change to a lower grade is the official change of a continuously employed NRC employee from one grade level to a lower grade level in the same pay system or to a position under a different pay system with a lower representative rate. (a)

The NRC follows OPM guidance in comparing representative rates. (b)

Involuntary Actions (2)

Involuntary changes to a lower grade, except changes upon expiration of a temporary promotion, are considered adverse actions. (a)

Guidance concerning these actions is contained in MD 10.99. (b)

Voluntary Actions (3)

In certain instances, employees may voluntarily seek a change to a lower grade for their own convenience. These actions are

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Change to Lower Grade (Demotion) (B) (continued)

Voluntary Actions (3) (continued)

effected by the Appointing Officer without regard to the adverse action requirements of MD 10.99, provided that the following two conditions apply: (a)

- Management and supervisors have not requested or required the action. (i)
- The employee has furnished the personnel representative with a written request stating that he or she requests the action voluntarily. (ii)

Granting these requests is at the discretion of management and is dependent upon the availability of work at the lower level for which the employee is qualified. This action may be accomplished either through assigning the employee to a new position or through restructuring the duties of the employee's current position. (b)

Action to accommodate these requests must not displace other employees. (c)

Repromotion Following Voluntary Demotion (4)

An employee who has been voluntarily changed to a lower grade may be repromoted without competition to any grade he or she previously held under a nontemporary appointment.

Reassignments (C)

General (1)

A reassignment is the official change of a continuously employed NRC employee from one position to another at the same grade in

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Reassignments (C) (continued)

General (1) (continued)

the same pay system, or to a position under a different pay system with the same representative rate. (a)

The NRC follows OPM guidance in comparing representative rates. (b)

An individual cannot be noncompetitively reassigned from a nonsupervisory to a supervisory position unless that individual previously held a supervisory position in which his or her performance was evaluated as at least "Fully Successful." (c)

Selection (2)

Reassignments of employees with "permanent" types of appointments are based on the needs of the service. (a)

Competition is not required if the reassignment is to a position with no higher promotion potential than the position vacated. (b)

If an employee is selected for reassignment as the result of competitive procedures, the date of his or her movement to the new organization is established in accordance with the competitive procedures requirements specified in MD 10.15. (c)

Reassignments Involving a Change in Commuting Area or Geographic Relocation (3)

The provisions of MD 14.2, "Relocation Allowances," apply in the case of employees who are reassigned to different commuting or geographic areas. (a)

No changes take place in basic health and life insurance benefits, participation in the Thrift Savings Plan, leave, or retirement for

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Reassignments (C) (continued)

Reassignments Involving a Change in Commuting Area or Geographic Relocation (3) (continued)

employees accepting geographic reassignments; however, the employee may have to change his or her health insurance carrier. (b)

Special salary rates, geographic adjustments, or locality pay may be affected as these pay provisions are localized to specific areas and are not transferrable. (c)

Employees must be notified in writing at least 120 days in advance of the intent to reassign them to a new commuting or geographic area and the intended date of the reassignment. The employee may voluntarily waive the 120-day notification period. (d)

Performance of substantial duty (defined as in excess of 11 workdays during a 30-day period) by the employee must be limited at the new duty station before the effective date of the reassignment. (e)

Failure to Accept a Reassignment (4)

An employee's failure to accept a reassignment that has been directed by the NRC within the same commuting or geographic area may be made the basis for removal under adverse action procedures. (a)

Employees who decline to accept a reassignment that has been directed by the NRC outside the commuting or geographic area may, if otherwise eligible, be eligible for discontinued service retirement or severance pay. If an employee is eligible for discontinued service or optional retirement, severance pay is not applicable. (b)

Exhibit 1
**Agreement for the Movement of Personnel
Between the Civil Service System and
the Nuclear Regulatory Commission (NRC)**

In accordance with the authority provided in section 6.7 of the Civil Service Rules, employees serving in positions in the Nuclear Regulatory Commission (NRC) may be appointed to positions in the competitive civil service, and employees serving in positions in the competitive civil service may be appointed to positions in the NRC subject to the following conditions:

1. Type of appointment held before movement

Employees of the NRC must be serving in continuing positions under NRC regular appointments (excepted) or NRC regular appointments (excepted) (conditional). Employees in the competitive civil service must be serving in continuing positions under career-conditional or career appointments.

2. Qualification requirements

Employees of the NRC must meet the qualification standards and requirements for the position to which they are to be appointed in accordance with Civil Service Commission (CSC)* established regulations for transfer of employees within the competitive civil service. Employees in the competitive service must meet the regular standards and requirements established by the NRC for appointment to the position.

3. Length of service requirement

Employees of the NRC must have served continuously for at least 1 year in the NRC before they may be appointed to positions in the competitive civil service under the authority of this agreement. Employees in the competitive civil service must have completed the 1-year probational period required in connection with their

*Now the Office of Personnel Management (OPM).

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Exhibit 1 (continued)

career-conditional or career appointments in the competitive service before they may be appointed to positions in the NRC under the authority of this agreement.

4. Selection

Employees of the NRC may be considered for appointment to positions in the competitive civil service in the same manner that employees of the competitive service may be considered for transfer to such positions. Employees in the competitive service may be considered for appointment to a position in the NRC on the basis of their qualifications for the positions to be filled without regard to the order of selection within qualification categories provided for in the special plan approved by the CSC for the NRC under Section 302.104 of the Civil Service Regulations.

5. Type of appointment granted after movement

Employees of the NRC who are appointed to competitive positions under the terms of this agreement will have career or career-conditional appointments, depending upon whether they meet the 3-year service requirement for career tenure. The service which commences with an NRC regular appointment (excepted) or an NRC regular appointment (excepted) (conditional) will be acceptable toward meeting the service requirement. Employees of the competitive civil service who are appointed to positions in the NRC under the terms of this agreement will receive NRC regular (excepted) appointments or NRC regular (excepted) (conditional) appointments, depending upon whether they meet the 3-year service requirement for career appointment.

6. Probationary and trial periods

Employees who are appointed under this agreement will not be required to serve new probationary or trial periods.

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Exhibit 1 (continued)

7. Status

NRC employees who are appointed in the competitive civil service under the terms of this agreement will receive competitive civil service status. Thereafter, such employees will be entitled to the benefits and privileges provided by the CSC's* rules, regulations, and instructions for persons having a competitive civil service status. Employees of the competitive civil service who are appointed by the NRC under the terms of this agreement will have whatever privileges are normally provided by the NRC to persons who initially receive NRC regular (excepted) to NRC regular (excepted) (conditional) appointments in that agency.

8. Effective date

This agreement becomes effective on October 1, 1975, and shall expire, unless renegotiated, on December 31, 1978.** Further, this agreement may be terminated thirty (30) days following notice from either agency.

//S//

//S//

William S. Anders, Chairman
Nuclear Regulatory Commission

Robert E. Hampton, Chairman
United States Civil Service Commission

10/28/75
(Date)

10/6/75
(Date)

*Now the Office of Personnel Management (OPM).

**Extended without time limitations by Federal Personnel Manual (FPM) Letter 315-12, dated December 29, 1978.

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Exhibit 1 (continued)

**Office of Personnel Management (OPM) Clarification of
Requirements for Noncompetitive Movement**

In response to a March 23, 1984, query to OPM regarding the Interchange Agreement and the issue of noncompetitive movement of career employees between the Nuclear Regulatory Commission (NRC) and the competitive civil service, OPM sent the following response:

"Dear Mr. Bird:

This refers to your letter of March 23, 1984, and subsequent discussions concerning the requirements for noncompetitive movement of career employees between the Nuclear Regulatory Commission and the competitive civil service.

In your letter, you voice concern that the provisions of the Federal Personnel Manual (FPM), regarding noncompetitive appointment in the competitive service based on service under other merit systems (FPM chapter 315, subchapter 6, paragraph 2(c)), are more restrictive than, and significantly different from, the language of the Interchange Agreement for the Movement of Personnel Between the Civil Service Commission-now OPM-and NRC in 1975). Specifically, you point out two areas of contention: the type of appointment an NRC employee must serve under to be eligible for noncompetitive appointment into the competitive service; and the period of service required for eligibility to move under the agreement. In both instances, the language of the interchange agreement, in comparison to the FPM, is seemingly open to more than one interpretation.

Implicit in OPM's decision to enter into an interchange agreement under civil service rule 6.7 is an affirmative finding that the agreement meets the requirements of law concerning appointments to the competitive service and that the movement permitted by the agreement will promote good civil service administration. Any interpretation of an agreement that is adverse to OPM's responsibility to administer the civil service system, pursuant to established requirements, is void and lacking of any legal effect. OPM cannot be made to accept an interpretation that was beyond its understanding of the terms of the agreement at the time the agreement was entered into.

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Exhibit 1 (continued)

Thus, it is our opinion that the interchange agreement, though not as precisely stated, was intended to mirror the meaning of the FPM language regarding the length of service required for movement. We cannot agree, that the language of the agreement clearly affords eligibility for noncompetitive appointment to persons who do not have 1 year of continuous service immediately before the move. Paragraph 3 of the agreement states that, "Employees of the NRC must have served continuously for at least 1 year in the NRC before they may be appointed to positions in the competitive civil service". This requirement, in conjunction with the requirement in Paragraph 1 that the employees be serving in qualifying NRC appointments at the time of noncompetitive movement, should be read as requiring that employees have 1 year of continuous service before the move.

Further the use of the word "continuous" clearly indicates that breaks in service affect eligibility for movement. Although the agreement does not contain a direct reference to breaks in service, the use of the word "continuous" demonstrates an intent that breaks in service will affect that eligibility. In contravention of the fact that the language of the agreement is somewhat imprecise, we can find no basis to conclude that it was intended to provide noncompetitive appointment eligibility to persons who do not have 1 year of current, continuous service, even though these persons may have satisfied the service requirement during an earlier period of employment.

As to your other point of contention, we believe that the language of the interchange agreement would, indeed, permit service in a temporary appointment to be credited toward the 1-year service requirement as long as the employee held a permanent appointment at the time of the noncompetitive appointment. Therefore, any NRC employee who meets the service requirement set out in the agreement is eligible for noncompetitive appointment into the competitive civil service. However, since temporary service is not credited toward career tenure in the civil service, only service under the permanent appointment, would be considered in determining whether the individual received a career-conditional or a career appointment in the competitive service.

In conclusion, we believe that the requirement for current, continuous service contained in FPM chapter 315 is correct and its intent is mirrored in the interchange agreement between OPM and NRC. Further, FPM chapter 315 implicitly recognizes and permits

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Exhibit 1 (continued)

service in a temporary appointment to be credited toward the one year service requirement as long as the employee held a permanent appointment at the time of noncompetitive appointment.


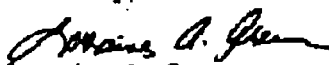
Sincerely,

/s/

Donald L. Holum, Chief
Staffing Policy Analysis Division"

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Exhibit 1 (continued)

 <small>OFFICE OF THE DIRECTOR</small>	<small>UNITED STATES OFFICE OF PERSONNEL MANAGEMENT WASHINGTON, D.C. 20415</small>
 JUN 24 1994 	
<p>Mr. Paul E. Bird Director, Office of Personnel Nuclear Regulatory Commission Washington, DC 20555-0001</p>	
<p>Dear Mr. Bird:</p>	
<p>I have approved your request to amend the personnel interchange agreement between the Nuclear Regulatory Commission (NRC) and the competitive service. Effective immediately, employees who are involuntarily separated without personal cause will be eligible for noncompetitive appointment for 1 year from the date of separation.</p>	
<p>This amendment brings the provisions of NRC's interchange agreement into line with the provisions of agreements established with other agencies. In accordance with the intent of 5 CFR 6.7 that agreements be reciprocal, the new provisions will apply to employees of both NRC and the competitive service. We will notify other agencies of this amendment and of NRC employees' expanded eligibility for noncompetitive appointments.</p>	
<p>Sincerely,  Lorraine A. Green Deputy Director</p>	

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**Exhibit 2
Form I-9, "Employment Eligibility Verification"**

EMPLOYMENT ELIGIBILITY VERIFICATION (Form I-9)			
1. EMPLOYEE INFORMATION AND VERIFICATION (To be completed and signed by employee.)			
Name (Print or Type) Last First Middle		Social Security Number	
Address (Street Name and Number) City State		ZIP Code	
Date of Birth (Month/Day/Year)		Current Employer Name	
<p>I warrant, under penalty of perjury, that I am at least a <u> </u> year old.</p> <p><input type="checkbox"/> 1. A citizen or national of the United States. <input type="checkbox"/> 2. An alien lawfully admitted for permanent residence (Alien Number A <u> </u>). <input type="checkbox"/> 3. An alien authorized by the Immigration and Naturalization Service to work in the United States (Alien Number A <u> </u> or Alien Number <u> </u> explanation of employment authorization, if any <u> </u>).</p> <p>I warrant, under penalty of perjury, the documents that I have presented as evidence of identity and employment eligibility are genuine and authentic and I am at least 18 years old. I warrant that I am not providing false information and that I am not using false documents or means of false documents in connection with this application.</p>			
Signature		Date (Month/Day/Year)	
<p>PREPARED TRANSLATOR CERTIFICATION (To be completed and signed by preparer if preparer is not the employee. I warrant, under penalty of perjury, that the above was prepared by me or in the name of the preparer and is true to the best of my knowledge and belief.)</p>			
Preparer		Name (Print or Type)	
Address (Street Name and Number) City State		ZIP Code	
2. EMPLOYER REVIEW AND VERIFICATION (To be completed and signed by employer.)			
<p>Instructions: Examine the document from List A and check the appropriate box. <u> </u> Examine the document from List B and List C and check the appropriate box. Provide the Document Identification Number and Expiration Date for the document checked.</p>			
<p>List A Documents that Establish Identity and Employment Eligibility</p> <p><input type="checkbox"/> 1. United States Passport</p> <p><input type="checkbox"/> 2. Certificate of United States Citizenship</p> <p><input type="checkbox"/> 3. Certificate of Naturalization</p> <p><input type="checkbox"/> 4. Unexpired foreign passport with attached Employment Authorization</p> <p><input type="checkbox"/> 5. Alien Registration Card with photograph</p> <p>Document Identification Number <u> </u></p> <p>Expiration Date of card <u> </u></p>	<p>List B Documents that Establish Identity</p> <p><input type="checkbox"/> 1. A State-issued driver's license or a State-issued I.D. card with a photograph, or an unexpired, unexpired state, nat. date of birth, height, weight, and color of eyes. (Specify State) <u> </u></p> <p><input type="checkbox"/> 2. U.S. Military Card</p> <p><input type="checkbox"/> 3. Other (Specify document and issuing authority) <u> </u></p> <p>Document Identification Number <u> </u></p> <p>Expiration Date of card <u> </u></p>	<p>List C Documents that Establish Employment Eligibility</p> <p><input type="checkbox"/> 1. Original Social Security Number Card (unless 1986 or later stating it is not valid for employment)</p> <p><input type="checkbox"/> 2. A hiring certificate issued by State, county, or municipal authority bearing a nat. or other endorsement</p> <p><input type="checkbox"/> 3. Unexpired INS Employment Authorization (Specify form) <u> </u></p> <p>Document Identification Number <u> </u></p> <p>Expiration Date of card <u> </u></p>	
<p>CERTIFICATION I warrant, under penalty of perjury, that I have examined the documents presented by the above individual, that they appear to be genuine and to relate to the individual named, and that the individual, to the best of my knowledge, is eligible to work in the United States.</p>			
Signature		Date (Print or Type)	
Employer Name		Address	
		Date	
Form I-9 (08/07/01)		U.S. Department of Justice	
DHS No. 115-0135		Immigration and Naturalization Service	

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Exhibit 2 (continued)

Employment Eligibility Verification

NOTICE: Authority for collecting the information on this form is in Title 8, United States Code, Section 1324A, which requires employers to verify employment eligibility of individuals on a form approved by the Attorney General. This form will be used to verify the individual's eligibility for employment in the United States. Failure to present this form for inspection to officers of the Immigration and Naturalization Service or Department of Labor within the time period specified by regulation, or improper completion or retention of this form, may be a violation of the above law and may result in a civil money penalty.

Section 1. Instructions to Employer/Preparer for completing this form

Instructions for the employee.

All employees, upon being hired, must complete Section 1 of this form. Any person hired after November 6, 1986 must complete this form. (For the purpose of completion of this form the term "hired" applies to those employed, recruited or referred for a fee.)

All employees must print or type their complete name, address, date of birth, and Social Security Number. The block which correctly indicates the employee's immigration status must be checked. If the second block is checked, the employee's Alien Registration Number must be provided. If the third block is checked, the employee's Alien Registration Number or Admission Number must be provided, as well as the date of expiration of that status, if it expires.

All employees whose present names differ from birth names, because of marriage or other reasons, must print or type their birth names in the appropriate space of Section 1. Also, employees whose names change after employment verification should report these changes to their employer.

All employees must sign and date the form.

Instructions for the preparer of the form, if not the employee.

If a person trains the employee with completing this form, the preparer must certify the form by signing it and printing or typing his or her complete name and address.

Section 2. Instructions to Employer for completing this form

(For the purpose of completion of this form, the term "employer" applies to employers and those who recruit or refer for a fee.)

Employers must complete this section by examining evidence of identity and employment eligibility, and:

- checking the appropriate box in List A or boxes in both Lists B and C;
- recording the document identification number and expiration date (if any);
- recording the type of form if not specifically identified in the list;
- signing the certification section.

NOTE: Employers are responsible for re-verifying employment eligibility of employees whose employment eligibility documents carry an expiration date.

Copies of documentation presented by an individual for the purpose of establishing identity and employment eligibility may be copied and retained for the purpose of complying with the requirements of this form and no other purpose. Any copies of documentation made for this purpose should be maintained with this form.

Name changes of employees which occur after preparation of this form should be reported on the form by lining through the old name, printing the new name and the reason (such as marriage), and dating and initialing the changes. Employers should not attempt to delete or erase the old name in any fashion.

RETENTION OF RECORDS.

The completed form must be retained by the employer for:

- three years after the date of hiring; or
- one year after the date the employment is terminated, whichever is later.

Employers may photocopy or reprint this form as necessary.

U.S. Department of Justice
Immigration and Naturalization Service

OMB # 0175-0130
Form I-9 (05/87/02)

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**Exhibit 3
OF 69, "Assignment Agreement"**

OF 69 (Rev. 8-84) U.S. Office of Personnel Management PPM-Chapter 301		ASSIGNMENT AGREEMENT Title IV of the Intergovernmental Personnel Act of 1970 (5 U.S.C. 5371 - 5376)	
INSTRUCTIONS			
This agreement constitutes the written record of the obligations and responsibilities of the parties to a temporary assignment assigned under the provisions of the Intergovernmental Personnel Act of 1970.		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 1800 E Street, NW Washington, D.C. 20415	
The term "State or local government," when appearing on this form, also refers to an institution of higher education, an independent government, and any other eligible organization.		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.	
Copies of the completed and signed agreement should be retained by each signatory.			
PART 1: NATURE OF THE ASSIGNMENT AGREEMENT			
1. Check Appropriate Box <input type="checkbox"/> New Agreement <input type="checkbox"/> Modification <input type="checkbox"/> 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? <input type="checkbox"/> YES <input type="checkbox"/> NO 5. B. If "YES", state 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 mobility fellow program? If "YES", give name of the program.			
<input type="checkbox"/> YES <input type="checkbox"/> 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	
<input type="checkbox"/> Career Competitive <input type="checkbox"/> Grade Level <input type="checkbox"/> Other (Specify): _____		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 obsolete. 50 65-104			

Exhibit 3 (continued)

Approved: October 12, 1994
(Revised: October 10, 1995)

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Exhibit 3 (continued)

PART 9 - FISCAL OBLIGATIONS <small>Identify, where appropriate, the office to which invoices and time and attendance records should be sent.</small>	
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.)	27. State or Local Government Agency Obligations
PART 10 - CONFLICTS OF INTEREST AND EMPLOYEE CONDUCT	
<input type="checkbox"/> 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. <input type="checkbox"/> 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 Employee Group Life Insurance <input type="checkbox"/> Covered <input type="checkbox"/> N/A	31. State or Local Agency Benefits (Indicate all State employee benefits that will be provided 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 or have without pay from the Federal agency to a State or local agency.)
B. Federal Civil Service Retirement System or Federal Employees Retirement System <input type="checkbox"/> Covered <input type="checkbox"/> N/A	
C. Federal Employee Health Benefits <input type="checkbox"/> Covered <input type="checkbox"/> N/A	
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 in, 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.	
Page 3	

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Exhibit 3 (continued)

PART 11: ASSIGNMENT OF RULES, REGULATIONS AND POLICIES	
34. Check Applicable Boxes	
<input type="checkbox"/> A. The rules and policies governing the internal operation and administration of the agency to which my assignment is made under this agreement will be observed by me.	<input type="checkbox"/> B. I have been informed of applicable provisions should my position with my permanent employer become subject to a recall-to-duty procedure.
<input type="checkbox"/> C. 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 term, 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"/> D. I have been informed that any travel and transportation expenses covered by the Federal agency upon assignment 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 12: 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 11 above.	
35. Location of Assignment (Name of Organization)	36. Date (Month, Day, Year) From _____ To _____
37. Signature of Assigned Employee	38. Date of Signature (Month, Day, Year)
PART 13: 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.	
39. State or Local Government Agency	40. Federal Agency
41. Signature of Authorizing Officer	42. Signature of Authorizing Officer
43. Date of Signature (Month, Day, Year)	44. Date of Signature (Month, Day, Year)
45. Typed Name and Title	46. 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, authorize 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 12957, 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.
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U.S. GOVERNMENT PRINTING OFFICE: 1989-0-552-254	

Volume 10, Part 1 - Employment and Staffing
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Exhibit 4
NRC Form 711, "Rotational Assignment Application"

NRC FORM 711 (1-94)		U.S. NUCLEAR REGULATORY COMMISSION	
ROTATIONAL ASSIGNMENT APPLICATION			
EMPLOYEE INFORMATION			
1. NAME OF APPLICANT		2. CURRENT GRADE	
3. CURRENT TITLE		4. DESIRE FOR ROTATIONAL ASSIGNMENT INCLUDED IN VOP <input type="checkbox"/> YES <input type="checkbox"/> NO	
5. CURRENT EMPLOYING OFFICE (OFFICE/DIVISION)		6. PAST ROTATIONAL ASSIGNMENT <input type="checkbox"/> YES, WHEN? <input type="checkbox"/> NO	
EMPLOYEE ROTATIONAL PREFERENCE			
7. State any specific positions, organizations, or geographical areas to which you would like to rotate.			
8. What do you hope to gain, for yourself or your current organization, by participating in a rotational assignment?			
SIGNATURE - EMPLOYEE		DATE	
SUPERVISOR'S ROTATION STATEMENT			
<div style="border: 1px solid black; height: 60px; width: 100%;"></div>			
SUPERVISOR'S CONCURRENCE			
9. MAXIMUM LENGTH OF ROTATION (MONTHS)		10. DATE AVAILABLE TO BEGIN ROTATION	
11. I support a rotational assignment for this employee and agree to allow him/her to participate in a rotational opportunity if the workload of the office permits.			
SIGNATURE - SUPERVISOR		DATE	
SIGNATURE - OFFICE DIRECTOR / REGIONAL ADMINISTRATOR / DESIGNEE		DATE	

NRC FORM 711 (1-94)

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**Volume 10, Part 1 - Employment and Staffing
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**Exhibit 5
NRC Form 725, "Rotational Assignment
Opportunity Notice"**

NRC FORM 725 9-91		U.S. NUCLEAR REGULATORY COMMISSION	
ROTATIONAL ASSIGNMENT OPPORTUNITY NOTICE			
ROTATIONAL ASSIGNMENT OPPORTUNITY			
1. NAME OF ROTATIONAL ASSIGNMENT		2. APPROXIMATE DURATION OF THE ASSIGNMENT	
3. OFFICE	4. DUTIES	5. GEOGRAPHICAL LOCATION	
6. DETAILED LENGTH OF ASSIGNMENT	7. ANNUAL LENGTH OF ASSIGNMENT	8. PROPOSED STARTING DATE	9. PROPOSED ENDING DATE
BRIEF DESCRIPTION OF ASSIGNMENT			
QUALIFICATIONS			
10. REQUIRED			
11. DESIRED			
APPROVAL			
SIGNATURE - OFFICE OF NUCLEAR REGULATORY ADMINISTRATION, COMMISSION			DATE

NRC FORM 725 9-91 PRINTED ON RECYCLED PAPER

U.S. NUCLEAR REGULATORY COMMISSION

DIRECTIVE TRANSMITTAL

TN: DT-96-06

To: NRC Management Directives Custodians

Subject: Transmittal of Management Directive 10.15, "Merit Staffing Program"

Purpose: Directive and Handbook 10.15 are being issued to replace Manual Chapter (MC) 4108, Parts I and III, and all other remaining parts of MC 4108 still in existence. This directive and handbook update current policies and practices regarding merit staffing activities within the agency.

Office and Division of Origin: Office of Human Resources

Contact: Pam Gallagher, 415-7858

Date Approved: February 21, 1996

Volume: 10 Personnel Management

Part: 1 Employment and Staffing

Directive: 10.15 Merit Staffing Program

Availability: Rules and Directives Branch
Office of Administration
Michael T. Lesar, (301) 415-7163
Christy Moore, (301) 415-7086

OFFICE OF ADMINISTRATION

Merit Staffing Program

Directive

**(Formerly
Parts I and III
of MC 4108)**

10.15



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U. S. Nuclear Regulatory Commission

Volume: 10 Personnel Management

Part: 1 Employment and Staffing

HR

Merit Staffing Program Directive 10.15

Policy

(10.15-01)

It is the policy of the U.S. Nuclear Regulatory Commission to operate a merit staffing program without regard to political affiliation, race, color, religion, national origin, sex, marital status, age, or disability and without favoritism based on personal relationship or patronage and with proper regard for an employee's or applicant's privacy and constitutional rights.

Objectives

(10.15-02)

- To effect merit staffing actions in a fair and equitable manner following basic general employment guidelines in use within the Federal sector. (021)
- To meet organizational mission needs and efficiently utilize the skills, knowledges, and abilities of NRC employees through application of merit staffing principles. (022)
- To ensure agencywide uniformity in the application of merit staffing practices as described in Handbook 10.15. (023)
- To maintain a drug-free Federal workplace. (024)

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Merit Staffing Program
Directive 10.15

**Organizational Responsibilities and
Delegations of Authority**

(10.15-03)

Chairman

(031)

- Serves as the selecting official for executives reporting to the Chairman, for the Director and the Senior Executive Service (SES) staff of the Office of Public Affairs, and for the Director of the Office of Congressional Affairs. (a)
- Selects the personnel employed in his or her immediate office. (b)

The Commission

(032)

- Serves as the selecting official for the Directors of the Offices of the General Counsel, International Programs, State Programs, Secretary of the Commission, Commission Appellate Adjudication, and the Chief Administrative Judge, Atomic Safety and Licensing Board Panel, as well as the Executive Director for Operations and the Directors of the Office of Nuclear Regulatory Research, Nuclear Reactor Regulation, and Nuclear Material Safety and Safeguards. (a)
- Each Commissioner selects the personnel employed in his or her immediate office. (b)

Executive Director for Operations (EDO)

(033)

- Acts as selecting official for SES positions in his or her immediate office, other than those reserved for the Chairman or the Commission. (a)

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**Organizational Responsibilities and
Delegations of Authority**

(10.15-03) (continued)

Executive Director for Operations (EDO)

(033) (continued)

- As appropriate, delegates to office directors and regional administrators authority to make selections for EDO level office positions. (b)
- Grants exceptions or deviations from the administrative or procedural requirements of this directive when such requirements are not based on law or Executive order. (c)

Director, Office of Human Resources (HR)

(034)

- Grants exceptions to personnel practices and procedures as specified in Handbook 10.15. (a)
- Prescribes the standards, requirements, and guidance for merit staffing actions in the NRC. (b)
- Provides staff assistance to Commissioners, office directors, and regional administrators in carrying out their merit staffing responsibilities, including the development of vacancy announcements and crediting plans. (c)
- Provides final interpretations or decisions regarding the intent and applicability of this directive. (d)
- Ensures that operating practices and procedures meet the intent of the interchange agreement with the Office of Personnel Management, as described in Exhibit 1 of Handbook 10.15. (e)

Volume 10, Part I - Employment and Staffing
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Directive 10.15

**Organizational Responsibilities and
Delegations of Authority**

(10.15-03) (continued)

Director, Office of Human Resources (HR)

(034) (continued)

- Delegates to regional administrators personnel authorities, as appropriate, through a signed delegation agreement. (f)
- Ensures that all merit staffing actions conform to merit principles, are consistent with sound management practices, and are in accord with legal and regulatory requirements and applicable instructions. (g)
- Reviews and signs, or delegates authority to review and sign, "Notification of Personnel Action" (Standard Form 50). (h)

Director, Office of Administration (ADM)

(035)

- Determines the initial and continuing eligibility of NRC applicants for employment, clearance, and access authorization required for NRC employment. (a)
- Determines whether any security objection exists to the employment of NRC applicants before the completion of the preappointment investigation and grant of access authorization. (b)
- Requests approval of the Commission to grant interim access authorization and employment clearance to designated individuals who require access to restricted data before completion of the required investigation, based on Subsection 145b of the Atomic Energy Act of 1954, as amended. (c)

**Organizational Responsibilities and
Delegations of Authority**

(10.15-03) (continued)

**Office Directors and
Regional Administrators**

(036)

As provided for in any applicable delegation agreements and in Handbook 10.15, carry out their personnel management responsibilities regarding the merit staffing of positions in their offices.

Applicability

(10.15-04)

The policy and guidance in this directive and handbook apply to all NRC employees except—

- Members of the Senior Executive Service (see MD 10.135, "Senior Executive Service (SES) Employment and Staffing Programs") (a)
- Experts, consultants, and members of advisory committees (b)

Handbook

(10.15-05)

Handbook 10.15 describes the operational practices and procedures applicable to the competitive or merit staffing actions affecting NRC employees with exceptions as noted above.

References

(10.15-06)

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

Volume 10, Part I - Employment and Staffing
Merit Staffing Program
Directive 10.15

References

(10.15-06) (continued)

Code of Federal Regulations—

5 CFR, Administrative Personnel

10 CFR 10, "Criteria and Procedures for Determining Eligibility for Access to Restricted Data or National Security Information or an Employment Clearance"

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

Fair Labor Standards Act, Pub. L. 94-502 (29 U.S.C. et seq.).

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

Intergovernmental Personnel Act of 1970, as amended (5 U.S.C. 3371-3376).

NRC Drug Testing Program, NUREG/BR-0136, Rev. 2, December 1990.

NRC Management Directive 4.2, "Administration Control of Funds."

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

"Suspension and Removal" (5 U.S.C. 7532).

United States Code, Title 5 "Government Organization and Employees."

Merit Staffing Program

Handbook

(Formerly
Part III of
MC 4108)

10.15



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Part I
General Provisions

Practices (A)

The NRC operates a competitive merit system that embodies the principles of open competition and equitable consideration against uniform standards. NRC's independent merit system has been recognized by the Office of Personnel Management (OPM), as evidenced by our continuing interchange agreement with OPM (Exhibit 1). The following practices apply:

- All employees and applicants for employment with the NRC shall be treated without regard to political affiliation, race, color, religion, national origin, sex, marital status, age, or disability, and with proper regard for their privacy and legal rights. (1)
- Vacant positions in the NRC may be filled by noncompetitive appointment, by competitive appointment, by noncompetitive internal placement, or by competitive internal placement. Each job will be filled on the basis of merit, fitness, and qualifications, without discrimination based on any nonmerit reasons and without favoritism based on personal relationship or patronage. This provision shall not be interpreted as restricting the right of the selecting official to fill a vacancy by using one of the authorized exceptions to competitive procedures described in Part II of this handbook and in Management Directive (MD) 10.1, "Appointments, General Employment Issues, Details, and Position Changes," when appropriate. (2)
- The NRC is subject to the restrictions on employment of relatives described in 5 U.S.C. 3110. In addition, no employee shall be retained in a position under the administrative direction or supervision of any relative, and no person shall be

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Practices (A) (continued)

selected for or retained in a position in which he or she will exercise administrative direction or supervision over a relative. A more detailed discussion of nepotism restrictions may be found in MD 10.1. (3)

- Positions in the NRC will be filled with citizens of the United States, unless the Director, Office of Human Resources (HR), determines that a noncitizen's potential contribution to the nuclear regulatory program will materially benefit the program by contributing unique or unusual skills or talent not possessed to any comparable degree by an available U.S. citizen. (4)
- Positions in the NRC are filled in accordance with veterans' preference requirements. (5)
- When the provisions of the collective bargaining agreement with the employees' exclusive representative are in conflict with this handbook with regard to bargaining unit employees and bargaining unit positions, the provisions of the agreement must govern. (6)
- For purposes of this handbook, when authorities and procedures have been delegated by the Director, HR, to the regional administrator, references to an HR representative will include the regional personnel officer, or his or her designee. (7)

Position Management (B)

Each action to fill a vacant position must be consistent with sound management practices and principles and with any current ceiling or budget controls. The selecting official shall review each request to fill a vacant position to decide whether it currently—

- Is necessary to fill the position (1)

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Position Management (B) (continued)

- Is possible to abolish the position entirely or assign the duties of the position to other positions (2)
- Is possible to reengineer the duties of the position to permit performance at a lower grade or on a part-time basis (3)
- Meets current supervisor-to-employee-ratio targets, where applicable (4)

The Selection Process (C)

The selecting official has final responsibility for determining which qualified candidate should be selected for both bargaining unit and nonbargaining unit positions. (1)

The selecting official may select or not select from any appropriate source of candidates at any point in the selection process. (2)

The Director, HR, has responsibility, either directly or through redelegation to HR component chiefs or regional personnel officers, for— (3)

- Assisting in locating qualified candidates (a)
- Assisting in determining the basic qualification requirements and rating factors of the position (b)
- Assisting in developing methods to evaluate applicants against the rating factors of the position (c)
- Providing guidance to rating panels on panel procedures and operations (d)
- Designating the HR representative to participate as a nonvoting member on rating panels (e)

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The Selection Process (C) (continued)

- Determining basic qualifications of individuals applying under competitive procedures (f)
- Certifying to the appropriate management official candidates in the highest available qualifications category from which a proper selection may be made (g)
- Ensuring that competitive actions comply with applicable regulations and merit principles (h)
- Training supervisors, managers, and panel members on all aspects of competitive staffing requirements, including developing evaluation methods and rating and ranking candidates (i)
- Taking the action to place the selected candidate in the position (j)

Part II

Coverage and Exceptions

Coverage (A)

Unless excepted as described below, the competitive procedures contained in this handbook will be used in the following circumstances:

- Whenever NRC or other Federal or former Federal employees, or non-Federal applicants compete for positions (1)
- For NRC Regular (Excepted) or NRC Regular (Excepted) (Conditional) appointments (2)
- For conversion to an NRC Regular (Excepted) or NRC Regular (Excepted) (Conditional) appointment of an employee with an appointment with a specific time limit. These employees are considered "outside candidates" and are subject to the competitive requirements of this handbook, except in the following instances: (3)
 - The original selection was a competitive one in full accord with the principles and procedures of this handbook. (a)
 - The fact that the selectee would be eligible for noncompetitive conversion to a permanent appointment was made known at the time of the original competition. (b)
- For selection of an NRC employee for temporary promotion for more than 90 calendar days or for detailing an NRC employee for more than 90 days to a higher graded position or a position with higher promotion potential than that of the employee's current position (4)

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Coverage (A) (continued)

- For making a temporary promotion permanent, unless— (5)
 - The temporary promotion was made initially under competitive procedures. (a)
 - The fact that it might lead to a permanent promotion was made known to all potential candidates. (b)
- For selection for training required for competitive promotion when the training is not available to all employees who are qualified and interested in the promotion (6)
- For initial selection of an individual to a supervisory position (7)

Required Exceptions (B)

The following actions must be taken without following the competitive procedures of this part and without regard to the priority considerations described below. The Office of Human Resources (HR) will be responsible for identifying exceptions and advising management.

