

U.S. Department of Energy

Oak Ridge Operations

ORO O 320 Chapter VII

DATE: 09-30-96

SUBJECT: MERIT PROMOTION

1. PURPOSE. This Chapter correlates to DOE O 323.1 (formerly DOE 3335.1C), MERIT PROMOTION, dated June 23, 1992, which has now been renumbered in accordance with the new DOE Order Numbering System, as published in DOE M 251.1-1, Change 1, dated December 12, 1995. Nothing within the DOE Order has been changed at this point, but if a new DOE Order is published, it will be numbered in this manner. Until that time, the new number is assigned to the previous DOE Order. This new Oak Ridge Operations (ORO) Chapter assigns responsibility and accountability and provides administrative guidance to ORO and Office of Scientific and Technical Information (OSTI). Nothing in this issuance changes any requirements contained in any DOE Order.
2. CANCELLATION. This Chapter cancels and replaces OR 3335.1A, MERIT PROMOTION PROGRAM - COMPETITIVE SERVICE, dated September 1, 1989.
3. APPLICABILITY.
 - a. Positions. The provisions of this Chapter apply to selections for ORO and OSTI positions, and positions in other organizations for which ORO provides personnel management support. This Chapter covers selections for all positions in the competitive service that are in the General Schedule grades GS-1 through 15; and the Federal Wage System (FWS).
 - b. Candidates. All current DOE career and career-conditional employees are eligible for placement under this program, as are current and former Federal employees with competitive status.
4. RESPONSIBILITIES.
 - a. Assistant Managers, ORO and OSTI, concur in justifications prepared by subordinate selecting officials for nonselection of employees eligible for Repromotion Consideration and Priority Consideration. A permanent Deputy or another individual formally serving in an Acting capacity may exercise this authority; no other redelegations are permissible.

NOTE: The Assistant Manager for Administration, ORO, concurs in such justifications for positions within the Office of Chief Counsel.
 - b. Director, Personnel Division.
 - (1) Coordinates the execution of this Chapter, conducts required merit staffing program reviews, and initiates corrective action, as appropriate.
 - (2) Assists in the development of, and concurs in, selective placement factors and ranking criteria.

- (3) Prepares and distributes vacancy announcements, and receives employee applications.
 - (4) Determines whether applicants meet the minimum qualifications for selection.
 - (5) Conducts ranking procedures where required by this Chapter.
 - (6) Certifies candidates to selecting officials, together with application materials for each candidate.
 - (7) Concurs in selections and executes the resulting personnel actions.
 - (8) Informs applicants of the results of their consideration for specific placement opportunities.
 - (9) Maintains required promotion records for a minimum of two years.
 - (10) Ensures that security and control of examination materials is maintained.
 - (11) Counsels employees concerning promotion policies, procedures, and opportunities.
 - (12) Resolves employee complaints concerning merit staffing actions in an informal manner when possible.
 - (13) Provides day-to-day advice and guidance to selecting officials and supervisors in applying the provisions of this Chapter.
- c. Supervisors and Managers at the Branch Level and Above.
- (1) Serve as selecting officials for positions under their direct supervision including selections from Office of Personnel Management (OPM) certificates.
 - (2) Advise and assist employees seeking to improve their career potential.
 - (3) Practice sound position management in establishing and filling vacant positions.
 - (4) Develop relevant selective placement factors and ranking criteria.
 - (5) Promptly provide performance appraisals upon request for subordinates who are candidates for specific vacancies.
 - (6) Provide appropriate formal and on-the-job supervisory training to employees appointed to supervisory positions for the first time.
 - (7) Promptly release employees selected for other positions.

- (8) Assist in resolving employee complaints concerning merit staffing actions.
- d. Employees.
 - (1) Apply for an advertised position by submitting:
 - (a) A complete and current SF-171, "Application for Federal Employment." Forms may be photocopied, but each application must have an original signature.
 - (b) Any other information and documents specified on the vacancy announcement.
 - (2) Obtain performance appraisal from their immediate supervisors on the forms attached to the vacancy announcement (optional).
 - e. Promotion Panel Members.
 - (1) Assess the degree to which qualified applicants possess the knowledge, skills, and abilities required for successful performance in the position to be filled.
 - (2) Certify highly qualified candidates to the selecting official.
 - (3) Keep confidential all personal information learned about candidates while evaluating them for a position. No information pertaining to the ranking of candidates will be divulged outside the panel except as requested by individual candidates regarding their own ratings after a certificate is issued; as required to complete the selection process or to comply with other relevant laws, rules, and regulations; or as directed by the DOE Director of Personnel or his/her designee.
5. REQUIREMENTS AND PROCEDURES. See Attachment 1 of this Chapter.
 6. REFERENCES.
 - a. DOE O 311.1, EQUAL EMPLOYMENT OPPORTUNITY PROGRAM, dated September 30, 1995, which describes procedures for filing discrimination complaints over actions related to the merit promotion system.
 - b. DOE O 342.1, (formerly DOE 3771.1), dated July 2, 1981, and ORO O 340, Chapter II, GRIEVANCE POLICY AND PROCEDURES, dated September 7, 1996, which prescribe responsibilities and authorities for processing grievances under the administrative grievance program.
 - c. ORO O 320, Chapter II, PROCESSING PERSONNEL ACTIONS, dated September 24, 1996, which contains procedures for completing the ORO form SF-52, "Request for Personnel Actions."

- d. ORO O 320, Chapter VIII, PRIORITY PLACEMENT AND CONSIDERATION, dated September 24, 1996, which describes the repromotion process and procedures that are exceptions to the merit promotion plan.
- e. ORO O 320, Chapter IX, POSITION CLASSIFICATION, dated September 24, 1996, which contains policies and procedures for determining the classification of positions, and the relationship of position classification to the merit promotion process.
- f. ORO O 330, Chapter I, DEPARTMENTAL PERFORMANCE APPRAISAL SYSTEM, to be published, which contains information on the relationship between performance ratings and promotion actions.
- g. ORO O 360, Chapter I, (formerly ORIG 3410.1B), TRAINING, to be published, which sets out procedures for requesting training, including that for which selection must be competitively made.
- h. Agreement between OR, OSTI, and Office and Professional Employees International Union, Local 268 (OPEIU), dated May 1983.
- i. Agreement between OSTI and Graphic Communications International Union, Local 234, dated June 1983.

7. DEFINITIONS.

- a. Appointment. The hiring of a person from an OPM list of eligible or under a special hiring authority granted by OPM.
- b. Area of Consideration. The area in which applications will be solicited for a specific merit staffing action through the posting of a vacancy announcement.
- c. Career-Ladder Position. One of a group in which all employees are given grade-building experience and promoted as they demonstrate the ability to perform work at the next higher level, provided that there is enough work at that level for all employees in the group.
- d. Competitive Status. A candidate's basic eligibility for placement in a position in the competitive service without competing with members of the general public under the OPM recruitment system.
- e. Days. Calendar days, not workdays, unless expressly designated as the latter for a particular purpose. When a period of time relates to a specific action or event, it begins to run on the day after that action or event unless otherwise prescribed by this Chapter.
- f. Demotion. The change of an employee to a lower grade within the same classification system or pay schedule or to a position with a lower rate of basic pay in a different job classification system and pay schedule.

