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	U·S· DEPARTMENT OF THE INTERIOR **OFFICE OF SURFACE MINING** **RECLAMATION AND ENFORCEMENT** **DIRECTIVES SYSTEM**	**Subject Number:** PER-9 **Transmittal Number:** 287 **Date:** 10/27/86

Subject: IMPLEMENTATION PLAN FOR GRADE AND PAY RETENTION

Approval: Ted D. Christensen **Title:** Director

1. Purpose. This Directive establishes Office of Surface Mining Reclamation and Enforcement (OSMRE) policy procedures for implementing the grade and pay retention provisions of Title VIII of Civil Service Reform Act (CSRA) of 1978 (Public Law 95-454). The law and the implementing regulations issued by the Office of Personnel Management (OPM) require the commitment to: (1) concerted action to correct position management problems and to identify and correct classification errors, (2) concerted planned efforts to place employees entitled to grade and pay retention under the provisions of the CSRA, and (3) insurance that to the maximum extent possible placement efforts do not adversely affect the affirmative action goals.

2. Definitions.

a. Area of Preference. Specific geographic location at which an OSMRE eligible employee indicates he/she will accept placement.

b. OSMRE Placement Officer (Personnel Officer). The Placement Officer is the official who maintains the OSMRE Priority Placement List (PPL), coordinates the placement of eligibles under this Plan and registers eligible employees under the Departmental Career Placement Assistance Program (DCPA).

c. OSMRE Priority Placement List. A list of OSMRE eligible employees established under this Plan and maintained by the OSMRE Placement Officer (Personnel Officer).

3. Policy/Procedures.

a. Policy. It is the policy of OSMRE to identify and correct misclassified positions and to provide aggressive priority placement assistance to employees covered by the grade and pay retention provisions of the CSRA.

b. Coverage. (1) Grade and pay retention coverage under CSRA is described in Section 5362 of Title 5 U.S.C. and Sections 536.103 and 536.104 of the Code of Federal Regulations. Basically, coverage under this plan extends to all Department of the Interior General Schedule (GS), Performance Management and Recognition System (GM) and Wage Grade (WG) employees at GS-15 and below, who are serving under an appointment which is other than temporary or term and who have received official notice of:

(a) An action to reduce them in grade by reclassification due to classification error, the issuance of new classification standards, the gradual erosion of duties and responsibilities or for any reasons other than nonperformance by the employee;

(b) A reduction-in-force (RIF) which would abolish their position, resulting in a loss of grade, pay or employment;

(c) A transfer of function outside of the commuting area where they decline offers to transfer with their positions. (See Section 5G. of the Department's Grade and Pay Implementation Plan for a more detailed discussion of eligibility for grade and pay retention.)

(2) An employee who transfers to another agency while in receipt of grade retention is entitled to continue grade retention for the balance of the original two-year period, subject to the conditions stated in 5 CFR 536.208. Similarly, an employee who transfers to another agency while in receipt of pay retention is limited to continue pay retention, subject to the conditions stated in 5 CFR 536.209.

c. Position Management/Classification Plan.

(1) OSMRE's commitment to concerted action to correct position management problems and to identify and correct classification errors is to be accomplished through the provisions of the Position Management Review Program Directive PER No. 7. This program is intended to accomplish the following:

(a) Assess success in achieving the position management goals and objectives as set forth in Position and Pay Management Program Directive PER No. 5;

(b) Determine the accuracy of the classification assigned to positions (title, series, and grade); and,

(c) Provide advisory assistance to improve position structures to enhance efficiency and/or economy.

(2) This Program requires the review of all positions on an annual basis for both the necessity of the position and the accuracy of the classification. At least one-third of the positions in the respective organizational components will be desk audited each year. Other provisions of the Position Management Review Program include a requirement that every vacancy be reviewed to determine if the work can be eliminated, redistributed to other positions or restructured to a lower grade, prior to initiating recruitment action, without significantly affecting an accomplishment of mission objectives.

Another provision of the Program involves a requirement for conducting a desk audit for any position proposed for upgrading because of a gradual assumption of duties.