- An employee entitled to restoration following military service shall be selected in accordance with law and NRC policy pertaining to restoration rights when returning from military leave. (1)
- An employee entitled to reemployment following duty with an international organization shall be selected in accordance with the same legal and policy requirements that pertain to restoration rights when returning from military leave. (2)
- An employee entitled to statutory reemployment following duty as a reserve officer in the Foreign Service, or an employee in the Foreign Assistance Program or in the Peace Corps, shall

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Required Exceptions (B) (continued)

be selected for the position he or she left, or a corresponding or higher position, in accordance with appropriate 5 U.S.C. or 5 CFR guidance regarding reemployment rights. (3)

- An employee entitled to reemployment rights following transfer to an emergency agency (movement between executive agencies during emergencies) shall be selected for the position he or she left, or a corresponding or higher position, in accordance with appropriate 5 U.S.C. or 5 CFR regulations. (4)
- An employee entitled to return rights following duty on an NRC Limited (Excepted) appointment shall be selected for the position he or she left or one of equal grade in accordance with Management Directive (MD) 10.1. (5)
- An employee who is employed under a program that accords him or her noncompetitive conversion rights, such as a cooperative education student. (6)

Authorized Exceptions (C)

The following authorized exceptions to the competitive procedures may, at the discretion of the selecting official and with the concurrence of the Director, HR, be taken without following the competitive procedures and without regard to the priority consideration described below.

- Appointment of an individual who is currently employed as a Career or Career Conditional employee with another Federal agency to a position that has no higher known promotion potential than that of the position the person currently holds or has held permanently. (1)
- Appointment of a former employee of any Federal agency who is eligible for reinstatement in the Federal service to a position

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Authorized Exceptions (C) (continued)

that has no higher known promotion potential than that of the position the person last held in the Federal service. (2)

- Appointment of a disabled veteran who has a compensable service-connected disability of 30 percent or more to any position for which he or she is qualified. (3)
- Appointment to a position under an Excepted appointment (Presidential), an NRC Limited (Excepted) appointment, an NRC Professional Term appointment, or an NRC Noncareer (Excepted) appointment. (4)
- Appointment to a temporary position under a temporary appointment. (5)
- A promotion without current competition when, at an earlier stage, the employee was selected under competitive procedures for entry into a position that was publicized as being structured to allow the incumbent to rise to the full performance level identified for the position. This employee is assigned duties that result in grade-building experience and is promoted as he or she demonstrates the ability to perform at the next higher level. (See the collective bargaining agreement with the employees' exclusive representative for provisions governing bargaining unit employees and bargaining unit positions.) (6)
- A promotion resulting from the upgrading of a position without a significant change in the duties and responsibilities because of the issuance of a new evaluation standard or the correction of an initial evaluation error. (7)
- A promotion resulting from the gradual accretion of additional duties and responsibilities. (8)

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Authorized Exceptions (C) (continued)

- A change from one position to another position with no higher promotion potential. (9)
- A temporary promotion or detail to a higher graded position or to a position with higher promotion potential than the position of record of 90 days or less. (10)
- Conversion of a student to an NRC Regular (Excepted) or NRC Regular (Excepted) (Conditional) appointment upon successful completion of all legal and regulatory requirements of the Student Career Experience Program. (11)
- Conversion of a temporary promotion to permanent when the temporary promotion was made initially under competitive procedures and the fact that it might lead to permanent promotion was made known to all potential candidates. (12)
- Conversion of a physically handicapped or mentally retarded employee to an NRC Regular (Excepted) or NRC Regular (Excepted) (Conditional) appointment upon completion of 2 years of successful job performance as described in MD 10.13, "Special Employment Programs." (13)
- Conversion to an NRC Regular (Excepted) or NRC Regular (Excepted) (Conditional) appointment of a secretary in grades up to and including GG-6 originally hired for a vacancy in the Pre-Assignment Center under an NRC Noncareer (Excepted) appointment when the initial appointment was made under competitive procedures, the appointment was for no more than 13 months, and the fact that it might lead to a permanent position was made known to all potential candidates. (14)
- Repromotion to a grade previously held under a nontemporary appointment from which the employee requested a change to a lower grade, except when the employee was demoted for

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Authorized Exceptions (C) (continued)

misconduct or unsatisfactory performance. Repromotion within 1 year of a change to a lower grade will not result in a salary increase beyond that which the employee would have attained had he or she remained at the higher grade. (15)

- Promotion as a result of one of the priority conditions identified in Section (D) of this part. (16)

Priority Consideration (D)

Unless the position is filled as required by reference to requisite exceptions or permitted by reference to authorized exceptions, the following individuals **must** be given priority consideration for all vacancies filled in accordance with the competitive procedures of this handbook and for which they meet the basic qualification requirements. (1)

- An employee who fails to receive proper consideration (as defined in this paragraph) in a placement action shall be given priority consideration for the next appropriate vacancy. An appropriate vacancy is one at the same grade level, in the same commuting area, and with comparable promotion opportunities and qualification requirements as the position for which the employee did not receive proper consideration. "Failure to receive proper consideration" means that an error was made in not placing the employee's name in the highest available qualifications category referred for consideration by the selecting official. For each failure to receive proper consideration, an employee is entitled (even if referred along with other candidates entitled to priority consideration) to only one subsequent priority consideration under this provision. (a)
- A former employee separated by a reduction in force (RIF) who is on the Repromotion Priority List (see MD 10.103, "Non-SES Reduction in Force") for the commuting area from

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Priority Consideration (D) (continued)

which he or she is separated shall be given priority consideration for placement in a vacant position for which he or she is qualified in this commuting area. A veteran's preference-eligible candidate is entitled to be selected from the Reemployment Priority List before a nonpreference-eligible candidate. (b)

- An employee in RIF Retention Group I (Regular Excepted) (Career) or II (Regular Excepted Conditional) who has been given a notice that states that he or she will be separated from the NRC by a RIF shall be given the same priority consideration as specified in Section (D)(1)(b) of this part for a former employee separated by a RIF who is on the Repromotion Priority List. (c)
- An employee who is on a Repromotion Priority List shall be given priority consideration for repromotion to a vacant position for which he or she is qualified at the grade level formerly held and at any lower grade levels the employee agrees to accept in the commuting area of the position from which he or she was downgraded. An employee's name will be removed from the Repromotion Priority List if the employee declines a valid job offer. (d)
- An employee in RIF Retention Group I or II who has been given a RIF notice that states that he or she will be downgraded shall be given the same priority consideration as specified for employees on a Repromotion Priority List noted in (d) above. (e)

Under these conditions, HR (or, as appropriate, the regional personnel officer) will refer to the selecting official the application of the priority individual to be considered before any other effort, including issuance of a vacancy announcement, is made to identify candidates for the position. (2)

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Priority Consideration (D) (continued)

The referred individual must be given bona fide consideration and must be selected, unless the selecting official determines that the selection would not be in the best interest of NRC and this determination is approved by the Director, HR. This determination and the reasons for it must be recorded on Form NRC Form 178 (see Exhibit 2). Only after this action is taken may another candidate be selected. (3)

If two or more individuals have rights to priority consideration for the same position, their Standard Form (SF) 171s and performance appraisals will be evaluated, and they will compete against each other for the vacancy in accordance with the procedures described in Part VII of this handbook. (4)

An employee with priority consideration rights who is selected in accordance with Section (D)(4) of this part is selected (in competition with all other employees having priority consideration rights for the vacancy) as an exception to the regular competitive procedures of this handbook. (5)

Record of Exception to Competition (E)

When a position is filled without competition as provided in this part, the circumstances identifying the exception to competition are recorded on the SF 50 (see Exhibit 3).

Part III

Vacancy Announcements

Usage (A)

Except as provided under Section (I) of this part, a representative from the Office of Human Resources (HR), in consultation with the selecting official, prepares and issues a vacancy announcement for all vacancies filled through the competitive procedures of this handbook.

Preliminary Preparation (B)

When a vacancy or other merit competition opportunity exists, the selecting official contacts the appropriate HR representative to discuss the position, review management's need, and develop a preliminary strategy and estimate of the availability of highly qualified candidates. (1)

A request to post a vacancy includes a Standard Form (SF) 52 (see Exhibit 4), a position description (PD), and a memorandum designating panel members. The HR representative advises the requestor whether rating factors and a crediting plan (as defined in Part VI(B)(1)(a) of this handbook) are already on file or whether they will have to be developed. (2)

The HR representative reviews the position with the selecting official to determine what the job entails (i.e., conducts a job analysis). (3)

The HR representative prepares or modifies a PD, depending on whether a PD already exists that reflects the results of the job analysis. Modification of the PD may include lowering the entry grade level of the position to be filled or designating the position

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Preliminary Preparation (B) (continued)

as interdisciplinary (see Exhibit 5) to permit a larger pool of available candidates to apply. (4)

The HR representative and the selecting official identify the rating factors on the basis of the job analysis. This task must be completed before the announcement can be published. (5)

The HR representative prepares a vacancy announcement that specifies the basic qualifications and rating factors that reflect the contents of the PD (see Section (F) of this part for preparation of a vacancy announcement). (6)

Approvals (C)

Generally, when the selecting official and HR representative agree on the vacancy announcement, it will be posted. (1)

Announcements at the GG-14 or GG-15 level must be concurred in by the office director or the regional administrator. This authority may be delegated no lower than division director or equivalent. (2)

When fiscal or ceiling restraints require higher level concurrences to post vacancies, supervisors and managers will be so advised. (3)

Area of Consideration (D)

The area of consideration should be broad enough to allow for a significant number of qualified applicants, but narrow enough to prevent an excessive number of applicants. In determining the area of consideration, consideration should be given to equal employment opportunity objectives, the likelihood of producing sufficient highly qualified candidates without unreasonably restricting fair and open competition, infusion of new ideas and

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Area of Consideration (D) (continued)

strengths into the organization, and budgetary constraints and cost-effectiveness. (1)

Secretarial vacancies at any level and administrative and clerical vacancies at the GG-9 level and below will normally be announced only within headquarters or the region in which they occur. (2)

Vacancies to be filled by temporary promotions of more than 90 days will normally be announced only within headquarters or the region in which they occur, and normally only applicants from within these areas will be considered. (3)

All other vacancies with a full performance level at the GG-9 level or above will generally be announced throughout the entire NRC as a minimum. (4)

These areas of consideration may be expanded at the request of the selecting official. The areas may be reduced to the extent necessary to ensure bona fide consideration of all qualified candidates within the specified area when for budgetary, ceiling, or similar reasons it is not practical to announce the vacancy over a broader area. Any such exceptions to the normal area of vacancy announcement must be agreed to by the selecting official and approved by the Director, HR, on the basis of the identification of the most probable recruitment sources for highly qualified applicants. (5)

Once the area of consideration has been determined, voluntary applicants from outside the area of consideration will not be considered. (6)

Minimum Open Period (E)

Vacancy announcements must be open for a minimum of 5 working days. To ensure that applicants have adequate

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Minimum Open Period (E) (continued)

opportunity to compete, the open period must be long enough for applicants to obtain the necessary forms and submit them to the appropriate office. (1)

The total length of time a vacancy is posted also depends on a number of factors agreed to between the selecting official and the HR representative, including the area of consideration, the nature of recruitment efforts, urgency in filling the position, and the availability of potential applicants. (2)

Some types of vacancies, such as clerk-typist and nuclear engineer, represent frequent staffing needs in many offices and justify "open" announcements. Such announcements may be advertised as "open until filled." (3)

Contents of Vacancy Announcements (F)

Announcements should provide comprehensive information on the duties and requirements of the position. (1)

Vacancy announcements will be prepared by the cognizant personnel specialist based on input from the selecting official. In addition to the standard announcement contents developed by the HR representative, the selecting official and the HR representative should discuss the following items for inclusion as part of the announcement. (2)

- The announcement must list the rating factors identified through the job analysis process, including any weighting that may be assigned to individual factors. In addition, sufficient guidance must be provided so that applicants can address the rating factors in terms of evaluation method criteria. (a)
- Any special conditions of employment, special tailored supervisory performance appraisals, payment of travel and transportation expenses, drug testing, consideration of

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Contents of Vacancy Announcements (F) (continued)

payment of monetary incentives such as a relocation or recruitment bonus, or other such factors, when applicable, must also be included in the announcement. (b)

- General guidance on the types of information that will be reviewed in evaluating rating factors, such as work history, breadth of experience in the field, training, awards, past and current performance, community activities, and so forth, should be listed. (c)
- While not mandatory, external applicants should be encouraged to complete NRC Form 750 (Exhibit 6). The HR representative should attach a copy of this form to the announcement when sent to external applicants. (d)

In describing the basic qualifications in the vacancy announcement, the first basic qualifications option should read as follows: (3)

To meet the basic qualifications for the position, current or former Federal Government employees (and/or NRC employees for NRC-wide vacancies) must have at least 1 year's experience at the next lower grade level in the occupational series (or one of the occupational series listed if the position is interdisciplinary) performing like or similar kinds of duties.

The basic qualifications statement should then continue with other options for meeting the basic or minimum qualifications requirements if the first option is not applicable. (4)

Announcements should contain the following statement: (5)

"Executive Agencies are prohibited from accepting or considering applicants for competitive appointments or positions on the basis of political recommendations from

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Contents of Vacancy Announcements (F) (continued)

members of Congress, congressional employees, elected State or local government officials, and political party officials. Such officials may only supply statements regarding the character and residence of the applicant."

Distribution of Announcements (G)

A list of all vacancies is published in the NRC "Weekly Announcements" distributed to all employees and is included in several automated systems. Specific information is provided concerning the individual to be contacted for copies of the vacancy announcement. (1)

Vacancy announcements are posted, as appropriate, in NRC office buildings. (2)

Announcements for NRC-wide and larger areas of competition are distributed to regional offices. (3)

Announcements that are open to non-NRC applicants are provided to other Federal agencies and appropriate local and State employment service offices, and are posted in various vacancy listing publications, with professional groups, and other appropriate sources. (4)

Readvertising Vacancies (H)

Positions for which no action has been taken within 90 days after the closing date of the announcement or within 90 days after applicants are certified to the selecting official for selection will normally be either cancelled or readvertised. In these cases, a notice will be provided in the NRC "Weekly Announcements" vacancy listing and in automated systems advising of the cancellation or readvertisement.

**Exceptions to Announcement
Requirements (I)**

Requirements for a specific vacancy announcement are waived when it is deemed to be in the interest of the NRC to recruit from outside the agency rather than moving internal candidates (such as in situations when the agency needs to increase its overall employment strength). The Director, HR, may waive the requirements. In such instances, applicants are referred through the NRC's Applicant Review System (ARS). ARS is an expedited method to eliminate the need to post a vacancy for certain positions. The ARS contains a pool of outside applicants for current and future NRC employment. Applications for employment under ARS are submitted in response to a variety of activities, including advertisements, job fairs and campus visits, general employment inquiries, and other endeavors. (1)

If the current vacancy is, in all essential details, identical to one for which a vacancy announcement was issued within the previous 90 days, the Director, HR, may authorize the selecting official to use the results of the earlier vacancy announcement. (2)

The HR representative documents the exception, in writing, including the reasons for and the approval of the exception, and makes it part of the record. (3)

Part IV

Application Procedures

Responding to Vacancy Announcements (A)

Any NRC employee who wishes to be considered for a vacancy announcement must submit an NRC Form 115 (see Exhibit 7). (1)

All applicants, including employees, must submit an application form as indicated in the announcement. Selecting officials, in consultation with the Office of Human Resources (HR), may choose to use a streamlined application format such as that shown in Exhibit 8; a Standard Form (SF) 171, "Application for Federal Employment"; or a streamlined application form that has been developed and approved for use in the NRC by the Office of Management and Budget. The announcement should specify whether the SF 171, the alternate form, or the streamlined format will be used and have a blank copy of the streamlined format or the alternate form attached if it is to be used. (2)

A record of performance assessment, either in the form of an annual appraisal, an NRC Form 561 (see Exhibit 9) for senior staff or supervisory or managerial positions, or a tailored supervisory assessment (see Exhibit 10) must be submitted in accordance with the instructions specified in the vacancy announcement. The tailored assessment forms are especially meaningful when the area of consideration extends, for example, to other Federal employees when little may be known about their annual appraisal system. When a tailored assessment form is used, it is recommended that both the current and the most recent former supervisor complete such an appraisal. If the annual performance appraisal is used, it should be the most current appraisal. If the applicant is unable to obtain a current appraisal, he or she must sign a statement to that effect. (3)

Responding to Vacancy
Announcements (A) (continued)

A supplemental information statement addressing the rating factors should be used, when possible. This statement is mandatory for supervisory and managerial positions, and for all positions at the GG-14 or -15 level. In addition, applicants should be advised to include any information about training, awards, or other experiences in the supplemental statement that is directly related to a specific rating factor. (4)

When the area of competition extends beyond the NRC, applicants should be encouraged to submit an NRC Form 750 (Exhibit 6). Although the applicant does not have to complete this background survey related to equal employment opportunity (EEO), he or she should be encouraged to do so to assist the agency in the monitoring of EEO and affirmative action goals. Information on the form is used for monitoring purposes only and will not be considered in connection with the rating or selection process. (5)

HR is not responsible for supplying official personnel files or information from these files to complete or supplement an application. (6)

Only complete applications, with all required and recommended attachments, received in the HR on or before the closing date of the announcement will be considered unless a later date authorized by HR is specifically designated. (7)

List of Absent Employees (B)

HR (and, as appropriate, the regional personnel officer) will maintain lists of employees temporarily absent for military service, for service with public international organizations, or because of a compensable injury and not exceeding 1 year. These employees will be given automatic consideration for appropriate vacancies. It

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List of Absent Employees (B) (continued)

is the responsibility of the employee who will be temporarily absent to notify his or her personnel representative of an interest in being considered for vacancies during the absence and of the length of the absence. The employee must include an updated SF 171 or other approved alternate application form with the written notification.

Open-Until-Filled (OUF)
Application Procedures (C)

OUF announcements are used to recruit for individual hard-to-fill vacancies and to fill positions on a continuing basis over a specified timeframe indicated by the expiration date of the announcement. The timeframe (60-90-180 days or 1 year) is specified in the announcement. (1)

When the announcement is generic to a particular type of position and specifies different areas of geographic coverage, the Director, HR, may restrict the area of consideration for each vacancy. (2)

HR will determine the "closing date" for receipt and consideration of applications for any individual position covered by the announcement. Normally, when multiple positions are being filled throughout the open timeframe, the cutoff date for any individual action will depend on factors such as the number of qualified applications received at any one point or the impact of the complexity of the position on the amount of advance preparation required by a rating panel. Best-qualified preference-eligible candidates will be certified on all OUF certificates. (3)

To ensure consideration, the applicant should submit all specified documents at one time as a complete application package. Once an internal closing date is identified by HR, incomplete

Open-Until-Filled (OUF)

Application Procedures (C) (continued)

applications will be disqualified. The vacancy announcement will indicate which documents are required, as opposed to recommended. Applicants also should be advised that it is to their advantage to submit any recommended documentation. (4)

Applications for OUF announcements are submitted to the rating panel no earlier than 16 working days after the opening date of the announcement. If no selection is made from this group, the HR representative will submit to the rating panel those applications received later than the 16th day, or later than the last group of applications, but before the expiration date of the announcement. (5)

Rejection of Applications (D)

Applications will be rejected for the following reasons:

- A candidate was not within the area of consideration. (1)
- The applicant does not provide enough information on which to make an eligibility and/or qualifications determination, or the application was not legible. (2)
- The application contained false information, in which case, appropriate authorities will be notified. (3)
- The application was not received in HR by the closing date and no waiver of standard procedures was granted. (4)
- The application was delivered through the U.S. mail in official Government "franked" envelopes, in which case, the application will be returned. (5)

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Rejection of Applications (D) (continued)

- The application was received after the expiration date of an OUF announcement. (6)
- The application was received after all selections had been made for an OUF vacancy. (7)

Acknowledging Applications (E)

After receipt and before the rating of the application, the HR representative will send the applicant an acknowledgment that indicates receipt of the application and whether the applicant meets the basic qualification requirements for the vacancy.

Keeping Applicants Informed (F)

The HR representative will notify all applicants if the position is cancelled. (1)

The HR representative will notify all qualified candidates of the final outcome of the competition. (2)

Part V

Basic Qualification Requirements

General (A)

The basic qualifications required of candidates for any position are developed through consultation between the selecting official and the cognizant representative from the Office of Human Resources (HR). The basic qualifications are determined on the basis of a comprehensive job analysis and must be job related. The basic qualification requirements will be recorded, and information concerning them will be furnished upon request.

Identification of Basic Qualification Requirements (B)

In general, NRC follows the guidance contained in the basic qualification standards for related occupations of the Office of Personnel Management (OPM). (1)

The primary source of basic qualification requirements is the current position description. In using position descriptions, the description of skill required in "Basic Skills" is for full performance after orientation in the position rather than upon entry into the position. Also considered are anticipated expanded functions of the position, if any, such as duties and responsibilities of the future full performance level of a trainee position. (2)

Additional sources of information include the following: (3)

- The immediate supervisor's knowledge of the position (a)
- Requirements of related positions (b)
- Opinions of experts in the occupational field (c)

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Selective Placement Factors (C)

Basic qualifications must include any job-related selective placement factors that have been identified through the job analysis, for example, proficiency in a foreign language.

**Prohibitions, Limitations, and
Special Provisions (D)**

Minimum Age (1)

Candidates must be at least 18 years, except the following candidates, who must be at least 16: (a)

- High school graduates, including candidates who have been awarded a High School General Equivalency Diploma or a High School Proficiency Certificate by a State or territorial-level Board or Department of Education. (i)
- Persons who have not graduated (who have "dropped out") from high school, but who meet either of the following conditions: (ii)
 - Completed a formal training program sponsored by a public or private organization concerned with providing work training for youths that has prepared them for gainful employment (a)
 - Been out of school at least 3 months, not including the summer vacation, and have received a certificate from school authorities agreeing to their employment (b)
- Youth employed during the summer employment program period (May 12 to September 30)— (iii)
- Students employed during vacation periods other than the summer employment program period. (iv)

**Prohibitions, Limitations, and
Special Provisions (D) (continued)**

Minimum Age (1) (continued)

- Students employed on a part-time basis during the school year on temporary appointments, provided all of the following conditions are met: (v)
 - The work schedule for the student has been established through agreement with school authorities. (a)
 - The school authorities have certified that the student is capable of maintaining good standing in school while employed. (b)
 - It is clearly understood that as a condition for continuing the part-time employment the student must remain enrolled in school. (c)

The provisions of the Fair Labor Standards Act relating to the appointment of minors under 18 to positions in occupations classified as hazardous should be followed. (b)

State laws concerning minors are applicable to all types of appointments. The HR representative is responsible for ensuring that all requirements of State law are met and for informing the minor's immediate supervisor of any State restrictions on the employment of minors. These restrictions include the number of hours to be worked or the time of day the minor may work. (c)

Maximum Age (2)

A maximum age requirement may not be established in any qualification standard unless specifically required by applicable law or Federal regulation.

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Prohibitions, Limitations, and
Special Provisions (D) (continued)

Requirements Based on Gender or Physical Factors (3)

Requirements on the basis of candidates' gender or on any special physical factors may be established only when essential to the officially described duties and must be approved by the Director, HR. (a)

Any physical requirements thus established must be waived for any applicant with veterans' preference if, after consideration of the recommendation of an accredited physician, the applicant appears to be physically able to perform the duties of the position efficiently without hazard to self or others. (b)

Special provisions relating to preference-eligible applicants with a 30-percent disability are described in Section (E)(5) of this part. (c)

Educational Requirements (4)

Minimum educational requirements may be established only for a scientific, technical, or professional position when the duties of the position cannot be performed by a person without that education. (a)

NRC generally uses the list of occupations specifying positive educational requirements published by OPM. However, this list shall not be construed as being all-inclusive. If educational requirements are established beyond those described by OPM, this requirement must be approved by the Director, HR, and the reasons for the requirement must be made part of the record. (b)

Personality Tests (5)

Personality tests that are used to appraise personal characteristics are prohibited.

**Prohibitions, Limitations, and
Special Provisions (D) (continued)**

Nepotism (6)

Nepotism prohibitions described in Management Directive (MD) 10.13, "Special Employment Programs," are applicable to special employment programs such as the summer employment and student educational employment programs. Nepotism restrictions described in MD 10.1, "Appointments, General Employment, Details, and Position Changes," are incorporated in this directive by reference.

**Basic Qualification
Determinations (E)**

The designated HR representative, after consultation with the selecting official and other subject matter experts, as appropriate, makes the final determination as to whether a candidate meets the basic qualification requirements for a position. (1)

In cases in which the HR representative and the selecting official cannot agree, the matter will be decided by the Director, HR. (2)

Applicants, to be considered basically eligible, must meet all qualification requirements, including any time-in-grade (rate of promotion) requirements, on or before the closing date of the vacancy announcement. In the case of open-until-filled (OUF) announcements, eligibility requirements must be met upon submission of the application to HR. (3)

Applicants will be allowed to update their applications for an OUFG vacancy announcement in accordance with guidelines specified in the announcement. If no guidelines are specified, qualification requirements must be met at the time the application is submitted to HR. (4)

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Basic Qualification

Determinations (E) (continued)

If the HR representative, in conjunction with the selecting official, determines that on the basis of evidence before him or her a preference-eligible applicant who has a compensable service-connected disability of 30 percent or more is not able to fulfill the physical requirements of a position for which he or she has applied, the HR representative shall so notify the Director, HR. At the same time, the HR representative, via the Director, HR, shall notify the preference-eligible applicant of the reasons for the determination and of the applicant's right to respond to HR within 15 days of the date of the notification. HR will ensure that the notification was promptly sent to the last known address of the preference-eligible applicant and will, before the selection of any other person for the position, make a final determination on the physical ability of the preference-eligible applicant to perform the duties of the position, taking into account any additional information provided. When the Director, HR, has completed a review of the case, the preference-eligible applicant will be notified. (5)

For vacancies advertised at multiple grade levels, the HR representative will determine whether the applicant meets the basic qualifications for the lowest of the advertised grade levels for which the applicant has indicated availability, as well as for any of the higher advertised grade levels. (6)

Qualification Requirements for
Operation of a Federal Motor
Vehicle (F)

For the special qualifications and examination requirements that must be met before an appointment to an NRC position requiring the regular operation of a Federal motor vehicle, see MD 13.5, "Motor Vehicle Operator Standards."

Part VI

Developing Rating Factors

Rating Factors (A)

The selecting official, with the advice and assistance of the Office of Human Resources (HR) representative, will establish, on the basis of a comprehensive job analysis, the job-related rating factors for the position to be filled. The factors should include only those considered to be valid predictors of successful performance in the position. (1)

Rating factors are established in addition to the basic or minimum qualifications for a position described in Part V of this handbook. (2)

Rating factors based on careful job analysis should include not only the occupational knowledges needed to perform the duties of the position, but also the skills and abilities required. These abilities include interpersonal skills and teamwork when they are directly related to the position, such as in project or team leader positions or supervisory or managerial positions. (3)

Rating factors must identify and be described in terms of the measurable skills, knowledges, and abilities for which a method can be developed that distinguishes the best qualified "A" candidates from the qualified "C" candidates (see (B)(2)(b) of this part for evaluation levels). (4)

Rating factors are listed in the vacancy announcement, along with sufficient guidance for the applicant to use in describing skills, knowledges, and abilities for the position. (5)

Rating factors may receive equal weight, or, if one or more factors is/are more important to successful performance in the job, it/they

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Rating Factors (A) (continued)

may be weighted. Any weighting must be clearly stated in the vacancy announcement. (6)

Generally, from three to seven rating factors are identified for evaluation purposes, with five being the most common number. The HR representative and selecting official should keep the number of rating factors to the minimum required for evaluating candidates and making meaningful distinctions among them. (7)

Generally, rating factors should be identified when the position is described and evaluated. The factors should remain constant as long as the described duties and responsibilities are unchanged. When a position is modified, the rating factors should be reviewed to determine whether they also should be modified. (8)

When positions to be filled are interdisciplinary in nature, that is, they can be filled by individuals from several occupational backgrounds, this fact must be reflected in the rating factors. (9)

Once the vacancy announcement is published, no change can be made in the rating factors, including any weighting, unless an amended vacancy announcement is published to describe the changes. (10)

All supervisory and managerial positions, in addition to identifying appropriate job-related technical rating factors, must include the two mandatory supervisory/managerial factors: the interpersonal skills factor and the leadership skills factor, as described below. Additional supervisory/managerial factors may be added if relevant to the type and level of supervisory or managerial position being filled. (11)

- **Interpersonal Skills (a)**

This factor should address the skills involved in oral and written communication, networking, problem-solving and

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Rating Factors (A) (continued)

conflict resolution, coaching and counseling, flexibility and decisiveness, negotiating and representation abilities, and working with subordinates, supervisors, peers, and others. (i)

The following is a sample rating factor: (ii)

Sample Rating Factor for Interpersonal Skills.

Demonstrated ability to communicate well, both orally and in writing; demonstrated ability to use informal and formal networks to build support for programs; demonstrated ability to establish effective working relationships with subordinates, supervisors, peers, and Government and industry officials of diverse backgrounds to foster a motivated team atmosphere; and demonstrated ability to develop and implement successful approaches to problem-solving and conflict resolution.

• **Leadership Skills (b)**

This factor should address the abilities involved in managing a diverse workforce; team building; identifying personnel needs; selecting, motivating, and developing personnel; applying equal employment opportunity (EEO) principles and practices; balancing work to establish a range of career opportunities; planning for the short range and the long range; establishing standards and evaluating performance; ensuring adequacy of internal controls; identifying labor market conditions affecting availability of resources; recognizing potential; and the ability to delegate authority. (i)

The following is a sample rating factor: (ii)

Sample Rating Factor for Leadership Skills. Ability or potential to provide technical and programmatic leadership and to effectively utilize human resources. Ability or potential

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Rating Factors (A) (continued)

success in formulating program goals and objectives, planning long-term and short-term program activities, establishing and controlling procedures and schedules of work products or programs, coordinating and managing technical personnel, establishing methods for evaluating the effectiveness of work programs or procedures, and reviewing and evaluating technical findings and conclusions.

Each of these two mandatory rating factors should be tailored to fit the specific requirements of the supervisory or managerial position being filled. The tailored supervisory appraisal format for appraising supervisory and managerial positions should be used to assess potential and performance (see Exhibit 10). (12)

All other nonsupervisory positions at the GG-14 or GG-15 level must include as a mandatory rating factor interpersonal skills unless the Director, HR, waives this requirement on the basis of a job analysis that determines interpersonal skills are not part of the requirements of the position. (13)

Evaluation Against Rating Factors (B)

General Information (1)

The selecting official with the advice and assistance of HR determines the method by which the skills, knowledge, and abilities of applicants are evaluated in relation to the rating factors that are identified for the position.

Structure (2)

For each of the rating factors identified for the position, candidates will be evaluated and placed in the following three qualification categories: (a)

Evaluation Against Rating Factors (B) (continued)

Structure (2) (continued)

- Category "A" describes the requirements for those candidates whose overall qualifications for the position are *best qualified* in relation to the requirements of the position. The qualifications of the candidates, as determined through evaluation of the application and, when used, interview and reference materials, substantially exceed the basic requirements to the extent that it appears that the candidates will be *exceptionally effective* in the position. (i)
- Category "B" describes the requirements for those candidates whose qualifications are *highly qualified* for the position, that is, the candidates exceed the requirements but are not among the best qualified. The qualifications of the candidates, as determined through evaluation of the application and, when used, interview and reference materials, exceed the basic requirements to the extent that it appears that the candidates will be *very effective* in the position. (ii)
- Category "C" describes the requirements for those candidates whose qualifications *meet but do not exceed* the requirements of the position. The qualifications of the candidates meet basic requirements to the extent that it appears that the candidates will be *reasonably effective* in the position. (iii)

Intermediate ratings such as "B+" or "A-" may not be used as overall qualifications category ratings. (b)

Content (3)

The qualifications that distinguish among the three categories should include multiple measures that assess the candidate's qualifications. The category descriptions must be specific enough to distinguish differences in the qualifications but not so narrow as to eliminate high-quality candidates from nontraditional recruiting

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Evaluation Against Rating Factors (B) (continued)

Content (3) (continued)

sources. Descriptors must contain empirical evidence that supports them as representative of the specified level of quality. The category description for each factor should discuss the following:

- Experience in terms of quality. Breadth and depth of experience by category should be included. Appropriate examples are helpful. Recency of experience may be a factor in the evaluation process and should be indicated when applicable. (i)
- Education, including recency and application to the position being filled, when directly related. If credited, an education beyond any basic minimum occupational educational requirements must be identified as predictive of competency and quality at the level to which it is assigned. (ii)
- Awards applicable to both the rating factor being evaluated and representative of the category level. (iii)
- Development and training, including self-development activities. (iv)
- Outside activities enhancing the candidate's ability to effectively perform the duties of the position in relation to the rating factors. (v)
- Appraisals of performance, especially when performance is linked directly to the rating factors being evaluated. (vi)

Part VII

The Evaluation Process

General Information (A)

Although a rating panel is preferred, the evaluation and rating of candidates may be performed by the selecting official, a rating official, or a rating panel. (1)

All evaluation and rating of candidates must be accomplished with the assistance and advice of the designated representative of the Office of Human Resources (HR). (2)

All vacancies at the GG-12 level and above and all supervisory or managerial positions must use a rating panel. The collective bargaining agreement with the employees' exclusive representative also may require the use of rating panels for certain bargaining unit positions. (3)

If a rating official is used, that official must be an NRC employee chosen by the selecting official. The rating official's grade level must be equal to or exceed the highest grade of the vacancy. (4)

In any case in which there are three or fewer qualified applicants for a position otherwise subject to rating panel review, the Director, HR, may grant an exception to the required use of a rating panel. (5)

The HR representative will provide guidance to selecting officials, rating officials, and/or panel members on their specific responsibilities in evaluating candidates before the evaluation process. (6)

When a rating official or panel is used, their ratings of candidates will become the final ratings of the candidates. The selecting official may not change the ratings. (7)

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Tests (B)

No test shall be used in the NRC unless it has been approved by HR, thus ensuring proper validation. (1)

Whenever tests are used for qualification evaluation purposes, steps will be taken to ensure the following: (2)

- Administration, scoring, and interpretation of results are in accordance with accepted professional standards. (a)
- Results are released to employees and management officials only in such form as will be meaningful to the recipients. (b)

Basic Qualifications Review (C)

The HR representative evaluates the applicants to determine which applicants meet the basic or minimum qualifications and eligibility requirements. (1)

After the HR representative determines eligibility, the application materials from all qualified applicants are referred to the rater for evaluation against each of the rating factors. Applicants who are eligible for reassignment and do not have to be rated may be referred to the selecting official. All applicants eligible for reassignment to supervisory positions and to nonsupervisory positions at the GG-15 level will be rated. (2)

When the rater is either the selecting official or a designated rating official, the rater will evaluate qualified applicants against the rating factors following the guidelines described in this part for rating panels. (3)

Before the evaluation process by a rating official or a rating panel begins, the selecting official has the opportunity to address the rater(s) to clarify his or her perspective on the rating factors, the crediting plan, and the position requirements. Any discussion will

Basic Qualifications Review (C) (continued)

be limited to job-related information and will not include applicants or projected outcomes. All comments must be made in the presence of the HR representative to ensure adherence to merit principles. (4)

Selection of Rating Panel

Members (D)

All rating panel members must be approved by the office director or the regional administrator (or designee), who also will designate a chairperson from among the members to preside over the panel proceedings. (1)

The designated HR representative will be a nonvoting member of the panel. The grade level of the HR representative is not restricted because the HR representative is a nonvoting member. (2)

Rating panels also will consist of at least three voting members. The grade levels of these voting members will be equal to or exceed the highest grade of the vacancy. An odd number of panel members is helpful in order to avoid tie votes during evaluation deliberations. (3)

To allow for as wide a point of view as possible, at least one panel member should be an employee of an office other than the office in which the vacancy exists. (4)

Each office may designate a roster of potential rating panel members if sufficient staff are available. (5)

- Diversity should be considered when appointing individuals to rosters. (a)

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Selection of Rating Panel

Members (D) (continued)

- The roster should consist of a sufficient number of panel members at the grade levels appropriate to the grade levels of the anticipated vacancies. (b)
- HR will coordinate the selection of panel members for specific panels from these rosters, if they have been drawn up. (c)
- The roster should be changed periodically, for example, every 6 months to 1 year. (d)