- g. Detail. The temporary assignment of an employee to a different position for a specified period, with the employee returning to his/her regular duties at the end of the detail.
- h. Highly Qualified Candidates. Those qualified candidates who receive a rating of 93 or above under procedures described in Attachment IV of this Chapter for the position being filled.
- i. Minimum Area of Consideration. The area designated by this Chapter in which there is a reasonable expectation that enough high quality candidates will be located to fill vacancies.
- j. Position Change. A promotion, demotion, or reassignment made during an employee's continuous service within DOE, including such personnel actions that also involve a change of appointing office or a change of duty station.
- k. Priority Consideration. Referral of an employee to the selecting official prior to issuing a certificate of candidates, when the employee was not properly considered in a prior selection that was allowed to stand.
- l. Promotion. The change of an employee to a position at a higher grade level within the same job classification system and pay schedule or to a position with a higher rate of basic pay in a different job classification system and pay schedule.
- m. Qualified Candidates. Persons being considered for a promotion or other staffing action who meet all established qualification requirements for the position being filled, including applicable selective placement factors, time-in-grade criteria, and time-after-competitive-appointment restrictions.
- n. Ranking Factors. Knowledge, skills, and abilities that contribute to successful performance in a particular position and are used as criteria for ranking qualified candidates for that position.
- o. Reassignment. The change of a current DOE employee from one position to another DOE position, without promotion or demotion, including such actions that involve a change of appointing office or duty station.
- p. Reinstatement. The reemployment as a career or career-conditional employee of a person formerly employed in the competitive service who has competitive status.
- q. Repromotion Consideration. Referral of an employee to the selecting official prior to issuing a certificate of candidates when that employee (1) has noncompetitive repromotion eligibility to a grade or position from which demoted without personal cause and not at his/her request, and (2) is eligible for consideration in advance of candidates who compete for the position, based on grade and/or pay retention eligibility or other rights as specified in DOE and ORO directives.
- r. Selective Placement Factors. Knowledge, skills, and abilities that (1) are essential for satisfactory performance on the job; (2) represent an addition to the basic standards for the position; and (3) cannot be learned within a reasonable period of time on the job.

- s. Transfer. The movement of a current employee from another Federal agency to a DOE position. A transfer may occur without a change in grade or pay, or it may involve a promotion or demotion.
8. CONTRACTOR REQUIREMENTS DOCUMENT. None.
9. ATTACHMENTS.
- a. Attachment 1 - Merit Promotion Procedures for ORO and OSTI.
 - b. Attachment 2 - Form OR-5, Merit Staffing Request.
 - c. Attachment 3- Form OR-5A, KSA Worksheet.
 - d. Attachment 4 - Form OR-8, Qualifications Rating Sheet.
 - e. Attachment 5 - Form OR-9, Summary Rating and Ranking Sheet.
 - f. Attachment 6 - Form OR-10, Competitive Selection Certificate.
 - g. Attachment 7 - Form OR-10A, Noncompetitive Selection Certificate.
 - h. Attachment 8 - Form OR-11, Supervisory Appraisal of Demonstrated Performance.
 - i. Attachment 9 - Form OR-13, Rating Sheet.
 - j. Attachment 10 - Transmutation Table.
 - k. Attachment 11 - Career Ladders, Oak Ridge Operations.
 - l. Attachment 12 - Career Ladders, Office of Scientific and Technical Information.

MERIT PROMOTION PROCEDURES FOR ORO AND OSTI

1. **GENERAL PROVISIONS.**

- a. **Requirements.** All selections made under this program will be based on merit and fitness for the position, not on personal relationships, patronage, or nepotism. In addition, all merit staffing actions will be taken without regard to political, religious, or union affiliation; marital status; race; color; national origin; sex; age; or nondisqualifying physical disability.
- b. **Applicability.**
 - (1) Selecting officials may select any one or more of the following recruitment sources in filling an ORO or OSTI vacancy: (a) competitive selection procedures prescribed by this Chapter; (b) noncompetitive placement of an eligible status candidate as permitted by this Chapter and/or by OPM and DOE directives; (c) selection of a candidate within reach under OPM procedures; (d) use of a special employment program, such as Veterans Readjustment Appointments; and/or other recruitment sources established under OPM and DOE directives (i.e., Reemployment Priority List).
 - (2) In identifying the appropriate source(s) for each recruitment action, the selecting official must consider and balance the following overall objectives of the ORO/OSTI merit staffing program: (a) to fulfill mission requirements; (b) to attain DOE affirmative action goals; and (c) to obtain fresh ideas and new viewpoints.
 - (3) Subject to the exceptions in subparagraph 1c of this Attachment, the competitive procedures of this Chapter must be completed for selections involving any of the following personnel actions:
 - (a) **Promotion**, including temporary promotion.
 - (b) **Reassignment or demotion** to a position with known promotion potential that is greater than that of the position currently held, except as permitted by reduction in force regulations.
 - (c) **Transfer** to a position at a higher grade than the individual currently holds.
 - (d) **Reinstatement** to a permanent or temporary position at a higher grade than the individual last held in a nontemporary position within the competitive service.
 - (e) **Detail** to a higher grade position or to a position with known promotion potential, when the detail is expected to last more than 120 days (or 75 days if the detail position is in the bargaining unit represented by OPEIU).

- (f) Training Assignments, but only when the training is required for promotion and is given for the purpose of preparing employees for advancement.
- c. Exceptions. The following staffing actions may be taken without regard to the competitive procedures established in this Chapter. All such noncompetitive actions must be made within the framework of applicable governing regulations.
- (1) In each of the following cases, a career promotion may be made without current competition if (a) the employee to be promoted was initially selected competitively (e.g., under OPM recruitment procedures or under the competitive procedures in this Chapter), (b) knowledge that this initial selection could lead to promotion was made known to candidates, and (c) the employee's current overall performance rating of record is at least "Fully Satisfactory":
 - (a) Promotion of the employee until he/she reaches the full performance level in a published career ladder. (See Attachments 11 and 12 of this Chapter.)
 - (b) Promotion of the employee in a position not in a published career ladder to the established or anticipated grade of the position, if:
 - 1 The initial assignment at a lower grade was intended to prepare the incumbent for the position being filled, and
 - 2 Such intention to subsequently promote the incumbent was recorded at the time of appointment or position change.
 - (2) Career promotion resulting from an employee's current position being reclassified at a higher grade because of additional duties and responsibilities, provided (a) that the accretion of duties did not result from planned management action, or (b) that no actual vacancy exists to permit creation of a new position within the employee's current organization. Such career promotions are specifically prohibited in the following situations:
 - (a) An accretion of duties that involves redeployment of a position into another organization, as indicated by a change in the organization code on the personnel action.
 - (b) The accretion of higher-graded managerial, supervisory, or work leader duties and responsibilities to a position that is not already classified as that of a manager, supervisor, or work leader, respectively.
 - (c) An accretion of duties to an existing position within the bargaining unit represented by OPEIU (1) that is already at or above the top of the career ladder of the resulting position or (2) for which there is no documented career ladder.

- (3) Career ladder promotion following the noncompetitive conversion of a Federal Junior Fellowship recipient or cooperative education student into the competitive service.
- (4) Position change to a position having no greater promotion potential than that of the position from which promoted, reassigned, or demoted.
- (5) Transfer to a position at or below the selectee's current grade.
- (6) Reinstatement to a permanent or temporary position at or below the grade of the last nontemporary position which the selectee held in the competitive service.
- (7) Temporary promotion for 120 days or less to a position outside of the bargaining unit represented by OPEIU. This 120-day limitation includes prior service within the preceding 12 months under all details to higher-graded positions and all temporary promotions.
- (8) Conversion of a temporary promotion to permanent status, provided:
 - (a) The temporary promotion was originally made under competitive procedures, and
 - (b) The fact that it might lead to permanent promotion was documented on the vacancy announcement.
- (9) Detail to a higher grade position or to a position with known promotion potential:
 - (a) Of 75 days or less if the position to which an employee is detailed is within the bargaining unit represented by OPEIU.
 - (b) Of 120 days or less for details to other positions.
- (10) Promotion resulting from the upgrading of a position due to the issuance of a new classification standard or the correction of a classification error.
- (11) Position change permitted by reduction-in-force regulations.
- (12) Repromotion to a grade or position from which an employee was demoted without personal cause and not at his/her request.
- (13) Selection of a candidate from the Reemployment Priority List for a position at a higher grade than the one last held in the competitive service.
- (14) Promotion of an employee who failed to receive proper consideration in a previous competitive promotion action.

(15) Appointment under the OPM recruitment system.

d. Information to Employees.