(3) Implementation of corrective actions taken as a result of the above reviews, including the implementation of new position classification standards, are as follows:

(a) Classification errors are to be corrected within four (4) pay periods, except in unusual situations.

(b) New position classification standards are to be implemented within six (6) months of receipt within OSMRE, by the respective classification authorities, unless extenuating circumstances require a longer period of time.

d. Priority Placement Plan. OSMRE has a responsibility to provide priority placement assistance to employees covered by the grade and pay retention provisions of the CSRA. It is the policy of OSMRE that to the maximum extent practicable all vacancies for full-time permanent positions at GS-15 and below or wage grade, can be filled, except as provided in Paragraph (5) below, by the selection of an employee entitled to special placement under the provisions of this Plan, if there is such an eligible employee who is qualified for the vacancy. Also, in accordance with Department requirements, similar consideration will be given to employees of other Bureaus in the Department who are qualified, eligible and available for placement.

(1) Responsibilities. Officials responsible for developing and operating a special placement program as required by this Directive are the following:

(a) The Director, Office of Surface Mining Reclamation and Enforcement, is responsible for the implementation of an agency plan which conforms with provisions of CSRA and the Department's Grade and Pay Retention Plan, and which assures that OSMRE employees occupying overgraded positions will receive priority placement assistance for assignment to properly classified positions.

(b) The Chief, Division of Personnel, is responsible for assisting management officials in the development and operation of a priority placement plan and for assuring that the provisions of such a plan are followed when vacancies are filled.

(c) Equal Opportunity Officer is responsible for assuring that OSMRE's affirmative actions goals are not unreasonably affected by priority placement efforts and assessing, periodically, the affirmative action impact of the Plan as it relates to regular recruitment/promotion programs.

(d) Managers and Supervisors are responsible for selecting employees for placement into alternative and properly classified positions, preferably at their same grade, when vacancies occur for which those employees qualify.

(e) Administrative Service Centers and Headquarters Personnel Services are responsible for assisting managers and supervisors in the development and operation of priority placement plans and for insuring that vacancies are filled consistent with the provisions of this Directive.

(2) Procedures. Enrollment of OSMRE Eligibles on the OSMRE Priority Placement List (PPL) and the Departmental Career Placement Assistance List.

(a) Each Appointing Authority shall, upon issuing a specific RIF notice to an individual, include as a part of that notice information about this Plan, Additionally, a SF-171, Application for Federal Employment, Form DI-1832, Department of the Interior Career Placement Assistance Application (Attachment 1) and a Privacy Act notice as required by PML Number 76-6, shall be provided to eligible employees.

(b) Each Appointing Authority shall, upon issuing an SF-50, Notification of Personnel Action, which effects a grade or pay retention status, append to the SF-50 information about this Plan. Additonally, a SF-171, Application for Federal Employment, Form DI-1832, Department of Interior Career Placement Assistance Application (and the Privacy Act notice cited above) shall be provided to eligible employees.

(c) OSMRE eligible employees shall complete the SF-171 and Form DI-1832. These forms shall be returned to the Appointing Authority together with a current performance appraisal completed by their supervisor, as soon as possible but not later than 30 days from receipt. An employee may select "Nationwide" as an area of preference or limit the area of preference to any specific location(s) of OSMRE or the Department. However, only OSMRE locations will be considered under the OSMRE Priority Placement Plan. Departmental locations will be considered under the provisions of the DCPA Program.

(d) Upon receipt of the forms from the eligible employee, the Appointing Authority shall review them for completeness and accuracy and forward the original to the OSMRE Placement Officer.

(e) The OSMRE Placement Officer shall enter the name of the employee on a centralized PPL and forward the necessary information to the Department to enroll the eligible in the DCPA Program.

(3) Priority Placement Lists. The Placement Officer will provide a copy of the OSMRE PPL to each Appointing Authority on at least a quarterly basis. It will be updated as changes occur. In addition, the Placement Officer will provide each Appointing Authority with a copy of the Department's current DCPA list, containing the names of Departmental eligible employees, as that list is updated by the Department.

(4) Identification of Vacancies to be Filled Through Use of The Priority Placement Plan. Each Appointing Authority is responsible for identifying vacancies which could provide placement opportunities for eligible employees. All vacancies shall be available for use in placement efforts under this Plan unless excepted by one of the provisions provided for below.