All panel members, once designated to serve, will receive an orientation on the panel's responsibilities and the panel rating process. (6)

The selecting official and the supervisor of the vacant position are prohibited from serving on the rating panel. Additionally, a direct subordinate in the chain of command to the supervisor normally should not serve on the panel. (7)

Individuals serving as mentors are prohibited from serving as panel members if their current mentees are applicants for the position. (8)

If the subject matter expertise of persons subordinate to the supervisor is required for the effective evaluation of the candidates, no more than one such person may serve on the panel. (9)

The selecting official and the supervisor are prohibited from taking any action that might influence the vote of any panel member. (10)

The Director of HR, the Inspector General, the Director of Small Business and Civil Rights, the Civil Rights Program Manager, and the Affirmative Action and Federal Women's Program Manager

Selection of Rating Panel

Members (D) (continued)

are prohibited from serving on any rating panel. This prohibition is invoked to preserve their objectivity in the possible future investigation, counseling, and/or processing of any formal complaint of impropriety or discrimination filed in connection with the actions of a panel or the selection process in general. This prohibition does not extend to other HR employees. (11)

Functions of Panel Members (E)

The functions of the HR representative are to ensure that merit principles are observed and to provide professional advice to the voting panel members concerning personnel policies, practices, and procedures, as well as to provide assistance to the panel members. The HR representative has the authority to stop the panel proceedings if he or she determines that a prohibited personnel practice or a violation of merit principles is occurring. (1)

Rating panel members are responsible for— (2)

- Observing merit principles in their deliberations (a)
- Evaluating the qualifications of all qualified applicants so that they can assign a rating to each specific factor for each qualified applicant (b)
- Assigning a final overall qualifications category rating to each qualified applicant (Within each category, applicants are considered to be equivalently qualified thereby providing the selecting official the broadest possible choice of candidates. Refer to the collective bargaining agreement with the employees' exclusive representative for provisions concerning candidates for bargaining unit positions.) (c)

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Functions of Panel Members (E) (continued)

- Providing a list of all eligible applicants rated in each qualifications category for certification to the selecting official (d)

Convening the Panel (F)

After the HR representative has determined which applicants meet the basic or minimum qualifications and eligibility requirements, the panel chair or the HR representative will convene the panel and forward materials to the panel as quickly as possible. (1)

The HR representative will attend all panel meetings as a nonvoting member and technical advisor. In special cases, for example, when the panel is located in a different commuting area, the HR representative may participate in the meeting through a telephone conference call. (2)

Designated panel members who have not been provided with a basic orientation on panel responsibilities and the rating process will be briefed before the first full meeting of the panel. (3)

Preliminary Panel Review (G)

Panel members will ensure they are familiar with the requirements of the position to be filled through review of appropriate documents, including the position description and the vacancy announcement as a minimum. At this time, the supervisor of the position or a designated subject matter expert may wish to discuss the requirements of the position and to answer any question the panel may have regarding position requirements, the rating factors, or the method of evaluation. (1)

Panel members should work with the HR representative in determining how to resolve any questions that arise from the panel's review of factual material presented by applicants in support of their qualifications. (2)

Preliminary Panel Review (G) (continued)

If there are a large number of qualified applicants, the panel may choose to tentatively rate each qualified applicant independently and then reconvene to compare ratings and agree on a mutual rating for each qualified applicant. (3)

The panel may prefer to tentatively rate each qualified applicant together, arriving at a mutual rating without having independently made an individual rating. (4)

Tentative Ratings (H)

Panel members must evaluate all applicants the HR representative finds basically or minimally qualified. Panel members must review and evaluate each qualified applicant's materials (application, supplemental statement, appraisals, training, awards information, and so on) against the factor level descriptions in the crediting plan, with due regard for any required capacity for growth and development. Panel members should give significant consideration to performance in relation to the qualifications categories for each factor. (1)

The panel must assign a tentative qualifications category rating of "A," "B," or "C" to each rating factor and to an overall rating for each applicant. The overall qualifications category rating must be agreed to by a majority of the panel members. (2)

The panel may use any logical and consistent system for rating individual factors and for arriving at a tentative overall qualifications category rating of "A," "B," or "C" for each qualified applicant. The panel must apply the system consistently to each applicant. (3)

The tentative overall rating must be logically tied to the tentative individual factor ratings. In cases in which an applicant's overall rating falls evenly between two qualifications categories, the higher of the two qualifications category ratings shall be assigned. (4)

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Tentative Ratings (H) (continued)

When the vacancy announcement has been publicized at multiple grades, candidates shall be rated at the lowest grade for which they have indicated availability and also for any higher grades for which they meet the basic qualifications. This practice may result in the applicant's receiving the same ratings at all three grade levels or lower ratings at the higher grade levels because the requirements of the higher graded position are more stringent. This result will vary from case to case, depending on the type of position, the span of grade levels involved, and the qualifications of individual applicants. (5)

On the basis of the tentative ratings, the panel may wish to obtain further information from reference checks with supervisors or others knowledgeable about the applicants skills, knowledges and abilities, or interviews with applicants within a qualifications category. This procedure is most frequently followed when a large number of individuals are tentatively assigned to the "A" group. Panels may prefer to interview tentative "A" category applicants for positions at GG-14 and GG-15. The reason(s) for any interviews, including a general statement explaining what information about the candidate the interview was intended to elicit, should be prepared for the record. (6)

When interviews are not used, the tentative ratings become the final ratings. (7)

Evaluation Interviews (I)

The panel may hold evaluation interviews to assess job-related qualities in the applicant that can be determined through the interview process, such as oral communications skills or to refine evaluations tentatively made through the review of the application documents. These assessments may include determining the depth or breadth of experience of the applicant, obtaining additional information about the applicant not readily obtainable otherwise, or similar reasons. (1)

Evaluation Interviews (I) (continued)

Information obtained during the interview may influence one or more of the ratings tentatively assigned to the applicant. (2)

Before conducting any interviews, the panel must have completed the tentative rating process. (3)

When the panel determines it is necessary to interview candidates before assigning a final rating, the panel must ensure the consistency of the interview policy to ensure merit principles are observed. All candidates in a group (e.g., tentative A candidates) should be interviewed if one is interviewed. (4)

Interviews may be in person or by telephone. (5)

Interviews should be well planned in terms of observations, the evaluation standards to be applied, questions to be asked, and the procedures for conducting the interview session. (6)

A written record of the interview should be developed. (7)

Each interviewed applicant must be treated uniformly. Thus, each interviewed applicant must be interviewed by the panel as a group rather than by individual panel members. If it is not possible for all members of the panel to be present, the results of the interview must be communicated to the absent member by the members who were present. In no instance may only one member of a panel conduct the interview. (8)

The same general subject matter must be covered with each interviewee. (9)

Because interviews give only a brief, general impression of the applicant and are conducted in a setting that may not be representative of the work situation. (10)

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Evaluation Interviews (I) (continued)

At its option, NRC may authorize travel expenses for interviews in accordance with applicable travel regulations. (11)

Final Ratings (J)

Once the panel factors any additional information obtained by reference checks or interviews into the ratings, the panel will assign a final rating of "A," "B," or "C" to each qualified applicant. (1)

Within each category, applicants are considered to be equivalently qualified, thereby providing the selecting official the broadest possible choice of candidates. The panel cannot "rank" applicants within the category. See the collective bargaining agreement with the employees' exclusive representative for provisions concerning candidates for bargaining unit positions. (2)

The panel must use the same system to assign final ratings as that used to assign individual factor and overall tentative ratings, and the panel should ensure that overall ratings are logically tied to the individual factor ratings. (3)

Final evaluation ratings will be based solely on application documents submitted by the applicants, reference inquiries, performance appraisals (annual and/or tailored), and applicant interviews, if any. (4)

A majority of the panel members must agree to the overall qualifications category rating. (5)

Documentation (K)

All individual rating factor ratings and the agreed-upon final ratings will be recorded on the selection certificate by the HR representative. Panel members shall sign the form to indicate that

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Documentation (K) (continued)

the recorded ratings accurately reflect the panel's action. This form, all application materials, and all official records of the panel, including formal interview summaries and reference checks, will be given to the HR representative for review of compliance with applicable regulations. (1)

The panel must develop a record of their proceedings sufficient to ensure that any resulting selection action can be reconstructed when necessary. (2)

The HR representative is responsible for ensuring that the merit competition record file contains the documents necessary to reconstruct the action. (3)

Uncirculated personal notes, preliminary candidate evaluations, and other documents and working papers of a panel member are not agency records and should not be included as part of the official records of panel proceedings. These uncirculated personal notes are the individual panel member's personal property and may be retained as a memory aid or discarded. However, if personal notes are shown to another panel member, or to anyone else, they become an agency record, and if retained by the panel member or included in the panel record, the notes are subject to disclosure. (4)

Records of panel proceedings are subject to the requirements of the Freedom of Information and Privacy Acts and are maintained by HR or the regional personnel officer, as appropriate, for 2 years after the date of selection. (5)

Exceptions to the Rating

Panel Procedures (L)

Any exception or deviation from the described administrative or procedural requirements, in addition to the exception for three or

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Exceptions to the Rating
Panel Procedures (L) (continued)

fewer qualified applicants, may be granted by the Director, HR. Each exception or deviation and the reasons for it will be documented in writing and will become part of the selection action record for the position to which it pertains.

Part VIII
The Selection Process

Order of Consideration (A)

General (1)

In the event that no candidates possess priority consideration rights or merit an exception to competition that is required or authorized, candidates for a vacant position will be certified for selection by qualifications category. Candidates in the highest qualifications category will be considered first. Candidates in a lower category such as "B" cannot be certified for selection or considered if candidates are available in the higher category of "A." (a)

At no time can candidates in a lower qualifications category appear on the same certificate as candidates in a higher qualifications category. (b)

All qualified applicants who are eligible for noncompetitive movement (including lateral reassignments, transfers, and individuals eligible for repromotion) into the position are certified to the selecting official in alphabetical order, without individual factor ratings and without being placed in an overall qualifications category, with the exception noted below. They are certified on the basis of eligibility only and are considered along with the competing candidates certified in the highest available qualifications category. An exception to this practice covers applicants who are eligible for noncompetitive movement into GG-15 positions or into supervisory positions at any grade level. These applicants are rated. (c)

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Order of Consideration (A) (continued)

Veterans' Preference (2)

Except as noted below, outside non-Federal candidates are considered in accordance with veterans' preference requirements as follows:

- Outside candidates for professional and scientific positions at the GG-9 level or higher, or at comparable pay levels, are considered *within each qualifications category* in the following order: (a)
 - Ten-point veteran preference-eligible candidates (i)
 - Five-point veteran preference-eligible candidates (ii)
 - Nonveterans (iii)
- Outside candidates for positions other than those described above are considered in the above order with the following exceptions: (b)
 - Qualified disabled veterans who have compensable, service-connected disabilities of 10 percent or more are considered before any other outside candidates *regardless of the qualifications categories of the other candidates*. (i)
 - Regardless of qualifications category, outside candidates not entitled to veterans' preference may not be selected for positions of guard, elevator operator, messenger, or custodian if there are any qualified outside candidates with veterans' status. (ii)
- The above procedures pertaining to veterans' preference considerations also will be applied to any group of applicants being referred for consideration as part of the Applicant Referral System (ARS). (c)

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Order of Consideration (A) (continued)

Veterans' Preference (2) (continued)

- Generally, when considering outside non-Federal candidates, a nonveteran may be hired only when veterans are not available within the highest rating category. (d)
- Veterans' preference procedures are not applicable to NRC applicants with NRC Regular (Excepted) or NRC Regular (Excepted) (Conditional) status or to other Federal Government applicants with Career or Career Conditional status. (e)
- When the selecting official wishes to pass over a veterans-preferred outside candidate (except for guards, elevator operators, messengers, or custodians) to select another outside candidate without veterans' preference other than an outside candidate covered by an exception listed below, the reasons must be described in writing and approved by the Director, Office of Human Resources (HR). A copy of the reasons must be given to the veterans' preference-eligible candidate upon his or her request. (f)
- Outside candidates in the following groups may be considered and selected without regard to the veterans' preference requirements described above. (g)
 - Former employees of the NRC or the Atomic Energy Commission (AEC) eligible for reinstatement to a position in the NRC. (i)
 - Former employees of any Federal agency who are eligible for reinstatement to a Federal position. (ii)

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Order of Consideration (A) (continued)

Positions at Multiple Grades (3)

When the vacancy has been publicized at multiple grade levels, applicants are certified and considered separately in the order indicated above for each grade level.

- Applicants in the highest available qualifications category and noncompeting candidates are certified and considered for the lowest grade for which they have indicated availability, and also for any higher grades for which they are in the highest available qualifications category. (a)
- The selecting official may select a candidate from among the competing candidates in the highest available qualifications category in any given grade level, regardless of the possible availability of candidates in a higher qualifications category at another grade level. Similarly, the selecting official may select a noncompeting candidate at any grade level. (b)

Reinstatement Eligibility (4)

Former NRC and/or former AEC employees and former Federal employees from other Federal agencies who have served under any appointment without time limitation that was subject to the NRC merit selection system are eligible for reinstatement when reinstatement is made within the time limits, as follows:

- Former employees who have completed the service requirement for an NRC Regular (Excepted) appointment may be reinstated without time limitation. (a)
- Former employees entitled to veterans' preference may be reinstated without time limitation. (b)

Order of Consideration (A) (continued)

Reinstatement Eligibility (4) (continued)

- Former nonveteran employees who have not completed service requirements for an NRC Regular (Excepted) appointment may be reinstated within 3 years following the date of their separation from NRC employment. (c)

Exception to the Order of Consideration (B)

When authorized by the Director, HR, consideration may be limited to NRC employees or NRC employees within a specific office if, for budgetary, ceiling, or similar reasons, it is not practical to appoint any additional personnel.

Responsibilities of the Selecting Official (C)

Options Concerning Panel Ratings (1)

The selecting official may not change the panel's final overall qualifications category rating. (a)

If the selecting official disagrees with the ratings, he or she may remand the merit selection package or the selection certificate to the rating entity, along with reasons for the disagreement, for the rating entity's reconsideration. (b)

The selecting official is not required to select any of the applicants rated and certified by the panel. (c)

- The selecting official may reject the panel's findings after consultation with the HR representative and seek additional candidates through reposting the vacancy and initiating a new recruitment process. (i)

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**Responsibilities of the
Selecting Official (C) (continued)**

Options Concerning Panel Ratings (1) (continued)

- The selecting official may select a noncompeting, and thus not rated, candidate for the vacancy (see Section (A)(1)(c) of this part). (ii)
- The selecting official may cancel the vacancy and not fill the position. (iii)

If the selecting official exercises any of these options, he or she must have a sound managerial reason for doing so and should document the reason in the selection file. (d)

The selecting official may make a selection from those certified as best qualified. (e)

Reference Checks (2)

Selecting officials should conduct reference checks with current and previous supervisors, and, as appropriate, others who can provide job-related information on the candidates. (a)

Selecting officials may consider any job-related information in evaluating candidates. (b)

Interviews (3)

Interview information collected by the selecting official is not intended to refine or change the ratings; but rather to serve as an aid in making a selection from among essentially equivalently qualified candidates. (a)

**Responsibilities of the
Selecting Official (C) (continued)**

Interviews (3) (continued)

As with panel interviews, if the selecting official interviews, the interviews should be well planned, structured, and applied uniformly to all best qualified candidates on the selection certificate. Interviews may be in person or by telephone. (b)

Travel expenses for interviews by the selecting official may be authorized at the NRC's option in accordance with applicable travel regulations. (c)

Suspension of Selecting Authority (4)

The Director, Office of Small Business and Civil Rights (SBCR), has the authority to recommend to the Executive Director for Operations (EDO) that the authority of any office to make personnel selections be suspended if the office demonstrates a lack of good faith in complying with NRC equal employment opportunity (EEO) policies and procedures. (a)

The Director, SBCR, will recommend to the EDO the establishment of rating panels in these instances. The Chairman will be informed of any panel recommendations and subsequent actions. (b)

An apparent lack of good faith may stem from many sources. Suspension of selection authority will depend on the particular facts in a given situation, the seriousness of the allegation, if any, and will occur only after consultation with the selecting official, the office director, and any other appropriate agency officials. (c)

If efforts to resolve the problem are unsuccessful, the EDO will inform the office director by memorandum of the details of the

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**Responsibilities of the
Selecting Official (C) (continued)**

Suspension of Selecting Authority (4) (continued)

suspension of selecting authority. A copy of this memorandum will be forwarded to the Director, HR, who will institute appropriate procedures. (d)

Selection (5)

The selecting official will then make a selection from the certificate and notify HR or return the selection certificate to HR without making a selection.

Certification and Records (D)

The HR representative will supply NRC Form 178 (Exhibit 2) to record applicant evaluation, certification, and selection. This form documents the selection and verifies that it has been made in accordance with merit selection principles and appropriate veterans' preference requirements. It is completed as part of the process of filling positions under the competitive procedures discussed in this handbook. The component parts of the form are used as follows: (1)

- The "Candidate Evaluation Record" shows all qualified candidates who have been considered, the qualifications categories assigned, and the veterans' preference status, if applicable. It also shows the rating factors used. The final qualifications category rating is also shown. This part is generally completed by the rating panel, with technical assistance from the HR representative. (a)
- The "Certification Record" lists only those candidates certified for selection from whom a selection may be made in accordance with merit principles and requirements. This part

Certification and Records (D) (continued)

is completed by the HR representative, who then forwards it to the selecting official along with the application materials of the candidates listed and the "Candidate Evaluation Record." (b)

- The "Selection Record" shows the candidate(s), if any, selected by the selecting official from among those listed in the "Certification Record." If no candidate is selected, this fact is documented. This section is signed by the selecting official. (c)

HR (or the regional personnel officer, as appropriate) will maintain records of each vacancy filled under the competitive procedures described in this handbook for 24 months from the date of selection; HR will then destroy these records unless legal considerations require that the records be maintained for a longer period. The HR representative will ensure that each merit competition file contains all records, including panel records, necessary for the possible reconstruction of the action. (2)

Any materials forming a part of the selection files will be disclosed, as required, in accordance with provisions of the Privacy and Freedom of Information Acts. (3)

Confidentiality of any crediting plan will be maintained as required by law. (4)

Grievances (E)

Employees have the right to file a complaint relating to an action processed in accordance with the competitive procedures described in this handbook. (1)

Complaints will be resolved under EEO procedures, the agency grievance procedure, or the negotiated grievance procedure, as appropriate. (2)

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Grievances (E) (continued)

Although the application of the procedures used by NRC to identify and rate qualified applicants is a proper subject for a grievance, nonselection from among a group of properly rated and certified candidates is not. (3)

If it is determined that an employee's name, through error, was not placed in the highest available qualifications category referred for consideration by the selection official when it should, absent the error, have been on the list, the employee is entitled to priority consideration as described in Part II of this handbook. This determination may be the result of a formal process or through a subsequent finding by the HR representative. (4)

Release of Employees (F)

General (1)

Every employee within the area of consideration specified in the vacancy announcement has a right to apply for any vacancy for which he or she is qualified, irrespective of whether the position would represent a promotion, a voluntary change to a lower grade, or a lateral reassignment. (a)

Every selecting official is obliged to genuinely consider each certified applicant for the vacancy. (b)

Promotion (2)

The applicant who is selected for promotion or for a position that offers known promotion potential has a right to the position because his or her value to the organization will be enhanced when the employee assumes more significant duties. This employee will normally be released by the employing organization by the end of the first full pay period following the request for release on a case-by-case basis. A release may be delayed based

Release of Employees (F) (continued)

Promotion (2) (continued)

on workload considerations if agreed to between the employing and acquiring organizations; however, in this case, the individual will normally be promoted to the position and then detailed to the former position during the period of extension.

Reassignment Issues (3)

An applicant for a lateral reassignment or a voluntary change to a lower grade, without known promotion potential or with promotion potential that does not exceed that of the individual's current assignment, has a right to be considered for a position but does not have a right to that position. This individual's value to the agency may be as great or greater in his or her current position. Every such candidate must be considered. If selected, and if the applicant's current employing organization objects to releasing the employee, the losing organization may document its reasons, and the issue will be decided by the NRC official exercising managerial direction over both organizations. (a)

The individual's contributions to the agency in the current position versus potential contributions in the new position and the priorities of the respective programs; the individual's personal desires and career aspirations; and the negative effect on the employee's motivation and morale resulting from a denial of the reassignment will be carefully weighed in making the final decision. (b)

Exhibit 1
Agreement for the Movement of Personnel
Between the Civil Service System and
the Nuclear Regulatory Commission (NRC)

In accordance with the authority provided in section 6.7 of the Civil Service Rules, employees serving in positions in the Nuclear Regulatory Commission (NRC) may be appointed to positions in the competitive civil service, and employees serving in positions in the competitive civil service may be appointed to positions in the NRC subject to the following conditions:

1. Type of appointment held before movement

Employees of the NRC must be serving in continuing positions under NRC regular appointments (excepted) or NRC regular appointments (excepted) (conditional). Employees in the competitive civil service must be serving in continuing positions under career-conditional or career appointments.

2. Qualification requirements

Employees of the NRC must meet the qualification standards and requirements for the position to which they are to be appointed in accordance with Civil Service Commission (CSC)* established regulations for transfer of employees within the competitive civil service. Employees in the competitive service must meet the regular standards and requirements established by the NRC for appointment to the position.

3. Length of service requirement

Employees of the NRC must have served continuously for at least 1 year in the NRC before they may be appointed to positions in the competitive civil service under the authority of this agreement. Employees in the competitive civil service must have completed the 1-year probational period required in connection with their career-conditional or career appointments in the competitive service before they may be appointed to positions in the NRC under the authority of this agreement.

*Now the Office of Personnel Management (OPM).

Exhibit 1 (continued)

4. Selection

Employees of the NRC may be considered for appointment to positions in the competitive civil service in the same manner that employees of the competitive service may be considered for transfer to such positions. Employees in the competitive service may be considered for appointment to a position in the NRC on the basis of their qualifications for the positions to be filled without regard to the order of selection within qualification categories provided for in the special plan approved by the CSC for the NRC under Section 302.104 of the Civil Service Regulations.

5. Type of appointment granted after movement

Employees of the NRC who are appointed to competitive positions under the terms of this agreement will have career or career-conditional appointments, depending upon whether they meet the 3-year service requirement for career tenure. The service which commences with an NRC regular appointment (excepted) or an NRC regular appointment (excepted) (conditional) will be acceptable toward meeting the service requirement. Employees of the competitive civil service who are appointed to positions in the NRC under the terms of this agreement will receive NRC regular (excepted) appointments or NRC regular (excepted) (conditional) appointments, depending upon whether they meet the 3-year service requirement for career appointment.

6. Probationary and trial periods

Employees who are appointed under this agreement will not be required to serve new probationary or trial periods.

7. Status

NRC employees who are appointed in the competitive civil service under the terms of this agreement will receive competitive civil service status. Thereafter, such employees will be entitled to the benefits and privileges provided by the CSC's rules, regulations, and instructions for persons having a competitive civil service status. Employees of the competitive civil service who are appointed by the NRC

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Exhibit 1 (continued)

under the terms of this agreement will have whatever privileges are normally provided by the NRC to persons who initially receive NRC regular (excepted) to NRC regular (excepted) (conditional) appointments in that agency.

8. Effective date

This agreement becomes effective on October 1, 1975, and shall expire, unless renegotiated, on December 31, 1978.* Further, this agreement may be terminated thirty (30) days following notice from either agency.

//S//

William S. Anders, Chairman
Nuclear Regulatory Commission

10/28/75
(Date)

//S//

Robert E. Hampton, Chairman
United States Civil Service Commission

10/6/75
(Date)

*Extended without time limitations by Federal Personnel Manual (FPM) letter 315-12, dated December 29, 1978.

Exhibit 1 (continued)

**Office of Personnel Management (OPM) Clarification of
Requirements for Noncompetitive Movement**

In response to a March 23, 1984, query to OPM regarding the Interchange Agreement and the issue of noncompetitive movement of career employees between the Nuclear Regulatory Commission (NRC) and the competitive civil service, OPM sent the following response.

"Dear Mr. Bird:

This refers to your letter of March 23, 1984, and subsequent discussions concerning the requirements for noncompetitive movement of career employees between the Nuclear Regulatory Commission and the competitive civil service.

In your letter, you voice concern that the provisions of the Federal Personnel Manual (FPM), regarding noncompetitive appointment in the competitive service based on service under other merit systems (FPM chapter 315, subchapter 6, paragraph 2(c)), are more restrictive than, and significantly different from, the language of the Interchange Agreement for the Movement of Personnel Between the Civil Service Commission-now OPM-and NRC in 1975). Specifically, you point out two areas of contention: the type of appointment an NRC employee must serve under to be eligible for noncompetitive appointment into the competitive service; and the period of service required for eligibility to move under the agreement. In both instances, the language of the interchange agreement, in comparison to the FPM, is seemingly open to more than one interpretation.

Implicit in OPM's decision to enter into an interchange agreement under civil service rule 6.7 is an affirmative finding that the agreement meets the requirements of law concerning appointments to the competitive service and that the movement permitted by the agreement will promote good civil service administration. Any interpretation of an agreement that is adverse to OPM's responsibility to administer the civil service system, pursuant to established requirements, is void and lacking of any legal effect. OPM cannot be made to accept an interpretation that was beyond its understanding of the terms of the agreement at the time the agreement was entered into.

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Exhibit 1 (continued)

Thus, it is our opinion that the interchange agreement, though not as precisely stated, was intended to mirror the meaning of the FPM language regarding the length of service required for movement. We cannot agree, that the language of the agreement clearly affords eligibility for noncompetitive appointment to persons who do not have 1 year of continuous service immediately before the move. Paragraph 3 of the agreement states that, "Employees of the NRC must have served continuously for at least 1 year in the NRC before they may be appointed to positions in the competitive civil service." This requirement, in conjunction with the requirement in Paragraph 1 that the employees be serving in qualifying NRC appointments at the time of noncompetitive movement, should be read as requiring that employees have 1 year of continuous service before the move.

Further the use of the word "continuous" clearly indicates that breaks in service affect eligibility for movement. Although the agreement does not contain a direct reference to breaks in service, the use of the word "continuous" demonstrates an intent that breaks in service will affect that eligibility. In contravention of the fact that the language of the agreement is somewhat imprecise, we can find no basis to conclude that it was intended to provide noncompetitive appointment eligibility to persons who do not have 1 year of current, continuous service, even though these persons may have satisfied the service requirement during an earlier period of employment.

As to your other point of contention, we believe that the language of the interchange agreement would, indeed, permit service in a temporary appointment to be credited toward the 1-year service requirement as long as the employee held a permanent appointment at the time of the noncompetitive appointment. Therefore, any NRC employee who meets the service requirement set out in the agreement is eligible for noncompetitive appointment into the competitive civil service. However, since temporary service is not credited toward career tenure in the civil service, only service under the permanent appointment, would be considered in determining whether the individual received a career-conditional or a career appointment in the competitive service.

In conclusion, we believe that the requirement for current, continuous service contained in FPM chapter 315 is correct and its intent is mirrored in the interchange agreement between OPM and NRC. Further, FPM chapter 315 implicitly recognizes and permits

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Exhibit 1 (continued)

service in a temporary appointment to be credited toward the one year service requirement as long as the employee held a permanent appointment at the time of noncompetitive appointment.


Sincerely,

/s/

Donald L. Holum, Chief
Staffing Policy Analysis Division"

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Exhibit 1 (continued)


UNITED STATES
OFFICE OF PERSONNEL MANAGEMENT
WASHINGTON, D.C. 20415
JUN 24 1994
OFFICE OF THE DIRECTOR

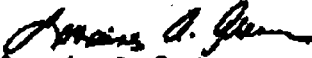
Mr. Paul E. Bird
Director, Office of Personnel
Nuclear Regulatory Commission
Washington, DC 20535-0001

Dear Mr. Bird:

I have approved your request to amend the personnel interchange agreement between the Nuclear Regulatory Commission (NRC) and the competitive service. Effective immediately, employees who are involuntarily separated without personal cause will be eligible for noncompetitive appointment for 1 year from the date of separation.

This amendment brings the provisions of NRC's interchange agreement into line with the provisions of agreements established with other agencies. In accordance with the intent of 5 CFR 6.7 that agreements be reciprocal, the new provisions will apply to employees of both NRC and the competitive service. We will notify other agencies of this amendment and of NRC employees' expanded eligibility for noncompetitive appointments.

Sincerely,


Lorraine A. Grass
Deputy Director

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Exhibit 2
NRC Form 178, "Candidate Evaluation, Certification
and Selection Record"

NRC FORM 178 OCT 1984 FORC-100		U.S. EMPLOYEE RELATIONS COMMISSION	
CANDIDATE EVALUATION, CERTIFICATION AND SELECTION RECORD			
PART B - CERTIFICATION RECORD			
TO: (Authorized Selecting Official)	VACANCY ASSIGNMENT NO.	CERTIFICATE NO.	SAPS/UNIT STATE
	POSITION TITLE		GRADE
	OFFICE OR OFFICE		
	BRANCH AND DIVISION		
THIS CERTIFIES THAT:			
1. Part A contains a proper rating and characterization of candidates in accordance with the NRC Merit System and other applicable provisions of NRC Manual Chapter 4100.			
2. The candidates listed below comprise an appropriate group in accordance with the NRC Merit System and other applicable provisions of NRC Manual Chapter 4100 from which a selection may properly be made.			
BEST QUALIFIED CANDIDATES		REASSESSMENT ELIGIBLE	
APPROVED/DATE BY SIGN. OR PRINT NAME	SIGNATURE/DATE, ADDRESS	SIGNATURE/DATE, ADDRESS	
SIGNATURE/DATE BY SIGN. OR PRINT NAME	TITLE	DATE	
PART C - SELECTION RECORD			
THE FOLLOWING CANDIDATE(S) HAS (HAVE) BEEN SELECTED FOR THE POSITION(S) DESIGNATED.			
SIGNATURE/DATE BY SIGN. OR PRINT NAME		DATE	

NRC FORM 178 (2-85)

Exhibit 2 (continued)68

Approved: February 21, 1996

Exhibit 3

Standard Form 50, "Notification of Personnel Action"

Approved: February 21, 1996

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Exhibit 4
Standard Form 52, "Request for Personnel Action"

Request Form 88 Rev. 1981 U.S. Office of Personnel Management PPM Form 88-2b, Rev. 3		REQUEST FOR PERSONNEL ACTION	
PART A - Requesting Office (Also complete Part B, Items 1, 7-22, 23, 24 and 25) 1. Action Requested		2. Request Number 3. Position Number Code	
5. For Additional Information Call Person and Telephone Number		4. Position Title Code	
6. Action Authorized By (Typed Name, Title, Signature, and Official Title)		7. Action Authorized By (Typed Name, Title, Signature, and Official Title)	
PART B - For Preparation of SF 50 (Use only codes in FPMR Supplement 250-1. Show all dates in month-day-year codes)			
1. Status (Plan, Phil, Adhuc)		2. Status Security Matter 3. Date of Birth 4. Effective Date	
FIRST ACTION 5-A. Code 5-B. Nature of Action		5-C. Code 5-D. Nature of Action	
5-E. Code 5-F. Nature of Action		5-G. Code 5-H. Nature of Action	
7. FROM: Position Title and Number		15. TO: Position Title and Number	
1. For Plan 3, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 20, 21, 22, 23, 24, 25, 26, 27, 28, 29, 30, 31, 32, 33, 34, 35, 36, 37, 38, 39, 40, 41, 42, 43, 44, 45, 46, 47, 48, 49, 50, 51, 52, 53, 54, 55, 56, 57, 58, 59, 60, 61, 62, 63, 64, 65, 66, 67, 68, 69, 70, 71, 72, 73, 74, 75, 76, 77, 78, 79, 80, 81, 82, 83, 84, 85, 86, 87, 88, 89, 90, 91, 92, 93, 94, 95, 96, 97, 98, 99, 00, 01, 02, 03, 04, 05, 06, 07, 08, 09, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 20, 21, 22, 23, 24, 25, 26, 27, 28, 29, 30, 31, 32, 33, 34, 35, 36, 37, 38, 39, 40, 41, 42, 43, 44, 45, 46, 47, 48, 49, 50, 51, 52, 53, 54, 55, 56, 57, 58, 59, 60, 61, 62, 63, 64, 65, 66, 67, 68, 69, 70, 71, 72, 73, 74, 75, 76, 77, 78, 79, 80, 81, 82, 83, 84, 85, 86, 87, 88, 89, 90, 91, 92, 93, 94, 95, 96, 97, 98, 99, 00, 01, 02, 03, 04, 05, 06, 07, 08, 09, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 20, 21, 22, 23, 24, 25, 26, 27, 28, 29, 30, 31, 32, 33, 34, 35, 36, 37, 38, 39, 40, 41, 42, 43, 44, 45, 46, 47, 48, 49, 50, 51, 52, 53, 54, 55, 56, 57, 58, 59, 60, 61, 62, 63, 64, 65, 66, 67, 68, 69, 70, 71, 72, 73, 74, 75, 76, 77, 78, 79, 80, 81, 82, 83, 84, 85, 86, 87, 88, 89, 90, 91, 92, 93, 94, 95, 96, 97, 98, 99, 00, 01, 02, 03, 04, 05, 06, 07, 08, 09, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 20, 21, 22, 23, 24, 25, 26, 27, 28, 29, 30, 31, 32, 33, 34, 35, 36, 37, 38, 39, 40, 41, 42, 43, 44, 45, 46, 47, 48, 49, 50, 51, 52, 53, 54, 55, 56, 57, 58, 59, 60, 61, 62, 63, 64, 65, 66, 67, 68, 69, 70, 71, 72, 73, 74, 75, 76, 77, 78, 79, 80, 81, 82, 83, 84, 85, 86, 87, 88, 89, 90, 91, 92, 93, 94, 95, 96, 97, 98, 99, 00, 01, 02, 03, 04, 05, 06, 07, 08, 09, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 20, 21, 22, 23, 24, 25, 26, 27, 28, 29, 30, 31, 32, 33, 34, 35, 36, 37, 38, 39, 40, 41, 42, 43, 44, 45, 46, 47, 48, 49, 50, 51, 52, 53, 54, 55, 56, 57, 58, 59, 60, 61, 62, 63, 64, 65, 66, 67, 68, 69, 70, 71, 72, 73, 74, 75, 76, 77, 78, 79, 80, 81, 82, 83, 84, 85, 86, 87, 88, 89, 90, 91, 92, 93, 94, 95, 96, 97, 98, 99, 00, 01, 02, 03, 04, 05, 06, 07, 08, 09, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 20, 21, 22, 23, 24, 25, 26, 27, 28, 29, 30, 31, 32, 33, 34, 35, 36, 37, 38, 39, 40, 41, 42, 43, 44, 45, 46, 47, 48, 49, 50, 51, 52, 53, 54, 55, 56, 57, 58, 59, 60, 61, 62, 63, 64, 65, 66, 67, 68, 69, 70, 71, 72, 73, 74, 75, 76, 77, 78, 79, 80, 81, 82, 83, 84, 85, 86, 87, 88, 89, 90, 91, 92, 93, 94, 95, 96, 97, 98, 99, 00, 01, 02, 03, 04, 05, 06, 07, 08, 09, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 20, 21, 22, 23, 24, 25, 26, 27, 28, 29, 30, 31, 32, 33, 34, 35, 36, 37, 38, 39, 40, 41, 42, 43, 44, 45, 46, 47, 48, 49, 50, 51, 52, 53, 54, 55, 56, 57, 58, 59, 60, 61, 62, 63, 64, 65, 66, 67, 68, 69, 70, 71, 72, 73, 74, 75, 76, 77, 78, 79, 80, 81, 82, 83, 84, 85, 86, 87, 88, 89, 90, 91, 92, 93, 94, 95, 96, 97, 98, 99, 00, 01, 02, 03, 04, 05, 06, 07, 08, 09, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 20, 21, 22, 23, 24, 25, 26, 27, 28, 29, 30, 31, 32, 33, 34, 35, 36, 37, 38, 39, 40, 41, 42, 43, 44, 45, 46, 47, 48, 49, 50, 51, 52, 53, 54, 55, 56, 57, 58, 59, 60, 61, 62, 63, 64, 65, 66, 67, 68, 69, 70, 71, 72, 73, 74, 75, 76, 77, 78, 79, 80, 81, 82, 83, 84, 85, 86, 87, 88, 89, 90, 91, 92, 93, 94, 95, 96, 97, 98, 99, 00, 01, 02, 03, 04, 05, 06, 07, 08, 09, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 20, 21, 22, 23, 24, 25, 2			

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Exhibit 4 (continued)

PART D - Remarks by Requesting Office <small>(See to Supervisors: Do you have any additional or conflicting reasons for the employee's resignation/retirement? If "YES", please enter these facts on a separate sheet and attach to SF 52.)</small>		<input type="checkbox"/> YES <input type="checkbox"/> NO
PART E - Employee Resignation/Retirement		
<div style="display: flex; justify-content: space-between;"><div style="width: 45%;"><p style="font-size: small;">Privacy Act Statement</p><p>You are requested to provide a specific reason for your resignation or retirement and a forwarding address. Your reason may be considered in any future decision regarding your re-employment in the Federal service and may also be used to determine your eligibility for unemployment compensation benefits. Your forwarding address will be used primarily to mail you copies of any documents you should have or any pay or compensation to which you are entitled.</p><p>This information is requested under authority of sections 301, 3204, and 3306 of title 5, U.S. Code, Sections 501 and 502 of title 5, U.S. Code, and 501 of title 5, U.S. Code, and 502 of title 5, U.S. Code.</p><p>1. Reasons for Resignation/Retirement (NOTE: Your reasons are used in determining possible unemployment benefits. Please be specific and avoid generalizations. Your resignation/retirement is effective at the end of the day - midnight - unless you specify otherwise.)</p></div><div style="width: 45%; font-size: x-small;"><p>regulations with regard to employment of individuals in the Federal service and that records, while section 5528 reserves authority to furnish the specific reasons for termination of Federal service to the Secretary of Labor or a State agency in connection with implementation of unemployment compensation programs.</p><p>The furnishing of this information is voluntary; however, failure to provide it may result in your not receiving: (1) your portion of State disability benefits; (2) pay or other compensation due you; and (3) any unemployment compensation benefits to which you may be entitled.</p></div></div>		
<div style="display: flex; justify-content: space-between;"><div style="width: 20%;">1. Signature</div><div style="width: 20%;">2. Your Signature</div><div style="width: 20%;">3. Date Signed</div><div style="width: 40%;">4. Forwarding Address (Please Print: Street, Rm., Apt., ZIP Code)</div></div>		
PART F - Remarks for SF 50		

Exhibit 5

Guidance to Offices Regarding the Establishment of Interdisciplinary Jobs

1. Developing Interdisciplinary Positions

Interdisciplinary positions are positions involving duties and responsibilities closely related to more than one occupation or position, the duties of which can be performed by individuals with a variety of educational and/or work backgrounds. As a result, these positions can be classifiable to two or more occupation series.

