



Department of Energy
Washington, DC 20585

AUG 27 2015

TO: HUMAN RESOURCES DIRECTORS OF SERVICING HUMAN RESOURCES OFFICES
(SHROs) AND SHARED SERVICE CENTERS (SSCs)

FROM: *Kenneth Venuto*
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SUBJECT: POLICY MEMORANDUM #5
ANNUAL DELEGATED EXAMINING REVIEWS

1. PURPOSE: This document establishes the Department's requirements for conducting Annual Delegated Examining (DE) Reviews.
2. AUTHORITIES:
 - A. Office of Personnel Management's (OPM), Delegated Examining Operations Handbook (DEOH), Chapter 7, Section D.
 - B. Title 5, 330.104 and Part 332 of the Code of Federal Regulations.
 - C. Title 5, United States Code 3327 and 3330.
3. APPLICABILITY: This policy applies to the following categories:
 - A. All competitive and excepted service positions classified at the GS-15 (or equivalent) grade level and below. This includes positions classified in the Administratively Determined (AD) pay plan.
 - B. All competitive and excepted service positions classified using the Federal Wage Grade standards.
 - C. Positions that are filled through the DE process as defined in section 6(A) of this document.
4. EXEMPTIONS: Positions covered or serviced by the Office of the Chief Human Capital Officer's (OCHCO) Executive Resources Office (e.g., EJ, EK, SL, ST, etc.) are excluded from these requirements.

5. REQUIREMENTS:

A. Review of DE Case Files.

1. Servicing Human Resources Offices (SHROs) and Shared Service Centers (SSCs) must conduct annual "self-audit" reviews of delegated examining activities.
2. Annual DE reviews are based on a calendar-year cycle.
3. The annual review must include a minimum of 5% of DE (competitive and excepted service) case files.
4. At a minimum, the review must ensure compliance with OPM's DEOH, Appendix H, Model Agency – Based Accountability Agenda and the Departments:
 - a. Delegated Examining Requirements;
 - b. Category Rating Requirements; and
 - c. Excepted Service Policy Requirements.
5. The annual review must include:
 - a. A review of DE case files to include the job opportunity announcement, job analysis, evaluation criteria, certificate and a review of applications to ensure merit system principles.
 - b. A review of coded personnel actions derived from DE appointment procedures.
 - c. A review of all TP (5-point preference) and CP (10 – 30 % preference based on service connected disability) passover requests for the calendar year.
6. All DE files must be maintained electronically, through the Department's automated hiring system.

B. Reporting Requirements.

1. SHRO(s) and SSC(s) must certify annually that the required self-audit has been completed. Certifications must be in the form of memorandum.
2. The memorandum should identify the following information:

- a. HR Specialist who conducted the annual review;
 - b. The date the HR Specialist (who conducted the review) was DE certified and the number of years of relevant experience;
 - c. Any best practices identified;
 - d. Areas of deficiency;
 - e. Whether or not any corrective actions were required; and
 - f. Indicate the expected time frames to correct the required actions and areas of deficiencies.
3. SHRO(s) and SSC(s) must submit their annual DE review results to the Department's DE Coordinator in the Office of Human Capital Policy and Accountability, Policy Division by December 31st of each calendar year.
4. SHRO(s) and SSC(s) are required to immediately report significant findings as defined in paragraph 6 (B) of this document to the Department's DE Coordinator.

6. DEFINITIONS.

- A. DE activities include all positions filled using:
 1. Public notice requirements and procedures as stated in Subpart A of 5 CFR 330;
 2. Category rating procedures as stated in Subpart C of 5 CFR 337;
 3. The Department's category rating policy;
 4. Category rating "like" procedures as indicated in the Department's excepted servicing hiring policy; and
 5. Direct hiring procedures as stated in Subpart B of 5 CFR 337.
- B. Significant findings include:
 1. Illegal appointments as defined in the Department's policy for illegal appointments and priority consideration cases;
 2. All Veteran Preference violations; and
 3. Cases that result in Lost Consideration.

7. EXCEPTIONS: Annual DE reviews are not required if the SHRO or SSC is scheduled for a Human Capital Management Accountability Program (HCMAP) audit by the Human Capital Accountability and Compliance Division, and/or the OPM.

8. ROLES AND RESPONSIBILITIES.

A. SHRO(s) and SSC(s) will:

1. Ensure the requirements of this policy are followed on an annual basis.
2. Correct areas of deficiency that result in any required actions (e.g., incorrect coding of SF-50's, qualification review errors, etc.).
3. Ensure all staff members and reviewers are trained in accordance with the requirements stated in the DEOH.
4. Follow the instructions and processes as outlined in Section 5(a) in the *Internal Accountability Review Standard Operating Procedure (SOP)*.
5. Notify and coordinate corrective actions with the Department's DE Coordinator in the Office of Human Capital Policy and Accountability, Policy Division.

B. Department's DE Coordinator will:

1. Serve as liaison between the Department and OPM.
2. Report Annual DE Reviews results for each SHRO and SSC to OPM.
3. Update and notify the SHRO(s) and SSC(s) of any changes to the requirements of this policy.
4. Facilitate any corrective actions and requirements that result from annual DE reviews with the Director of Human Capital Management Accountability Program.

9. REFERENCES:

- A. Case file management requirements.
- B. Procedures for regularizing illegal appointments and priority consideration cases.
- C. Excepted service policy requirements.
- D. Category rating policy requirements.
- E. DE policy requirements.

10. POINT OF CONTACT. Questions concerning these requirements should be directed to Tiffany Wheeler, Human Capital Policy Division, 202-586-8481.