(5) Exceptions. The following are authorized exceptions to the OSMRE placement plan:

(a) The two types of career promotions:

1 A promotion without current competition if at an earlier stage an employee was selected from an OPM register or under competitive promotion procedures for a position with promotion potential.

2 A promotion resulting from an employee's position being reclassified at a higher grade because of the gradual assumption of additional duties and responsibilities.

(b) Promotion exceptions to competitive promotion procedures, which are:

1 A career ladder promotion following noncompetitive conversion of a cooperative education student in accordance with the requirements of FPM Chapter 308.

2 A Temporary promotion of 120 days or less.

(c) Actions required to comply with regulatory or statutory provisions (e.g., Indian preference, Repromotion Priority List).

(d) Repromotion of a Department employee who was demoted not for cause and not at the employee's request.

(e) Reassignments, when they can be made without reducing placement opportunities, for employees entitled to assistance provided for under this Directive.

(f) An exception approved by the Department's Director of Personnel (PPM) when it is clearly established and fully documented that the exception is warranted and is determined to be essential to the effective conduct of a high priority program within the Department, including the achievement of Equal Opportunity Affirmative Action Goals.

(g) Selection of an individual other than one entitled to priority placement consideration when such employee is not available for assignment within 90 days of his/her eligibility for assistance provided by this Directive.

(h) Selection of an individual other than one entitled to priority placement consideration when such employee has stated his/her intention to retire within 12 months.

(i) Positions filled under the Upward Mobility Program.

(6) Extent of Eligibility. Eligibility under this priority placement plan for grade and pay retention is subject to the following conditions and provisions:

(a) An employee may be reassigned in accordance with this Plan at any time after an overgrading problem is identified by a Classification Authority. When such reassignment is not accomplished sooner, eligibility for the program will begin on the date the supervisor is informed in writing of the action.

(b) An employee, who is detailed to a lower graded position or to unclassified duties pending the establishment of a new position because of reorganization, will be eligible for the priority placement program on the date the employee is given written notice of the detail or on the date of this Directive, whichever is later.

(c) When a position with known promotion potential becomes vacant and there are employees covered by this Directive who are qualified for the full or intermediate performance level of the position, the position may be filled at any grade for which there are eligible employees. However, the priority placement plan applies only to the placement of employees at their current grade, or a lower grade which they are willing to accept. Eligibles applying for higher grade positions, or for positions with known promotion potential above their current grade, must compete through merit promotion procedures.

(d) Eligibility will end in accordance with provisions contained in Part 536, of OPM regulations. The specific instances in which eligibility will terminate are when an employee:

1 has a break in service of one workday or more,

2 is demoted for personal cause or at his/her request,

3 is placed in, or declines a reasonable offer of, a position the grade of which is equal to or higher than the retained grade, or

4 elects in writing to have the grade and pay retention benefits terminated.

(7) Area of Consideration. An eligible employee will be considered for vacancies in the same local commuting area as the one in which the employee's permanent position of record is located. This may include consideration within other Department of the Interior organizations if placement opportunities are not possible or available within OSMRE.

(8) Priority Consideration Rights (Referral and Selection of Eligibles). In filling a vacant position, the selecting official is required to first review the qualifications of all available and eligible OSMRE and Departmental employees who are covered by this Plan. To be eligible, employees must meet all qualification requirements for the position to be filled including all valid selective placement factors. The names and qualifications of employees eligible under this Plan from other Department of the Interior organizations will be referred at the same time as those of OSMRE employees, except that they will be identified and listed separately from OSMRE employees. The selecting official may select any eligible OSMRE employee from the priority consideration list. An eligible referred from another Department of Interior organization may be selected if there are no available and eligible OSMRE employees. Eligible OSMRE employees receive preference over other eligible Department employees. If a selecting official wants to select a referred eligible from outside OSMRE and there are OSMRE employees eligible for priority consideration, he/she must provide the Appointing Authority written justification for selecting the non-OSMRE candidate. If no selection is made from those eligible employees referred, the selecting official must provide a written justification to the Appointing Authority before any further action can be taken to fill the vacant position. Employees are eligible for priority consideration only at the grade for which they are eligible to retain under CSRA, or down to a lower grade for which they have stated a willingness to accept.