These positions may involve duties characteristic of one profession and other duties characteristic of another profession. By comparison, positions may involve knowledge characteristic of either two or more occupational series, involving work performed in either of the occupations named. The concept of "interfunctional" positions is used to describe positions in which a combination of administrative versus technical occupational series is applied.

In determining whether a position may be interdisciplinary or interfunctional, a review of the work and the skills required must be completed.

2. Identifying Programmatic Area

Management should identify specific technical programmatic areas in which it is appropriate to establish interdisciplinary jobs or recruit persons without a degree in an engineering or scientific field. Management should determine programs in which this type of recruitment and classification of position will be consistent with the NRC Five-Year Plan (and with major fields and specialties identified in the NRC Five-Year Staffing Plan).

3. Defining Work and Basic Skills

For each position, a statement of duties and corresponding skills, knowledge, and credentials should be written to outline specific responsibilities and functions that need to be accomplished to support the organizational and technical program goals.

Viable skills, knowledge, experience, abilities, and credentials should be listed as "Basic Skills."

These functions and skills should be "realistic" in terms of work to be done, that is, they should not be functions necessarily designed to fit the background of a particular person being recruited. A review of the present and projected workload, current incumbents, and known full-time equivalent (FTE) resources should be completed as a first step in developing a new position.

4. Identifying Other Than Engineering/Scientific and/or Interdisciplinary Work

Assess whether current work can be restructured to accommodate nontechnical individuals with a degree. Determine specific functions (necessary to the technical mission) that can be performed by other than engineering or scientific personnel. Determine the occupational series or mix of series that will define the work to be accomplished.

To create a general "project management" position not requiring an engineering or scientific background, identify the predominant duties and responsibilities associated with that function and the paramount skills, knowledge, and experience required to fill the position. Standardized Project Manager position descriptions may be established to incorporate a variety of functions.

Consult with a classification specialist in writing the position descriptions. As an example, basic skills may be worded in such a way as to state "familiarity with engineering designs, components, systems" versus "knowledge of general engineering as evidenced by completion of a bachelor's degree in nuclear or mechanical engineering."

5. Assessing Qualifications of Individuals Without a Technical Degree for Engineering Positions

Consult with an OP staffing specialist to assess satisfaction of "equivalent experience" factor versus completion of academic degree.

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**Exhibit 6
NRC Form 750 "Applicant Background Survey"**

NRC FORM 750 <small>(1-42)</small>		U.S. NUCLEAR REGULATORY COMMISSION		1. AGENCY APPOINTMENT NUMBER	
APPLICANT BACKGROUND SURVEY				2. DATE (MM/DD/YY)	
				3. POSITION	
GENERAL INSTRUCTIONS					
<p>The information from this survey is used to help ensure that agency personnel practices meet the requirements of Federal law. Your responses are voluntary. Please answer each of the questions to the best of your ability. Please print entries in pencil or pen. USE ONLY CAPITAL LETTERS. Read each item thoroughly before completing the appropriate code number in each box.</p>					
4. NAME (Last, First, MI)		5. YEAR OF BIRTH		6. SOCIAL SECURITY NUMBER	
		<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>		<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	
7. How did you hear about the particular position for which you are applying? (You may check up to three boxes.)					
<input type="checkbox"/> A. PRIVATE INFORMATION SERVICE <input type="checkbox"/> B. MAGAZINE <input type="checkbox"/> C. NEWSPAPER <input type="checkbox"/> D. RADIO <input type="checkbox"/> E. TV <input type="checkbox"/> F. POSTER <input type="checkbox"/> G. PRIVATE EMPLOYMENT OFFICE <input type="checkbox"/> H. STATE EMPLOYMENT OFFICE (UNEMPLOYMENT OFFICE) <input type="checkbox"/> I. AGENCY PERSONNEL DEPARTMENT (BULLETIN BOARD OR OTHER ANNOUNCEMENT)		<input type="checkbox"/> J. AGENCY OR OTHER FEDERAL GOVERNMENT RECRUITMENT AT SCHOOL OR COLLEGE <input type="checkbox"/> K. FEDERAL, STATE, OR LOCAL JOB INFORMATION CENTER <input type="checkbox"/> L. RELIGIOUS ORGANIZATION <input type="checkbox"/> M. SCHOOL OR COLLEGE COUNSELOR OR OTHER OFFICIAL <input type="checkbox"/> N. FRIEND OR RELATIVE WORKING FOR AGENCY <input type="checkbox"/> O. FRIEND OR RELATIVE NOT WORKING FOR AGENCY <input type="checkbox"/> P. OTHER (Specify)			
8. DO YOU HAVE ANY DISABILITIES? <input type="checkbox"/> A. YES <input type="checkbox"/> B. NO		9. CHECK THE APPROPRIATE BOX TO SHOW YOUR SEX <input type="checkbox"/> A. MALE <input type="checkbox"/> B. FEMALE		10. PLEASE CATEGORIZE YOURSELF IN TERMS OF RACE/ETHNIC BACKGROUND. CHECK THE APPROPRIATE BOX. <input type="checkbox"/> A. AMERICAN INDIAN OR ALASKAN NATIVE <input type="checkbox"/> B. ASIAN OR PACIFIC ISLANDER <input type="checkbox"/> C. BLACK, NOT OF HISPANIC ORIGIN <input type="checkbox"/> D. HISPANIC <input type="checkbox"/> E. WHITE, NOT OF HISPANIC ORIGIN	
DATE RECEIVED (MONTH/DAY/YEAR)		CODE		CODE	
<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>		<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>		<input type="text"/> <input type="text"/>	
PRIVACY ACT INFORMATION					
<p>Pursuant to 5 U.S.C. 552a, enacted into law by Section 2 of the Privacy Act of 1974 (Public Law 93-579), the following statement is furnished to individuals who supply information to the U.S. Nuclear Regulatory Commission on NRC Form 750. This information is maintained in a system of records designated as OPM/GOV-7, APPLICANT RACE, SEX, NATIONAL ORIGIN, AND DISABILITY STATUS RECORDS, and described at 57 Federal Register 36719 (August 10, 1992).</p>					
<p>1. AUTHORITY - 5 U.S.C. 7201, Sections 4A, 4B, 18A(1) and (2), 158(1), and 150(11); Uniform Guidelines on Employee Selection Procedures (1978); 43 FR 28297 et seq. (August 26, 1978); 29 CFR 720.301; and 29 CFR 1612.801.</p>					
<p>2. PURPOSES AND ROUTINE USES - The information from this survey is used for research and for a Federal Equal Opportunity Recruitment Program to help ensure that agency personnel practices meet the requirements of Federal law.</p>					
<p>3. EFFECTS OF NONDISCLOSURE - Providing this information is voluntary. No individual personnel selections are made based on this information.</p>					
<p>4. INFORMATION REGARDING DISCLOSURE OF YOUR SOCIAL SECURITY NUMBER UNDER PUBLIC LAW 93-579, SECTION 7(b) - Solicitation of the Social Security Number (SSN) by the Office of Personnel Management is authorized under provisions of Executive Order 12307, dated November 22, 1983. It is used to relate this form with other records that you file with Federal agencies.</p>					
<p>5. SYSTEM MANAGER AND ADDRESS: Assistant Director, Office of Personnel Research and Development, Career Entry Group, Office of Personnel Management, 1500 E Street, NW, Washington, DC 20415.</p>					

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Exhibit 7
NRC Form 115 "Vacancy Application Status Notice"

NRC Form 115 (1-88) NRCM 4108		U.S. NUCLEAR REGULATORY COMMISSION		1. VACANCY ANNOUNCEMENT NUMBER	
VACANCY APPLICATION STATUS NOTICE				2. DATE OF APPLICATION	
INSTRUCTIONS: APPLICANTS MUST COMPLETE ITEMS 1 THROUGH 4. FAILURE TO DO SO WILL RESULT IN YOUR NOT BEING CONSIDERED FOR THE DISPOSITION OF YOUR APPLICATION. IN ADDITION, APPLICANTS MUST ATTACH ALL MATERIALS REQUIRED BY THE VACANCY ANNOUNCEMENT.					
3. POSITION TITLE (for direct reporting)		4. TITLE AND GRADE		TO BE COMPLETED BY THE PERSONNEL OFFICE	
5. ORGANIZATION		6. INITIAL SCREENING			
A. NAME (and COMPLETE MAILING ADDRESS (NRC employees use Mail Stop))		Do you have the minimum education and experience required for this position? <input type="checkbox"/> Yes <input type="checkbox"/> No If you are not qualified, please explain why in the space provided below.			
B. EDUCATION		Do you have the minimum education required for this position? <input type="checkbox"/> Yes <input type="checkbox"/> No If you are not qualified, please explain why in the space provided below.			
C. EXPERIENCE		Do you have the minimum experience required for this position? <input type="checkbox"/> Yes <input type="checkbox"/> No If you are not qualified, please explain why in the space provided below.			
D. OTHER QUALIFICATIONS		Do you have other qualifications that may be considered for this position? <input type="checkbox"/> Yes <input type="checkbox"/> No If you are not qualified, please explain why in the space provided below.			
E. REASON FOR APPLICATION		Do you have any other information that you wish to provide? <input type="checkbox"/> Yes <input type="checkbox"/> No If you are not qualified, please explain why in the space provided below.			
F. SIGNATURE OF APPLICANT		SIGNATURE OF PERSONNEL OFFICE SPECIALIST			
G. SIGNATURE OF SUPERVISOR		TELEPHONE NUMBER			
H. SIGNATURE OF HUMAN RESOURCES		DATE OFFICE SENT			

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Exhibit 8
Streamlined Application Format

For initial applications to fill competitive vacancies, a Standard Form (SF) 171, "Application for Employment," need not be used. The OPM streamlined format or may be used instead.

Form Approved
OMB No. 3208-0210

OPTIONAL APPLICATION FOR FEDERAL EMPLOYMENT - OF 612

You may apply for most jobs with a resume, this form, or other written format. If your resume or application does not provide all the information requested in this form and in the job vacancy announcement, you may lose consideration for a job.

1 Job title or announcement _____ 2 (Candidate) applying for _____ 3 Appointment number _____

4 Last name _____ First and middle names _____ 5 Social Security Number _____

6 Mailing address _____ 7 Phone numbers (include area codes)
City _____ State _____ Zip Code _____ Daytime _____
Evening _____

WORK EXPERIENCE

8 Describe your past and present work experience relative to the job for which you are applying. Do not attach job descriptions.

1) Job title (if Federal, include name and grade) _____

From (month) _____ To (month) _____ Salary _____ per _____ Hours per week _____

Employer's name and address _____ Supervisor's name and phone number _____

Describe your duties and accomplishments _____

2) Job title (if Federal, include name and grade) _____

From (month) _____ To (month) _____ Salary _____ per _____ Hours per week _____

Employer's name and address _____ Supervisor's name and phone number _____

Describe your duties and accomplishments _____

504 SF 104 7500-01-001-0170 Optional Form 612 (September 1984)
U.S. Office of Personnel Management

Exhibit 8 (continued)

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Exhibit 8 (continued)

GENERAL INFORMATION

You only apply for most Federal jobs with a cover letter, the attached Optional Application for Federal Employment or other written format. If your resume or application does not provide all the information requested on this form and in the job vacancy announcement, you may lose consideration for a job. Type or print clearly in dark ink. Help speed the selection process by keeping your application brief and sending only the requested information. If essential to attach additional pages, include your name and Social Security Number on each page.

- For information on Federal employment, including job lists, alternative formats for persons with disabilities, and veterans' preference, call the U.S. Office of Personnel Management at 802-757-3800, TDD 802-744-2280, by computer modem 802-757-3400, or via the Internet (Teletext only) at TJORDMAN.OPM@GCV.
- If you served on active duty in the United States Military and were separated under honorable conditions, you may be eligible for veterans' preference. To receive preference if your service began after October 15, 1989, you must have a Campaign Medal, or a service-connected disability. Veterans' preference is not a factor for Senior Executive Service jobs or when competition is limited to certain candidates (current or former career or career-conditional Federal employees).
- Most Federal jobs require United States citizenship and also that males over age 18 born after December 31, 1959, have registered with the Selective Service System or have an exemption.
- The law prohibits public officials from appointing, promoting, or recommending their relatives.
- Federal employees (military and civilian) may have their salaries or annuities reduced. All employees must pay any valid delinquent debts to the agency they owe.
- Send your application to the office announcing the vacancy. If you have questions, contact that office.

THE FEDERAL GOVERNMENT IS AN EQUAL OPPORTUNITY EMPLOYER

PRIVACY ACT AND PUBLIC BURDEN STATEMENTS

- The Office of Personnel Management and other Federal agencies use applications for Federal jobs and other forms of paperwork (104, 1223, 3021, 3094, 3626, 3631, 3632, and 3633) of the U.S. within the United States. We need the information appearing in the box and on the enclosed document to automatically produce your questionnaire. Other items request us to send them separately, military version, etc.
- We request your Social Security Number (SSN) under the authority of Executive Order 9837 in order to keep your records strictly confidential. We will use the same name. As advised by law or Executive Order, we use your SSN to identify information about you from employers, schools, banks, and others who have it. Your SSN may also be used to identify and computer matching with other Government files for statistics. We are required to keep it.
- If you are not sure you are 18 or over or otherwise requested, we cannot process your application until the first day following a birth date. Also, foreign-born citizens will still show processing.
- We may give your information to your agency for quality control; organizations checking others for employment, unemployment or health benefits; officials in legislative or administrative organizations; the Government as a party; but employment agencies, veterans' offices, law or regulatory agencies, and other Federal agencies for statistical uses and similar; officials of labor organizations; contractors by law or contract; and supporting employment Federal agencies or other agencies supporting education, Federal agencies to maintain contact with or manage, manage education, training or military development, identifying law, continuing or training records, quality or other benefits; public and private organizations; and other officials that you or others may request or receive; and finally, the United States Personnel Service, the Office of Special Counsel, the Equal Employment Opportunity Commission.

The Federal Labor Relations Authority, the Federal Bureau of Investigation, the Federal Reserve Bank, and the Department of Justice are in communication with the State Department.

- [illegible]

Exhibit 9
**NRC Form 561, "Supervisory Appraisal of
Demonstrated Performance or Potential"**

Approved: February 21, 1996

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Exhibit 10
Format for Supervisory Appraisal of Demonstrated
Performance or Potential

To Be Used for All Senior Staff, Supervisory or Managerial Positions

Announcement No:

Position:

Name of Applicant:

Instructions: Information should be obtained either by phone or in writing from the current and, when possible, the former immediate supervisor. If information is submitted directly by the supervisor, the applicant will be permitted to review and/or obtain a copy of the appraisal upon request.

Basis for Appraisals				Factor and Narrative Assessment
External Activities	On the Job	Formal Training	Potential	
Supervisory/Managerial Mandatory Rating Factors				
				Interpersonal Skills: (Define)
				Leadership Skills: (Define) (Applicable only to supervisory or managerial positions)
				Other (Optional - Define)

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Exhibit 10 (continued)

Technical Rating Factors (3 to 7 - Define)				
Basis for Appraisals				Factor and Narrative Assessment
External Activities	On the Job	Formal Training	Potential	

Employee's Most Recent Official Summary Performance Rating of Record

☐ Outstanding ☐ Excellent ☐ Fully Successful ☐ Minimally Successful ☐ Unacceptable

Appraiser

☐ Present Immediate Supervisor ☐ Present Second Level Supervisor

☐ Former Immediate Supervisor ☐ Former Second Level Supervisor ☐ Other

Period During Which Appraiser Supervised Applicant - From: _____ To: _____

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Exhibit 10 (continued)

Appraiser's Signature or Telephone Concurrence	Date	Phone
Employee's Signature	Date	Phone

MANAGING MERIT SELECTION CERTS

(Revised 10/24/12)

<u>Position Type</u>	<u>Area of Consideration</u>	<u>Selection Certs</u>	<u>Rating Method</u>	<u>Order of Consideration</u>	<u>Flexibilities Allowed</u> (per this Yellow Announcement, dated 12/3/07, and 2009 CBA. NOTE: List below does not include all flexibilities contained in Yellow Announcement
NBU	NRC-wide	1 merit - E	10.15	N/A	1) Rating Official or Panel 2) Panel may be 2 or 3 3) Averaged Scores 4) If 10 or fewer basically eligible competitive candidates at each grade level, ratings not required for those grades
NBU	Status *	1 merit - E, F, V	10.15	N/A	
NBU	Nationwide * 1/	2 certs: 1 merit - E, F 2/ 1 open - NV, Pref Elig	10.15	3/	
BU	NRC-wide	1 merit - E	CBA	N/A	Internal: 1) Rating panel of at least 2 if more than 10 competitive applicants 2) No rating required if 3 or fewer competitive applicants at each grade level 3) Averaged Scores
BU	Status *	2 certs: 1 merit - E 1 merit - F, V	CBA 10.15	N/A N/A	Internal: 1) Rating panel of at least 2 if more than 10 competitive applicants 2) No rating required if 3 or fewer competitive applicants at each grade level 3) Averaged Scores
BU	Nationwide * 1/	3 certs: 1 merit - E 1 merit - F 2/ 1 open - NV, Pref Elig	CBA 10.15 10.15	3/	External: 1) Rating Official or Panel 2) Panel may be 2 or 3 (or more) 3) Averaged Scores 4) If 10 or fewer basically eligible competitive candidates at each grade level, ratings not required for those grades

E = Current NRC Employee
 F= Current or former Federal employees with status
 V= This category applies only when the area of consideration is Status only, and allows the following non-status veterans to be considered as status candidates: 1) any preference eligible; or 2) veterans who have been separated from the armed forces under honorable conditions after substantially completing at least 3 years of continuous active service. These applicants do not have preference over other candidates on the selection cert.
 NV= Non veterans or veterans without preference

* Non-status applicants eligible under a non-competitive special appointing authority (e.g., NRC equivalents for VRA, Sch A, etc.) may be considered whenever candidates from outside NRC are accepted. These candidates are not considered as being under open competition or merit promotion rules; rather, they are certified on the right side of the selection certificate under the category of "Non-Competitive Appointment Eligibles." Veterans' preference rules apply within this category of applicants, except for those eligible under the non-competitive military spouse hiring authority. Status applicants who are also eligible under a non-competitive appointing authority may request dual consideration under both merit promotion AND a non-competitive appointment authority.

Preference-Eligible Veteran Categories Shown on Part A of NRC 178 (candidate list):
 (Note that they are shown only as "Preference Eligibles" or "Non-Preference Eligibles" on Open Competition BQLs; see foot note #3 below)

- > 5p - Veterans entitled to 5-point preference
- > 10pd - Qualified disabled veterans with compensable service-connected disabilities of 10 percent or more (defined in OPM's Vet Guide as CP and CPS, not XP)
- > 10p - Veterans entitled to 10-point preference (defined in OPM's Vet Guide as XP)

Foot Notes:

1/ When current eligible Federal employees with status (Tenure Group 1 or 2 AND who have passed a 1-year probationary period) or reinstatement eligible Federal employees with status (Tenure Group 1 or 2) apply to Nationwide (i.e., Open Competition) vacancies, they will automatically be considered under merit promotion procedures. Additionally, as noted above, both current and reinstatement eligible status candidates may request dual consideration if they are also eligible for a non-competitive appointing authority. See * note above.

2/ If, after posting a Nationwide (i.e., Open Competition) vacancy, a decision is made to limit consideration to status candidates, non-status candidates defined as "V" above should be referred on the merit cert along with status candidates.

3/ Applies to Open Competition certs, and when certifying applicants based on eligibility under a noncompetitive appointing authority (except for military spouses). For purposes of the following, "professional & scientific" is defined as a position with a positive education requirement.

Professional & Scientific positions filled at the GG-9 level or higher are considered within each qualifications category in the following order:

- > Veterans' preference-eligibles (regardless of veteran preference category)
- > Non-preference eligibles

Professional & Scientific positions filled below GG-9, and nonprofessional positions at any grade level, are considered in the above order with the following exceptions:

- > Qualified disabled veterans' preference-eligibles who have compensable, service-connected disabilities of 10 percent or more (10 pd) are automatically included in the highest qualifications category (typically "A") regardless of their rating. They are then considered along with other candidates in the highest category.

NOTE: A 10 pd preference eligible does not have preference over other preference eligibles within a rating category (e.g., a 10 pd preference eligible does not block a 5p preference eligible who is rated "A")

CHAPTER 2: MINIMUM QUALIFICATIONS, PANEL AND RATING

Ranking Process and Generating Certs

Ranking Processes and Generating Selection Certs Training

Merit Staffing FAQs or NRC Applicants Applying to GG positions

Crediting Plan – Crediting plans are ranking tools to help distinguish best qualified, highly qualified and basically qualified competing applicants and in turn predict those who would be most successful.

Do's:

- Ensure they are tied to vacancy KSAs; include examples at different levels
- Strive for qualitative not quantitative differences
- Develop prior to posting; normally some different criteria at different grade levels
- Ensure subject matter expert (usually selecting official) concurs/provides input

Don'ts

- Do not provide to applicants – could provide unfair advantage
- Do not reinvent the wheel – adapt rather than start from scratch

Ranking Process – Identifying Ranking Official(s)

- Hiring manager is responsible for identifying the ranking official or panel members
- Ranking official(s) must be at least at the FPL of the position being filled
- Ranking official(s) should not be a direct subordinate in the chain of command to the hiring manager
- Strive for diversity in panel membership and look outside your office for panel members

Panel vs. Rating Official – HR Specialist should refer to staffing flexibilities to give SO his/her options:

Internal applicants

- Bargaining Unit position – more than 10 minimally qualified applicants must have a panel; 4-10 applicants must be rated – can use a single rating official; 3 or fewer can be referred directly to SO
- Non-bargaining unit – no rating required for 10 or fewer applicants unless the SO wants to use a RO or panel; more than 10 applicants sent to a rating official

External applicants

- Bargaining and Non-Bargaining Unit position – no rating required for 10 or fewer applicants (can be sent directly to SO) unless the SO wants to use a RO or panel, more than 10 applicants sent to a rating official.

**** a panel can have 2 or 3 members**

If you have both internal and external applicants, and it is a BU position, follow the panel vs rating official procedures for internal applicants.

For bargaining unit positions, when external candidates are not rated, 10 or fewer, internal candidates will be given first consideration by the SO. The SO must request in writing the external unrated candidates and describe the consideration given to internal candidates.

Non-competitive movement

1. **Reassignment** – OPM defines a reassignment as "... a change of an employee, while serving continuously within the same agency, from one position to another without promotion or demotion."

A reassignment eligible is considered a noncompetitive candidate, because he/she qualifies for the position AND held or currently holds a position with the same full-performance level (FPL) to the one being filled. However, reassignments to positions with higher FPL than that which the applicant previously competed for must be processed competitively.

Reassignments can also be "management directed" - management decides to laterally move an employee to another position within the organization or between organizations. The agency's right to direct reassignments includes the right to reassign an employee from a special rate position to a non-special rate position at the same grade, or to a position with less promotion potential than the present position. The position to which the agency reassigns an employee may be located in the same or a different geographic area.

WTTS info: when the action is a directed reassignment to a position not already identified as a vacant position in WTTS, there should be no WTTS entry. Hard copy SF52 may be used to enter the action directly in FPPS.

2. **Lateral Transfer** – is the movement of an employee from one Federal agency to another, without a break in service, at the same grade level.

Panel procedures: If an applicant currently holds or has previously held the same grade as the position for which he/she applied AND they are qualified for the position, the applicant is reassignment eligible and does not need to go to a panel to be rated.

If applicant applies to a different series, e.g. – Grade 7 Admin Asst applies for a Grade 7 MA (one-grade interval to a two-grade interval) – applicant is rated and typically certified as eligible to be moved laterally – rather than promoted to a Grade 8 MA

Note: any position that is a two-grade interval is considered a "professional" series.

Reinstatement eligible - To be reinstatement eligible a candidate generally must have either career tenure or have been separated from a career-conditional appointment within the last three years (with exceptions for preference eligibles). For important information on reinstatement eligibility of former federal workers, click [here](#).

Rating Official (RO) – The SO should provide the HR Specialist with the name of the RO.

1. HR Specialist sends RO package which includes:

- ✓ Instructions
- ✓ Cert (Rating Form)- candidate and evaluation selection record, names of minimally qualified applicants listed alphabetically on page 2 (2nd page is for scoring, 1st page is for BQ list)
 - ** be mindful of how many certs – merit external, merit internal, open competitive**
- ✓ Instructions (put on letterhead and make sure to sign)
- ✓ Applications
- ✓ Performance appraisals (if applicable – current or former fed)
- ✓ Crediting plan
- ✓ Copy of vacancy announcement (can copy and paste into Word document)

** Do not include the SF-50/transcripts/military discharge/SF-15/DD-214

2. The RO send the HR Specialist back the rating sheet and the HR Specialist calculates the score.

3. Email SO the BQ certificate.

Rating Panel – If the SO wants to use a panel, the HR Specialist schedules a pre-panel mtg where the SO can talk to the panel about the crediting plan or anything in particular they are looking for. SO can decide they do not want a pre-panel mtg.

****Panel chair keeps notes in case an employee has questions as to why they weren't on the BQL****

1. HR Specialist provides panel members the package which includes:

- ✓ Instructions
- ✓ **Cert (Rating Form)**- candidate and evaluation selection record, names of minimally qualified applicants listed alphabetically on page 2 (2nd page is for scoring, 1st page is for BQ list)
- ✓ Applications
- ✓ Performance appraisals (if applicable)
- ✓ Crediting plan
- ✓ Copy of vacancy announcement (can copy and paste into Word document)

**** do not include the 50/transcripts/military discharge/SF-15/DD-214**

2. Ask panel members availability and schedule a panel mtg – use outlook scheduler.
3. At panel mtg, members must either reach a consensus for each element for each person or the scores will be averaged.
4. HR Specialist total scores at the meeting and obtains signatures; once finalized, emails SO the BQ cert.

Instructions for sending hiring managers electronic certificates: click [here](#)

FLEXIBILITY – there does not need to be a panel mtg, HR Specialist can email the applicant package (*except the performance appraisals which are sent via mail*) to the panel members. Make sure to remind panel members to bring HR Specialist (in person) the ratings so that they can each sign the same cert. When there is no panel mtg, the HR Specialist averages the scores.

Ratings

Bargaining Unit

A=3

B=2

C=1

Final score = numeric

Final score = total scores ÷ # of factors

Non-Bargaining Unit

A= 3

B=2

C=1

Final score = Alpha A,B,C

Final score = total scores ÷ # of factors

2.5-3.0 = A

1.5-2.49 = B

1.49-below = C

Double-weighting: If a factor is assigned a double-weight it counts as 2 factors. For example: Vacancy has 2 KSA's: an individual was rated as a **B** for the first KSA and a **C** for the second KSA (the second KSA is double-weighted). The score would be computed as follows: 2 + 1 + 1 (add another **C** score because the 2nd KSA double-weighted) = 4; next, divide score by number of factors (3)
4 ÷ 3 = **1.3** overall = C

Additional example

Best-Qualified Cert – names appear alphabetically on the certificate both within preference eligible and non-preference eligible categories, when appropriate.

Bargaining Unit

- Up to 5 applicants whose scores fall within .4 group of the top scoring candidate (plus any ties) want to see the want to repost
- when more than one position is expected to be filled, directly one additional name can be added for each additional vacancy to the BQ list
- SO only sees the range of overall ratings (highest to lowest final scores- only give 1st page of CERT) and 2nd page

Non-Bargaining Unit

- All candidates rated in highest
- if no "A" candidates ask SO if they "B" group or if they
- 10 or fewer qualified – refer
- Each qualified applicant rating (including those not on BQL- give 1st of CERT)

For bargaining unit positions, SO does not get the individual scores for internal applicants on the BQ list. They do get scores for external applicants.

For noncompetitive eligibles (includes, as appropriate, reassignment eligibles, transfer eligibles, and those eligible for a noncompetitive appointment authority), application/resumes are submitted to the SO once the rating process has been completed. BQ and noncompetitive eligibles are sent to the SO at the same time..

For more information regarding how to manage vacancy certificate and panels, please click [here](#)

****Additional selections for like positions within the office can be made from the cert for up to 90 days from the date the BQ list is certified.**

****Extension of expiration dates for Certificates of Eligibles:** Certificates of eligibles (NRC-178) should be issued for 90 days. If an extension past 90 days is requested, a justification explaining why an extension is necessary must be provided to the Deputy Associate Director HROP for approval. If approved, the HR Specialist must make a note on the NRC-178 Form, indicating the date the extension was approved and must attach a copy of the e-mail approval from the Deputy Associate Director HROP to the NRC-178 to retain in the case file for audit purposes. In addition, the HR Specialist must change the expiration date in Enterprise on the electronic certificate. Requests for extensions should be made prior to the original expiration date.

Certificates: Attached are sample certificates for bargaining and non-bargaining unit positions.

Note: *If a certificate is created for an Open Until Filled (OUF) vacancy before the expiration date, then all the preference eligible veterans who make the best qualified list must be carried forward on the new certificate.

Remember to check the staffing flexibilities, the Selection Certs Part II presentation as well as managing merit selection cert reminders before issuing a certificate.

- Selection Certificate
- Example of selection cert with summary guidance

Sample certs: Internal BU, BU Cert, NBU Cert

Case scenarios examples of certs: all sources, multiple positions, eligibility based on area of consideration

* **Status** refers to postings for NRC-wide and status applicants in the Washington DC commuting area or government-wide.

****If an NRC applicant did not score high enough on the rating panel to make the certificate or was not selected from the certificate and requests additional information, the HR Specialist should adhere to the following procedures only after all of the selections for the vacancy have been made (exceptions can be approved by the Deputy Associate Director, HROP**

- HR Specialist may give the NRC applicant their final panel scores on the rating factors/vacancy questions.
- HR Specialist may release the names of the rating panel members.
- HR Specialist may give NRC applicant a copy of the rating sheet with the other applicants' scores, but must white out all names tied to the scores other than the applicant placing the inquiry and the selectees.
- HR Specialist may show the employee the crediting plan for viewing, but they cannot retain a copy or duplicate.
- The applicant can seek feedback on their ratings and feedback on how to improve their application (career guidance from HR). They must contact the HR specialist for the specific vacancy to set-up a meeting with the applicant, HR Specialist, and Panel Chair to discuss.

For additional information including helpful hints on applying for positions visit:

<http://www.internal.nrc.gov/HR/merit-staffing-faqs.html>, MD 10.15, or CBA Article 17.

CHAPTER 3: SELECTION AND OFFER LETTERS (INCLUDES RELOCATION AND 120 DAY LETTER AND WAIVER INFO)

Interviews – Hiring managers are not required to interview all external applicants (though there should be a job-specific reason for not interviewing, i.e. the candidate is from across the country and mgr is concerned about time to EOD/moving costs, or the manager may decide that the applicant has some but not all the skills required for the job but 2 other candidates do (at least on paper) so he/she decides to interview only them).

If a hiring manager decides to interview one, some or all candidates, **all** preference eligibles must be interviewed – this applies to open competition.

Non-Bargaining Unit - Hiring managers are not required to interview internal candidates though there should be a valid reason for not interviewing. It is recommended that if one candidate is

interviewed, all internal on BQ list should be interviewed. Employees listed as noncompetitive eligibles do not have to be interviewed.

Bargaining Unit – If SO wants to interview then all employees on the BQL must be interviewed. Employees listed as noncompetitive eligibles do not have to be interviewed.

SOIs/Rotations - Hiring managers are not required to interview all candidates. He/she may decide to interview one, some, or none.

Invitational Travel - Offices must prepare a paper travel authorization form (NRC Form 279). See Exhibit 3.2 in Management Directive 14.1 Official Temporary Duty Travel for details.

- The Office signs block #28 and forwards it to OCFO at Mail Stop T9 E2
- OCFO signs block #29 and returns the form to the Office.
- The Office should provide a copy to the traveler.
- The traveler can call Carlson at 1-866-250-2160 Option #1 to make their travel arrangements.
- When the travel is complete the traveler will need to complete NRC Form 64, the traveler signs on line 24 and the Office signs on line 25. See Exhibit 7.2 in Management Directive 14.1 Official Temporary Duty Travel for details.
- The completed voucher with attachments should be sent to OCFO at Mail Stop T9 E2.

Payment for Invitation Travel:

OCHCO will not pay for invitational travel of current NRC employees. For example, if a regional employee applies for a position in HQ with NRO, and NRO wants to fly the employee to HQ for an interview. The program office (NRO, NRR, etc.) may pay for this invitational travel if they have the available funds (none of the paperwork goes through OCHCO). If the program office does not have the funds, they may use video-teleconference, teleconference, or possibly combine the interview with an unrelated business trip.

Note: The NRC does NOT pay local travel for interviewees. This is considered the same as "commuting expense" so it is not payable.

Reminder: When HR Specialist receives a travel authorization, they must look up the interviewee to ensure they are not a current NRC employee.