- (1) Information concerning position requirements, application procedures, ranking factors, and promotion potential for all vacancies to be filled competitively will be specified on vacancy announcements, which will be posted in locations that are generally accessible to employees.
- (2) Candidates shall be advised of the results of their consideration for specific positions, including an acknowledgment that the candidate was considered for the position and a statement of whether the candidate met the qualification requirements for the position. Upon request, a candidate will also be provided with specific rating and ranking information relating to his/her consideration. Information relating to other candidates will be deleted to the extent necessary to protect their privacy.
- (3) Employees are encouraged to discuss their immediate and long-range career opportunities with their supervisors and personnel management specialists. Through such counseling, employees may obtain information on career opportunities, education and experience required to advance, and performance improvements that would enhance their future promotion potential.

e. Employee Complaints.

- (1) Informal Resolution. All parties involved in a merit staffing related complaint should attempt to resolve the complaint through informal discussion and mutual understanding of the different points of view. Complainants are encouraged to consult with both their supervisors and their personnel management specialists to seek such a resolution of the issues.
- (2) Formal Resolution. An employee may also pursue the following procedures, as applicable:
 - (a) Grievances.
 - 1 Employees within a bargaining unit may grieve matters involving merit staffing actions in accordance with the applicable labor-management agreement.
 - 2 Other employees may file grievances under the administrative grievance procedures contained in DOE O 342.1.

NOTE: Nonselection for promotion from among a group of properly ranked and certified candidates is excluded from both grievance procedures. Failure to receive a noncompetitive promotion is excluded from the administrative grievance procedure.

(b) Discrimination Complaints.

- 1 If an employee within the bargaining unit represented by OPEIU believes that unlawful discrimination occurred in a merit staffing action, the employee may have his/her complaint considered under either the procedures in the agreement with OPEIU or the provisions of DOE O 311.1 and related OPM, Merit Systems Protection Board, and ORO directives. The filing of a complaint under either system constitutes an election to use that system exclusively.
- 2 Other employees may only file discrimination complaints under DOE O 311.1 and related directives. Equal Employment Opportunity (EEO) Counselors are available to aid employees in resolving discrimination complaints.

2. RECRUITMENT PROCESS.

- a. Initiation or Recruitment. To initiate recruitment for competitive actions, selecting officials shall submit an SF-52, "Request for Personnel Action;" a Form OR-5, "Merit Staffing Request" (Attachment 2 of this Chapter); and a Form OR-5A, "KSA Worksheet" (Attachment 3 of this Chapter). When a noncompetitive action is requested, only an SF-52 is required. For career promotions, the selecting official's signature on the SF-52 constitutes a certification that the employee is capable of performing at the next grade level.
- b. Advance Consideration Requirements. When recruitment includes formal competition under this Chapter, the Personnel and Management Analysis Branch (PMAB) shall refer candidates in the following order:
 - (1) First, any employee entitled to repromotion consideration must be considered:
 - (a) Employees entitled to grade or pay retention receive such consideration in accordance with ORO O 320, Chapter VIII.
 - (b) For other repromotion consideration eligible, a separate repromotion list will be maintained and candidates will be referred after determining that no employees are eligible under ORO O 320, Chapter VIII, or completing consideration procedures for such eligibles. A copy of each employee's official personnel file, their current rating of record, and the underlying performance appraisal plan will be provided to the selecting official.
 - (c) If no repromotion consideration eligible is selected, the selecting official must document the reasons for nonselection and obtain the concurrence of the approving official (subparagraph 4a of this Chapter) before any further referrals are made. Overall and individual element performance ratings at or above the "Fully Successful" level cannot serve as the sole basis for rejecting a repromotion consideration eligible.

- (2) Second, any employees entitled to priority consideration must be considered. If no priority consideration eligible is selected, the selecting official must document the reasons for nonselection and obtain the concurrence of the approving official (subparagraph 4a of this Chapter) before any further referrals are made.
- (3) Third, the selecting official may consider candidates who apply under a vacancy announcement. While it is permissible to initiate other competitive recruitment and selection procedures concurrently with subparagraphs (1) and (2) above, no candidates from these sources may be referred to the selecting official until these special advance consideration requirements have been completed and fully documented.

c. Area of Consideration for Competitive Recruitment.

- (1) Minimum Areas of Consideration. For all competitive selections, vacancies must be announced to the following groups of current DOE employees:

<u>Grade of Position</u>	<u>Minimum Area</u>
GS-13 through GS-15 and equivalent	DOE-wide
All other grades	Commuting area of the vacancy

- (2) Extending the Minimum Area. The area of consideration may be extended when the selecting official and the personnel management specialist determine that (a) the minimum area is not likely to produce an adequate number of qualified candidates, or (b) broader recruitment is appropriate to advance affirmative action objectives, to introduce fresh ideas and new viewpoints, or to otherwise meet mission objectives.

d. Sources of Candidates for Competitive Recruitment.

- (1) The following categories of qualified candidates must be considered in competitive recruitment and selection actions:
 - (a) Those within and outside the area of consideration who apply specifically for an announced vacancy.
 - (b) Other ORO and OSTI employees within the minimum area of consideration who are on authorized leave, attending training courses, absent on details, in military duty status, on Intergovernmental Personnel Act assignments, or transferred to a public international organization, and who make known their interest in being considered for vacancies during their absence by filing a current SF-171 with the PMAB.

- (2) In consultation with the personnel management specialist, the selecting official may broaden the scope of formal competition to include current and/or former Federal employees in the Applicant Supply System who are eligible for selection.

e. Vacancy Announcements.

(1) Minimum Contents:

- (a) The position's title, series, pay schedule, and grade (or grade range).
 - (b) The maximum grade to which there is known promotion potential.
 - (c) The position's organization and geographic location.
 - (d) The area of consideration.
 - (e) The opening and closing dates of the announcement.
 - (f) Whether the position is in a bargaining unit.
 - (g) If the position has special requirements, such as annual physical examinations, random drug tests, or maintenance of a security clearance.
 - (h) A brief summary of duties and responsibilities, including any special working conditions (overtime, travel, etc.).
 - (i) A summary of required qualifications, including selective placement factors.
 - (j) The ranking factors to be used to rank candidates.
 - (k) Where to apply and the deadline for receipt of applications and supervisory appraisals.
 - (l) Where additional information may be obtained.
- (2) Form. DOE F 3200.1, "Vacancy Announcement," will be used for all announced vacancies.

- (3) Opening Date. Announcements will open no earlier than the first workday after their distribution.
- (4) Minimum Duration. The open period for announcements must be at least the number of days specified below, inclusive of both the opening and closing dates:
 - (a) GS-13 and above: 21 calendar days.
 - (b) GS-12 and below and all FWS positions: 10 workdays.
- (5) Distribution. The scope of distribution will be based on the area of consideration for each vacancy and will include all DOE offices within that area. Copies of announcements for vacant positions within a bargaining unit will also be sent to the appropriate union steward when the announcement is posted.
- (6) Acceptance of Applications. All application materials must be dated by the close of business on the closing date of the announcement, and received by PMAB:
 - (a) By the close of business on the closing date if submitted by hand or through the internal ORO/OSTI distribution system, or
 - (b) Within 3 workdays after the closing date if submitted through regular mail.

3. SELECTION PROCESS

- a. Information Considered. Candidate qualifications will be evaluated on the basis of all pertinent and available information that shows such factors as: experience, including outside volunteer activities that supplement experience and are relevant to the job; education and training, including self-development efforts; and awards demonstrating relevant skills and abilities. This evaluation will be based on the following sources of information, as applicable:
 - (1) All applicants must submit an SF-171 within the time limits specified on the vacancy announcement. Any application that is not timely or does not include such a form will not be considered and the applicant will be so notified.
 - (2) Other materials to be submitted by applicants will be specified on the vacancy announcement. Each applicant is responsible for determining if such supplementary materials are requested and for submitting them within the vacancy announcement period. Applications which do not contain all requested supplementary materials will be considered; however, the absence of information may adversely impact the applicant's rating.