(9) Extended Detail Authority. Extended detail authority may be used if such details are consistent with the following guidelines:

(a) Employees may be detailed in 120 day increments, to the same or lower grade position for up to one year without Department approval, provided those details that exceed 120 days are approved by the appropriate Appointing Authority.

(b) During major reorganizations as determined by the Department's Office of Personnel (PPM), employees may be detailed to higher graded positions for up to one (1) year. However, if an employee's services are needed in a higher graded position for more than 120 days, managers and supervisors must initiate temporary promotions.

(c) Details to higher graded positions which are effective during major reorganizations must meet competitive requirements, must be limited to a maximum period of not more than 240 days, and must be approved by the appropriate Chief Administrative Service Center (Headquarters Personnel Services) if the detail will exceed 120 days.

(d) No detail to an unclassified position may exceed 120 days.

(10) Training for Alternative Jobs. In carrying out the placement provisions of this Directive, it is proper for OSMRE to assist eligible employees by providing appropriate training which would help the employee to acquire qualifications for selection to other jobs. This consideration should be generally limited to those eligibles who are qualified for positions for which few vacancies are expected to occur, e.g., few-of-a-kind positions, highly specialized fields, occupational categories with low turnover rates, etc. When the Appointing Authority determines that training is appropriate for an eligible; the records should clearly document that:

(a) Reasonable opportunities do not exist for placement in the eligible's primary occupational area;

(b) Aggressive efforts have been made by OSMRE to place the employee during a one-year period of eligibility;

(c) The training plan or individual training request was approved by the Appointing Authority in consultation with the employee and supervisor, and will specifically assist the eligible to qualify for other jobs. The other jobs should be listed.

e. Maintenance of Records. Records to be maintained by each Appointing Authority must include information which identifies employees entitled to assistance, vacancies filled by DCPA eligibles, DCPA employees qualified and considered for each vacancy, and the action taken.

In addition to maintaining complete records of the above actions, each Classification and Appointing Authority must maintain the kinds of statistics outlined in the Grade and Pay Retention Worksheet and Classification Worksheet (Attachments 2 and 3). Also, specific information relating to registration of eligibles (Attachment 1) and the eligibles' SF-171's must be maintained by the Personnel Officer. SF-171's will not be sent to the Department as part of the registration process. Documentation for the priority placement program must include:

(1) Listing of eligibles:

(a) OSMRE employees eligible for grade and pay retention.

(b) OSMRE and Department employees by DCPA category.

(2) Qualifications determinations.

(3) Listing of vacancies for which each eligible received consideration.

(4) Listing of vacancies filled by DCPA eligibles.

(5) Copy of eligibles SF-171's.

(6) Copies of quarterly reports, which include statistics. These must be furnished to the Department or other authorities when requested.

f. Personnel Management Evaluation (PME) Relationship. As part of the ongoing PME coverage, special emphasis will be provided to assess the adequacy of the organization's progress and accomplishments in:

(1) Identifying overgraded or misclassified positions.

(2) Special studies undertaking to correct known problems and to establish improved classification structure.

(3) Position management achievements.

(4) Vacant positions reviewed and restructured to provide career growth opportunities for women and minorities.

(5) Placing undergraded employees in valid positions for which they are qualified.

(6) Use of extended details during the interim period.

(7) Skills assessment of employees occupying overgraded positions for referral to properly graded positions.

(8) Application of priority consideration and results achieved.

4. Reporting Requirements. Annual report of program accomplishments and plan review (See 370 DM 536,1, dated 3/12/80).

5. References.

a. Federal Personnel Manual Chapter 330 and 536.

b. Departmental Manual 370 DM 536,1 3/12/80.