United States Nuclear Regulatory Commission

Protecting People and the Environment

Ranking Processes & Generating Selection Certs

March 14, 2013

Alison Tallarico

Larry Davidson

Marilyn Evans



Agenda

- Discussion of crediting plans..... Alison/Larry
- Applicant Categories.....Alison/Larry
- Staffing Flexibilities – changes to MD 10.15.....Larry
- Panel Processes.....Marilyn
- Generating Selection Certs.....Marilyn
- Questions and Discussion.....All



Ranking Processes & Generating Selection Certs

Handouts:

1. CBA Article 17 ([here](#))
2. Chart for Managing Candidate Lists/Selection Certificates ([here](#))
3. Selection Cert, NRC Form 178 ([here](#))
4. Sample Instructions for Panels/Ranking Officials
5. Sample Email to Selecting Official with Link to Selection Certs

Links:

1. Interchange Agreement (see Exhibit 1 [here](#))
2. FAQ on Interchange Agreement ([here](#))
3. NRC Fact Sheet on Reinstatement Eligibility ([here](#))
4. NRC Policy Decision on VEOA eligibility ([here](#))

Ranking Processes & Generating Selection Certs

- **Crediting Plan** – ranking tool to help distinguish best qualified, highly qualified, and basically qualified competing applicants and in turn predict those who would be most successful
 - **Do's:**
 - Ensure they are tied to vacancy KSAs; include examples of different levels
 - Strive for qualitative, not quantitative, differences
 - Develop prior to posting; normally some different criteria at different grade levels
 - Ensure SME (usually Selecting Official) concurs/provides input
 - **Don'ts:**
 - Don't provide to applicants – could provide unfair advantage
 - Don't reinvent the wheel – adapt rather than start from scratch
- **Generic Crediting Plans**
 - From MD 10.15 definitions; requires greater ranking official(s) judgment
 - May be more appropriate for datamine searches or when few external applicants are expected

Ranking Processes & Generating Selection Certs

Applicant Categories

Merit Staffing (Internal): NRC employees who occupy permanent NRC Regular appointments, or competitive temp or term appointments (not common):

- Do not compete against general public
- May need to compete (i.e., be ranked against a crediting plan) as a “promotion eligible” or not because considered “noncompetitive eligible” (what many at NRC called “reassignment eligible” but which is broader than just reassignment eligible)
- Competitive eligibles need not be ranked when there are a small number of competitive applicants per advertised grade

Ranking Processes & Generating Selection Certs

Applicant Categories

Merit Staffing (External): Outside Federal employees (current or former) who have "status"

- Competitive service employees in tenure code 1 or 2 and have completed a 1-year probationary period – via interchange agreement
- Former Federal employees eligible for reinstatement (not always easy to discern for former excepted service employees)
- VEOA applicants – if posting is open to status only, including those outside of NRC, VEOA-eligible applicants must be allowed to apply; no blocking or rising to the top (NOTE: NRC does not treat VEOA exactly the same way that the competitive service does)

Ranking Processes & Generating Selection Certs

Applicant Categories

Open Competition: Essentially all non-Federal applicants and Federal applicants who do not have “status,” cannot transfer under NRC’s interagency agreement, or do not have reinstatement eligibility must compete with the general public

- NRC has used the term “Nationwide” posting to refer to “All Sources” vacancies
- VEOA eligibles who apply to All Sources postings are considered under the open competition procedures, where veterans’ preference is applicable

Ranking Processes & Generating Selection Certs

NRC Appointment Types:

- **Regular Appointments** (similar to career/career-conditional appointments in the competitive service, subject to NRC's merit system)
- **Excepted and Non-Career Appointments** (for statutory and limited appointments not subject to NRC's merit system, such as Presidential; Commissioner Assistant (similar to Schedule C); or for other noncompetitive appointments, such as for readers/interpreters, VRA, 30% compensably-disabled veterans, co-ops, and others covered under MD 10.13, Special Employment Programs
 - May consider applicants eligible for a non-competitive hiring authority at any time, with or without a posted vacancy announcement
 - Referred without ranking

Ranking Processes & Generating Selection Certs

Staffing Flexibilities

- **NBU positions AND external applicants for BU/NBU positions:**
 - May use generic crediting plan
 - No longer need to have GG-15s compete for NBU GG-15 position; or for any reassignment eligible for a supervisory position
 - May use a ranking official (rather than panel)
 - Pre-panel meeting not required (but recommended in some cases)
 - Panels (of two or more) may average scores, in which case panel meeting not necessary
 - 10 or fewer competing eligibles per advertised grade may be referred directly to selecting official
 - Noncompetitive details/temporary promotions to positions with higher FPL for up to 180 days vs. 90 days

Ranking Processes & Generating Selection Certs

Staffing Flexibilities

- **NRC employees applying to BU positions:**
 - 3 or fewer competing internal applicants per advertised grade level, ranking is not required and the applicants may be directly referred to selecting official
 - If 4 – 10 competing internal applicants per advertised grade level, ranking is required and a ranking official rather than a panel may be used
 - If more than 10 competing internal applicants for a particular advertised grade, ranking is required and a ranking panel consisting of 2 (or more) panel members must be used
 - Ranking panel scores may be averaged

(See CBA Article 17)

Ranking Process: Identifying Ranking Official(s)

- Hiring manager is responsible for identifying the ranking official or panel members
- Ranking official(s) must be at least at the FPL of the position being filled
- Ranking official(s) should not be a direct subordinate in the chain of command to the hiring manager
- Strive for diversity in panel membership & look outside your office for panel members

Ranking Process

- Recommend pre-panel meeting between hiring manager and ranking official/ranking panel
- Discuss the vacant position and crediting plan
- After the panel meeting, hiring manager and ranking official/panel should not discuss any aspect of the ranking process without the HR Specialist being present
- If ranking official/panel has any questions, they should contact HR Specialist and HR Specialist will respond or contact hiring manager to discuss and then respond
- Any outside communications can lead to a "corrupted process" that may lead to cancellation of the vacancy or lead to a grievance if discovered after ranking process completed

Selection Certificate

- Number of certs received depends on area of consideration and BU/NBU status
- Best Qualified Candidates appear alphabetically
- Range of scores provided for internal BU positions
- Letter grades (A or B) provided for status/nationwide certs for BU positions

Questions?

Merit Staffing FAQs

It is the policy of the U.S. Nuclear Regulatory Commission to operate a merit staffing program without regard to political affiliation, race, color, religion, national origin, gender, sexual orientation, marital status, age, or disability, without favoritism based on personal relationship or patronage, and with proper regard for an employee's or applicant's privacy and constitutional rights (Management Directive 10.15).

Contact Information

This document contains information about the application process, including helpful hints on preparing an application when applying for positions under the merit staffing process, as well as information about the qualification, ranking, and selection processes. The questions and answers contained in this document apply in most, but not necessarily all cases. Where procedures vary between bargaining unit and non-bargaining unit positions, the responses so indicate.

Related Links/Reference Information

- [Frequently Asked Questions on the Application Process](#)
- [Frequently Asked Questions on the Qualifications Process](#)
- [Frequently Asked Questions on the Ranking Process](#)
- [Frequently Asked Questions on the Selection Process](#)
- [Applications on Applying to NRC](#)

Frequently Asked Questions on the Application Process

1. What is the procedure for applying for a position under the NRC's internal merit staffing program?

The NRC uses an online job application system called NRCareers (integrated with USAJOBS). All employees and external applicants must submit their applications electronically through NRCareers unless they have a hardship which prevents them from being able to do so. Applications must be submitted by the closing date in order to be considered. A complete application consists of your most recent performance appraisal (for NRC employees), resume, narrative statement addressing the ranking factors in the vacancy announcement (if applicable), along with any other supplemental documents specified in the vacancy announcement.

2. Do I have to address the ranking factors?

Yes, applicants must address the ranking factors (referred to in the "ideal candidate" language) so that ranking officials or panels and selecting officials have sufficient information to determine your level of qualifications and to make informed selection decisions. You will be evaluated based on information provided in your resume as well supplemental materials. Breadth, depth, recency, and length of experience in the field; training, awards, and commendations; past and current performance; and community or outside professional activities will be considered to determine your level of knowledge, skill or ability for this position.

3. If a position is advertised at multiple grade levels, are the minimum qualifications written at all grade levels?

Generally, the minimum qualifications are described for the highest grade level advertised in the vacancy announcement and also are applicable to lower grade levels. Most positions require one year of specialized experience equivalent to the next lower grade level in the Federal service. A vacancy announced at grades 12 and 13 would require one year of specialized experience equivalent to grades 11 and 12, respectively, for example. Occasionally, specific qualification information for the lower grade levels is provided, typically to describe the substitution of education for the required specialized experience. For example, a master's degree recipient without any specialized experience would qualify at grade 9 for professional jobs, rather than that applicant being required to have obtained one year of specialized experience equivalent to the grade 7. Please note that requirements must be met within 30 calendar days after the closing date of the vacancy announcement.

4. What if I don't have a current performance appraisal when I apply for a position?

Individuals who review your application package use performance information to assess the level of your knowledge, skills and abilities. If you have not received an official rating of record for the most recent rating period, your application will still be accepted. In this case, you should submit your last performance appraisal along with an explanation as to why a current appraisal is not available. If you are new to the NRC and have not yet received an appraisal, you should provide your Human Resources (HR) Specialist with an email to that effect.

5. What is the difference between the "closing date" and the "expiration date" on vacancy announcements?

The closing date that appears on most vacancy announcements indicates the last date by which the OCHCO or the Regional Personnel Office must receive your application. The ranking and selection process does not begin until after the closing date.

Positions that become vacant frequently and/or positions that are hard to fill are sometimes posted Open Until Filled (OUF). These positions are normally at the GG-13 level and below. Vacancy announcements for such positions show an expiration date to let potential applicants know the maximum amount of time within which they may apply. Applications for these positions may be referred to the ranking entity or the selecting official before the expiration date, as early as 16 workdays after the opening date of the announcement. Responding promptly to such announcements is important. If the position is filled before the expiration date shown on the posting, the vacancy announcement will be closed and additional applications will no longer be considered.

6. If I am noncompetitively eligible for a position posted in a vacancy announcement, for example because I am qualified for the position and my current, permanent position has the same promotion potential as that of the position being filled, can't I just be assigned without applying under merit staffing procedures?

Even though you may be eligible for noncompetitive movement to the position, you still must apply in order to ensure that you are considered. Your application will not be ranked but you will be placed on the certificate if you meet the minimum qualifications for the position.

7. What does the phrase "area of consideration" mean?

"Area of consideration" means the organization(s) and/or geographic area(s) from which applications will be accepted. For example, "NRC-wide" would indicate current permanent and competitive term NRC employees. "Status" would indicate not only these NRC employees, but current or former other permanent federal Executive Branch employees who are eligible to move to NRC under NRC's "Interchange Agreement" as well as reinstatement eligibles (noncompetitive appointment eligibles would be considered as well). "Nationwide" or "All Sources" would include applicants from all sources status as well as other individuals including noncompetitive appointment eligibles. Once the area of consideration has been determined, applications from outside that area will not be considered.

8. Who determines the area of consideration?

With advice from the selecting official, the servicing HR Specialist determines the area of consideration most likely to produce a substantial number of well-qualified applicants in a timely and economical manner.



Frequently Asked Questions on the Qualifications Process

1. What does the term "minimally qualified" mean?

"Minimally qualified" means that you possess the basic knowledge, skills, and abilities needed to satisfactorily perform the duties of the position at the posted grade level, as described in the vacancy announcement.

2. What are my options if I'm told I do not qualify for a position?

If you disagree with the determination that you do not qualify, you should discuss the matter as soon as possible with the servicing HR Specialist listed on the vacancy announcement.

3. How is non-Federal experience used in making a qualification determination?

Any non-Federal experience, sometimes referred to as "equivalent experience" (e.g., volunteer, reserve military, or private sector), described in your application package is reviewed to determine whether it is related to the position and, if it is related, what grade level it would equate to in the Federal sector.



Frequently Asked Questions on the Ranking Process

1. What is the difference between ranking factors, ranking criteria, and crediting plans?

Ranking factors describe the most important knowledge, skills, and abilities associated with the position. All minimally qualified applicants will be evaluated against the same ranking factors. Ranking criteria (contained in the crediting plan) are used by the ranking official or panel to determine whether a competing applicant's knowledge, skills, and abilities should be ranked at the A (the highest level), B, or C level for each ranking factor.

2. Do all ranking factors receive equal weight?

If specific knowledge, skills and abilities are used, any one that is deemed to be significantly more important to successful performance in the position than others, may receive greater weight, and any weighting would be mentioned in the vacancy announcement.

3. Are written ranking criteria (crediting plans) required?

Yes. Vacancy-specific ranking criteria may be vacancy-specific or generic. The generic crediting plan definitions of "A," "B" and "C" may be found in Management Directive 10.15 or the Collective Bargaining Agreement.

4. If written ranking criteria are used, when are they established?

Ranking criteria are generally established before the vacancy announcement opens or at a minimum before the applications are reviewed for minimum qualifications. Ranking criteria that have been established for prior, similar positions are frequently used.

5. When is a merit staffing ranking panel required?

If there are more than ten *NRC employees* competing for a particular advertised grade level for a bargaining unit position, a panel (at least 2 individuals) is required to rank these employees. Otherwise a single ranking official designated by the hiring manager or his or her designee may be used.

When considering *external applicants* for bargaining unit or non-bargaining unit positions, or when considering any applicants for non-bargaining unit positions, if there are ten or fewer candidates competing for a particular advertised grade level, ranking is not required, either by a ranking official or a ranking panel. If there are more than 10 candidates competing for a particular advertised grade level, a ranking official designated by the hiring manager or his or her designee may be used instead of a ranking panel.

6. Who selects the ranking official or the members of the ranking panel?

Generally, the Office Director or Regional Administrator delegates the decision to the first-level supervisor (who normally is also the selecting official) or to the next higher supervisory level (the second-level supervisor).

7. Are there any special qualifications required to serve as a ranking official or a member of a ranking panel?

The ranking official must have knowledge of the position being filled and must hold a position at or above the full performance level of that vacant position. At least one panel member must have knowledge of the position being filled and all must hold a position at or above the full performance level of the vacant position. Whenever practical, ranking panels should be diverse in terms of ethnicity and gender. Generally, certain individuals may not serve as ranking officials or ranking panel members. These include individuals serving as official mentors (i.e., in the NRC Mentoring Program) if the person being mentored is an applicant for the position, the selecting official, and a direct subordinate in the chain of command to the supervisor. The Chief Human Capital Officer, the Inspector General, the Director of Small Business and Civil Rights, and the Civil Rights Program Manager, are prohibited from serving on any ranking panel.

8. Can I be told the names of the ranking panel members before the ranking process is completed?

Names of the ranking panel members will be released only after completion of the selection process, in order to preserve the objectivity of the ranking process.

9. What is the "best qualified list" (BQL)?

For a non-bargaining unit position, or where external candidates are competing, the BQL is the list of all applicants who are ranked in the highest overall category. For example, if there are any applicants ranked "A" by the ranking official or the ranking panel, the BQL will consist of those names. If there are no "A" candidates, the BQL will consist of all the candidates ranked "B." If there are no "A" or "B" candidates, "C" candidates will be listed on the BQL. The selecting official may select from among the candidates listed on a BQL, adhering to veterans' preference rules on outside non-status ("open competition") BQLs. However, a selecting official is not required to make a selection from the applicants certified. If the selecting official exercises the option not to make a selection, he or she should document the reason for the selection file. (See Management Directive 10.15, "Employment and Staffing.") If a vacancy announcement is cancelled, the servicing HR Specialist will notify candidates as soon as possible.

For bargaining unit positions, the BQL of competing NRC employees consists of up to 5 applicants whose scores in the ranking process fall within 0.4 of the top-scoring candidate; however, if two or more applicants are tied for final place on the BQL, all of those tied applicants are included on the BQL.

10. What do "A," "B," and "C" mean in the ranking process?

For a particular ranking factor, an "A" ranking indicates that the candidate's qualifications substantially exceed the basic requirements of the position and that the candidate likely will be exceptionally effective in the position; a "B" ranking indicates that the candidate's qualifications exceed the requirements of the position and that the candidate likely will be very effective in the position; and, a "C" ranking indicates that the candidate's qualifications meet, but do not exceed, the requirements of the position and that the candidate likely will be reasonably effective in the position. The ranking criteria (crediting plan) provide the definitions for each of these levels.



Frequently Asked Questions on the Selection Process

1. How will I be notified about the status of the selection process?

The servicing HR Specialist will notify you via e-mail at several points during the merit staffing process: (1) when your application is received; (2) whether you meet the minimum qualifications for the position; (3) whether you were ranked as one of the best qualified candidates and referred to the selecting official (assuming that you were determined to be minimally qualified); and, (4) the final closeout notice informing applicants if the vacancy was filled or not, and for NRC employees, who was selected.

You may also request feedback from the ranking panel chair and/or the selecting official. All requests for feedback should be submitted to the appropriate servicing HR Specialist who will facilitate the meeting.

2. Does the selecting official have to interview all of the best qualified NRC applicants?

Interviewing all the best qualified candidates is not mandatory but strongly recommended. If the selecting official decides to interview, the interviews should be well planned, structured, and applied uniformly to all best qualified candidates on the selection certificate. For bargaining unit positions, if one best qualified candidate is interviewed, then all best qualified candidates must be interviewed.

3. Does the selecting official see the BQL candidates' rankings on each of the ranking factors?

The BQL lists the best qualified employees in alphabetical order by last name.

For non-bargaining unit positions, in addition to the BQL, each of the certified applicants' rankings are given to the selecting official.

For bargaining unit positions, in addition to the BQL, the selecting official sees only the range of overall rankings (i.e., highest and lowest final scores) of those who scored high enough to be placed on the BQL, but does not know which applicant received which score.

4. Can the selecting official change the rankings on a merit staffing certificate?

If the selecting official disagrees with the rankings, he or she may remand the merit selection package or the selection certificate to the ranking entity, along with reasons for the disagreement, for the ranking entity's reconsideration.

5. If I'm selected for a promotion or reassignment, when will I move to my new position?

If you are selected for a promotion, you will normally move to your new position at the beginning of the first full pay period after your new supervisor requests a release. If you are selected for a reassignment rather than a promotion, the gaining and losing offices will establish a mutually agreeable release date.

6. How are positions in the offices of Individual Commissioners filled?

Commissioners' staff positions are not subject to merit competition. Each Commissioner makes selections based on applicants' qualifications and the Commissioner's personal confidence that the individual can do the job. Each Commissioner determines how the positions in his or her office will be filled.

7. Do merit staffing procedures apply to Senior Level System (SLS) and Senior Executive Service (SES) positions?

Basic merit selection principles and procedures apply to both SLS and SES career appointments. The Office of Personnel Management has established government-wide selection procedures for the SES, and NRC uses its own procedures for filling SLS positions.



Helpful Hints on Applying for a Position

Use the Challenge-Context-Action-Result Model:

Challenge. Describe a specific problem or goal.

Context. Talk about the individuals and groups you worked with, and/or the environment in which you worked, to tackle a particular challenge (e.g., clients, co-workers, members of Congress, shrinking budget, low morale).

Action. Discuss the specific actions you took to address a challenge.

Result. Give specific examples of the results of your actions. These accomplishments demonstrate the quality and effectiveness of your work.

Make the application package look professional and appealing. Packages should look professional, have no misspellings, and be well organized. Remember that the application package is usually a very good indicator of your ability to communicate in writing and your attention to detail.

Stick to the facts. Don't be either too modest or too boastful. Provide details of your work experience, education, training, appraisals, and letters of commendation, which convey your qualifications for the position for which you are applying. The ranking official or panel and selecting official need to know what you have actually done, and how well you did it.

Be specific. Specificity is key to rankings that a ranking official or panel awards you. The ranking official or panel ranks your application only on the information that you submit, and may not use their personal knowledge, if any, of you. Therefore, your application is your only opportunity to explain

how you meet the requirements outlined in the vacancy announcement. Statements such as "20 years of nuclear experience show how I meet this factor" give the ranking official or panel no specific information about what you have accomplished in those 20 years.

Other Suggestions.

Use clear, concise statements written in the first person.

Spoil out all acronyms.

Describe recent education and training that enhanced your qualifications.

Don't forget to include special assignments (e.g., details or your participation on task forces or committees) if they are relevant to your qualifications for the advertised position.

Avoid statements that describe your personal beliefs or philosophies; focus on specific challenges and results.

If possible, quantify/qualify your accomplishments. For example, if you were a recruiter looking at a resume or an answer to a knowledge, skill, or ability, which of the following descriptions would impress you more?

- ☐ Wrote news releases
- ☐ Wrote 25 news releases in a three-week period under daily deadlines

Clearly the second statement carries more weight. Why? Because it uses numbers to quantify the writer's accomplishment, giving it a context that helps the ranker and selecting official understand the degree of difficulty involved in the task. Numbers can be powerful resume tools that will help your accomplishments draw the attention they deserve from prospective employers.



U.S.NRC

United States Nuclear Regulatory Commission

Protecting People and the Environment

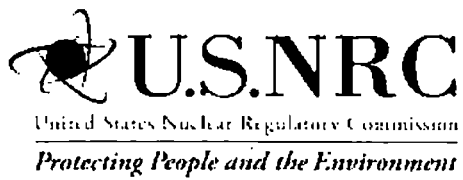
U.S. Nuclear Regulatory Commission

NRC Supervisory Curriculum

NRC Recruitment, Behavioral Interviewing, and Selection

Course Pilot

HRTD
Human Resources
Training & Development



NRC Supervisory Curriculum Recruitment, Behavioral Interviewing, and Selection

INSTRUCTOR'S GUIDE

OVERVIEW

Design and Usage of the Instructor's Guide

The material in this guide is designed to complement and supplement, not replicate the information in the Participant Handbook. The Instructor's Guide material highlights key points related to each lecture topic and provides suggestions for discussion and relevant examples the Instructor can use to illustrate key topic areas. It also offers detailed instructions for conducting and debriefing exercises.

For each lecture topic and exercise, a time estimate is provided. It is only an estimate. Instructors are expected to manage their time appropriately and vary the times according to participants' interest and understanding of the topics.

The Overview and Course Logistics sections provide background and reference information for the Instructor. These sections are printed on colored paper to distinguish them from the rest of the guide, and they only appear in the Instructor's Guide. Beginning with the Introduction section, the Instructor's Guide material corresponds directly to the Participant Handbook.



NRC Supervisory Curriculum Recruitment, Behavioral Interviewing, and Selection

Course Prerequisites and Target Audience

Course Prerequisites

None

Target Audience

This is a required course for all new supervisors and team leaders at the NRC.



NRC Supervisory Curriculum Recruitment, Behavioral Interviewing, and Selection

Glossary, Job Aids and Bibliography & Resources List

Glossary of Key Terms: See page A.2

Job Aids: See page A.3

Hiring Process Tasks: See page A.6

Annotated Bibliography and Resources List: See page A.14



**NRC Supervisory Curriculum
Recruitment, Behavioral Interviewing,
and Selection**

INSTRUCTOR'S GUIDE

COURSE LOGISTICS

Course Logistics

Adjustments to Schedule: Adjustments to the schedule are at the discretion of the instructor based on the needs of the participants.

Lead Instructor: This course is designed to be taught by one instructor in a classroom environment. Guest speakers might be invited to present on specific topics. The instructor should possess appropriate subject-matter knowledge.

Training Room: Tables to write on which should be arranged to facilitate small group discussions. At least three flip charts with easels should be set up throughout the room.

Course Materials and Equipment:

- Participant Manual
- Computer and projector for PowerPoint slides
- Three flip charts and easels
- Markers

Instructor Preparation: Instructors should be familiar with the content and concepts in the course. The annotated bibliography included with this guide provides source and background material for the course, should the instructor want to research specific topics in greater detail. In addition, where specific course material can be referenced directly to a single source, the reference is cited in the guide.

The instructor should read all of the exercises in detail. While instructions for each are spelled out in the guide, it is the instructor's responsibility to ensure the exercises are administered correctly and the proper learning takes place.

Use of Power Point: The use of Power Point presentations is a personal decision made by each instructor. A complete Power Point presentation is included to accompany a classroom-based, instructor-led course.

Course Logistics (continued)

General Rules for Conducting an Exercise

Set up:

Physical preparation:

- Examine equipment, videos, room, chairs, and break-out areas before class begins.

Links:

- Make necessary connections to prior lessons, learning outcomes, exercises, or class experiences.

Tone, Introduction:

- Convene the group – do something to get their attention before beginning the instruction.
- Use an icebreaker. Engage the group in a discussion, exercise, or physical activity to help them bridge their focus into the course.
- Set the stage, mood, and mindset of class.
- Be mindful of class history, persona, and profile.

Instructions:

- Bring group's attention to front of the room.
- State the purpose of the exercise.
- Explain what they will do and then have them do it (or have them repeat key concepts back to you).
- Be explicit and chart steps on a flip chart.
- Specify time boundaries.
- As needed, use handouts to reinforce material being presented.
- Always explain what the finished product should be.
- Ask for questions.

Ground Rules/Guidelines:

- Some exercises need specific boundaries.
- Roles may need to be defined. Separate handouts may be needed. The instructor may need to brief principal role players and observers separately.

Course Logistics (continued)

Conduct:

Instructor Role:

- Act as a roving observer to ensure the exercise is progressing well, giving clarifying guidelines or reminders as needed.
- Intervene at lowest possible level.

Exercise Debrief:

- Use open-ended questions.
- Open the floor to commenting or processing: What just happened?
- Acknowledge feelings. This could be as short as a quick comment to characterize what the class or person experienced or a discussion to capture class reaction.
- Congratulate and thank people for participating.

Outcome Review:

- Review objectives of the exercise – restate the “why” of the activity.
- Ensure that key roles and lessons are reported out.
- Discuss key points.

Summary:

- Point out conclusions to be made – through discussions, small group work or dyads, as appropriate.
- Call to mind the learning that took place: behaviors, insights, and thought processes relevant to job.

Links:

- Link key learning points to real world, on-the-job utility.
- Link key learning points to course objectives, future content, and exercises.



**NRC Supervisory Curriculum
Recruitment, Behavioral Interviewing,
and Selection**

ANNOTATED PARTICIPANT HANDBOOK FOR INSTRUCTOR'S GUIDE

NRC RECRUITMENT, BEHAVIORAL INTERVIEWING, AND SELECTION

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**NRC Supervisory Curriculum
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Training Agenda: Day 1

Time	Item	Description
8:30 a.m. – 9:00 a.m.	Introductions	Instructor, Participants, and Guests
9:00 a.m. – 10:30 a.m.	Module 1	Recruitment
10:30 a.m. – 10:45 a.m.		Break
10:45 a.m. – 11:45 a.m.	Module 1	Recruitment (continued)
11:45 a.m. – 12:45 p.m.		Lunch
12:45 p.m. – 1:45 p.m.	Module 1	Recruitment (continued)
1:45 p.m. – 2:15 p.m.	Module 2	Behavioral Interviewing
2:15 p.m. – 2:30 p.m.		Break
2:30 p.m. – 4:00 p.m.	Module 2	Behavioral Interviewing (continued)
4:00 p.m.	Adjourn	End of Day 1

Training Agenda: Day 2

Time	Item	Description
8:30 a.m. – 9:30 a.m.	Module 2	Behavioral Interviewing (continued)
9:30 a.m. – 10:30 a.m.	Module 3	Selection
10:30 a.m. – 10:45 a.m.		Break
10:45 a.m. – 11:45 a.m.	Module 3	Selection (continued)
12:00 – 12:15 p.m.	Evaluations	Course Evaluations
12:15 p.m.	Adjourn	End of Day 2 and Course

COURSE PURPOSE, GOALS, AND OBJECTIVES

Instructor Notes

The Recruitment, Behavioral Interviewing, and Selection course is comprised of three modules. Each module must be taken in sequence.

Course Purpose, Goals, and Objectives

This course is designed to help supervisors and managers understand how recruitment is done at the NRC, become better interviewers, and make sound hiring decisions.

This course will:

- Inform supervisors and managers about the recruitment and hiring process at NRC.
 - Provide participants with a thorough process for conducting legally defensible, appropriate interviews.
 - Allow participants to practice writing behaviorally-based interview questions and to develop confidence in hiring the right candidates.
 - Help supervisors and managers make good selection decisions and avoid hiring misjudgments.
-

Course Purpose, Goals, and Objectives (continued)

Course Objectives

Terminal Objectives – General

By the conclusion of this 1 ½ -day course, participants will be able to do the following:

- Determine the work unit's recruitment needs using the unit staffing plan and succession planning principles.
- Conduct a structured, behaviorally-based interview to assess the candidate's depth of knowledge and skill level relative to the position.
- Compare candidates and make a selection based on facts, rather than personality and intuition.

Enabling Objectives – Specific

- Determine the work unit's recruitment needs using the unit staffing plan and succession planning principles.
 - ▶ Describe the goals of an effective recruitment and hiring process.
 - ▶ Locate NRC and federal guidelines regarding legal and appropriate hiring practices.
 - ▶ Examine pre-announcement recruitment processes and procedures.
 - ▶ Discuss post-announcement recruitment processes.
 - ▶ Discuss succession planning.
- Conduct a structured, behaviorally-based interview to assess the candidate's depth of knowledge and skill level relative to the position.
 - ▶ Evaluate and select the appropriate type of interview for a position.
 - ▶ Use the behavioral interview method to design an interview guide and formulate behaviorally-based interview questions for a current NRC position/vacancy.

Course Purpose, Goals, and Objectives (continued)

- ▶ Apply components of legally defensible and appropriate interviews.
- Compare candidates and make a selection based on facts, rather than personality and intuition.
 - ▶ Examine NRC selection procedures.
 - ▶ Evaluate candidate data.
 - ▶ Determine an appropriate candidate in an NRC-specific case study.

Competencies Addressed

The following Office of Personnel Management (OPM) competencies are addressed in this course to the following degrees:

High Competency	
Human Capital Management	Builds and manages the workforce based on organizational goals, budget considerations, and staffing needs. Ensures that employees are appropriately recruited, selected, appraised, and rewarded; takes action to address performance problems. Manages a multi-sector workforce and a variety of work situations.
Medium/High Competency	
Oral Communication	Makes clear and convincing oral presentations to individuals or groups; listens effectively and clarifies information as needed; facilitates an open exchange of ideas and fosters an atmosphere of open communication.
Problem Solving	Identifies and analyzes problems; distinguishes relevant and irrelevant information to make logical decisions; provides solutions to individual and organizational problems.
Accountability	Holds self and others accountable for measurable high-quality, timely, and cost-effective results. Determines objectives, sets priorities, and delegates work. Accepts responsibility for mistakes. Complies with established control systems and rules.

Competencies Addressed (continued)

Medium Competency	
Partnering	Develops networks and builds alliances, engages in cross-functional activities; collaborates across boundaries, and finds common ground with a widening range of stakeholders. Utilizes contacts to build and strengthen internal support bases.
Strategic Thinking	Formulates objectives and priorities and implements plans consistent with long-term interests of the organization in a global environment. Capitalizes on opportunities and manages risk.
Interpersonal Skills	Considers and responds appropriately to the needs, feelings, and capabilities of different people in different situations; is tactful, compassionate, and sensitive, and treats others with respect.
Decisiveness	Makes well-informed, effective, and timely decisions even when data are limited or solutions produce unpleasant consequences; perceives impact and implications of decisions.

Competencies by Levels Linked to the Executive Core Qualifications

	Fundamental Competencies	Leading Change	Results Driven	Business Acumen	Building Coalitions
High				Human Capital Management	
Medium / High	Oral Communication		Problem Solving Accountability		
Medium	Interpersonal Skills	Strategic Thinking	Decisiveness		Partnering

On-The-Job Behaviors and Activities

Examples of on-the-job behaviors and activities related to competencies that participants can practice to assist them in transferring the knowledge and skills discussed in the course to their jobs:

Human Capital Management	<ul style="list-style-type: none"> ✓ Participate in strategic human workforce planning activities. ✓ Prepare a staffing plan. ✓ Partner with OHR and take part in a recruitment event. ✓ Participate in panel interviews. ✓ Conduct individual interviews.
Oral Communication	<ul style="list-style-type: none"> ✓ Practice listening skills. ✓ Talk with and observe people you believe are good communicators. ✓ Share information in a timely fashion. ✓ Ask open-ended questions whenever possible to build rapport and gather more relevant information.
Problem Solving	<ul style="list-style-type: none"> ✓ Define problems and issues accurately. ✓ Determine and review relevant data. ✓ Brainstorm and identify solutions. ✓ Evaluate alternative courses of action.
Accountability	<ul style="list-style-type: none"> ✓ Comply with organizational control systems and rules. ✓ Articulate objectives and effectively delegate work.

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On-The-Job Behaviors and Activities (continued)

Interpersonal Skills	<ul style="list-style-type: none"> ✓ Identify interpersonal skills you would like to work on (such as nonverbal gestures) and share them with your staff and co-workers. Have them provide feedback to you about how well you addressed those behaviors during your interaction. ✓ Ask open-ended questions whenever possible to build rapport and gather more relevant information. ✓ Interact with subordinates, support staff, peers and upper management as often as possible, treating each group with respect and tact.
Strategic Thinking	<ul style="list-style-type: none"> ✓ Determine strategic human capital priorities for your work group. ✓ Develop a workforce plan. ✓ Participate in succession planning activities
Decisiveness	<ul style="list-style-type: none"> ✓ Participate in interviewing panels and selection processes.
Partnering	<ul style="list-style-type: none"> ✓ Lead a collaborative effort to integrate a system across business units or functions. ✓ Seek opportunities to expand networks by working on cross-functional teams. ✓ Partner with an external organization to address a common issue. ✓ Serve on an inter-governmental team or task force to expand networks and develop external awareness.

MODULE 1: RECRUITMENT

Instructor Notes for Module 1

Begin this module by discussing the current recruiting and hiring environment at NRC. Acknowledge that the process is driven by changes in the political environment and by budgetary considerations. Provide some history about the cycles of hiring activity at NRC. Discuss the following:

- After Three Mile Island (maintenance and decommissioning focus)
- Energy Policy Act of 2005
- Surge in licensing applications between 2006 and 2008
- Replacement of employees lost to attrition
- Factors that dictate the kinds of positions that need to be filled at any given time

Characterize the types of positions NRC seeks to fill in the current environment. Your discussion of recruitment and hiring challenges should also focus on relevant issues facing the NRC. Be prepared to chart the results of this discussion and encourage participants to record the results as well.

This module introduces the Hiring Process Flowchart. You should familiarize yourself with it and refer to it as you discuss the process. Also, remember to refer participants to the Hiring Process Task Chart in the Appendix that indicates tasks, responsibilities, and timelines for the hiring process.

This module also introduces five case studies that will be used throughout the three modules. You can choose to assign a case study to each group or allow the participants to choose one of the case studies for themselves. Make sure participants retain details of the case study activity results for use in subsequent modules.

Time: 4 hours

Module 1: Recruitment

1.1 Objectives

The objectives for this module are for participants to be able to:

- Describe the goals of an effective recruitment and hiring process.
- Locate NRC and federal guidelines regarding legal and appropriate hiring practices.
- Examine pre-announcement recruitment processes and procedures.
- Discuss post-announcement recruitment processes.
- Discuss succession planning.

1.2 Competencies Addressed

- Human Capital Management
- Problem Solving
- Accountability
- Partnering
- Strategic Thinking

The NRC seeks to recruit and hire individuals who are qualified to carry out the NRC mission and are effective in their positions. Few decisions are more important to you as managers and supervisors than recruiting and selecting highly capable people with the right skills for your team.

Recruitment and hiring at the NRC is a function of a changing political environment and fluctuations in federal funding. This impacts the kinds of positions for which you recruit. Changes in the rate of attrition also require managers to adjust and respond accordingly.

This is the first of three modules in which we explore the recruiting, hiring, interviewing, and selection processes at the NRC.

1.3 Recruitment and Hiring at the NRC

Objectives:

- Describe the goals of an effective recruitment and hiring process.
- Examine pre-announcement recruitment processes and procedures.

1.3.1 Overview of Recruitment and Hiring

What do you think it costs the NRC to hire the wrong person? Depending on whether the individual was an internal or external hire, and the amount of training you have invested, the costs of a "wrong" hire can range anywhere from 1 ½ to 3 ½ times the cost of an individual's salary.¹ This is only one of many reasons it is important to follow a structured process for recruiting and hiring employees.

Recruitment is the process of identifying and attracting potential job candidates, both from within the organization and external to the organization, and evaluating them for possible employment. Your role is to identify vacancies in your area of responsibility and work with a Human Resources (HR) Specialist to fill them to support the NRC mission.

Supervisors in the NRC receive an annual notification from the Office of Human Resources (OHR) requesting information about filling projected vacancies. You should also contact OHR for assistance when you anticipate the need to fill a vacancy. It is important to develop a partnership with OHR to fulfill this responsibility.