- (3) To be eligible for rating adjustments based on a supervisory appraisal, an applicant must submit a Form OR-11, "Supervisory Appraisal of Demonstrated Performance" (Attachment 8 of this Chapter). This appraisal will be considered in the rating and ranking process in accordance with the provisions of subparagraph 3h(2) of this Attachment. Upon request, candidates may obtain a copy of their own appraisal form.

NOTE: Rating adjustments may only be based on the Form OR-11. However, other types of appraisals attached to an application (e.g., formal ratings under the performance appraisal system and letters of commendation) may be considered by the ranking official(s) to the extent that the appraisals document relevant experience, education, and/or training (subparagraph 3h(1) of this Attachment). Also, such appraisals submitted by certified candidates may be considered by the selecting official (subparagraph 3j of this Attachment).

- (4) Interviews will be conducted as part of the rating process when deemed appropriate by the ranking official(s) (promotion panel or personnel management specialist). The selecting official may also conduct interviews as part of the final selection process, regardless of whether or not they were conducted by the ranking official(s).
 - (5) Written tests will not be used in the evaluation process unless a test is required by OPM for in-service placement as a means of determining if an employee meets the minimum qualification standards for the position.
- b. Minimum Qualification Requirements. Candidates will be considered if they will meet all of the requirements listed below within 45 calendar days after the closing date of the vacancy announcement. However, the selectee may not be permanently placed in the position until he/she meets all of these requirements.
 - c. Time-After-Competitive-Appointment Restriction. Employees appointed under the OPM recruitment system normally cannot be reassigned to a different line of work or promoted in any line of work until 90 days have elapsed since the latest such appointment. Application of this restriction and its exceptions will be on a case-by-case basis, and employees within its coverage should discuss its applicability with their personnel management specialist.
- (1) Time-In-Grade Restrictions. OPM minimum time-in-grade restrictions apply to all appointments and position changes. In general, advancement is restricted as follows:
 - (a) To positions at GS-12 or above: At least one year of service in positions no more than one grade lower.

- (b) To positions at GS-6 through GS-11:
 - 1 In one-grade-interval occupations: At least one year of service in positions no more than one grade lower.
 - 2 In two-grade-interval occupations: At least one year of service in positions no more than two grades lower.
- (c) To positions at GS-5 or below: The new position must be no more than two grades above the lowest grade level held within the preceding year.

The above is only a summary of these restrictions. Employees should consult with their personnel management specialist to determine their eligibility for specific positions.

- (2) Minimum Qualification Requirements. OPM Handbooks X-118 and X-118C prescribe “qualification standards” which must be met by all selectees at the time of entry into a new position.
- (3) Selective Placement Factors. Qualification requirements in addition to those required by Handbooks X-118 and X-118C may be used to determine basic eligibility, provided that they are essential to successful performance in the particular job to be filled. Such factors are developed by the selecting official, with the assistance of the personnel management specialist, and documented on Form OR-5. A selective placement factor may not be established if it:
 - (a) Unduly restricts the number of eligible candidates.
 - (b) Is not essential to successful performance.
 - (c) Could be obtained through a brief period of training or adjustment, or otherwise learned within a “reasonable period” of time, normally 90 days.
 - (d) Requires formal education.
 - (e) Increases the length of general or specialized experience requirements prescribed in Handbooks X-118 and X-118C.
 - (f) Is inappropriate for the grade and type of position to be filled.
- (4) Identification of Qualified Candidates. The personnel management specialist will prepare a Form OR-8, “Qualifications Rating Sheet” (Attachment 4 of this Chapter), for each candidate by evaluating his/her application materials against the minimum

qualification requirements summarized above. Candidates who do not meet these requirements will be rated “not qualified,” and the reason will be documented on the form. Those meeting the requirements will be designated “Qualified.” If there is a clear indication on the application materials that the candidate may meet the qualification requirements but insufficient evidence to make a firm determination, the personnel management specialist may contact the candidate for clarifying information. Any such contact and the information received must be documented on the Form OR-8. If the personnel management specialist is unable to contact the candidate within three workdays, the candidate will be rated “not qualified.”

NOTE: If the ranking factors include one or more “Minimum Qualification” (MQ) factors, this initial qualification determination is subject to final review during the ranking process.

d. Ranking Factors.

- (1) Source. The Position Description (PD) shall be the basic reference for the development of ranking factors. However, such factors are not simply the duties specific in the PD; rather, they are the knowledge, skills, and abilities (KSA) required to perform those duties. Other documented sources such as the applicable OPM qualification standard(s) may be used; however, they must be consistent with the duties and responsibilities in the PD.
- (2) Basic Requirements.
 - (a) General Criteria. At least three ranking factors must be established for each announced vacancy. Each factor must be clearly relevant to the duties of the position, capable of measurement by reference to application materials and other rating information.
 - (b) Supervisory Positions.
 - 1 At least one ranking factor must be designed to evaluate supervisory (e.g., administrative or managerial) capabilities and/or potential rather than technical proficiency. This factor must be designated as “more important” (see subparagraph 3d(3)(c) of this Attachment).
 - 2 An additional ranking factor shall be included to determine each candidate’s awareness of, and willingness to fulfill, the position’s responsibilities under DOE EEO programs.
- (3) Development. Ranking factors shall be developed by the selecting official with the assistance of the personnel management specialist and shall be documented on the Form OR-5A, “KSA Worksheet.”

- (a) Ranking Factors: Each KSA must meet the basic requirements specified above in order to produce ranking factors that are both ratable and reasonable with respect to the position being filled.
- (b) Source of KSA: This entry requires a citation to the position description, the applicable X-118 or X-118C qualification standard, and/or some other documentary source for the ranking factor.
- (c) More Important (MI): This block may be checked if the KSA is critical for job success, even though it is not a minimum OPM qualification requirement or a selective placement factor.

NOTE: Designation of a ranking factor as MI results in double weight for that factor.

- (d) Minimum Qualification: This block may be checked only if a KSA is also a minimum OPM qualification requirement or a selective placement factor.

NOTE: Unless an MQ factor is also designated as an MI factor, it will not receive as much weight for ratings of “Acceptable” or higher as a standard ranking factor.

Also, even if a candidate has not previously been identified as unqualified, a rating below the “Acceptable” level on an MQ ranking factor will result in disqualification.

- (e) Performance Level Criteria: For each ranking factor, the Form OR-5A must document two benchmarks for use in evaluating each candidate’s background with respect to that specific factor. Each benchmark level must include examples of experience. Education and/or training examples may also be included if appropriate for a particular ranking factor. Each set of criteria will consist of typical examples of experience, education, and/or training that would normally constitute evidence that a candidate possesses the KSA:

1 To an “Acceptable” degree, i.e., the level of proficiency that would characterize the employee who possesses that KSA at the Fully Satisfactory level in every respect, or

2 To a “Superior” degree, i.e., a level of proficiency clearly above the Fully Satisfactory level of that KSA in every respect.

NOTE: These criteria shall be considered the minimum requirements for assignment of “Acceptable” and “Superior” ratings respectively. However, the rating official(s) may credit experience, education, and/or training which is equivalent to the typical examples specified in the criteria.

- (f) Release of Information: Ranking factors are published on the vacancy announcement. Candidates may also review the position description and the applicable qualification standard(s) in the personnel office. However, to avoid giving any candidate an unfair advantage and to prevent compromise of examination materials, the Form OR-5A will not be released to or discussed with candidates.
- (4) Modifications. Ranking factors must be listed on the vacancy announcements and used uniformly throughout the selection process. If a modification is necessary, an amended announcement must be issued.
- e. Evaluation Schedule. Candidates will be assigned from 0 to 4 points for each ranking factor, depending upon the degree to which they have demonstrated attainment of the specific KSA involved. Documented experience, education, and/or training relating to each factor are compared to the performance level criteria for that factor, and points are awarded as follows:

<u>Award</u>	<u>Meaning</u>
4 points	Meets the benchmark for “Superior” with respect to the specific ranking factor being rated.
3 points	Substantially exceeds the benchmark for “Acceptable” with respect to the specific ranking factor being rated, but does not fully meet the benchmark for “Superior.”
2 points	Meets the benchmark for “Acceptable” with respect to the specific ranking factor being rated.
1 point	Shows some evidence of possessing the KSA, but does not fully meet the benchmark for “Acceptable.”
0 (Zero)	No evidence exists that the candidate possesses the KSA involved.