6. Effect on Other Documents. Replaces OSMRE Directive PER-09, 4/17/80.

7. Effective Date. Upon issuance.

8. Contact. Branch of Policy and Evaluation, (202) 343-4656.

ATTACHMENT 1

U.S. DEPARTMENT OF THE INTERIOR
DEPARTMENTAL CAREER PLACEMENT ASSISTANCE PROGRAM
APPLICATION FORM

PRIVACY ACT NOTICE

Pursuant to requirements of Public Law 93-579, the Privacy Act of 1974, you are advised of the following: The authority for solicitation of the information on this form is sections 1302, 3301, and 3304, of Title 5 of the United States Code; Reorganization Plan 3 of 1950; and Executive Order 10561. The principal purpose of this form is to establish eligibility of and provide placement assistance for Interior Department employees who are eligible for the Departmental Career Placement Assistance Program (DCPA) as provided in 370 DM 330,1.3. Your application form and/or the information you provide on it will be disclosed to personnel offices throughout the Department of the Interior. Also, it may be referred to other Federal offices and state and local government agencies that have jobs for which you may be qualified. Disclosure of the information is completely voluntary. The only consequence of not providing the requested information is self-elimination for placement assistance through the DCPA.

INSTRUCTIONS: This form is to be completed in triplicate by the servicing personnel office (SPO) and the applicant. One copy is to be retained by the SPO; one copy is for the applicant's records; and one copy is for submission to the DCPA Coordinator (PPM). Detailed information on the registration and processing of DCPA eligibles is contained in 370 DM 330,1.3G. Also, see the back of this form.

Applicant Data:

1. What Category of DCPA placement assistance is requested?

   Category I_____.

   Category IIA_____, and the beginning date of grade and pay retention is _____.

   Category IIB_____.

2. Applicant's name _____.

3. Title, Series & Grade _____.
   (NOTE: If application is for Category IIA, show only title, series and grade of job to which downgraded.)

4. List occupation codes for up to three (3) additional occupations for which the applicant is qualified and willing to accept. _____, _____, _____.

5. What is/was applicant's duty station location? _____.

6. Category I and Category IIB applicants may indicate below up to three (3) locations where they are willing to work. _____, _____, _____.

7. What is the lowest grade applicant will accept? _____ Salary? _____.

NOTICE

DCPA placement assistance to any eligible may be suspended or cancelled at any time by the Office of Personnel, for any reason considered sufficient by the Office of Personnel. If an eligible declines a valid offer of any position at a grade or salary and location for which he/she is registered in the DCPA, or declines consideration for such a job, he/she will be removed from the program.

All eligibles must keep their servicing personnel office advised of their current address and telephone number where they can be reached, and if for any reason they are not available to accept Departmental employment. Those who do not keep their servicing personnel office advised of their whereabouts may be dropped from the Program.

Applicant's Signature _____ Date _____
SPO Representative's Signature _____ Date _____
Bureau _____ SPO Address _____
SPO Telephone No. _____

Remarks

DI-1832
Revised October 1983

Processing Information

Registration documents should be handled as follows:

A. Category I. An up-to-date SF-171, a current supervisory appraisal, a copy of the specific RIF notice issued to the employee, a copy of the RPL on which the employee has been listed and an appropriately completed copy of this form all should be sent by the SPO to the DCPA Program Coordinator (PPM) Department of the Interior, Washington, D.C. 20240.

B. Catetory IIA. SPO forwards an appropriately completed copy of this form and a copy of the notice of position downgrading issued to the employee to the DCPA Coordinator (PPM), Department of the Interior, Washington, D.C. 20240. See 370 DM 330, I.3G(2)(b) for further instructions.

C. Category IIB. An up-to-date SF-171, a current supervisory appraisal, and an appropriately completed copy of this form should be forwarded by the SPO to the DCPA Program Coordinator (PPM), Department of the Interior, Washington, D.C. 20240.

The SPO must retain a copy of all documents submitted to the DCPA Coordinator (PPM), and the applicant should maintain a copy of this form, an up-to-date SF-171, and a current supervisory appraisal.

DEPARTMENT OF THE INTERIOR

CAREER PLACEMENT ASSISTANCE APPLICATION

This form is designed to be used by individuals applying for the Departmental Career Placement Assistant Program (DCPA). Application is voluntary on the part of eligible employees, and only employees applying for the DCPA will be provided placement assistance. The information contained on this form will be used to establish eligibility and provide placement assistance for applicants of the DCPA as provided in 370 DM 330.1.