¹ <http://www.isquare.com/turnover.cfm>

1.3.2 Discussion Questions

1. How many of you have filled a vacancy in the past? What were the challenges associated with the process?

2. What do you understand your role to be?

3. How do/did you involve the HR Specialist?

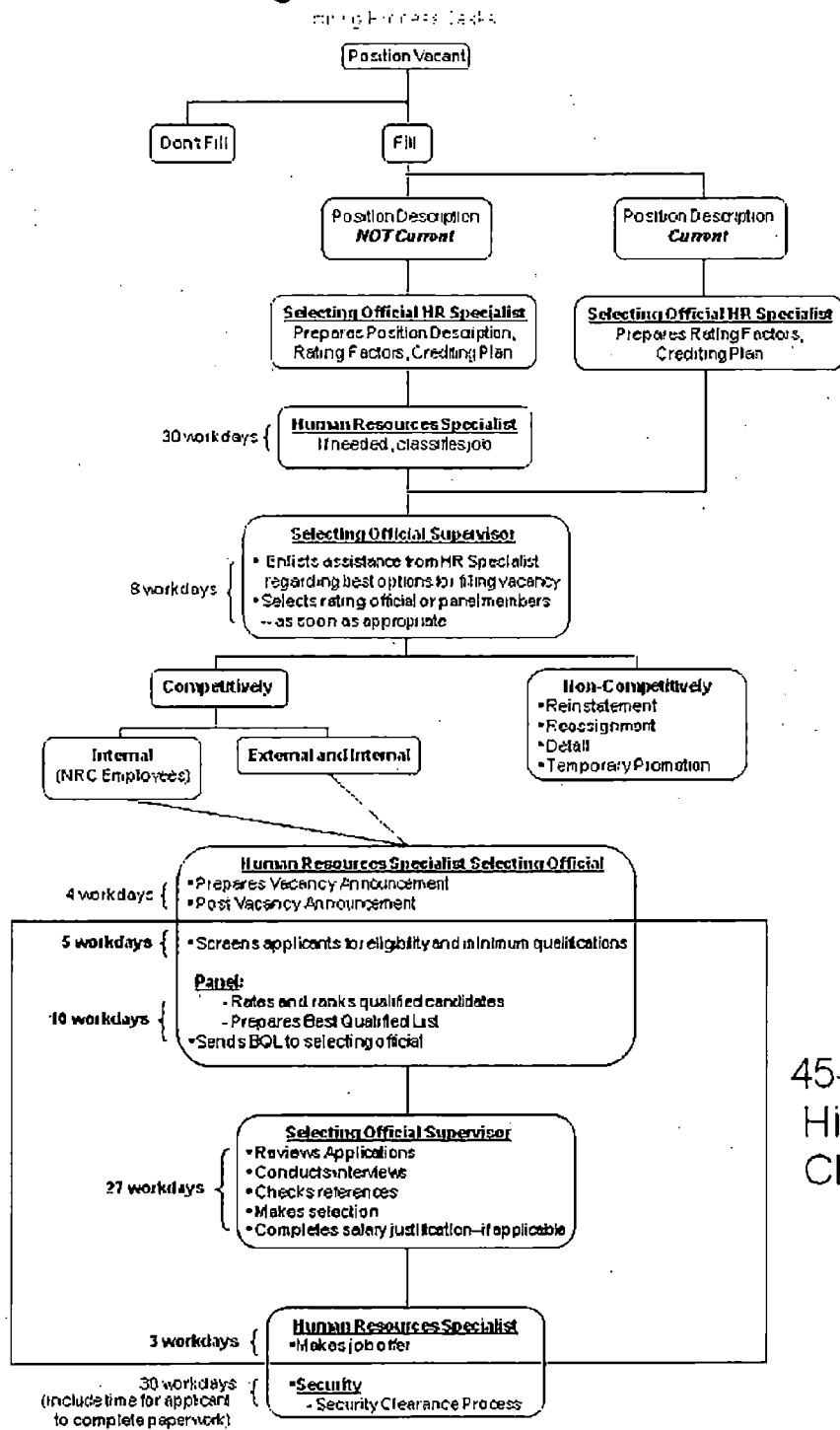
4. What are the goals of your organization with respect to human capital?

1.3.2 Discussion Questions

5. If asked to describe a successful hiring process, how would you respond?

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Hiring Process Flowchart



1.4 Recruiting Considerations

A first step after identifying a vacancy, or the need to fill a position, is to compile information about the job requirements. You will need to determine if the current position description is valid and accurately reflects the requirements of the job. A typical job analysis results in a description of tasks and responsibilities as well as a description of the knowledge, skills, and abilities required to perform the job duties.

Before posting a vacancy, you will explore staffing options appropriate to the position with an HR Specialist. You will also work with OHR to develop a ranking or crediting plan to identify best-qualified candidates during the screening process.

Following are steps that start the process of filling vacancies:

1. Determine the staffing needs of your team or work group.
2. Discuss the vacant positions, including major duties and required competencies with an HR Specialist.
3. Work with an HR Specialist to assess staffing options, hiring flexibilities, and recruiting incentives.

1.5 Crediting Plan

In the NRC, eligible competing applicants are sometimes formally evaluated against a crediting plan. A crediting plan is a document used to rate candidates' possession of job-related knowledge, skills, and abilities (KSAs), also known as rating factors. This is done to identify those candidates who are best-qualified for the position.

The rating levels used in NRC crediting plans are as follows².

Category A	Describes the requirements for those candidates whose overall qualifications for the position are <i>best qualified</i> in relation to the requirements of the position. The qualifications of the candidates, as determined through evaluation of the application and, when used, interview and reference materials, substantially exceed the basic requirements to the extent that it appears that the candidates will be <i>exceptionally effective</i> in the position.
Category B	Describes the requirements for those candidates whose qualifications are highly qualified for the position, that is, the candidates exceed the requirements but are not among the best qualified. The qualifications of the candidates, as determined through evaluation of the application and, when used, interview and reference materials, exceed the basic requirements to the extent that it appears that the candidates will be very effective in the position.
Category C	Describes the requirements for those candidates whose qualifications meet but do not exceed, the requirements of the position. The qualifications of the candidates meet basic requirements to the extent that it appears that the candidates will be reasonably effective in the position.

² NRC Management Directive 10.15: Merit Staffing Program

1.6 Pre-announcement Process

You are encouraged to consult with an HR Specialist throughout this process as necessary. While one of the goals of this course is to provide you with the ability to conduct many of these activities, you are cautioned to reach out to OHR whenever you are unsure of your responsibilities or authorities. The following addresses issues that you should consider as you prepare to fill a vacancy.

Job Position

- What is the position? Is the position description accurate and current?
- What are the major responsibilities, duties, or tasks this person will perform?
- Approximately what portion of the person's time will be spent on each key task or duty?
- Could the duties be restructured, and/or can the position be filled at a lower grade than the full performance level? Should it be filled on a part-time basis or a full-time basis?
- Has this position been filled on a temporary basis? If so, for how long?

Competencies and Experience

- What skills and competencies are needed to be successful on the job?
- What kind of specialized experience is required or preferred for the position?
- What degrees, certifications, or clearances are required or preferred?

Location of Applicants

- Where might we find the best candidates?
- Do you already have a particular candidate in mind for the position who might be eligible for a noncompetitive Special Recruiting Program?
- For what other organizations might potential candidates currently work?
 - ✓ Where have you found great candidates in the past?
 - ✓ Who are major contractors that have talent you desire?
- To what associations do they belong?

Rating Factors and Crediting Plan

- Do the rating factors correlate with the position description?
- Should any factors be weighted?
- Are there any required knowledge, skills, or abilities that should be considered?
- Are rating criteria directly related to rating factors? Are they described using examples?
- Will rating criteria be effective in distinguishing superior from basically eligible?

Special Recruiting Programs

- Are there any special recruiting programs/hiring authorities that might be used?
 - ✓ Co-op program
 - ✓ Veterans Appointing Authorities
 - ✓ Disability Appointing Authorities
 - ✓ Noncompetitive reinstatement or transfer
 - ✓ Noncompetitive re-employment of retirees
 - ✓ Noncompetitive appointing authorities, such as former Peace Corp volunteers

Flexibilities

- Would the possibility of any of the following help attract highly qualified applicants?
 - ✓ Recruitment incentives
 - ✓ Relocation incentives
 - ✓ Student loan repayment (normally reserved for retention vs. recruitment)
 - ✓ Payment of interview and/or relocation expenses
 - ✓ Pension offset waivers for rehired annuitants

Exercise 1.1: Recruitment Strategies

Purpose:	To introduce participants to the recruitment and hiring process at the NRC
Time:	60 minutes
Task:	Review case studies and begin to formulate a plan for recruiting and hiring a job applicant based on case study information.
Step One:	Review your assigned case.
Step Two:	<ul style="list-style-type: none"> • Work in your table group. • Refer to, and account for key tasks, responsibilities, and time guidelines identified in the Hiring Process Tasks Chart in the Appendix. In each case, assume the Branch Chief is the Selecting Official. • Brainstorm a list of recruitment strategies. • Identify sources for recruitment activities. • Consider staffing options, hiring flexibilities, and recruiting incentives. • Use the Exercise Worksheet to record your observations. This should serve as a form of a crediting plan for your case. • Note: we will not deal with actual rankings for the candidate in the case studies for this course.
Step Three:	Be prepared to share your results with the class. Retain your notes, as these case studies will be referred to throughout the rest of the course.

Exercise 1.1: Scenario One

Office of New Reactors

Congress has passed the Nuclear Power Plant Act of 2009. The Act states that \$120 billion will be appropriated for licensees to build nuclear power plants throughout the U.S. In order to go forth with these power plants being built by the licensees, early site permits are required.

The Division of New Reactor Licensing within NRO:

- Leads, manages, and facilitates design certification application reviews, early site permit application reviews for plants using PWR technology, combined license application reviews, and new reactor pre-application activities
- Develops and maintains the necessary technical and programmatic support for new reactor licensing activities, guidance development, interaction with stakeholders on issues pertaining to new reactors, large-scale project management tools, schedule and resource planning and tracking, and issuance of design certifications and COLs

The Case

NRO needs to hire an early site permit reviewer to handle the new permits as they start to flow into the division. Kenyatta Walker, the division's branch chief, just graduated from the Leadership Potential Program in February. He was hired to this position within the last month. Walker's background is in reviewing plants using BWR technology.

In addition, NRO is interested in a project manager (on either rotation from NRR or new personnel) who would work hand-in-hand with these newly hired, early site permit reviewers.

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Exercise 1.1: Scenario One (continued)

Position	Person
Office Director:	Mark Young
Office Deputy Director:	Jane Old
Branch Chief:	Kenyatta Walker
Project Manager:	Unfilled
Early Site Permit Reviewer: (GG-12-13 or rotation from another Office)	Unfilled

Exercise 1.1: Scenario Two

Office of Nuclear Materials Safety and Safeguards

According to the 2009 Spent Fuel Census, an estimated two billion metric tons of radioactive material and spent fuel will be generated. However, there are not enough storage or transportation casks around to store or transport this fuel. Because of this outburst of spent fuel and radioactive material, industry has been encouraged to create more transportation casks and storage casks to transport and store spent fuel and radioactive material.

The Division of Spent Fuel Storage and Transportation (SFST) develops and implements the agency's regulatory, licensing, and inspection program for the storage of nuclear reactor spent fuel and the domestic and international transportation of radioactive materials, serving as the agency lead in spent fuel storage and transportation activities.

The Case

SFST is in need of a thermal reviewer as these licensees begin to send their applications in for review and eventually, approval. With these reviewers, a strong thermodynamics background is necessary, but knowledge of ANSYS and FLUENT is a plus.

Position	Person
Division Director:	Bill Santos
Division Deputy Director:	Ray Haney
Branch Chief:	Susan Maclin
Team Leader:	Christopher Strongman
Thermal Reviewer: (GG – 11, 12, or 13, or rotation from Office outside of NMSS)	Unfilled

Exercise 1.1: Scenario Three

Office of Federal and State Materials and Environmental Management Programs

The state of Minnesota decided in December of 2008 to become an agreement state with the NRC. In order to act accordingly with the rules and mandates of the NRC, representatives from the state need some material licensing and inspection guidance.

- The Agreement State Programs Branch (ASPB) develops policy and procedures for assessing Agreement State and NRC regional performance of materials licensing and inspection activities and provides guidance to states intending to become Agreement States. The ASPB:
 - ✓ Reviews new applications for Section 274b Agreements, in coordination with other NRC offices and the Regions, for Commission review and approval
 - ✓ Coordinates closely with the Agreement States to plan and provide for review of State regulations
 - ✓ Coordinates with Regional State Agreement Officers (RSAO's) and provides program direction and guidance
 - ✓ Is responsible for communications system support, e.g., States contacts database, list servers, and websites
 - ✓ Is responsible for safety and security interface issues between NRC and the Agreement States
 - ✓ Provides technical support for training of regional and Agreement State materials licensing and inspection staffs
 - ✓ Makes the NRC determination required by Section 274c prior to Agreement State termination of uranium milling licenses.

The Case

ASPB is in need of an agreement state liaison to help with the state of Minnesota's transitioning, along with guidance in being satisfactory in reference to their materials licensing and inspection activities. Experience in being a liaison is necessary for this task.

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Exercise 1.1: Scenario Three (continued)

Position	Person
Office Director:	Douglas Hawkins
Office Deputy Director:	Anthony Wiseman
Branch Chief:	John Browning
Agreement State Liaison (GG – 12 -13 or rotation from any Office):	Unfilled

Exercise 1.1: Scenario Four

Office of Human Resources

The Executive Director of Operations (EDO) has issued a directive stating that two more leadership programs within the agency are to be created. One for secretaries (Secretarial Leadership Development Program-SLDP) and one for Information Technology staff (IT Leadership Development Program-ITLDP). The directive has now been sent to the Professional Development and Policy Branch (PDPB) to organize these leadership programs. The PDPB:

- Designs, develops, maintains, improves, and implements agency professional training in such areas as communications, computer applications, EEO, management and supervision, acquisition, and financial management.
- Manages development, implementation, and continued technical support for selected information technology applications in support of agency training initiatives.
- Develops, manages, and evaluates formal training and development programs that support human capital goals.
- Develops new courses and modifies existing courses to meet new or changing needs.
- Provides information, assistance, and counsel to employees on career development.
- Ensures training policies and professional development activities align with the agency Strategic Plan and the Training and Development Strategic Plan.
- Establishes and manages interagency agreements and commercial contracts to satisfy NRC professional development and knowledge management needs.
- Provides expert technical assistance to NRC, other government agencies, and foreign regulatory agencies on regulatory programs, human resources development, and training systems methodology and standards.

The Case

PDPB is in need of two program coordinators to coordinate and get the ITLDP and the SLDP off and running before FY2010. For these positions, a strong leadership knowledge base in either IT or clerical work is necessary. Capabilities in training and mentoring would also be a plus.

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Exercise 1.1: Scenario Four (continued)

Position	Person
Division Director:	Wanda Garcia
Deputy Division Director:	Patricia Holiday
Branch Chief:	Daryl Views
IT Leadership Development Program Coordinator (GG – 13):	Unfilled
Secretarial Leadership Development Program Coordinator (GG – 13 or on rotation from other Division in HR):	Unfilled

Exercise 1.1: Scenario Five

Office of Nuclear Regulatory Research

THS, Inc., the global leader in software for thermal hydraulic systems, is ceasing operations. This is critical because THS, Inc. supplied the thermal hydraulic systems software to the Office of Nuclear Regulatory Research. A directive has been issued that a thermal hydraulic systems code developer be hired in order to get researchers back on track and running efficient programs.

The Code Development Branch (CDB):

- Plans, develops and manages research programs to develop and maintain computer codes, models and experimental data bases for evaluating nuclear reactor and plant systems thermal-hydraulic transient behavior under normal, abnormal and accident conditions for current and advanced reactors.
- Plans, develops and manages research programs to develop and maintain computer codes, experimental data bases and analytical capabilities for evaluating fuel behavior under normal, abnormal and severe accident conditions for current and future reactor designs.
- Works in partnership with universities, laboratories, and other national and international research centers involved in complementary areas.
- Maintains experimental data, fuel and thermal-hydraulic analytical tools and knowledge bases, and provides consultation to NRC organizations in these specialized areas to make reliable and technically sound regulatory decisions.

The Case

CDB is in need of a code developer to develop codes to solve for thermal hydraulic systems. Programming experience is a plus.

Exercise 1.1: Scenario Five (continued)

Position	Person
Office Director:	Marshall Heitman
Office Deputy Director:	David Swansong
Branch Chief:	Lucy Waters
Code Developer of Nuclear Reactor Behavior (GG – 13 or on rotation from Office outside of RES):	Unfilled

Exercise 1.1: Worksheet

1. Describe the staffing need.

2. List the major duties and required competencies.

3. Identify staffing options and hiring flexibilities.

4. Identify possible recruiting incentives.

Exercise 1.1: Worksheet (continued)

5. What outreach activities or recruiting strategies will attract a highly-qualified and diverse applicant pool?

1.7 Recruiting and Hiring Challenges

The NRC is regularly rated highly in the "best places to work in the Federal Government" surveys. How do we maintain that level of excellence? There are a number of challenges associated with recruitment and hiring common to all Federal Government agencies. There are also challenges specific to the NRC. Consider the following:

- The nuclear energy industry is dynamic and continues to evolve. Private companies might be able to offer better pay and incentives to desired job candidates.
- Attrition and knowledge transfer: the NRC is an agency in which experienced employees have stayed in place for a relatively long time. These employees are now beginning to reach retirement age. How will you ensure new hires acquire the necessary knowledge, skills and abilities to perform effectively?
- One of the benefits of being an NRC employee is being able to take advantage of cross-functional assignments. This might leave new supervisors at a disadvantage when reviewing staffing requirements on a new team.
- NRC job positions are unique from many agencies in the Federal Government. Many jobs are specialized and so recruitment must be focused on specific sources in the engineering and scientific communities.
- Most positions require security clearances. Jobs might require relocation and some positions in the field are Resident Inspectors in which employees are duty stationed, and work at a reactor or nuclear facility site. Hiring managers might need to engage in more creative recruiting activities, consider incentives, and flexible staffing practices to ensure the best hires.

Exercise 1.2: Recruitment Challenges

Purpose:	To explore recruitment challenges in the NRC environment
Time:	30 minutes
Task:	Brainstorm responses to recruitment and hiring challenges.
Step One:	Review the issues on the previous page and add challenges during your discussion.
Step Two:	<ul style="list-style-type: none">• Work in your table group.• Consider additional challenges associated with recruitment and hiring.• Brainstorm a list of strategies to meet all challenges. What are some of your options to ensure quality recruitment efforts?
Step Three:	Be prepared to share your results with the class.

1.8 Strategic Workforce Planning

Recruitment, selection and hiring practices are components of strategic workforce planning. Strategic workforce planning is a term applied to the process of identifying the current and future human capital requirements and skill sets to accomplish the goals of the work unit. The goal of the process is to ensure the right people, with the right skill sets, are in the right positions. The desired result is a workforce that has the capacity to align with and accomplish agency mission and goals.

The Government Accountability Office (GAO) has identified five key principles that are addressed through the strategic workforce planning process.³

- Involve management, employees and stakeholders in developing, communicating, and implementing the strategic workforce plan.
- Determine critical skills and competencies needed to achieve program results.
- Develop strategies to address gaps in human capital deployment to meet critical skills and competencies.
- Build capacity to provide administrative, training, and other requirements to support workforce planning strategies.
- Monitor progress toward agency human capital goals.

Strategic workforce planning is an ongoing responsibility of managers and supervisors. Every hiring decision you make contributes to overall organizational performance goals. In pursuit of achieving these goals, you might be asked to “think outside the box” and use innovative recruitment strategies.

The OHR can help you explore options that will maximize the pool of candidates for selection.

³ GAO Report: Human Capital – Key Principles for Effective Strategic Workforce Planning (GAO-04-39), December 2003

1.8.1 Discussion Question

1. How can you apply strategic workforce planning principles to your team or work group?

1.9 Appropriate Hiring Practices

Objective:

- Locate NRC and federal guidelines regarding appropriate hiring practices.

No discussion about recruitment and selection is complete without mentioning your responsibility to adhere to appropriate hiring practices. You must consult with an HR Specialist to ensure you comply with federal laws and regulations as well as NRC policy and the Collective Bargaining Agreement provisions pertaining to recruitment and hiring. We will explore these principles further when we talk about interviewing job candidates.

Some issues to keep in mind:

- Appropriate hiring practices are not simply a matter of using common sense. All supervisors, managers and selecting officials need to have a basic understanding of the legalities, policies, and procedures involved in recruitment and hiring. This applies to everyone who participates in interviewing a job candidate.
- EEO principles: Equal Employment Opportunity (EEO) ensures that work environments are free from unlawful discrimination and harassment, and provides employees with equal opportunities for jobs, training and development, promotions, and other aspects of employment.
- NRC guidelines contained in Management Directive (MD) 10.1: All employees and applicants for employment with the NRC shall receive fair and equitable treatment in all aspects of personnel management without regard to race, color, religion, sex, handicapping condition, age, marital status, political affiliation, or national origin, and with proper regard for their privacy and constitutional rights.
- You are encouraged to consult with the OHR whenever there is a question of legality, policies, or procedures that you feel unsure about.

1.9.1 Discussion Questions

1. What are some of the issues you must consider when developing position descriptions?

2. What are do's and don'ts when advertising positions?

3. What are some of the questions that arise during the hiring process that should be referred to OHR?

1.10 Post-announcement Process

Objective:

- Discuss post-announcement recruitment processes.

Coordination with the OHR is important after the vacancy has been announced. You will work closely with an HR Specialist to complete a number of tasks.

- You might need to select a rating panel or a rating official, if ratings are required.
 - ✓ The rating panel should include at least one subject matter expert.
 - ✓ The grade level of all voting members of the panel should be equal to or higher than the highest grade of the vacancy.
 - ✓ The members should not be in the direct supervisory chain of the selecting official.
 - ✓ The office should attempt to include one panel members from a different office; diversity in panel representation should also be a consideration.
- The OHR will respond with an approval of a rating official or rating panel based on the number and type of candidates that are recruited.
- If appropriate, you might meet with panel members and an HR Specialist to review the crediting plan, agree on rating factors, and establish a schedule.
- The HR Specialist will make the first cut at reviewing applications for minimum qualifications and generate a list of qualified applicants. This process might be repeated if an acceptable number of applicants are not identified from the initial pool.
- Finally a decision is made about the group of people with whom to schedule interviews.

Consider the following issues:

- ✓ Have potential panel members for assisting with ranking and interviews been identified (in the case it is necessary)?
- ✓ Have interview questions and an interviewing plan been developed?
- ✓ Have you discussed with an HR Specialist the reference checking process?

Refer to the Hiring Process Tasks Chart in the Appendix for more details and timelines.

1.11 A Word about Succession Planning

Objective:

- Discuss succession planning.

Succession planning is defined as having the right people in the right place to advance into the right positions at the right time.

We have already talked about strategic workforce planning. Succession planning is a more specific extension of that process, typically involving replacing leaders as they retire or depart from the organization. But it is good business practice to include succession planning for a variety of key job categories. Succession planning ensures there are highly qualified people in all positions, today, tomorrow, next year, and five years from now.

The NRC has addressed succession planning through the Leadership Development Program and investing in this very training. Let's explore a succession planning model based on the OPM model for workforce planning.⁴

STEPS	ACTIONS
Step 1	<u>Set strategic direction:</u> Link the planning process to the agency's strategic plan.
Step 2	<u>Analyze skill gaps:</u> Identify current resources and how they will evolve over time. Develop requirement specifications for filling key positions. Determine skill gaps between existing potential candidates and requirements.
Step 3	<u>Develop an action plan:</u> Determine strategies to close the gaps and create a plan to implement the strategies. The plan should include measures and assessments of progress. The plan might include recruitment options, training, coaching and mentoring.
Step 4	<u>Implement the action plan:</u> Obtain the appropriate resources. Ensure those involved in the effort understand their roles. Conduct the necessary communication, marketing, and coordination to support the effort.
Step 5	<u>Monitor, evaluate, and revise:</u> Track progress against milestones. Adjust the plan to address the changing environment.

⁴ OPM's Workforce Planning Model
http://www.opm.gov/hcaaf_resource_center/assets/Sa_tool4.pdf

Exercise 1.3: Succession Planning

Purpose:	Recognize the importance and benefits of succession planning
Time:	30 minutes
Task:	Create a plan for filling a leadership position.
Step One:	<ul style="list-style-type: none"> • Work individually. • Assume you will be promoted or transferred within the next 12 months. • Consider those on your staff who are in place to assume your duties. • Consider others outside your organization. • Apply OPM's 5-step model and create a succession plan to fill your position.
Step Two:	Share your plan with others in your table group.
Step Three:	<p><u>Use the following questions to guide discussion:</u></p> <ul style="list-style-type: none"> • How is succession planning different from simply hiring a replacement? • Which of the steps in the OPM model were hardest to apply? Why? What steps can you take to address them? • Consider employees on your team, or in your division or work group. Who among them will retire in the next few years? • How prepared is your organization to fill the vacancies?
Step Four:	Be prepared to share your results with the class.

Module Summary

Your responsibility as a supervisor or manager to hire employees can be challenging and intimidating. There are many decisions to be made during the recruitment process that should lead to identification of an appropriate candidate pool.

- It is important to review the actual qualifications for the job.
 - Human capital planning should be considered at a strategic level.
 - There are legal, policy, and procedural issues that apply to recruitment and posting job vacancies.
 - There are a number of hiring authorities and flexibilities that come into play.
 - Remember that the OHR is a partner in this process and a resource to support you.
-

MODULE 2: BEHAVIORAL INTERVIEWING

Instructor Notes for Module 2

In this module, you will show a 30-minute video called *More Than a Gut Feeling*. This video demonstrates the behavioral interviewing principles addressed in the course. You are provided with a worksheet for participants to complete that will help guide the discussion. After reviewing the video, prompt participants for observations.

Exercise 2.1 calls for participants to create an interview guide. They will first work individually and then refine the guide with other participants at their table group. You will need to assign each table group one of the scenarios introduced in Module 1.

Exercise 2.2 addresses the propriety of interview questions. Some of the examples might be ambiguous. Prepare in advance to challenge and discuss participant responses.

This module includes behavioral interviewing role plays in groups of three. These are based upon the same case studies that were introduced in Module 1. Try to form the triads with participants who have been working with different case studies. Participants will be given candidate information to prepare for interviews. All participants will have an opportunity to practice conducting the behavioral interviews in the role of the hiring manager.

Time: 4 hours

Module 2: Interviewing

2.1 Objectives

The objectives for this module are for participants to be able to:

- Evaluate and select the appropriate type of interview for a position.
- Use the behavioral interview method to design an interview guide and formulate behaviorally-based interview questions for a current NRC position/vacancy.
- Apply components of legally defensible and appropriate interviews.

2.2 Competencies Addressed

- Human Capital Management
- Oral Communication
- Interpersonal Skills

The process of interviewing job candidates is one of the most important and most challenging responsibilities of managers and supervisors. In this module, we explore the concept of "behavioral interviewing." The premise behind behavioral interviewing is that delving into the way an individual has performed in past situations is a better predictor of future performance than asking traditional interview questions.

In Module 1, we discussed appropriate recruitment and hiring practices. Legal and other considerations must also be applied to the interviewing process. We will discuss some of the do's and don'ts when interviewing job candidates and apply these principles in exercises.

2.3 Types of Interviews

Objective:

- Evaluate and select the appropriate type of interview for a position.

The most familiar interview is the traditional face-to-face, one-on-one interview. This type of interview is comprised of a conversation between the applicant and the employer representative. It is not uncommon for job seekers to be interviewed by more than one person during a typical job interview.

Another common interviewing option is to conduct a panel interview. A panel interview simply means that the job candidate meets with a number of interviewers at the same time.

Should you conduct a one-on-one interview, or a panel interview? Consider the following advantages and disadvantages.

2.3.1	Panel Interview	One-on-One Interview
Pros	<ul style="list-style-type: none"> ✓ You can gain multiple impressions of job candidates. 	<ul style="list-style-type: none"> ✓ You have a better chance to build rapport. ✓ It is less intimidating to the job candidate. ✓ It takes less time.
Cons	<ul style="list-style-type: none"> ✓ It can be intimidating to a job candidate. ✓ It takes more time. 	<ul style="list-style-type: none"> ✓ It allows for only one person's impression of the job candidate.

NRC recommends that whenever possible you conduct a panel interview. This allows the selecting panel to pick up on information that might be missed by a single interviewer. Panel interviews are a common practice in the private sector and seem to result in improved hiring decisions. At minimum, it is helpful to have another supervisor or team member participate in the interview.

2.3.2 Benefits of the Panel Interview

- Multiple perspectives on job candidates
- More buy-in to the selection decision
- Increased manager commitment to the success of the selected candidate

2.3.3 Discussion Questions

1. What is your experience in conducting group or individual interviews? What do you see as the benefits of one over the other?

2. When might a one-on-one interview be preferable to a panel interview?

3. Under what circumstances might you be able to conduct a combination of one-on-one interviews and group interviews?

4. How do you prepare for each kind of interview?

2.4 Behavioral Interviewing

Objective:

- Use the behavioral interview method to design an interview guide and formulate behaviorally-based interview questions for a current NRC position/vacancy.

Behavioral interviewing is a style of interviewing that was developed in the 1970's by industrial psychologists. The premise behind behavioral interviewing is that the most accurate predictor of future performance is past performance in similar situations.

When practicing behavioral interviewing, your questions go beyond the traditional "tell me about your experience." A behavioral interview is used to probe for specific past behaviors. Rather than asking a job candidate to describe their problem-solving abilities, ask them to describe a situation when they encountered a problem and explain how they handled it. This kind of question provides clues as to how the job applicant has actually applied their skills. For example:

- *Tell me about a time when you confronted an unexpected problem. How did you handle it and what were the outcomes?*
- *Tell me about an experience when you failed to achieve a goal. What did you learn from it?*
- *Give me a specific example of a time when you managed several projects at once. What were the challenges and how did you manage them?*

Your goal is to get the job candidate to:

- ✓ Describe the situation.
- ✓ Discuss the actions they took.
- ✓ Explain the outcomes.
- ✓ Discuss what they learned from the experience.

While a number of technical job skills can be assessed by reviewing an applicant's résumé and conducting reference checks, the behavioral interview helps assess job performance skills.

2.5 More Than a Gut Feeling – Video

Let's take a look at how this plays out. The film you are about to view shows the principles of behavioral interviewing we have been discussing. Record your thoughts and reactions on the worksheet as you view the video.

What are the six principles of behavioral interviewing?
1.
2.
3.
4.
5.
6.

Please fill in the blanks.
✓ Analyze job skills
✓ Open-ended questions about the applicant's past

Please fill in the blanks.
✓ Build rapport
✓ Take notes
✓ Get specific examples
✓ Allow silence

Please fill in the blanks.
✓ Listen and evaluate
✓ Contrary evidence
✓ Maintain control

Record sample questions and follow-up questions.

2.6 Preparing for the Behavioral Interview

It is important to note that behavioral interviews contain many components of traditional interviews. A structured process is required. The interviewer must develop an interview plan and a predetermined set of questions based on the requirements of the job. Questions are targeted at specific job behaviors.

1. Start by identifying what you want the employee to do in the job. Review position descriptions and job evaluations. Determine required outputs and performance success factors.
2. Determine the characteristics and traits that you think necessary for an individual to succeed in the job. If you have employees currently performing in the job, consider the traits, characteristics, and skills that make them successful.
3. Make a list of questions, both behavioral and traditional, to ask each candidate during the behavioral interview. A structured list makes candidate selection more defensible and allows you to make comparisons between the answers and approaches of the job applicants. Ensure you ask each candidate the same questions, to the extent possible.
4. Review the resumes and cover letters you receive with the requisite behavioral traits and characteristics in mind. Schedule interviews with the candidates who appear to have the behavioral characteristics you have identified, along with the skills, experience, and education you would typically look for. It is important to ask probing questions to confirm information stated on the applicant's resume.

Exercise 2.1: Interview Questions

Purpose:	To design an interview guide and formulate behaviorally-based interview questions
Time:	45 minutes
Task:	Prepare an interview guide based on an NRC position/vacancy.
Step One:	Review your assigned case study information.
Step Two:	Work individually to prepare behaviorally-based interview questions.
Step Three:	Review your questions with partners at your table group.
Step Four:	Develop a consensus interview guide.
Step Five:	Be prepared to discuss your results with the rest of the class.

2.7 Legally Defensible, Appropriate Interviews

Objective:

- Apply components of legally defensible and appropriate interviews.

As you might imagine, job interviews are loaded with potential minefields concerning questions of legality: what you can and cannot ask in an interview. We discussed guidelines for appropriate hiring practices in Module 1. The same principles and considerations must be observed during the interviewing process.

The most important point to keep in mind when interviewing job candidates is that if you don't need to know, don't ask. In other words, your questions must be job-related. You already know that questions about an applicant's age, gender, race, religion, national origin, citizenship, medical history, health status, and disability are off limits. Job-relatedness means limiting pre-employment inquiries to qualifications and abilities necessary to perform the job.

As we just discussed, preparation is key. Focus your interview questions on job duties and requisite skills and experience. Stick to the same general format for all interviews for the position. This reduces any risk of unequal treatment among job applicants. It is also good practice to document and summarize interview results immediately after the interview and while your conversation is still fresh in your mind.

Exercise 2.2: Job-related or Not?

Purpose:	To recognize legally defensible and appropriate interview questions and those that are inappropriate
Time:	20 minutes
Task:	Complete the questionnaire on the following page(s).
Step One:	Work individually to complete the questionnaire.
Step Two:	Prepare to share your results and justifications with the class.

2.8 Interviewing Do's and Don'ts

Please answer **Yes (Y)** or **No (N)** to identify each of the following interview questions as appropriate or not appropriate.

Interviewing Dos and Don'ts	
	1. Are you married, or do you have a partner?
	2. What kinds of groups of people do you prefer to work with, i.e., are you comfortable with women, minorities, older, younger?
	3. Where do you live?
	4. How long have you lived there?
	5. Do you have any health issues that would preclude you from doing your job?
	6. How does your military experience relate to this job?
	7. Are you willing to relocate?

2.8 Interviewing Do's and Don'ts (continued)

Interviewing Do's and Don'ts	
	8. Do you have children?
	9. If so, what are your child care arrangements?
	10. Are you willing to work weekends and holidays?
	11. Have you ever filed a worker's compensation claim?
	12. Do you have any religious beliefs that would impact your work schedule?
	13. When did you graduate from high school?
	14. What kind of work does your spouse do?
	15. When do you expect to retire?

Exercise 2.3: Interview Role Plays

Purpose:	To practice asking legally defensible and appropriate questions in a behavioral interview
Time:	90 minutes
Task:	Conduct behavioral interview role plays.
Step One:	<ul style="list-style-type: none"> • Divide into groups of three. These groups should be different from the original table groups. Try to form triads with each member representing a different case study. • Each participant will have an opportunity to practice asking behaviorally-based interview questions. • A second group member will be the job applicant and another will be an observer for each role play. • The observer should use the Interviewing Observer Worksheet.
Step Two:	Select one of the case studies for which a member of your group has been assigned. Assign roles for this case study.
Step Three:	The interviewer should review the case study description of the position and candidate data on the following pages and prepare to conduct an interview.
Step Four:	Conduct an interview.
Step Five:	Exchange roles and repeat the role play for each case study represented in your group of three.
Step Six:	After each interview role play, work as a group to compile a list of interview results in bullet points. Chart these on the flip charts and save the results. You will use these when you make a selection.
Step Seven:	Be prepared to discuss the results with the class.

Exercise 2.3: Scenario One

Candidates for the Early Site Permit Reviewer Position

Candidate #1: Marshall Whiteman

Marshall Whiteman just graduated with a 3.6 grade point average from the Missouri University of Science and Technology with a bachelor's degree in nuclear engineering. During his matriculation there, Whiteman took courses dealing with the latest BWR and PWR technology. Whiteman had an internship before his senior year, working at a site where PWR technology was used within their reactors. Marshall possessed strong writing skills, good oral communication skills, good leadership skills, and the tenacity to complete even his toughest tasks.