NOTE: While a one-point rating on a supervisory appraisal reflects negatively on the performance being evaluated, the same rating during the evaluation of applications normally only reflects the amount and type of experience, education, and/or training documented by the candidate in his/her application.

f. Supervisory Appraisals.

- (1) The applicant is responsible for ensuring that the appraisal is completed on Form OR-11 the closing date of the announcement and received by PMAB within the time limits for receipt of the application (subparagraph 2e(7) of this Attachment). An appraisal received after the suspense date will not be considered.
- (2) Supervisors will assign ratings on Form OR-11 in accordance with the following instructions:
 - (a) For ORO and OSTI employees, current supervisors must review the employee's current official performance rating (DOE F 3430.8) and ensure that any ranking factors on the Form OR-11 that address the same KSA as specific performance elements are rated consistently with the official ratings of those performance elements. Other ranking factors should also be rated if adequate information is available to appraise demonstrated performance.
 - (b) The supervisor shall appraise the applicant's demonstrated performance in the present and/or previous position(s) as it relates to each ranking factor by circling the number to the right of each factor that best describes the applicant's level of demonstrated performance. Fractional scores (e.g., 3.5) will not be credited, and all circles must be clearly placed around only one number.
 - (c) In the space following each factor description, the supervisor should also specify the basis for the appraisal of that factor, i.e., the duties, tasks, etc., upon which the "Level of Performance" rating is based. Ratings of 1, 2, 3, or 4 should be assigned only when the supervisor has had an adequate opportunity to observe performance which is indicative of proficiency on the specific factor being rated.
 - (d) If the employee and the position being filled are within the bargaining unit represented by OPEIU, the employee may elect to review and comment on the appraisal before it is submitted to PMAB. Supervisors may comply with this requirement by returning the completed Form OR-11 to the employee and allowing the employee to submit it directly to PMAB.
- (3) During the selection process (subparagraph 3j of this Attachment), the selecting official will have access to each certified candidate's complete applicant file, and he/she may contact an applicant's current and/or past supervisors to obtain supplementary performance-related information. During the ranking process, however, only one Form OR-11 will be considered for a possible adjustment to each candidate's ranking (see subparagraph 3(h)2 of this Attachment). When an applicant submits more than one timely Form OR-11, the appraisal considered for ranking purposes will be identified in the following order of priority:

- (a) Appraisal by the applicant's present immediate supervisor.
- (b) Appraisal by a former supervisor who directly supervised the applicant during the six-month period immediately preceding the closing date of the announcement.
- (c) Appraisal by the applicant's present second-level supervisor.
- (d) Appraisal by a former immediate supervisor who has not directly supervised the applicant during the preceding six-month period.
- (e) Appraisal by a former second-level supervisor.
- (f) Appraisal by a work leader or by any other person who has not exercised full first- or second-level supervision over the applicant.

g. Rating Officials.

- (1) Nonsupervisory Positions. A personnel management specialist normally determines the candidates to be certified for nonsupervisory positions. However, the specialist may obtain assistance in the ranking process from individuals other than the selecting official who have a good knowledge of the KSA required for a specific position. Also, a promotion panel (see subparagraph 3(f)2 of this Attachment) may be used for a nonsupervisory position when otherwise deemed appropriate by the personnel management specialist.
- (2) Supervisory Positions. Promotion panels shall complete the ranking process for competitive selections to all supervisory positions.
 - (a) Composition. Promotion panels will consist of at least three members. Except when a larger panel and/or a different composition is considered appropriate by the personnel office, the panel will consist of a personnel management specialist and two members designated by the selecting official with the concurrence of the personnel office. Panel members designated by the selecting official must have a good knowledge of the KSA needed to perform the job and should be at or above the grade level of the vacant position, when feasible.
 - (b) Exclusion. The following individuals may not serve on a promotion panel:
 - 1 The selecting official, including his or her full "Deputy."
 - 2 A candidate for the position.
 - 3 An employee whose relative is a candidate.

h. General Rating and Ranking Procedures. Except when (1) 5 or fewer qualified candidates have applied for a vacancy, or (2) the candidate is eligible for noncompetitive consideration for the vacancy, a Form OR-13, "Rating Sheet," will be prepared for each candidate in accordance with the following criteria:

(1) Assignment of KSA Ratings.

(a) Weighted Factors. The rater annotates the Form OR-13 to indicate those ranking factors which are MI or MQ.

(b) Ratings. For every ranking factor, the rater reviews each candidate's SF-171 and all other application materials requested on the vacancy announcement; identifies the information relevant to that factor; applies the "Performance Level Criteria" for experience, education, and/or training to that information; and assigns a whole number score of 0 through 4 based on the evaluation schedule in subparagraph 3e of this Attachment. While the "Performance Level Criteria" provide examples to guide the rating process, they cannot cover all possible combinations of experience in terms of length, quality, recency, etc. The same is true of the various combinations of education and/or training when this source of information is considered. In arriving at a rating, therefore, the rater will adhere to the following general guidelines:

1 All ratings will be based only on evidence documented in each applicant's selection file. If a rater questions the validity of the application materials in a candidate's file, the personnel management specialist may take action to verify that information by contacting the candidate, reviewing his/her Official Personnel Folder, consulting with the candidate's supervisor(s), and/or reviewing other documented sources of information.

a Such additional information may only be used to correct application materials on file, not to supply additional information for rating purposes.

b All corrections must be fully documented, including references to, or copies of, any written records relied upon.

2 When evaluating experience, careful consideration must be given to the quality (i.e., recency, responsibility, accomplishments, variety, etc.) of that experience as well as its length.

3 In addition to evidence of candidate qualifications that correlates readily with specific occupations (e.g., analytical skills in a Management Analyst position), full credit should be given to experience, education, and/or training in other occupations that rely on the KSA being evaluated (e.g., the analytical skills of an auditor).

- 4 When evaluating education and training the two will be equated at the rate of 40 hours of training to 3 semester hours of formal education, unless a different equivalency standard is documented on Form OR-5A. Consideration will be given to honors and to evidence of professional currency.
 - 5 Ratings of 0 (zero) will be assigned only if no evidence exists of experience and/or training related to a specific ranking factor. If any evidence of relevant experience, education, and/or training is documented in an application, a rating of 1 or above must be assigned.
 - 6 Care must be exercised so that evidence of superior or substandard qualifications which only pertain to one or more specific ranking factors is not allowed to affect the ratings of other factors.
- (c) Documentation. The basis of each rating will be summarized.
- (d) Rating Computations.
- 1 All KSA Total. This is the sum of all ratings.
 - 2 MI KSA Total. This is the sum of the ratings for MI factors only.
 - 3 Raw Score. This is the sum of the “All KSA” and “MI KSA” totals.
 - 4 Row. This is the “Raw Score,” minus four times the number of MQ factors.
 - 5 Column. This is the number of ranking factors, plus the number of MI factors which are not also MQ factors (i.e., number of KSAs + number of MIs - number of MQs).
 - 6 Transmuted Rating. Based on the Transmutation Table, this is the point at which the Row and Column entries intersect.
- (2) Supervisory Appraisal Adjustments. Each qualified candidate’s “Transmuted Rating” is subject to adjustment based on the supervisory performance appraisal (Form OR-11). The personnel management specialist calculates the appropriate adjustment in accordance with the following criteria:

- (a) To be used for ranking or for selection purposes, a Form OR-11 must be received within the time limits prescribed on the vacancy announcement. A Form OR-11 that is not timely will be neither used in ranking nor referred to the selecting official.
 - (b) When an applicant submits timely Form OR-11s from two or more sources, the appraisal to be used for ranking purposes will be identified in accordance with subparagraph 3f(3) of this Attachment. Other appraisals will be placed in the applicant's file for consideration by the selecting official but will not be used for making adjustments to the transmuted score.
 - (c) The personnel management specialist will average the ratings for all factors, including those not rated and those assigned a zero rating. All MI factors will be given double weight in determining this average. All fractional values of 0.5 or higher obtained from averaging the factor ratings will be rounded up to the next higher whole number; values less than 0.5 will be rounded down.
 - (d) Based on the average appraisal score, the transmuted rating is then adjusted on Form OR-13 as follows:
 - 1 Add 1.0 to the transmuted rating for an average rating of 4.
 - 2 Add 0.5 to the transmuted rating for an average rating of 3.
 - 3 Subtract 0.5 from the transmuted rating for each individual factor rating of 1.
- (3) Awards Adjustments. Based on information in each candidate's application materials, the "Transmuted Rating" is subject to further adjustment for awards as follows:
- (a) One (1.0) point will be added if during the past five years the candidate has received one or more awards that are job-related and have a direct economic value (e.g., quality increases, sustained superior performance awards, suggestion awards, etc.).
 - (b) One-half (0.5) point will be added if no award warrants an adjustment of 1.0 point but other awards received are clearly indicative of the KSA needed to do the job. Thus, a commendation outlining specific achievements on a project would be credited, while commendations written in general terms of timeliness, accuracy, etc., will not be a basis for an adjustment.
- (4) Adjusted Rating. After supervisory appraisal and award adjustments are made, the resulting "Adjusted Rating" of each qualified candidate will be transposed on Form OR-9, "Summary Rating and Ranking Sheet" (Attachment 5 of this Chapter). Unqualified candidates will also be listed on the Form OR-9.

- (5) Ranking. All qualified candidates will be ranked in the order of their “Adjusted Ratings,” and candidates with an “Adjusted Rating” of 93 or higher will also be designated “Highly Qualified.” The personnel management specialist will then sign the Form OR-9.
- i. Promotion Panel Procedures.
 - (1) Assignment of KSA Ratings. Ratings for experience, education, and/or training will be assigned in accordance with subparagraph 3h of this Attachment. Depending on the nature of each factor and the subject-matter expertise of panel members, KSA ratings may be determined either:
 - (a) Collectively on all factors by consensus, if possible, or by majority vote, if a consensus is not reached; or
 - (b) By having each panel member rate specific factors based on his or her expertise.
 - (2) Documentation.
 - (a) If a consensus or majority rating is assigned, the personnel management specialist shall summarize the basis for each rating on the Form OR-13.
 - (b) If panel members individually rate different factors, each will complete this documentation for his/her assigned factor(s).
 - (3) Adjustments. Adjustments for supervisory appraisals and awards will be determined in accordance with subparagraph 3h of this Attachment. The personnel management specialist shall summarize the basis for each adjustment on the Form OR-13.
 - (4) Ranking. In accordance with subparagraph 3h of this Attachment, the personnel management specialist will calculate the “Raw Score,” “Transmuted Rating,” and “Adjusted Rating” of each candidate, transcribe the “Adjusted Rating” of each candidate on the Form OR-9, and determine the ranking of candidates. The promotion panel will then sign the Form OR-9.
 - j. Referrals and Selections.
 - (1) Certification. The personnel management specialist (or the promotion panel) will certify the appropriate group of candidates to the selecting official on Form OR-10, “Competitive Selection Certificate” (Attachment 6 of this Chapter) or Form OR-10A, “Noncompetitive Selection Certificate” (Attachment 7 of this Chapter), and refer the complete applicant file of each certified candidate to the selecting official as follows:

- (a) If any candidates apply who are eligible for noncompetitive consideration, the personnel management specialist shall certify all such candidates to the selecting official using Form OR-10A without rating and ranking them.
 - (b) If fewer than 6 qualified candidates apply for a nonsupervisory position and a promotion panel is not convened, the personnel management specialist shall certify all of the candidates to the selecting official on Form OR-10 without rating and ranking them.
 - (c) If more than 10 “Highly Qualified” candidates have been identified, only the 10 candidates with the highest scores will be certified for selection on Form OR-10, except that additional candidates tied for tenth place will also be certified.
- (2) Action by Selecting Official.
- (a) The selecting official should complete action on a selection certificate as soon as possible. Competitive certificates will expire 30 calendar days after issuance unless extended in writing by the personnel office up to a maximum of 90 calendar days after issuance.
 - (b) Selection interviews, in person or by telephone, may be held when the selecting official believes that such interviews would enhance his/her knowledge of the quality of the candidates. Selection interviews are not required for any vacancy, but when any referred candidate is interviewed, the selecting official is required to interview all candidates on the same competitive certificate unless reasonable efforts to contact a candidate are unsuccessful. In such cases, the unsuccessful efforts made to contact the candidate will be documented.
 - (c) After reviewing the material furnished on each candidate and any interview results, the selecting official will:
 - 1 Select one of the candidates, or
 - 2 Return the selection certificate without a selection, stating the reasons for doing so and requesting:
 - a The identification of additional candidates, or
 - b The postponement or cancellation of recruitment, or
 - c The initiation of alternative recruitment procedures (e.g., through OPM).

(3) Execution of Decision.

- (a) With the prior concurrence of the personnel office, a selecting official may make an offer and/or negotiate a mutually acceptable release date with the selectee and his/her supervisor. Otherwise, the personnel office will make all offers to selected employees, arrange for a release date, and complete all processing requirements.
- (b) If the selectee is a current ORO or OSTI employee, the personnel office will advise his/her supervisor when an offer is made.
- (c) Unless the gaining supervisor agrees to an extension, an ORO or OSTI employee will be released for a promotion action at the beginning of the first pay period that begins at least two weeks after the offer is accepted.
- (d) Internal selections for reassignment at ORO will be subject to a four-month delay in processing, unless the losing office either fills its position before that time or agrees to an earlier release date.

(4) Reuse of Certificates. A previously used Competitive certificate may be reopened to fill an additional vacant position if all the following conditions exist:

- (a) The new vacancy will require the same qualification requirements, ranking factors, and performance-level criteria;
- (b) The vacancy announcement closed not more than 90 days before referral of the certificate for the new vacancy; and
- (c) The additional selection is made within 30 days after the supplementary referral.

NOTE: Either the selecting official of the personnel management specialist may decide to announce a new vacancy rather than reuse the certificate from an earlier vacancy.

Form OR-5
(2-81)

MERIT STAFFING REQUEST

FROM: (Requesting Official, Organization) _____

POSITION TO BE FILLED: _____

Title, Series, Grade(s): _____

Attached Position Description: Current Revised New

Maximum Grade Potential: _____ (Justify if no career ladder established.
Use reverse if necessary);

SELECTIVE FACTORS: (Optional): (NOTE: These factors will become part of the minimum qualifications requirements, and must be justified in writing if not evident from the position description. Use reverse if necessary.)

RANKING FACTORS (Mandatory): _____

Form OR-5A enclosed

Use Ranking Factors from Announcement No. _____

SIGNATURES: _____

Requesting Official: _____ Date: _____

Personnel Management Specialist: _____ Date: _____

Form OR-5A (2-81) KSA WORKSHEET PAGE ____ of ____
 Job Title/Series/Grade _____ Announcement No. _____
 Organization _____ Date _____

Ranking Factors 1/	Source of KSA	MI 2/	MQ 3/	Performance Level Criteria 4/
_____	_____	_____	_____	A
_____	_____	_____	_____	S
_____	_____	_____	_____	A
_____	_____	_____	_____	S
_____	_____	_____	_____	A
_____	_____	_____	_____	S
_____	_____	_____	_____	A
_____	_____	_____	_____	S
_____	_____	_____	_____	A
_____	_____	_____	_____	S
_____	_____	_____	_____	A
_____	_____	_____	_____	S

1/ Knowledges, skills, and abilities (KSAs).
 2/ "More Important" KSA
 3/ "Minimum Qualification" KSA
 4/ A = Evidence of "Acceptable" qualifications; S = Evidence of "Superior" qualifications

SUMMARY RATING AND RANKING SHEET

Position: _____ Announcement No: _____

Organization: _____ Panel Required Yes No

Candidates	Adjusted Rating	Qualifications Category 1/	Rank
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			
10.			
11.			
12.			
13.			
14.			
15.			
16.			
17.			
18.			
19.			
20.			