Form will be completed in triplicate. One copy is retained by the servicing personnel office; one copy is given to the applicant; one copy is forwarded to the bureau headquarters with the SF-171 and supervisory evaluation.

To be completed by servicing personnel office in consultation with employee.

I. PERSONAL DATA

1. Name: _____

2. Current Position Title, Series and Grade: _____
_____

3. Organization and Employment Location: _____
_____

4. Service Computation Date: _____ _____ _____
Year Month Day

5. Category Group: _____ (To be filled in Personnel Office).

6. Reason for Requesting Assistance:

7. Special Family Needs: Health, Schools, or other unique problems:

II. POSITIONS

The positions below are those for which the employee is qualified under CSC Handbook X-118 and in which the employee has expressed interest.

		Pay Plan	Series	Grade(s)
1.	_____	_____	_____	_____
2.	_____	_____	_____	_____
3.	_____	_____	_____	_____

Lowest Acceptable Salary _____

Lowest Acceptable Grade _____

III. LOCATIONS

Indicate below the geographic areas where the employee is available to work.

1. _____
2. _____
3. _____
4. _____
5. _____

If an employee declines an offer of a position and grade and location for which application is made, the applicant will be removed from the program.

All applicants must keep their servicing personnel office advised of current address and telephone number where they can be reached and if for any reason they are not available to accept Departmental employment. Employees who fail to keep the servicing personnel office informed of their whereabouts and cannot be located will be removed from the program.

Employee's Signature _____ Date _____

Personnel Office Representative's Signature _____

_____ Date _____

Servicing Personnel Office _____

ATTACHMENT A1

To: Personnel Officer
ASC Personnel Management Specialist
Headquarters Personnel Management Specialist

From:

Sub: Registration of DCPA Category IIA Eligible

The employee identified below is eligible for placement assistance provided for under the Department Career Placement Assistance Program for Category IIA.

1. Name: _____

2. Current Position Title, Series and Grade: _____

3. Organization and Duty Station: _____

_____

4. Commuting Area of Employee's Permanent Position of Record: _____

_____

5. Servicing Personnel Office: _____

_____

(Name and Complete Address)

_____

(Show SPO Code At End of Address)

Telephone No. _____

(Area Code and Number)

6. Lowest Acceptable Grade: _____

7. Employee also meets CSC Handbook X-118 requirements for the following:

_____

(Show Pay Plan, Series and Grade(s) for each occupation listed).

8. Employee was notified in writing that the position he/she occupies is overgraded, on _____

(Date of Notification to Employee)

Employee's Signature: _____ Date: _____

Personnel Office Representative's Signature: _____

Title _____ Date _____

ATTACHMENT 2

Positions Scheduled for Review	Positions Reviewed	Necessary Corrections Identified				Corrections Effective as of
		Title & Series	Grade Up	Grade Down	Positions Abolished	

ATTACHMENT 3

GRADE AND PAY RETENTION

WORKSHEET

_____ Bureau _____ Unit _____ Period

CLASSIFICATION ACTIVITY AND STATUS

1. Total Number Occupied Overgraded Positions at Beginning of Period _____

2. Total Number of Occupied Overgraded Positions Identified During Period _____
   a. Total Number Positions Reviewed _____

3. Total Number of Occupied Overgraded Positions Resolved During Period _____

4. Total Number of Occupied Overgraded Positions at End of Period _____

EXTENDED DETAIL ACTIVITY AND STATUS

1. Total Number Overgraded Employees on Extended Details and Beginning of Period _____

2. Total Number of Overgraded Employees on Extended Details Added During Period _____

3. Total Number of Overgraded Employees on Extended Details Ended During Period _____

4. Total Number of Overgraded Employees on Extended Details at End of Period _____

PLACEMENT ACTIVITY AND STATUS

1. Total Number Overgraded Employees on Placement Rosters at Beginning of Period _____

2. Total Number of Overgraded Employees on Placement Rosters Added During Period _____

3. Total Number of Overgraded Employees on Placement Rosters Deleted During Period _____
   a. Total Number of Placements _____

4. Total Number Overgraded Employees on Placement Rosters at End of Period _____