Candidate #2: JoAnn Midway

JoAnn Midway has worked for the NRC for almost three years. She currently works in Office of Nuclear Reactor Regulation (NRR) as a project manager. Midway is a graduate of Penn State University with a bachelor's degree in mechanical engineering and a minor in nuclear engineering. During her matriculation at Penn State, JoAnn worked at a nuclear power plant for two summers where she had more exposure to BWR Technology than PWR Technology. Her skills and training include project management, BWR Technology, Power Plant Engineering, sound writing skills, great communication skills, and solid briefing skills.

Exercise 2.3: Scenario Two

Candidates for the Thermal Reviewer Position

Candidate #1: Candice Kincaid

Candice Kincaid has worked with the NRC for over five years where she is currently a project manager in NRO and had the position of a criticality reviewer in NMSS. Candice graduated from North Carolina State University with a bachelor's degree in Nuclear Engineering with an emphasis on Health Physics. She desires this opportunity to further her technical review prowess. Kincaid stated that throughout her matriculation at NC State, she did not take any courses in thermodynamics or heat transfer; however, she has emphasized that if selected, she will enroll for a course online or on a university campus learning the essentials of Thermodynamics. Kincaid's assortment of skills includes resiliency, decisive in making decisions, good oral communications, and great written communications.

Candidate #2: Kenneth Kornhesier

Kenneth Kornhesier is completing his Master's degree in Mechanical Engineering at the University of Michigan. He has a Bachelor's degree in Nuclear Engineering from the University of Texas at Austin. His thesis deals with the interaction of thermodynamics within a cask transporting radioactive material. Throughout his undergraduate and graduate studies, Kornhesier has gained experience in developing thermal and cask models using ANSYS and has expressed an interest in taking FLUENT provided the offer is extended to him. Kornhesier's skill set include good oral communication, good written communications, technically credible, and good time management when it comes to juggling multiple tasks.

Exercise 2.3: Scenario Three

Candidates for the Agreement State Liaison Position

Candidate #1: Jose Martes-Hurtado

Jose Martes-Hurtado has wealth of experience serving as a liaison in Puerto Rico for over four years. He has coordinated the logistics in getting Puerto Rico to become an agreement province with the NRC. Hurtado graduated from the University of Puerto Rico in San Juan, with a bachelor's degree in Industrial Engineering. According to his co-workers, Jose has a great work ethic, known to be a "people" person, understands the materials licensing of the facilities within an agreement state/province, and does a great job with time management.

Candidate #2: Linda McCaskill

Linda McCaskill has been working in FSME for three and a half years within another branch outside of the Agreement States Programs Branch (ASPB). McCaskill currently serves as a project manager in FSME. She graduated from the University of Maryland at College Park with a bachelor's degree in Mechanical Engineering. Due to her work as a project manager in FSME, Linda has obtained experience in understanding the logistics of inspection activities. In addition, Linda has done some projects where she has interfaced with staff on the agreement state level. McCaskill strives to give her 110% towards her daily assignments and is always willing to learn about the nuisances when it comes to facilitating information to others.

Candidate #3: Derrell Binyard

Derrell Binyard is a recent graduate of Texas A&M University with a Bachelor's degree in Nuclear Engineering and a Bachelor's degree in Management. During his undergraduate studies, Binyard has had two internships working with the State of Texas and understanding their obligations as an agreement state with the NRC. He obtained a wealth of knowledge in the areas of materials licensing and inspection activities. When Texas was becoming an agreement state with the NRC, Binyard worked closely with the State of Texas staff in providing guidance for materials licensing. Upon completion of the guidance and review from the NRC, the Agency accepted Texas as an agreement state. Binyard believes in hard work, never gives up until the task is complete, accountable for his actions, and is known for his honesty.

Exercise 2.3: Scenario Four

Candidates for the IT Leadership Development Program Coordinator Position

Candidate #1: Marsha Mendenhall

Marsha Mendenhall has worked for the last nine years with other federal agencies, such as the DOE and DHHS, as a lead IT technician. Outside of working for those agencies, Mendenhall spent five of those years working as an instructor of IT at Prince George's Community College. Marsha graduated from Strayer University in Fredericksburg, VA with a Bachelor's degree in Information Technology. Many of Mendenhall's students have gone on to become either lead IT technicians at their jobs or IT instructors at other universities throughout the country. Marsha has a great work ethic, motivates, and develops others, excellent oral communication skills, solid written communication skills, up-to-date on the important changes in computers, and great time management.

Candidate #2: Clyde Haggard

Clyde Haggard is currently completing his Master's degree in Information Technology from Virginia Tech University in Blacksburg, VA. Haggard has served as the College of Engineering's IT man for the last three years. Students within the College rave about Haggard's efficiency given that he is the only one capable of maintaining the computers. Clyde has a Bachelor's degree in Computer Science with an emphasis on computer programming. On the weekends, Haggard teaches an Introduction to Computers course to high school students at the local recreation center in Blacksburg. His other skills include great written communication skills, team building, and problem solving.

Exercise 2.3: Scenario Four (Part 2)

Candidates for the Secretarial Leadership Development Program Coordinator Position

Candidate #1: Michelle Bloom

Michelle Bloom is currently working for the Department of Education, as a secretary within their Loan Payment Office. Bloom has been with the Department of Education for about a year and a half. Before working at the Department of Education, Michelle worked three years as the secondary secretary in the Office of Defense at the Pentagon. Michelle graduated from the University of the District of Columbia with a Bachelor's degree in Business. No matter where she goes, Bloom is respected for her work ethic, resiliency, tenacity, and the ability to motivate others to do greater work.

Candidate #2: Rachel Cain

Rachel Cain has been the secretary to the Office Director of SBCR for over five years. She has always welcomed the new secretaries into the office and provided them guidance to be an effective and efficient secretary. Management within SBCR has raved about Rachel's dedication to the Office and her ability to work with others, despite their age, gender, and racial differences. Rachel graduated from Ohio State University with a Bachelor's in Business Management. Over the last three years, Cain teaches a course on "How to Be an Effective Secretary" at Montgomery Community College. Rachel is known for being a great motivator, great teacher, and a developer of great character. In addition, her students have learned from her the importance of having a mindset to work hard and be efficient at your job.

Exercise 2.3: Scenario Five

Candidates for the Code Developer of Thermal Hydraulics Systems Position

Candidate #1: Michael Wang, Ph.D.

Michael Wang obtained his Ph.D. in Nuclear Engineering at Northwestern University in Evanston, Illinois. His dissertation called for him to develop a thermal hydraulic system code for a simulation of a power plant and has generated six journal papers from his research. He obtained his Bachelor's degree and Master's degree at the University in Taipei in Taiwan, majoring in Computer Science. Wang currently works as a Code Developer for the Hydrosys Co., who serves as a leader in developing hydrodynamic codes for companies and federal agencies. Dr. Wang has been there for over six years and is revered as the best of their code developers. Wang says his best characteristics are the ability to multi-task, the ability to be technically competent, accountable, and the ability to work well with others.

Candidate #2: Mathew Bhuto

Mathew Bhuto has worked in the Office of Nuclear Reactor Regulation for the last four years as a code developer within the Division of Engineering. Bhuto graduated from the University of Florida with a Master's degree in Nuclear Engineering and from the University of South Florida with a Bachelor's degree in Computer Science. Within his job at the NRC, Mathew has designed codes to analyze data coming from thermal hydraulic systems versus developing codes for the thermal hydraulic systems themselves. Around the branch, Bhuto is praised for his technical prowess, his dedication to a polished product, his ability to deliver a sound and concise presentation, and the ability to learn continuously about the more recent codes out on the market.

Candidate #3: Bryan Coats

Bryan Coats is completing his bachelor's degree in Computer Science with a minor in Nuclear Engineering from Johns Hopkins University in Baltimore, Maryland. While attending JHU, Coats developed codes for the simulation of reactors within a power plant and generated two journal papers for his efforts. Bryan, during his undergraduate studies, did an internship with THS, Inc. and worked on a development team developing some thermal hydraulic system codes non-related to the nuclear industry. Coats is known for being a good team player, hard working, communicates well orally and written, and believes in the customer getting what he/she desires.

Exercise 2.3: Interviewing Observer Worksheet

Did the interviewer:
<input checked="" type="checkbox"/> Build rapport with the job candidate?
<input checked="" type="checkbox"/> Ask open-ended, behaviorally-based questions? Give examples.
<input checked="" type="checkbox"/> Allow for silence?
<input checked="" type="checkbox"/> Probe for specific skills and contrary evidence?
<input checked="" type="checkbox"/> Listen and verify answers?

Module Summary

Job interviews can produce a lot of anxiety on the part of the interviewee as well as the interviewer. We are all familiar with the typical interviewing basics including building rapport, asking open-ended questions, and having a structured plan to fairly screen candidates. In this module we introduced the concept of behavioral interviewing: asking questions that are predictors of future performance based on the candidate's past performance in similar situations. We applied this technique to our case studies. Now it is time to turn to the selection process.

MODULE 3: SELECTION

Instructor Notes for Module 3

Continue to refer participants to the Appendix that indicates tasks, responsibilities, and timelines for the hiring process as you discuss NRC selection procedures.

In this module, participants will use the results of the interviews and candidate data to make a selection for each of the case studies.

Time: 2 hours

Module 3: Selection

3.1 Objectives

The objectives for this module are for participants to be able to:

- Examine NRC selection procedures.
- Evaluate candidate data.
- Determine an appropriate candidate in an NRC-specific case study.

3.2 Competencies Addressed

- Human Capital Management
- Problem Solving
- Decisiveness

You have recruited and screened job candidates and conducted interviews. Now it is time to make a selection. The goal of the selection process is to find the best available person for the job, a person with the knowledge, skills, abilities, and motivation to perform successfully in the position. You should continue to consult with an HR Specialist but ultimately you, as the hiring manager, will make the final decision about who to hire.

3.3 NRC Selection Procedures

Objective:

- Examine NRC selection procedures.

After you have conducted interviews with job applicants, you need to check references and select a candidate. It is important to be objective when making your ultimate selection. Rely on the results of the screening process, crediting plan, and interviews. Do not interject information you might have about a job candidate that was not obtained during the process. For example, it is not appropriate to select an applicant recommended by a friend, or one with whom you went to college, if that individual is not best qualified.

3.4 Checking References

References are checked to validate the applicant's documentation and the results of interviews. This is just as important as other steps in the hiring process. You are making an investment in the new hire and must be sure you make the correct selection.

It is usually up to you as the hiring manager to conduct the reference checks. At the very least, the individual conducting reference checks must be familiar with the requirements of the job and be able to ask appropriate job-related questions. Similar to the interview process, you should think through the information you need to ensure the best candidate is selected. The reference check is not just a "check off the box" activity.

At minimum, a reference check involves a conversation, usually by phone, with someone who can verify information about the job applicant. In general, you will want to talk with a job candidate's supervisors or managers going back five years. But use common sense. If an individual has been in eight positions in eight years, you might want to talk to additional references. On the other hand if the candidate is internal to the agency and has worked in the same position for five years, do you want to talk with peers or coworkers in addition to supervisors?

Consider the position you are filling. An employee who is comfortable working quietly in a cubicle might not be suited to a position where dealing with the public is required.

3.4.1 General Guidelines for Checking References

- The reference check should be conducted by the hiring manager or someone particularly familiar with the position being filled. Skillful probing ensures that more than superficial information is obtained.
- Reference checks are an integral part of the hiring process. Questions must be thoughtful, job-related, and focus on an individual's ability to perform in the position.
- Hiring managers should develop and follow a consistent process for conducting reference checks. Similar to an interviewing strategy, the reference check must obtain valid and useful information and follow legal, policy, and procedural guidelines. All applicants must be treated fairly.
- The information provided by a reference should be based on observing or working with the job applicant. The reference should be able to describe the applicant's experience. Hiring managers should take advantage of this opportunity to confirm information on the applicant's resume.
- The purpose of a reference check is to inform a selection decision. The results need to complement other hiring processes that assess the suitability of a job candidate.

3.5 Selecting a Candidate

Objectives:

- Evaluate candidate data.
- Determine an appropriate candidate in an NRC-specific case study

Let's review the results of our screening, applicant data, and interviews for our job candidates. Remember others might have conducted interviews with your candidates. Be sure to consider the results of those interviews as captured after the last exercise.

Exercise 3.1 – Selection

Purpose:	Evaluate candidate data and select an appropriate job applicant
Time:	45 minutes
Task:	Select the best candidate for your assigned case study.
Step One:	Review the candidate data and interview results from each interview.
Step Two:	<ul style="list-style-type: none">• Work in your table group.• Use the candidate information sheets on the next pages to record your evaluation data.• Make a selection based on the information you have gathered.• Determine how you will justify the hiring decision.
Step Three:	Be prepared to share your results with the class.

3.6 Trial Period

After you make a selection decision, notify the HR specialist. The HR specialist makes the official notification of the job offer to the applicant.

But the hiring process does not come full circle until the trial period is over. In excepted service agencies, such as NRC, trial period is the same as a probationary period. The trial period provides NRC the opportunity to assess, on the job, an employee's overall fitness and qualifications for continued employment, and permits management to remove the employee without formal procedures and without full appeal rights when the employee's performance and/or conduct does not meet acceptable standards. Trial periods are two years for non-preference eligibles and one year for preference eligible hires.

Once again, you have important responsibilities as a supervisor or manager during this period.

- You are responsible for probationers receiving finalized appointments as federal employees.
- Supervisors and managers might be held accountable for how well they use the trial period as an assessment tool. At minimum, you should seriously consider how you will meet this responsibility.
- If problems are not addressed during the trial period, you are likely to have to deal with performance issues at some point.
- Probationers must be notified about the trial period and what that means before they accept the job offer.

Module Summary

The selection process should be relatively easy if you have effectively accomplished all the steps to get to that point. You will coordinate activities with the OHR to make a formal job offer and ensure all the follow-up activities are completed. Remember that the hiring process is not considered final until the trial period is concluded. You are responsible for ensuring the right people are in the right places to perform the NRC mission.



NRC Supervisory Curriculum Recruitment, Behavioral Interviewing, and Selection

APPENDIX

Glossary of Key Terms

Behavioral Interviewing – Behavioral interviewing is a style of interviewing developed in the 1970s by industrial psychologists. The premise is that the best predictor of future job performance is performance in a similar situation in the past. The goal of a behavioral interview is to have the client describe a situation they confronted in the past, what actions they took, what the outcomes were, and what they learned from it. Questions are phrased in such a way that job candidates are encouraged to share experiences that qualify them for the job.

Crediting Plan – The crediting plan is used by NRC to formally rate eligible competing applicants' possession of job-related knowledge, skills, and abilities (KSAs), also known as rating factors. The crediting plan is used to identify those candidates who are best-qualified for the position.

Strategic Workforce Planning – Strategic workforce planning is a business process by which an organization ensures it has access to future talent to meet projected changes in the workforce.

Succession Planning – Succession planning is a subset of strategic workforce planning that generally focuses on managerial roles.

Trial Period – The purpose of the trial period is to provide NRC the opportunity to evaluate the employee's overall fitness and qualifications for continued employment. Management may remove the employee during the trial period without formal procedures and without the employee having full appeal rights when the employee's performance and/or conduct do not meet acceptable standards. Trial periods are two years for non-preference eligibles and one year for preference eligible hires.

Job Aid 1: Behavioral Interviewing Questions

The following set of questions is designed to prompt your thinking when you are conducting interviews.

Decision-Making and Problem-Solving

- Give me an example of a time when you had to make a decision without having enough information. What did you do? How did it turn out?
- Give me a specific example of a time when you used good judgment and logic in solving a problem.
- Give me an example of a time when you had to make a split-second decision.
- Give me an example of a time when you failed at something you tried to accomplish.
- Tell me about a difficult decision you've made.
- Tell me about a time when you missed an obvious solution to a problem.
- Describe a time when you anticipated potential problems and developed preventive measures.

Leadership

- Describe the toughest group from whom you have had to get cooperation.
- Have you ever had difficulty getting others to accept your ideas? What was your approach? Did it work?
- Describe a situation in which you were able to use persuasion to successfully convince someone to see things your way.

Motivation

- Give me an example of a time when you went above and beyond the call of duty.
- Describe a situation when you were able to have a positive influence on the action of others.
- Tell me about a time when you delegated a project effectively.

Communication

- Tell me about a situation when you had to speak up (be assertive) in order to get a point across that was important to you.
- Discuss an important written document you were required to complete.

Job Aid 1: Behavioral Interviewing Questions

Interpersonal Skills

- What have you done in the past to contribute toward a teamwork environment?
- Describe a recent unpopular decision you made and what the result was.

Conflict Management

- Describe a time when you were faced with a stressful situation that demonstrated your coping skills.
- What is your typical way of dealing with conflict? Give an example.
- Tell me about a time you were able to successfully deal with another person even when that individual may not have personally liked you (or vice versa).
- Tell me about a situation in which you had to deal with a very upset customer or co-worker.

Planning and Organization

- How do you decide what gets top priority when scheduling your time?
- What do you do when your schedule is suddenly interrupted? Give an example.
- Tell me about a time when you had too many things to do and you were required to prioritize your tasks.

Other Behavioral Questions

- Give a specific example of a policy you conformed to with which you did not agree.
- Give me an example of an important goal which you met and tell me about your success in reaching it.
- Describe an instance when you had to think on your feet to extricate yourself from a difficult situation.
- Tell me about a time when you had to go above and beyond the call of duty in order to get a job done.
- Give me an example of when you showed initiative and took the lead.
- Tell me about a time when you were forced to make an unpopular decision.
- Please tell me about a time you had to fire a friend.

Job Aid 2: Legal, Appropriate Interviews

- Prepare in advance.
- Seek advice from the OHR, as necessary.
- Avoid non-job-related questions.
- Ask essentially the same questions of each applicant.
- Focus on job performance.

Don't ask about:

- ✓ Age, gender, marital status, race, ethnic origin, religion, or disability
- ✓ Sexual preference
- ✓ Childcare arrangements
- ✓ Employment status of family members



NRC Supervisory Curriculum Recruitment, Behavioral Interviewing, and Selection

HIRING PROCESS TASKS

Tasks		OHR/RPO	Program Office	Target Timelines	Actual Timelines
1)	1a) Need for Position Established (e.g., vacancy in staffing plan caused by attrition; new position due to FTE increase). 1b) Review Position Description, if available, otherwise seek samples from HR Specialist. Develop or update as appropriate, considering: <ul style="list-style-type: none"> • appropriate discipline • appropriate grade level 		Selecting Official, Program Office		
2)	Management Approval of Personnel Action to Recruit (SF 52 with PD).		As determined by Program Office	As determined by program office	
3)	Submit SF-52 and PD to OHR/RPO; HR and Selecting Official discuss.	HR Specialist	Program Office	1 workday from when signed by program office management	
4)	Classify the position, if needed. *Vacancy should not be posted until position is classified.	HR Specialist		30 workdays from receipt of position description	

NRC Supervisory Curriculum Recruitment, Behavioral Interviewing, and Selection

HIRING PROCESS TASKS

Tasks		OHR/RPO	Program Office	Target Timelines	Actual Timelines
5)	Provide Selecting Official Samples of Relevant Documents: <ul style="list-style-type: none"> • Vacancy Announcement (VA) • Rating Factors (RFs) and Crediting Plan (CP) 	HR Specialist		2 workdays of receipt of SF-52	
6)	Finalize Recruitment Documents and submit to HR: <ul style="list-style-type: none"> • VA • RFs • CP 		Selecting Official (HR Specialist assists)	5 workdays upon receipt of document samples	
7)	Review and Approve Submitted Recruitment Documents for Posting; Draft Vacancy Announcement.	HR Specialist		3 workdays from receipt of final recruitment documents	
8)	Final Review and Approval of Vacancy Announcement		Selecting Official		
9)	9a) Post Vacancy Announcement. 9b) HR Specialist generates and provides RATS 45-day milestone report to Selecting Official.	HR Specialist HR Specialist		1 workday from receipt of Selecting Official's approval	



NRC Supervisory Curriculum Recruitment, Behavioral Interviewing, and Selection

HIRING PROCESS TASKS

Tasks		OHR/RPO	Program Office	Target Timelines	Actual Timelines
10)	Select Rating Official or Rating Panel. (Note: For non-bargaining unit positions or certificates prepared for external applicants who are not covered by bargaining unit rules, it is possible that ratings may not be required if there are 10 or fewer qualified eligibles for an advertised grade level, but this will not be known until after the vacancy closes. However, it is prudent for the selecting official to anticipate and plan for the need for a panel or rating official in case it is necessary. If ratings are not required, skip to step 14.)		Selecting Official		
11)	Submit Name(s) of Rating Official or Rating Panel to HR (Please see above note – #10).		Selecting Official	(See above – #10)	
12)	Approve Rating Official or Rating Panel (Please see above note – # 10).			(See above – #10)	
13)	Schedule Pre-Panel Meeting if appropriate, to include Selecting Official, Panel Members, and HR Specialist (Please see above note – #10).			(See above – #10)	



NRC Supervisory Curriculum Recruitment, Behavioral Interviewing, and Selection

HIRING PROCESS TASKS

Tasks		OHR/RPO	Program Office	Target Timelines	Actual Timelines
14)	Review Applications for Minimum Qualifications; Generate List of Qualified Applicants (i.e., "Cert"). (If ratings will not be required because there are 10 or fewer qualified competitive eligibles, go to step 17B).	HR Specialist		5 workdays after closing	
15)	Conduct Pre-Panel Meeting if appropriate: Conduct Refresher/Orientation for panel members, if needed; Agree on Understanding of Rating Factors and Crediting Plan, and Ratings Due Date; Schedule Panel's Meeting Date.		Selecting Official (HR Specialist assists)	7 workdays after closing (but generally not done before minimum qualifications are completed)	
16)	Complete Applicant's Rating		Rating panel; rating official		
17)	17a) Panel Meeting Conducted to Generate Best Qualified List (BQL) 1 "Cert" (will not be necessary if averaging is used); and 17b) Submit to Selecting Official.	HR Specialist		1 workday of receiving completed applicants' ratings from panel	

NRC Supervisory Curriculum Recruitment, Behavioral Interviewing, and Selection

HIRING PROCESS TASKS

Tasks		OHR/RPO	Program Office	Target Timelines	Actual Timelines
18)	18a) Schedule/conduct interviews and reference checks as appropriate. 18b) Make Final Selection(s).		Selecting Official / Program Office Selecting Official	20 workdays of receipt of SQL (also referred to as Selection Cert)	
19)	Name (s) of Selected Candidate(s) to OHR for Approval (Note: In some cases salary information, if applicable, and OF-306 are obtained at the time of interviews, particularly in the regions. If OF-306 was not obtained at step 18, HR will obtain before verbal offer is made. If salary information was not obtained in step 18, it will generally be obtained at step 20)	HR Specialist	Program Office	1 workday of receipt of Selection Cert* *if OF-306 needs to be obtained, revise to 2 workdays *any negative suitability information obtained will affect target timelines	
20)	Verbal Offer to Selected Candidate, and salary information is requested, if applicable.	HR Specialist		1 workday of HR approval of candidate(s) if no salary exception is needed; 1-3 workdays if salary exception is needed	



NRC Supervisory Curriculum Recruitment, Behavioral Interviewing, and Selection

HIRING PROCESS TASKS

Tasks		OHR/RPO	Program Office	Target Timelines	Actual Timelines
21)	For Salary exception, discuss with Selecting Official (This is only applicable to external candidates). <ul style="list-style-type: none"> Complete salary exception request for external selectee, if needed 	HR Specialist	Selecting Official	2 workdays of HR's receipt of Selection Cert.	
22)	Prepare and Mail Written Offer Package (with Security Forms) to Selected External Candidate <ul style="list-style-type: none"> If recruitment/relocation bonus is payable, prepare FEPCA request/documentation 	HR Specialist	Selecting Official Office Director	1 workday of HR's salary approval 5 workdays	
23)	Verbal Response from Selected Candidate(s).	HR Specialist		5 workdays of written offer Selectee may request, and Selecting Official may grant, additional time	
24)	Notify Selecting Official/Program Office of Candidate(s) Job Acceptance.	HR Specialist		1 workday after verbal response	

NRC Supervisory Curriculum Recruitment, Behavioral Interviewing, and Selection

HIRING PROCESS TASKS

Tasks		OHR/RPO	Program Office	Target Timelines	Actual Timelines
25)	If internal candidate is outside commuting area, prepare 120-day memo, which establishes start date; employee may seek request waiver of 120-day period to EOD sooner.	HR Specialist		1 workday of verbal acceptance.	
	If internal candidate is local, request release date to establish EOD date.	HR Specialist	Selecting Official		
	If external candidate, see #27.			1 workday of verbal Acceptance	
26)	Notify Non-selected Candidates of Selection. • Offer Non-selected Internal Candidates Feedback Opportunity	HR Specialist	Selecting Official should consider personal notification of internal candidates	5 workdays of acceptance	
27)	Prepare personnel security request (i.e., 145-b) and 236 Form for External Selectee.			2 workdays of verbal acceptance	
28)	Selected External Candidate Returns Completed Security Forms.			2 weeks of receipt	

**NRC Supervisory Curriculum
 Recruitment, Behavioral Interviewing,
 and Selection**

HIRING PROCESS TASKS

Tasks		OHR/RPO	Program Office	Target Timelines	Actual Timelines
29)	Review Security Package from External Selected Candidate, Verify Education, and Submit Package to Security.	HR Specialist		2 workdays of receipt	
	<ul style="list-style-type: none"> • If Needed, Schedule Drug Test 	HR Specialist		5 workdays of identified need	
30)	Prepare and Submit Request for 145-b Approval to Deputy Executive Director for Management (DEDM) for External Selectee, or take other appropriate action if security disapproves 145b processing.	HRSO Secretary		2 workdays of receipt of security's approval memo	
31)	Approval of 145-b for External Selectee	EDO		1 workday of submission to EDO	
32)	Establish Report Date for New Employee(s), and inform Selecting Official and Program Office.	HR Specialist		2 workdays of 145b approval	

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U.S.NRC

United States Nuclear Regulatory Commission

Protecting People and the Environment

U.S. Nuclear Regulatory Commission

NRC Supervisory Curriculum

NRC Recruitment, Behavioral Interviewing, and Selection

Course Pilot

HRTD
Human Resources
Training & Development



**NRC Supervisory Curriculum
Recruitment, Behavioral Interviewing,
and Selection**

**PARTICIPANT HANDBOOK FOR
NRC RECRUITMENT, BEHAVIORAL INTERVIEWING, AND SELECTION
INTRODUCTION**

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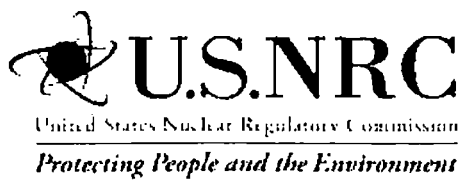
**NRC Supervisory Curriculum
 Recruitment, Behavioral Interviewing,
 and Selection**

Training Agenda: Day 1

Time	Item	Description
8:30 a.m. – 9:00 a.m.	Introductions	Instructor, Participants, and Guests
9:00 a.m. – 10:30 a.m.	Module 1	Recruitment
10:30 a.m. – 10:45 a.m.		Break
10:45 a.m. – 11:45 a.m.	Module 1	Recruitment (continued)
11:45 a.m. – 12:45 p.m.		Lunch
12:45 p.m. – 1:45 p.m.	Module 1	Recruitment (continued)
1:45 p.m. – 2:15 p.m.	Module 2	Behavioral Interviewing
2:15 p.m. – 2:30 p.m.		Break
2:30 p.m. – 4:00 p.m.	Module 2	Behavioral Interviewing (continued)
4:00 p.m.	Adjourn	End of Day 1

Training Agenda: Day 2

Time	Item	Description
8:30 a.m. – 9:30 a.m.	Module 2	Behavioral Interviewing (continued)
9:30 a.m. – 10:30 a.m.	Module 3	Selection
10:30 a.m. – 10:45 a.m.		Break
10:45 a.m. – 11:45 a.m.	Module 3	Selection (continued)
12:00 – 12:15 p.m.	Evaluations	Course Evaluations
12:15 p.m.	Adjourn	End of Day 2 and Course



NRC Supervisory Curriculum Recruitment, Behavioral Interviewing, and Selection

COURSE PURPOSE, GOALS, AND OBJECTIVES

Course Purpose, Goals, and Objectives

This course is designed to help supervisors and managers understand how recruitment is done at the NRC, become better interviewers, and make sound hiring decisions.

This course will:

- Inform supervisors and managers about the recruitment and hiring process at NRC.
 - Provide participants with a thorough process for conducting legally defensible, appropriate interviews.
 - Allow participants to practice writing behaviorally-based interview questions and to develop confidence in hiring the right candidates.
 - Help supervisors and managers make good selection decisions and avoid hiring misjudgments.
-

Course Purpose, Goals, and Objectives (continued)

Course Objectives

Terminal Objectives – General

By the conclusion of this 1 ½ -day course, participants will be able to do the following:

- Determine the work unit's recruitment needs using the unit staffing plan and succession planning principles.
- Conduct a structured, behaviorally-based interview to assess the candidate's depth of knowledge and skill level relative to the position.
- Compare candidates and make a selection based on facts, rather than personality and intuition.

Enabling Objectives – Specific

- Determine the work unit's recruitment needs using the unit staffing plan and succession planning principles.
 - ▶ Describe the goals of an effective recruitment and hiring process.
 - ▶ Locate NRC and federal guidelines regarding legal and appropriate hiring practices.
 - ▶ Examine pre-announcement recruitment processes and procedures.
 - ▶ Discuss post-announcement recruitment processes.
 - ▶ Discuss succession planning.
- Conduct a structured, behaviorally-based interview to assess the candidate's depth of knowledge and skill level relative to the position.
 - ▶ Evaluate and select the appropriate type of interview for a position.
 - ▶ Use the behavioral interview method to design an interview guide and formulate behaviorally-based interview questions for a current NRC position/vacancy.

Course Purpose, Goals, and Objectives (continued)

- ▶ Apply components of legally defensible and appropriate interviews.
- Compare candidates and make a selection based on facts, rather than personality and intuition.
 - ▶ Examine NRC selection procedures.
 - ▶ Evaluate candidate data.
 - ▶ Determine an appropriate candidate in an NRC-specific case study.

Competencies Addressed

The following Office of Personnel Management (OPM) competencies are addressed in this course to the following degrees:

High Competency	
Human Capital Management	Builds and manages the workforce based on organizational goals, budget considerations, and staffing needs. Ensures that employees are appropriately recruited, selected, appraised, and rewarded; takes action to address performance problems. Manages a multi-sector workforce and a variety of work situations.
Medium/High Competency	
Oral Communication	Makes clear and convincing oral presentations to individuals or groups; listens effectively and clarifies information as needed; facilitates an open exchange of ideas and fosters an atmosphere of open communication.
Problem Solving	Identifies and analyzes problems; distinguishes relevant and irrelevant information to make logical decisions; provides solutions to individual and organizational problems.
Accountability	Holds self and others accountable for measurable high-quality, timely, and cost-effective results. Determines objectives, sets priorities, and delegates work. Accepts responsibility for mistakes. Complies with established control systems and rules.

Competencies Addressed (continued)

Medium Competency	
Partnering	Develops networks and builds alliances, engages in cross-functional activities; collaborates across boundaries, and finds common ground with a widening range of stakeholders. Utilizes contacts to build and strengthen internal support bases.
Strategic Thinking	Formulates objectives and priorities and implements plans consistent with long-term interests of the organization in a global environment. Capitalizes on opportunities and manages risk.
Interpersonal Skills	Considers and responds appropriately to the needs, feelings, and capabilities of different people in different situations; is tactful, compassionate, and sensitive, and treats others with respect.
Decisiveness	Makes well-informed, effective, and timely decisions even when data are limited or solutions produce unpleasant consequences; perceives impact and implications of decisions.

Competencies by Levels Linked to the Executive Core Qualifications

	Fundamental Competencies	Leading Change	Results Driven	Business Acumen	Building Coalitions
High				Human Capital Management	
Medium / High	Oral Communication		Problem Solving Accountability		
Medium	Interpersonal Skills	Strategic Thinking	Decisiveness		Partnering

On-The-Job Behaviors and Activities

Examples of on-the-job behaviors and activities related to competencies that participants can practice to assist them in transferring the knowledge and skills discussed in the course to their jobs:

Human Capital Management	<ul style="list-style-type: none"> ✓ Participate in strategic human workforce planning activities. ✓ Prepare a staffing plan. ✓ Partner with OHR and take part in a recruitment event. ✓ Participate in panel interviews. ✓ Conduct individual interviews.
Oral Communication	<ul style="list-style-type: none"> ✓ Practice listening skills. ✓ Talk with and observe people you believe are good communicators. ✓ Share information in a timely fashion. ✓ Ask open-ended questions whenever possible to build rapport and gather more relevant information.
Problem Solving	<ul style="list-style-type: none"> ✓ Define problems and issues accurately. ✓ Determine and review relevant data. ✓ Brainstorm and identify solutions. ✓ Evaluate alternative courses of action.
Accountability	<ul style="list-style-type: none"> ✓ Comply with organizational control systems and rules. ✓ Articulate objectives and effectively delegate work.

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On-The-Job Behaviors and Activities (continued)

Interpersonal Skills	<ul style="list-style-type: none"> ✓ Identify interpersonal skills you would like to work on (such as nonverbal gestures) and share them with your staff and co-workers. Have them provide feedback to you about how well you addressed those behaviors during your interaction. ✓ Ask open-ended questions whenever possible to build rapport and gather more relevant information. ✓ Interact with subordinates, support staff, peers and upper management as often as possible, treating each group with respect and tact.
Strategic Thinking	<ul style="list-style-type: none"> ✓ Determine strategic human capital priorities for your work group. ✓ Develop a workforce plan. ✓ Participate in succession planning activities
Decisiveness	<ul style="list-style-type: none"> ✓ Participate in interviewing panels and selection processes.
Partnering	<ul style="list-style-type: none"> ✓ Lead a collaborative effort to integrate a system across business units or functions. ✓ Seek opportunities to expand networks by working on cross-functional teams. ✓ Partner with an external organization to address a common issue. ✓ Serve on an inter-governmental team or task force to expand networks and develop external awareness.



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MODULE 1: RECRUITMENT

Module 1: Recruitment

1.1 Objectives

The objectives for this module are for participants to be able to:

- Describe the goals of an effective recruitment and hiring process.
- Locate NRC and federal guidelines regarding legal and appropriate hiring practices.
- Examine pre-announcement recruitment processes and procedures.
- Discuss post-announcement recruitment processes.
- Discuss succession planning.

1.2 Competencies Addressed

- Human Capital Management
- Problem Solving
- Accountability
- Partnering
- Strategic Thinking

The NRC seeks to recruit and hire individuals who are qualified to carry out the NRC mission and are effective in their positions. Few decisions are more important to you as managers and supervisors than recruiting and selecting highly capable people with the right skills for your team.

Recruitment and hiring at the NRC is a function of a changing political environment and fluctuations in federal funding. This impacts the kinds of positions for which you recruit. Changes in the rate of attrition also require managers to adjust and respond accordingly.

This is the first of three modules in which we explore the recruiting, hiring, interviewing, and selection processes at the NRC.

1.3 Recruitment and Hiring at the NRC

Objectives:

- Describe the goals of an effective recruitment and hiring process.
- Examine pre-announcement recruitment processes and procedures.

1.3.1 Overview of Recruitment and Hiring

What do you think it costs the NRC to hire the wrong person? Depending on whether the individual was an internal or external hire, and the amount of training you have invested, the costs of a "wrong" hire can range anywhere from 1 ½ to 3 ½ times the cost of an individual's salary.¹ This is only one of many reasons it is important to follow a structured process for recruiting and hiring employees.

Recruitment is the process of identifying and attracting potential job candidates, both from within the organization and external to the organization, and evaluating them for possible employment. Your role is to identify vacancies in your area of responsibility and work with a Human Resources (HR) Specialist to fill them to support the NRC mission.

Supervisors in the NRC receive an annual notification from the Office of Human Resources (OHR) requesting information about filling projected vacancies. You should also contact OHR for assistance when you anticipate the need to fill a vacancy. It is important to develop a partnership with OHR to fulfill this responsibility.