1/ H = Qualified; Q = Qualified; N = Not rated; U = Unqualified (or otherwise ineligible)

Personnel Management Specialist: _____ Date: _____

Promotion Panel Member: _____ Date: _____

Promotion Panel Member: _____ Date: _____

COMPETITIVE SELECTION CERTIFICATE

TO: (Selecting Official)	VACANCY NUMBER
--------------------------	----------------

POSITION, TITLE, SERIES GRADE, ORGANIZATION:	DATE REFERRED TO	DATE DUE BACK TO PERSONNEL
---	------------------	-------------------------------

ACTION <u>1/</u>	NAME <u>2/</u>	REMARKS
1.		
2.		
3.		
4.		
5.		
6.		
7.		
8.		
9.		
10.		

1/ S = Selected, D = Declined, N = Not selected 2/ Listed alphabetically

CERTIFICATION

I/we certify that I/we have identified the above candidate as Best Qualified based solely on merit and their fitness for the position, and not on personal relationship, patronage, nepotism, or any unlawfully discriminatory factors.

Personnel Management Specialist: _____	Date: _____
Panel Member: _____	Date: _____
Panel Member: _____	Date: _____

ACTION BY SELECTING OFFICIAL

- Selection as indicated above.
- No selection made. (Explain on reverse)
- Other action requested. (Explain on reverse)

I certify that I have not unlawfully discriminated in selecting the above candidate.

DATE	NAME, TITLE, & ORGANIZATION OF SELECTING OFFICIAL	SIGNATURE
------	---	-----------

NONCOMPETITIVE SELECTION CERTIFICATE

TO: (Selecting Official)	VACANCY NUMBER
--------------------------	----------------

POSITION, TITLE, SERIES GRADE, ORGANIZATION:	DATE REFERRED TO	DATE DUE BACK TO PERSONNEL
---	------------------	-------------------------------

ACTION <u>1/</u>	NAME <u>2/</u>	REMARKS
1.		
2.		
3.		
4.		
5.		
6.		
7.		
8.		
9.		
10.		

1/ S = Selected, D = Declined, N = Not selected 2/ Listed alphabetically

CERTIFICATION

I certify that I have identified the above candidates as eligible for noncompetitive consideration based solely on their meeting appropriate experience, education, and other factors established by OPM and DOE.

Personnel Management Specialist: _____ Date: _____

ACTION BY SELECTING OFFICIAL

- Selection as indicated above.
- No selection made. (Explain on reverse)
- Other action requested. (Explain on reverse)

I certify that I have not unlawfully discriminated in selecting the above candidate.

DATE	NAME, TITLE, & ORGANIZATION OF SELECTING OFFICIAL	SIGNATURE
------	---	-----------

SUPERVISORY APPRAISAL OF DEMONSTRATED PERFORMANCE

APPLICANT: _____ Position Title: _____

Vacancy Number: _____ Series and Grade: _____

PLEASE COMPLETE AND RETURN THIS FORM

Personnel Management Specialist: _____

U.S. Department of Energy
Personnel & Management Analysis Branch
P.O. Box 2001
Oak Ridge, Tennessee 37831-8792

Ranking Factors/Basis of Rating <u>1/</u>	Level of Performance <u>2/</u>
1. Factor: _____	<u>4 3 2 1 0</u>
Basis: _____	
2. Factor: _____	<u>4 3 2 1 0</u>
Basis: _____	
3. Factor: _____	<u>4 3 2 1 0</u>
Basis: _____	
4. Factor: _____	<u>4 3 2 1 0</u>
Basis: _____	
5. Factor: _____	<u>4 3 2 1 0</u>
Basis: _____	

1/ Please state duties, tasks, etc. upon which the "Level of Performance" rating is based. Use Additional sheets if required.

2/ Please circle appropriate level. Descriptions are on the reverse.

Form OR-11 (reverse)

LEVELS OF PERFORMANCE

Points	Description
4	Identifies an employee whose typical performance is "Superior" with respect to the <u>specific</u> factor being rated, i.e., an employee whose proficiency is clearly above the fully satisfactory level in <u>every</u> respect.
3	Identifies an employee whose typical performance <u>substantially</u> exceeds the fully satisfactory level on the specific factor being rated in one or more, <u>but</u> not all, aspects. However, all aspects are <u>at least</u> fully satisfactory.
2	Identifies an employee whose typical performance is "Acceptable" with respect to the specific factor being rated, i.e., an employee whose proficiency would characterize the fully satisfactory employee in every respect.
1	Identifies an employee whose typical performance is substantially <u>less</u> than fully satisfactory on the specific factor being rated in one or more aspects.
0	Identifies an employee whom the supervisor is unable to appraise because of inadequate opportunity to observe the employee's performance with respect to the <u>specific factor being rated</u> .

Narrative: (attach additional sheets if needed)

IN WHAT CAPACITY ARE YOU MAKING THIS APPRAISAL? (Please check as appropriate)

Present Immediate Supervisor

Present 2nd Level Supervisor

Former Immediate Supervisor

Former 2nd Level Supervisor

Other (Specify)

Period During Which You Supervised the Applicant:

From:

To:

APPRAISER:

(Name)

(Signature)

(Date)

Form OR-13

RATING SHEET

Name: _____ Announcement No: _____

Position: _____

KSA NO.	MI	MQ	RATING	Rating Documentation
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				

ATT KSA		Basis for Adjustments (if any):
MI KSA		
Raw Score		
-(MO x 4)		
Row		
Column		

Transmuted Rating =
 Appraisal Adjustment =
 Award Adjustment =
 Adjusted Rating =

Personnel Management Specialist: _____ Date: _____

Promotion Panel Member: _____ Date: _____

Promotion Panel Member: _____ Date: _____

TRANSMUTATION TABLE

ROW ENTRY	COLUMN ENTRY											
	1	2	3	4	5	6	7	8	9	10	11	12
0	70	70	70	70	70	70	70	70	70	70	70	70
1	78	74	73	72	71	71	71	71	71	71	71	71
2	85	78	75	74	73	73	72	72	72	72	71	71
3	93	81	78	76	75	74	73	73	73	72	72	72
4	100	85	80	78	76	75	74	74	73	73	73	73
5		89	83	79	78	76	75	75	74	74	73	73
6		93	85	81	79	78	76	76	75	75	74	74
7		96	88	83	81	79	78	77	76	75	75	74
8		100	90	85	82	80	79	78	77	76	75	75
9			93	87	84	81	80	78	78	77	76	76
10			95	89	85	83	81	79	78	78	77	76
11			98	91	87	84	82	80	79	78	78	77
12			100	93	88	85	83	81	80	79	78	78
13				94	90	86	84	82	81	80	79	78
14				96	91	88	85	83	82	81	80	79
15				98	93	89	86	84	83	81	80	79
16				100	94	90	87	85	83	82	81	80
17					96	91	88	86	84	83	82	81
18					97	93	89	87	85	84	82	81
19					99	94	90	88	86	84	83	82
20					100	95	91	89	87	85	84	83
21						96	93	90	88	86	84	83
22						98	94	91	88	87	85	84
23						99	95	92	89	87	86	84
24						100	96	93	90	88	86	85
25							97	93	91	89	87	86
26							98	94	92	90	88	86
27							99	95	93	90	88	87
28							100	96	93	91	89	88
29								97	94	92	90	88
30								98	95	93	90	89
31								99	96	93	91	89
32								100	97	94	92	90
33									98	95	93	91
34									98	96	93	91
35									99	96	94	92
36									100	97	95	93
37										98	95	93
38										99	96	94
39										99	97	94
40										100	97	95
41											98	96
42											99	96
43											99	97
44											100	98
45												98
46												99
47												99
48												100

USING THE TRANSMUTATION TABLE

Column Entry

Determine the column entry by adding the number of all KSA to the number of "MI KSA", and subtract the # of "MQ KSA". The column entry remains the same for all candidates being rated.