¹ <http://www.isquare.com/turnover.cfm>

1.3.2 Discussion Questions

1. How many of you have filled a vacancy in the past? What were the challenges associated with the process?

2. What do you understand your role to be?

3. How do/did you involve the HR Specialist?

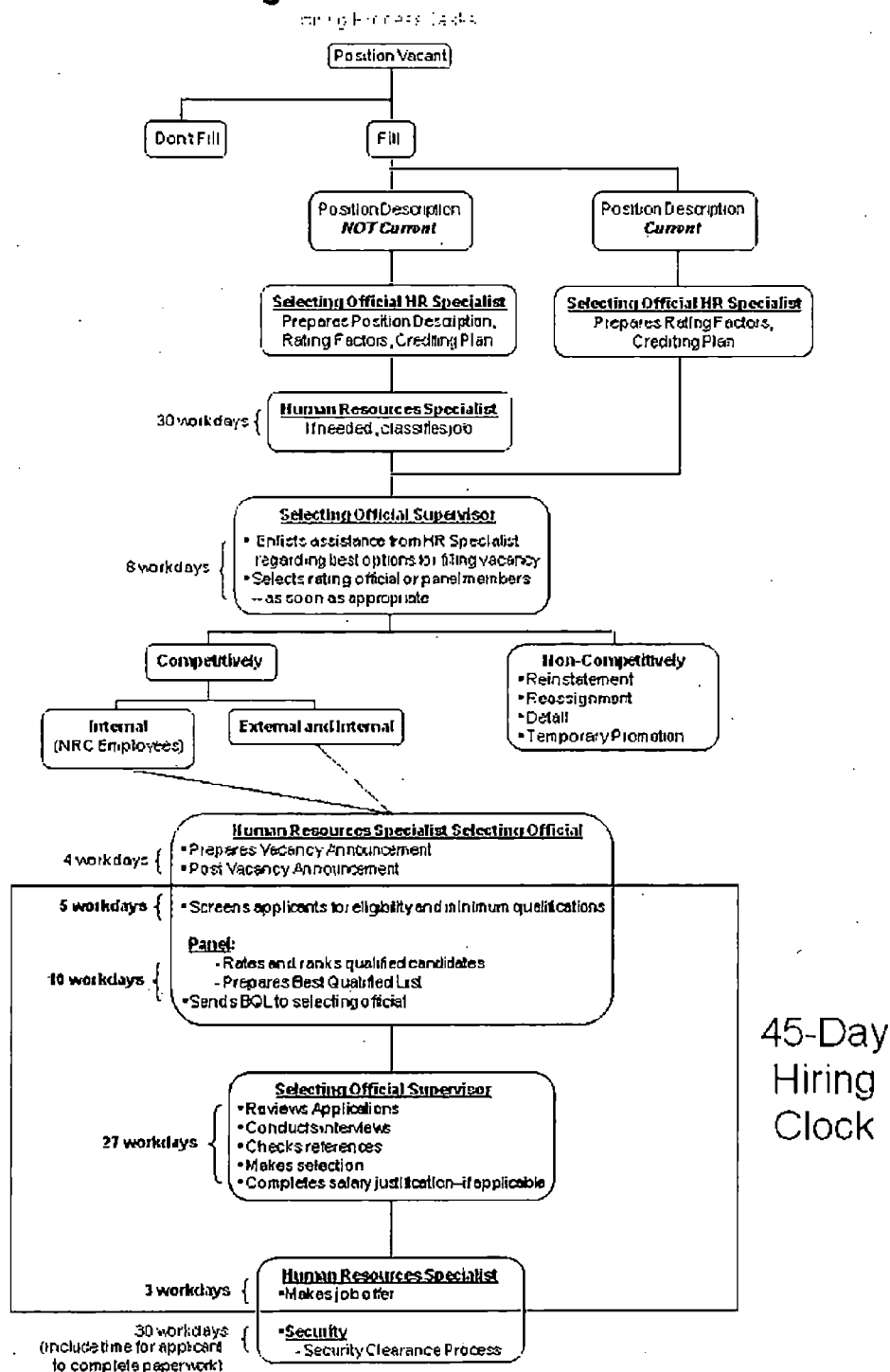
4. What are the goals of your organization with respect to human capital?

1.3.2 Discussion Questions

5. If asked to describe a successful hiring process, how would you respond?

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Hiring Process Flowchart



1.4 Recruiting Considerations

A first step after identifying a vacancy, or the need to fill a position, is to compile information about the job requirements. You will need to determine if the current position description is valid and accurately reflects the requirements of the job. A typical job analysis results in a description of tasks and responsibilities as well as a description of the knowledge, skills, and abilities required to perform the job duties.

Before posting a vacancy, you will explore staffing options appropriate to the position with an HR Specialist. You will also work with OHR to develop a ranking or crediting plan to identify best-qualified candidates during the screening process.

Following are steps that start the process of filling vacancies:

1. Determine the staffing needs of your team or work group.
2. Discuss the vacant positions, including major duties and required competencies with an HR Specialist.
3. Work with an HR Specialist to assess staffing options, hiring flexibilities, and recruiting incentives.

1.5 Crediting Plan

In the NRC, eligible competing applicants are sometimes formally evaluated against a crediting plan. A crediting plan is a document used to rate candidates' possession of job-related knowledge, skills, and abilities (KSAs), also known as rating factors. This is done to identify those candidates who are best-qualified for the position.

The rating levels used in NRC crediting plans are as follows².

Category A	Describes the requirements for those candidates whose overall qualifications for the position are <i>best qualified</i> in relation to the requirements of the position. The qualifications of the candidates, as determined through evaluation of the application and, when used, interview and reference materials, substantially exceed the basic requirements to the extent that it appears that the candidates will be <i>exceptionally effective</i> in the position.
Category B	Describes the requirements for those candidates whose qualifications are highly qualified for the position, that is, the candidates exceed the requirements but are not among the best qualified. The qualifications of the candidates, as determined through evaluation of the application and, when used, interview and reference materials, exceed the basic requirements to the extent that it appears that the candidates will be very effective in the position.
Category C	Describes the requirements for those candidates whose qualifications meet but do not exceed, the requirements of the position. The qualifications of the candidates meet basic requirements to the extent that it appears that the candidates will be reasonably effective in the position.

² NRC Management Directive 10.15: Merit Staffing Program

1.6 Pre-announcement Process

You are encouraged to consult with an HR Specialist throughout this process as necessary. While one of the goals of this course is to provide you with the ability to conduct many of these activities, you are cautioned to reach out to OHR whenever you are unsure of your responsibilities or authorities. The following addresses issues that you should consider as you prepare to fill a vacancy.

Job Position

- What is the position? Is the position description accurate and current?
- What are the major responsibilities, duties, or tasks this person will perform?
- Approximately what portion of the person's time will be spent on each key task or duty?
- Could the duties be restructured, and/or can the position be filled at a lower grade than the full performance level? Should it be filled on a part-time basis or a full-time basis?
- Has this position been filled on a temporary basis? If so, for how long?

Competencies and Experience

- What skills and competencies are needed to be successful on the job?
- What kind of specialized experience is required or preferred for the position?
- What degrees, certifications, or clearances are required or preferred?

Location of Applicants

- Where might we find the best candidates?
- Do you already have a particular candidate in mind for the position who might be eligible for a noncompetitive Special Recruiting Program?
- For what other organizations might potential candidates currently work?
 - ✓ Where have you found great candidates in the past?
 - ✓ Who are major contractors that have talent you desire?
- To what associations do they belong?

Rating Factors and Crediting Plan

- Do the rating factors correlate with the position description?
- Should any factors be weighted?
- Are there any required knowledge, skills, or abilities that should be considered?
- Are rating criteria directly related to rating factors? Are they described using examples?
- Will rating criteria be effective in distinguishing superior from basically eligible?

Special Recruiting Programs

- Are there any special recruiting programs/hiring authorities that might be used?
 - ✓ Co-op program
 - ✓ Veterans Appointing Authorities
 - ✓ Disability Appointing Authorities
 - ✓ Noncompetitive reinstatement or transfer
 - ✓ Noncompetitive re-employment of retirees
 - ✓ Noncompetitive appointing authorities, such as former Peace Corp volunteers

Flexibilities

- Would the possibility of any of the following help attract highly qualified applicants?
 - ✓ Recruitment incentives
 - ✓ Relocation incentives
 - ✓ Student loan repayment (normally reserved for retention vs. recruitment)
 - ✓ Payment of interview and/or relocation expenses
 - ✓ Pension offset waivers for rehired annuitants

Exercise 1.1: Recruitment Strategies

Purpose:	To introduce participants to the recruitment and hiring process at the NRC.
Time:	60 minutes
Task:	Review case studies and begin to formulate a plan for recruiting and hiring a job applicant based on case study information.
Step One:	Review your assigned case.
Step Two:	<ul style="list-style-type: none"> • Work in your table group. • Refer to, and account for key tasks, responsibilities, and time guidelines identified in the Hiring Process Tasks Chart in the Appendix. In each case, assume the Branch Chief is the Selecting Official. • Brainstorm a list of recruitment strategies. • Identify sources for recruitment activities. • Consider staffing options, hiring flexibilities, and recruiting incentives. • Use the Exercise Worksheet to record your observations. This should serve as a form of a crediting plan for your case. • Note: we will not deal with actual rankings for the candidate in the case studies for this course.
Step Three:	Be prepared to share your results with the class. Retain your notes, as these case studies will be referred to throughout the rest of the course.

Exercise 1.1: Scenario One

Office of New Reactors

Congress has passed the Nuclear Power Plant Act of 2009. The Act states that \$120 billion will be appropriated for licensees to build nuclear power plants throughout the U.S. In order to go forth with these power plants being built by the licensees, early site permits are required.

The Division of New Reactor Licensing within NRO:

- Leads, manages, and facilitates design certification application reviews, early site permit application reviews for plants using PWR technology, combined license application reviews, and new reactor pre-application activities
- Develops and maintains the necessary technical and programmatic support for new reactor licensing activities, guidance development, interaction with stakeholders on issues pertaining to new reactors, large-scale project management tools, schedule and resource planning and tracking, and issuance of design certifications and COLs

The Case

NRO needs to hire an early site permit reviewer to handle the new permits as they start to flow into the division. Kenyatta Walker, the division's branch chief, just graduated from the Leadership Potential Program in February. He was hired to this position within the last month. Walker's background is in reviewing plants using BWR technology.

In addition, NRO is interested in a project manager (on either rotation from NRR or new personnel) who would work hand-in-hand with these newly hired, early site permit reviewers.

Exercise 1.1: Scenario One (continued)

Position	Person
Office Director:	Mark Young
Office Deputy Director:	Jane Old
Branch Chief:	Kenyatta Walker
Project Manager:	Unfilled
Early Site Permit Reviewer: (GG-12-13 or rotation from another Office).	Unfilled

Exercise 1.1: Scenario Two

Office of Nuclear Materials Safety and Safeguards

According to the 2009 Spent Fuel Census, an estimated two billion metric tons of radioactive material and spent fuel will be generated. However, there are not enough storage or transportation casks around to store or transport this fuel. Because of this outburst of spent fuel and radioactive material, industry has been encouraged to create more transportation casks and storage casks to transport and store spent fuel and radioactive material.

The Division of Spent Fuel Storage and Transportation (SFST) develops and implements the agency's regulatory, licensing, and inspection program for the storage of nuclear reactor spent fuel and the domestic and international transportation of radioactive materials, serving as the agency lead in spent fuel storage and transportation activities.

The Case

SFST is in need of a thermal reviewer as these licensees begin to send their applications in for review and eventually, approval. With these reviewers, a strong thermodynamics background is necessary, but knowledge of ANSYS and FLUENT is a plus.

Position	Person
Division Director:	Bill Santos
Division Deputy Director:	Ray Haney
Branch Chief:	Susan Maclin
Team Leader:	Christopher Strongman
Thermal Reviewer: (GG – 11, 12, or 13, or rotation from Office outside of NMSS)	Unfilled

Exercise 1.1: Scenario Three

Office of Federal and State Materials and Environmental Management Programs

The state of Minnesota decided in December of 2008 to become an agreement state with the NRC. In order to act accordingly with the rules and mandates of the NRC, representatives from the state need some material licensing and inspection guidance.

- The Agreement State Programs Branch (ASPB) develops policy and procedures for assessing Agreement State and NRC regional performance of materials licensing and inspection activities and provides guidance to states intending to become Agreement States. The ASPB:
 - ✓ Reviews new applications for Section 274b Agreements, in coordination with other NRC offices and the Regions, for Commission review and approval
 - ✓ Coordinates closely with the Agreement States to plan and provide for review of State regulations
 - ✓ Coordinates with Regional State Agreement Officers (RSAO's) and provides program direction and guidance
 - ✓ Is responsible for communications system support, e.g., States contacts database, list servers, and websites
 - ✓ Is responsible for safety and security interface issues between NRC and the Agreement States
 - ✓ Provides technical support for training of regional and Agreement State materials licensing and inspection staffs
 - ✓ Makes the NRC determination required by Section 274c prior to Agreement State termination of uranium milling licenses.

The Case

ASPB is in need of an agreement state liaison to help with the state of Minnesota's transitioning, along with guidance in being satisfactory in reference to their materials licensing and inspection activities. Experience in being a liaison is necessary for this task.

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Exercise 1.1: Scenario Three (continued)

Position	Person
Office Director:	Douglas Hawkins
Office Deputy Director:	Anthony Wiseman
Branch Chief:	John Browning
Agreement State Liaison (GG – 12 -13 or rotation from any Office):	Unfilled

Exercise 1.1: Scenario Four

Office of Human Resources

The Executive Director of Operations (EDO) has issued a directive stating that two more leadership programs within the agency are to be created. One for secretaries (Secretarial Leadership Development Program-SLDP) and one for Information Technology staff (IT Leadership Development Program-ITLDP). The directive has now been sent to the Professional Development and Policy Branch (PDPB) to organize these leadership programs. The PDPB:

- Designs, develops, maintains, improves, and implements agency professional training in such areas as communications, computer applications, EEO, management and supervision, acquisition, and financial management.
- Manages development, implementation, and continued technical support for selected information technology applications in support of agency training initiatives.
- Develops, manages, and evaluates formal training and development programs that support human capital goals.
- Develops new courses and modifies existing courses to meet new or changing needs.
- Provides information, assistance, and counsel to employees on career development.
- Ensures training policies and professional development activities align with the agency Strategic Plan and the Training and Development Strategic Plan.
- Establishes and manages interagency agreements and commercial contracts to satisfy NRC professional development and knowledge management needs.
- Provides expert technical assistance to NRC, other government agencies, and foreign regulatory agencies on regulatory programs, human resources development, and training systems methodology and standards.

The Case

PDPB is in need of two program coordinators to coordinate and get the ITLDP and the SLDP off and running before FY2010. For these positions, a strong leadership knowledge base in either IT or clerical work is necessary. Capabilities in training and mentoring would also be a plus.

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Exercise 1.1: Scenario Four (continued)

Position	Person
Division Director:	Wanda Garcia
Deputy Division Director:	Patricia Holiday
Branch Chief:	Daryl Views
IT Leadership Development Program Coordinator (GG – 13):	Unfilled
Secretarial Leadership Development Program Coordinator (GG – 13 or on rotation from other Division in HR):	Unfilled

Exercise 1.1: Scenario Five

Office of Nuclear Regulatory Research

THS, Inc., the global leader in software for thermal hydraulic systems, is ceasing operations. This is critical because THS, Inc. supplied the thermal hydraulic systems software to the Office of Nuclear Regulatory Research. A directive has been issued that a thermal hydraulic systems code developer be hired in order to get researchers back on track and running efficient programs.

The Code Development Branch (CDB):

- Plans, develops and manages research programs to develop and maintain computer codes, models and experimental data bases for evaluating nuclear reactor and plant systems thermal-hydraulic transient behavior under normal, abnormal and accident conditions for current and advanced reactors.
- Plans, develops and manages research programs to develop and maintain computer codes, experimental data bases and analytical capabilities for evaluating fuel behavior under normal, abnormal and severe accident conditions for current and future reactor designs.
- Works in partnership with universities, laboratories, and other national and international research centers involved in complementary areas.
- Maintains experimental data, fuel and thermal-hydraulic analytical tools and knowledge bases, and provides consultation to NRC organizations in these specialized areas to make reliable and technically sound regulatory decisions.

The Case

CDB is in need of a code developer to develop codes to solve for thermal hydraulic systems. Programming experience is a plus.

Exercise 1.1: Scenario Five (continued)

Position	Person
Office Director:	Marshall Heitman
Office Deputy Director:	David Swansong
Branch Chief:	Lucy Waters
Code Developer of Nuclear Reactor Behavior (GG – 13 or on rotation from Office outside of RES):	Unfilled

Exercise 1.1: Worksheet
1. Describe the staffing need.
2. List the major duties and required competencies.
3. Identify staffing options and hiring flexibilities.
4. Identify possible recruiting incentives.

Exercise 1.1: Worksheet (continued)

5. What outreach activities or recruiting strategies will attract a highly-qualified and diverse applicant pool?

1.7 Recruiting and Hiring Challenges

The NRC is regularly rated highly in the "best places to work in the Federal Government" surveys. How do we maintain that level of excellence? There are a number of challenges associated with recruitment and hiring common to all Federal Government agencies. There are also challenges specific to the NRC. Consider the following:

- The nuclear energy industry is dynamic and continues to evolve. Private companies might be able to offer better pay and incentives to desired job candidates.
- Attrition and knowledge transfer: the NRC is an agency in which experienced employees have stayed in place for a relatively long time. These employees are now beginning to reach retirement age. How will you ensure new hires acquire the necessary knowledge, skills and abilities to perform effectively?
- One of the benefits of being an NRC employee is being able to take advantage of cross-functional assignments. This might leave new supervisors at a disadvantage when reviewing staffing requirements on a new team.
- NRC job positions are unique from many agencies in the Federal Government. Many jobs are specialized and so recruitment must be focused on specific sources in the engineering and scientific communities.
- Most positions require security clearances. Jobs might require relocation and some positions in the field are Resident Inspectors in which employees are duty stationed, and work at a reactor or nuclear facility site. Hiring managers might need to engage in more creative recruiting activities, consider incentives, and flexible staffing practices to ensure the best hires.

Exercise 1.2: Recruitment Challenges

Purpose:	To explore recruitment challenges in the NRC environment.
Time:	30 minutes
Task:	Brainstorm responses to recruitment and hiring challenges.
Step One:	Review the issues on the previous page and add challenges during your discussion.
Step Two:	<ul style="list-style-type: none">• Work in your table group.• Consider additional challenges associated with recruitment and hiring.• Brainstorm a list of strategies to meet all challenges. What are some of your options to ensure quality recruitment efforts?
Step Three:	Be prepared to share your results with the class.

1.8 Strategic Workforce Planning

Recruitment, selection and hiring practices are components of strategic workforce planning. Strategic workforce planning is a term applied to the process of identifying the current and future human capital requirements and skill sets to accomplish the goals of the work unit. The goal of the process is to ensure the right people, with the right skill sets, are in the right positions. The desired result is a workforce that has the capacity to align with and accomplish agency mission and goals.

The Government Accountability Office (GAO) has identified five key principles that are addressed through the strategic workforce planning process.³

- Involve management, employees and stakeholders in developing, communicating, and implementing the strategic workforce plan.
- Determine critical skills and competencies needed to achieve program results.
- Develop strategies to address gaps in human capital deployment to meet critical skills and competencies.
- Build capacity to provide administrative, training, and other requirements to support workforce planning strategies.
- Monitor progress toward agency human capital goals.

Strategic workforce planning is an ongoing responsibility of managers and supervisors. Every hiring decision you make contributes to overall organizational performance goals. In pursuit of achieving these goals, you might be asked to “think outside the box” and use innovative recruitment strategies.

The OHR can help you explore options that will maximize the pool of candidates for selection.

³ GAO Report: Human Capital – Key Principles for Effective Strategic Workforce Planning (GAO-04-39), December 2003

1.8.1 Discussion Question

1. How can you apply strategic workforce planning principles to your team or work group?

1.9 Appropriate Hiring Practices

Objective:

- Locate NRC and federal guidelines regarding appropriate hiring practices.

No discussion about recruitment and selection is complete without mentioning your responsibility to adhere to appropriate hiring practices. You must consult with an HR Specialist to ensure you comply with federal laws and regulations as well as NRC policy and the Collective Bargaining Agreement provisions pertaining to recruitment and hiring. We will explore these principles further when we talk about interviewing job candidates.

Some issues to keep in mind:

- Appropriate hiring practices are not simply a matter of using common sense. All supervisors, managers and selecting officials need to have a basic understanding of the legalities, policies, and procedures involved in recruitment and hiring. This applies to everyone who participates in interviewing a job candidate.
- EEO principles: Equal Employment Opportunity (EEO) ensures that work environments are free from unlawful discrimination and harassment, and provides employees with equal opportunities for jobs, training and development, promotions, and other aspects of employment.
- NRC guidelines contained in Management Directive (MD) 10.1: All employees and applicants for employment with the NRC shall receive fair and equitable treatment in all aspects of personnel management without regard to race, color, religion, sex, handicapping condition, age, marital status, political affiliation, or national origin, and with proper regard for their privacy and constitutional rights.
- You are encouraged to consult with the OHR whenever there is a question of legality, policies, or procedures that you feel unsure about.

1.9.1 Discussion Questions

1. What are some of the issues you must consider when developing position descriptions?

2. What are do's and don'ts when advertising positions?

3. What are some of the questions that arise during the hiring process that should be referred to OHR?

1.10 Post-announcement Process

Objective:

- Discuss post-announcement recruitment processes.

Coordination with the OHR is important after the vacancy has been announced. You will work closely with an HR Specialist to complete a number of tasks.

- You might need to select a rating panel or a rating official, if ratings are required.
 - ✓ The rating panel should include at least one subject matter expert.
 - ✓ The grade level of all voting members of the panel should be equal to or higher than the highest grade of the vacancy.
 - ✓ The members should not be in the direct supervisory chain of the selecting official.
 - ✓ The office should attempt to include one panel members from a different office; diversity in panel representation should also be a consideration.
- The OHR will respond with an approval of a rating official or rating panel based on the number and type of candidates that are recruited.
- If appropriate, you might meet with panel members and an HR Specialist to review the crediting plan, agree on rating factors, and establish a schedule.
- The HR Specialist will make the first cut at reviewing applications for minimum qualifications and generate a list of qualified applicants. This process might be repeated if an acceptable number of applicants are not identified from the initial pool.
- Finally a decision is made about the group of people with whom to schedule interviews.

Consider the following issues:

- ✓ Have potential panel members for assisting with ranking and interviews been identified (in the case it is necessary)?
- ✓ Have interview questions and an interviewing plan been developed?
- ✓ Have you discussed with an HR Specialist the reference checking process?

Refer to the Hiring Process Tasks Chart in the Appendix for more details and timelines.

1.11 A Word about Succession Planning

Objective:

- Discuss succession planning.

Succession planning is defined as having the right people in the right place to advance into the right positions at the right time.

We have already talked about strategic workforce planning. Succession planning is a more specific extension of that process, typically involving replacing leaders as they retire or depart from the organization. But it is good business practice to include succession planning for a variety of key job categories. Succession planning ensures there are highly qualified people in all positions, today, tomorrow, next year, and five years from now.

The NRC has addressed succession planning through the Leadership Development Program and investing in this very training. Let's explore a succession planning model based on the OPM model for workforce planning.⁴

STEPS	ACTIONS
Step 1	<u>Set strategic direction:</u> Link the planning process to the agency's strategic plan.
Step 2	<u>Analyze skill gaps:</u> Identify current resources and how they will evolve over time. Develop requirement specifications for filling key positions. Determine skill gaps between existing potential candidates and requirements.
Step 3	<u>Develop an action plan:</u> Determine strategies to close the gaps and create a plan to implement the strategies. The plan should include measures and assessments of progress. The plan might include recruitment options, training, coaching and mentoring.
Step 4	<u>Implement the action plan:</u> Obtain the appropriate resources. Ensure those involved in the effort understand their roles. Conduct the necessary communication, marketing, and coordination to support the effort.
Step 5	<u>Monitor, evaluate, and revise:</u> Track progress against milestones. Adjust the plan to address the changing environment.

⁴ OPM's Workforce Planning Model
http://www.opm.gov/hcaaf_resource_center/assets/Sa_tool4.pdf

Exercise 1.3: Succession Planning

Purpose:	Recognize the importance and benefits of succession planning
Time:	30 minutes
Task:	Create a plan for filling a leadership position.
Step One:	<ul style="list-style-type: none"> • Work individually. • Assume you will be promoted or transferred within the next 12 months. • Consider those on your staff who are in place to assume your duties. • Consider others outside your organization. • Apply OPM's 5-step model and create a succession plan to fill your position.
Step Two:	Share your plan with others in your table group.
Step Three:	<p><u>Use the following questions to guide discussion:</u></p> <ul style="list-style-type: none"> • How is succession planning different from simply hiring a replacement? • Which of the steps in the OPM model were hardest to apply? Why? What steps can you take to address them? • Consider employees on your team, or in your division or work group. Who among them will retire in the next few years? • How prepared is your organization to fill the vacancies?
Step Four:	Be prepared to share your results with the class.

Module Summary

Your responsibility as a supervisor or manager to hire employees can be challenging and intimidating... There are many decisions to be made during the recruitment process that should lead to identification of an appropriate candidate pool.

- It is important to review the actual qualifications for the job.
 - Human capital planning should be considered at a strategic level.
 - There are legal, policy, and procedural issues that apply to recruitment and posting job vacancies.
 - There are a number of hiring authorities and flexibilities that come into play.
 - Remember that the OHR is a partner in this process and a resource to support you.
-



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APPENDIX

Glossary of Key Terms

Behavioral Interviewing – Behavioral interviewing is a style of interviewing developed in the 1970s by industrial psychologists. The premise is that the best predictor of future job performance is performance in a similar situation in the past. The goal of a behavioral interview is to have the client describe a situation they confronted in the past, what actions they took, what the outcomes were, and what they learned from it. Questions are phrased in such a way that job candidates are encouraged to share experiences that qualify them for the job.

Crediting Plan – The crediting plan is used by NRC to formally rate eligible competing applicants' possession of job-related knowledge, skills, and abilities (KSAs), also known as rating factors. The crediting plan is used to identify those candidates who are best-qualified for the position.

Strategic Workforce Planning – Strategic workforce planning is a business process by which an organization ensures it has access to future talent to meet projected changes in the workforce.

Succession Planning – Succession planning is a subset of strategic workforce planning that generally focuses on managerial roles.

Trial Period – The purpose of the trial period is to provide NRC the opportunity to evaluate the employee's overall fitness and qualifications for continued employment. Management may remove the employee during the trial period without formal procedures and without the employee having full appeal rights when the employee's performance and/or conduct do not meet acceptable standards. Trial periods are two years for non-preference eligibles and one year for preference eligible hires.

Job Aid 1: Behavioral Interviewing Questions

The following set of questions is designed to prompt your thinking when you are conducting interviews.

Decision-Making and Problem-Solving

- Give me an example of a time when you had to make a decision without having enough information. What did you do? How did it turn out?
- Give me a specific example of a time when you used good judgment and logic in solving a problem.
- Give me an example of a time when you had to make a split-second decision.
- Give me an example of a time when you failed at something you tried to accomplish.
- Tell me about a difficult decision you've made.
- Tell me about a time when you missed an obvious solution to a problem.
- Describe a time when you anticipated potential problems and developed preventive measures.

Leadership

- Describe the toughest group from whom you have had to get cooperation.
- Have you ever had difficulty getting others to accept your ideas? What was your approach? Did it work?
- Describe a situation in which you were able to use persuasion to successfully convince someone to see things your way.

Motivation

- Give me an example of a time when you went above and beyond the call of duty.
- Describe a situation when you were able to have a positive influence on the action of others.
- Tell me about a time when you delegated a project effectively.

Communication

- Tell me about a situation when you had to speak up (be assertive) in order to get a point across that was important to you.
- Discuss an important written document you were required to complete.

Job Aid 1: Behavioral Interviewing Questions

Interpersonal Skills

- What have you done in the past to contribute toward a teamwork environment?
- Describe a recent unpopular decision you made and what the result was.

Conflict Management

- Describe a time when you were faced with a stressful situation that demonstrated your coping skills.
- What is your typical way of dealing with conflict? Give an example.
- Tell me about a time you were able to successfully deal with another person even when that individual may not have personally liked you (or vice versa).
- Tell me about a situation in which you had to deal with a very upset customer or co-worker.

Planning and Organization

- How do you decide what gets top priority when scheduling your time?
- What do you do when your schedule is suddenly interrupted? Give an example.
- Tell me about a time when you had too many things to do and you were required to prioritize your tasks.

Other Behavioral Questions

- Give a specific example of a policy you conformed to with which you did not agree.
- Give me an example of an important goal which you met and tell me about your success in reaching it.
- Describe an instance when you had to think on your feet to extricate yourself from a difficult situation.
- Tell me about a time when you had to go above and beyond the call of duty in order to get a job done.
- Give me an example of when you showed initiative and took the lead.
- Tell me about a time when you were forced to make an unpopular decision.
- Please tell me about a time you had to fire a friend.

Job Aid 2: Legal, Appropriate Interviews

- Prepare in advance.
- Seek advice from the OHR, as necessary.
- Avoid non-job-related questions.
- Ask essentially the same questions of each applicant.
- Focus on job performance.

Don't ask about:

- ✓ Age, gender, marital status, race, ethnic origin, religion, or disability
- ✓ Sexual preference
- ✓ Childcare arrangements
- ✓ Employment status of family members



NRC Supervisory Curriculum Recruitment, Behavioral Interviewing, and Selection

HIRING PROCESS TASKS

Tasks		OHR/RPO	Program Office	Target Timelines	Actual Timelines
1)	<p>1a) Need for Position Established (e.g., vacancy in staffing plan caused by attrition; new position due to FTE increase).</p> <p>1b) Review Position Description, if available, otherwise seek samples from HR Specialist. Develop or update as appropriate, considering:</p> <ul style="list-style-type: none"> • appropriate discipline • appropriate grade level 		Selecting Official, Program Office		
2)	Management Approval of Personnel Action to Recruit (SF 52 with PD).		As determined by Program Office	As determined by program office	
3)	Submit SF-52 and PD to OHR/RPO; HR and Selecting Official discuss.	HR Specialist	Program Office	1 workday from when signed by program office management	
4)	Classify the position, if needed. *Vacancy should not be posted until position is classified.	HR Specialist		30 workdays from receipt of position description	

NRC Supervisory Curriculum Recruitment, Behavioral Interviewing, and Selection

HIRING PROCESS TASKS

Tasks		OHR/RPO	Program Office	Target Timelines	Actual Timelines
5)	Provide Selecting Official Samples of Relevant Documents: <ul style="list-style-type: none"> • Vacancy Announcement (VA) • Rating Factors (RFs) and Crediting Plan (CP) 	HR Specialist		2 workdays of receipt of SF-52	
6)	Finalize Recruitment Documents and submit to HR: <ul style="list-style-type: none"> • VA • RFs • CP 		Selecting Official (HR Specialist assists)	5 workdays upon receipt of document samples	
7)	Review and Approve Submitted Recruitment Documents for Posting; Draft Vacancy Announcement.	HR Specialist		3 workdays from receipt of final recruitment documents	
8)	Final Review and Approval of Vacancy Announcement		Selecting Official		
9)	9a) Post Vacancy Announcement.	HR Specialist		1 workday from receipt of Selecting Official's approval	
	9b) HR Specialist generates and provides RATS 45-day milestone report to Selecting Official.	HR Specialist			



NRC Supervisory Curriculum Recruitment, Behavioral Interviewing, and Selection

HIRING PROCESS TASKS

Tasks		OHR/RPO	Program Office	Target Timelines	Actual Timelines
10)	Select Rating Official or Rating Panel. (Note: For non-bargaining unit positions or certificates prepared for external applicants who are not covered by bargaining unit rules, it is possible that ratings may not be required if there are 10 or fewer qualified eligibles for an advertised grade level, but this will not be known until after the vacancy closes. However, it is prudent for the selecting official to anticipate and plan for the need for a panel or rating official in case it is necessary. If ratings are not required, skip to step 14.)		Selecting Official		
11)	Submit Name(s) of Rating Official or Rating Panel to HR (Please see above note – #10).		Selecting Official	(See above – #10)	
12)	Approve Rating Official or Rating Panel (Please see above note – # 10).			(See above – #10)	
13)	Schedule Pre-Panel Meeting if appropriate, to include Selecting Official, Panel Members, and HR Specialist (Please see above note – #10).			(See above – #10)	

**NRC Supervisory Curriculum
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HIRING PROCESS TASKS

Tasks		OHR/RPO	Program Office	Target Timelines	Actual Timelines
14)	Review Applications for Minimum Qualifications; Generate List of Qualified Applicants (i.e., "Cert"). (If ratings will not be required because there are 10 or fewer qualified competitive eligibles, go to step 17B).	HR Specialist		5 workdays after closing	
15)	Conduct Pre-Panel Meeting if appropriate: Conduct Refresher/Orientation for panel members, if needed; Agree on Understanding of Rating Factors and Crediting Plan, and Ratings Due Date; Schedule Panel's Meeting Date.		Selecting Official (HR Specialist assists)	7 workdays after closing (but generally not done before minimum qualifications are completed)	
16)	Complete Applicant's Rating		Rating panel; rating official		
17)	17a) Panel Meeting Conducted to Generate Best Qualified List (BQL) 1 "Cert" (will not be necessary if averaging is used); and 17b) Submit to Selecting Official.	HR Specialist		1 workday of receiving completed applicants' ratings from panel	

NRC Supervisory Curriculum Recruitment, Behavioral Interviewing, and Selection

HIRING PROCESS TASKS

Tasks		OHR/RPO	Program Office	Target Timelines	Actual Timelines
18)	<p>18a) Schedule/conduct interviews and reference checks as appropriate.</p> <p>18b) Make Final Selection(s).</p>		Selecting Official / Program Office Selecting Official	20 workdays of receipt of SQL (also referred to as Selection Cert)	
19)	<p>Name (s) of Selected Candidate(s) to OHR for Approval</p> <p>(Note: In some cases salary information, if applicable, and OF-306 are obtained at the time of interviews, particularly in the regions. If OF-306 was not obtained at step 18, HR will obtain before verbal offer is made. If salary information was not obtained in step 18, it will generally be obtained at step 20)</p>	HR Specialist	Program Office	<p>1 workday of receipt of Selection Cert*</p> <p>*if OF-306 needs to be obtained, revise to 2 workdays</p> <p>*any negative suitability information obtained will affect target timelines</p>	
20)	Verbal Offer to Selected Candidate, and salary information is requested, if applicable.	HR Specialist		1 workday of HR approval of candidate(s) if no salary exception is needed; 1-3 workdays if salary exception is needed	



NRC Supervisory Curriculum Recruitment, Behavioral Interviewing, and Selection

HIRING PROCESS TASKS

Tasks		OHR/RPO	Program Office	Target Timelines	Actual Timelines
21)	For Salary exception, discuss with Selecting Official (This is only applicable to external candidates). • Complete salary exception request for external selectee, if needed	HR Specialist	Selecting Official	2 workdays of HR's receipt of Selection Cert.	
22)	Prepare and Mail Written Offer Package (with Security Forms) to Selected External Candidate • If recruitment/relocation bonus is payable, prepare FEPCA request/documentation	HR Specialist	Selecting Official Office Director	1 workday of HR's salary approval 5 workdays	
23)	Verbal Response from Selected Candidate(s).	HR Specialist		5 workdays of written offer Selectee may request, and Selecting Official may grant, additional time	
24)	Notify Selecting Official/Program Office of Candidate(s) Job Acceptance.	HR Specialist		1 workday after verbal response	



**NRC Supervisory Curriculum
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HIRING PROCESS TASKS

Tasks		OHR/RPO	Program Office	Target Timelines	Actual Timelines
29)	Review Security Package from External Selected Candidate, Verify Education, and Submit Package to Security.	HR Specialist		2 workdays of receipt	
	<ul style="list-style-type: none"> If Needed, Schedule Drug Test 	HR Specialist		5 workdays of identified need	
30)	Prepare and Submit Request for 145-b Approval to Deputy Executive Director for Management (DEDM) for External Selectee, or take other appropriate action if security disapproves 145b processing.	HRSO Secretary		2 workdays of receipt of security's approval memo	
31)	Approval of 145-b for External Selectee	EDO		1 workday of submission to EDO	
32)	Establish Report Date for New Employee(s), and inform Selecting Official and Program Office.	HR Specialist		2 workdays of 145b approval	

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