Row Entry

Determine the row entry by identifying the adjusted raw score for each candidate.

Point of Intersection

The point at which the row and column entries intersect is the transmuted score (between 70 and 100).

CAREER LADDERS

OAK RIDGE OPERATIONS OFFICE

This document does not include all positions within the organization, but only series and title combinations which encompass two or more positions. Promotion potential for positions not covered below will be established on a case-by-case basis. Also, exceptions to the listed combinations may occur based on the classification of specific duties and responsibilities; the promotion potential for such exceptions will be established individually and documented in block 22 of the DOE F 3511.1.

Therefore, an individual position falls within one of these career ladders only if (1) its title and grade are exactly like one of the published combinations; (2) its grade falls within the listed range; (3) it is not covered by a "scope" footnote; and (4) it does not have a different full performance level documented on the DOE F 3511.1.

<u>SERIES</u>	<u>TITLE(S)</u>	<u>MINIMUM ENTRY LEVEL</u>	<u>CAREER PROMOTION POTENTIAL</u>	<u>SCOPE (FOOTNOTES)</u>
0018	Safety & Occupational Health Specialist	GS-5	GS-12	
0080	Personnel Security Specialist	GS-5	GS-11	1
	Industrial Security Specialist	GS-5	GS-9	2a
0201	Personnel Management Specialist	GS-5	GS-12	
0203	Personnel Actions Clerk	GS-3	GS-5	
0246	Contractor Industrial Relations Specialist	GS-5	GS-12	
0312	Clerk-Stenographer	GS-3	GS-4	
0318	Secretary	GS-3	GS-5	3
0322	Clerk-Typist	GS-2	GS-3	
0334	Computer Specialist	GS-5	GS-12	
0343*	Management Analyst	GS-5	GS-12	

* Does not include positions at SPRPMO.

Page 2

<u>SERIES</u>	<u>TITLE(S)</u>	<u>MINIMUM ENTRY LEVEL</u>	<u>CAREER PROMOTION POTENTIAL</u>	<u>SCOPE (FOOTNOTES)</u>
0401	(Various General Biological Science Series Titles)	GS-5	GS-13	
0510	(Various Accounting Series Titles)	GS-5	GS-11	2b
0525	Accounting Technician	GS-4	GS-5	
0560	Budget Analyst	GS-5	GS-12	
0690	Industrial Hygienist	GS-5	GS-12	
0801	QA Engineer	GS-5	GS-13	
	Classification Analyst	GS-5	GS-12	
	General Engineer*	GS-5	GS-12	2c, 4
0830	Safety Engineer	GS-5	GS-12	
0810	Civil Engineer	GS-5	GS-13	4, 5
0819	Environmental Engineer	GS-5	GS-13	
0830	Mechanical Engineer	GS-5	GS-13	4, 5
0840	Nuclear Engineer	GS-5	GS-13	4
0850	Electrical Engineer	GS-5	GS-13	4, 5
0855	Electronics Engineer	GS-5	GS-13	4, 5
1102	Contract Specialist	GS-5	GS-11	2d, 2e, 6
1103*	Industrial Property Management Specialist	GS-5	GS-12	
1106	Procurement Clerk	GS-3	GS-5	3
1140	International Trade Specialist	GS-5	GS-13	
1152	Production Controller	GS-5	GS-9	
1221	Patent Advisor	GS-5	GS-13	

* Does not include positions at SPRPMO.

<u>SERIES</u>	<u>TITLE(S)</u>	<u>MINIMUM ENTRY LEVEL</u>	<u>CAREER PROMOTION POTENTIAL</u>	<u>SCOPE (FOOTNOTES)</u>
1301	Classification Analyst	GS-5	GS-12	
	General Physical Scientist	GS-5	GS-13	4
1306	Health Physicist	GS-5	GS-13	
1515	Operations Research Analyst	GS-5	GS-13	
1601	(Various Titles in the Facilities Management Series)	GS-5	GS-13	
1910	Quality Assurance Specialist	GS-5	GS-9	
2005	Supply Clerk	GS-2	GS-4	
2130	Traffic Management Specialist	GS-5	GS-12	
4742	Utility Systems Repairer Operator	WG-6	WG-10	

FOOTNOTES

1. Does not apply to positions whose highest-level GS-080 duties consist of "screening" duties.
2. Positions in the following organizations are in higher career ladders:
 - a. Inspections and Technical Assessments Branch, S&S Division GS-0080-12
 - b. Systems and Cost Analysis Branch, Finance Division GS-0510-12
 - c. Facilities and Systems Safety Branch, S&H Div. Construction and Site Support Division, SPRPMO GS-0801-13
 - d. Acquisitions Branch, P&C Division GS-1102-12
 - e. Special Projects Branch, P&C Division Operations Contracting Branch, SPRPMO GS-1102-12
3. Includes positions with a parenthetical title such as "Typing" or "Stenography".

Page 4

4. Positions with end assignments as "Senior Project Engineers"/"Program Managers" in the following organizations are in career ladders to grade GS-13:
 - a. Energy Programs Division
 - b. Research and Waste Management Division
 - c. Y-12 Operations Division
5. "Project Engineer" positions under the Assistant Manager for Construction and Engineering which have complete responsibility for managing assigned projects are in career ladders to GS-13.
6. Applies only to positions within the Procurement and Contracts Division. GS-1102 positions in other organizations are so individualized that the career potential of each must be determined on a case-by-case basis.

CAREER LADDERS

OFFICE OF SCIENTIFIC AND TECHNICAL INFORMATION

This document does not include all positions within the organization, but only series and title combinations which encompass two or more positions. Promotion potential for positions not covered below will be established on a case-by-case basis. Also, exceptions to the listed combinations may occur based on the classification of specific duties and responsibilities; the promotion potential for such exceptions will be established individually and documented in block 22 of the DOE F 3511.1.

Therefore, an individual position falls within one of these career ladders only if: (1) its title and grade are exactly like one of the published combinations; (2) its grade falls within the listed range; (3) it is not covered by a "scope" footnote; and (4) it does not have a different full performance level documented on the DOE F 3511.1.

<u>SERIES</u>	<u>TITLE(S)</u>	<u>MINIMUM ENTRY LEVEL</u>	<u>CAREER PROMOTION POTENTIAL</u>	<u>SCOPE (FOOTNOTES)</u>
0318	Secretary	GS-3	GS-5	1
0332	Computer Operator	GS-4	GS-7	
0334	(Various titles in the Computer Specialist Series)	GS-5	GS-12	
0343	Management Analyst	GS-5	GS-12	2
0401	(Various titles in the Biological Sciences Series)	GS-5	GS-12	3
0801	General Engineer	GS-5	GS-12	3
1084	Visual Information Specialist	GS-5	GS-11	
1087	Editorial Clerk/Assistant	GS-3	GS-6	4
1310	Physicist	GS-5	GS-12	3
1320	Chemist	GS-5	GS-12	3
1411	Library Technician (Data Transcriber)	GS-3	GS-6	5
1412	Technical Information Specialist	GS-5	GS-9	
1654	Printing Assistant/Specialist	GS-5	GS-9	

Page 2

FOOTNOTES.

1. Includes positions with a parenthetical title such as "Typing," "Stenography."
2. Applies only to positions within the Office of the Assistant Manager for Resource Management. Other GS-343 positions are so individualized that the career potential of each must be determined on a case-by-case basis.
3. Applies only to positions within the Energy Data Information Systems Branch.
4. Positions in the GS-1087 series in the Scientific and Technical Publications Services Branch are in a career ladder to GS-7.
5. Applies only to positions in the Information Control and Accountability Branch. Other GS-1411 positions are so individualized that the career potential of each must be determined on a case-by-case basis.