



NASA DESK GUIDE
for
PERSONNEL FUNCTION SELF-ASSESSMENT

Office of Human Resources and Education
Agency Personnel Policy Branch
NASA Headquarters
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NASA PERSONNEL FUNCTION SELF-ASSESSMENT DESK GUIDE

Each Installation is accountable for systematically conducting self-assessments to ensure that its personnel practices are consistent with policy and program objectives. To assist in these assessments, this *Guide* serves as a checklist of the principal regulatory and procedural program items for local review consideration. Furthermore, specific items are targeted (by an asterisk throughout the *Guide* and compiled in Section F) for review under the agency implementation of the Federal Manager's Financial Integrity Act and OMB Circular A-123. Additional information on the use of this *Guide* is provided under Reviewer's Guidelines (Section G).

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<p>(1) Are the operating practices in accord with applicable laws and regulations?</p> <p>a. <u>Underrepresentation</u></p> <p>(1) Is there a method to determine underrepresentation of minorities and women by occupation groups at this Installation?</p> <p>(2) How was this method developed?</p> <p>b. <u>Recruitment Planning</u></p> <p>(1) Are targeted under-represented groups and positions identified in the recruitment plan?</p> <p>(2) How does the identification of under-represented groups or positions affect the recruitment plans?</p> <p>(3) Have potential causes of under-representation been identified? Have means to remedy this underrepresentation been identified?</p> <p>(4) Has underrepresentation declined in any occupation group?</p> <p>c. <u>Recruitment Practices</u></p> <p>(1) Have resources been allocated for external recruiting.</p> <p>(2) Are internal and external recruitment activities, including inter-agency activity, defined? Is visibility maintained with colleges and universities during depressed recruitment activity?</p> <p>(3) Have trainee and development jobs (through job redesign) been identified including bilingual/cultural skill requirements?</p> <p>(4) Have new recruitment methods and resources evolved from use of the plan?</p>	<p style="text-align: right;">PAGE A2</p> <p><i>(115 S.Ct. 2097, 1995 Adarand Decision)</i></p> <p><i>(115 S.Ct. 2097 (1995))</i></p>

A. STAFFING REVIEW ITEMS 3. DELEGATED EXAMINING AUTHORITY	WAS REVIEW ITEM MET? (“YES” OR “NO” WITH COMMENTS) <i>(5 CFR 332 & references below)</i>
<p>SAMPLE: Select at least 7 appointments made under delegated examining procedures from actions taken during the period since the effective date of the most recent delegation agreement or during the preceding 12 months, whichever date is latest.</p> <p>(1) Is the position included in the delegation agreements?</p> <p>(2) Are delegated examining staff properly certified before independently performing examining duties? Does staff receive recertification training at least every 3 years?</p> <p>(3) Was the Reemployment Priority List (RPL) checked and were identified individuals properly considered?</p> <p>(4) Were the requirements of adequate public notice met, including open period, area of consideration and required notice information?</p> <p>(5) If a single notice is used to solicit both internal and external applications, does it contain language that clarifies that status applicants need to file two applications if they wish to be considered under both the internal and external procedures?</p> <p>(6) Are 10 point veterans informed of the conditions under which their applications will be retained?</p> <p>(7) Was there proper documentation of the use and results of any supplemental application materials?</p> <p>(8) Are applications date stamped on receipt, postmarked envelopes retained and applications accepted in accordance with regulations?</p> <p>(9) Is there a process in place to retain applications from 10 point veterans for future consideration?</p> <p>(10) Are minimum qualifications determined properly?</p> <p>(11) Was the Aerospace Technologist standard used to evaluate applicants qualifying on the basis of education for AST positions?</p> <p>(12) Are selective factors properly documented and required for performance on the job?</p>	<p style="text-align: right;">PAGE A3</p> <p><i>(Delegation Agreement)</i></p> <p><i>(Delegation Agreement, Delegated Examining Handbook (www.opm.gov/deu))</i></p> <p><i>(5 CFR 330 Subpart B)</i></p> <p><i>(5 CFR 330.102 & Subpart F; 5 USC 3327; Delegation Agreement, 5 USC 2301)</i></p> <p><i>(Delegated Examining Handbook)</i></p> <p><i>(5 CFR 332, Subpart B)</i></p> <p><i>(5 CFR 332; NPG 3300)</i></p> <p><i>(Delegation Agreement)</i></p> <p><i>(5 CFR 332, Subpart B; Delegated Examining Handbook)</i></p> <p><i>(Qualifications Standards Handbook)</i></p> <p><i>(NPG 3300)</i></p> <p><i>(Qualifications Standards Handbook)</i></p>

A. STAFFING REVIEW ITEMS 3. DELEGATED EXAMINING AUTHORITY - (continued)	WAS REVIEW ITEM MET? (“YES” OR “NO” WITH COMMENTS) <i>(5 CFR 332 -- more references below)</i>
(13) If AST qualifications are based on the unconditional acceptance provisions, is the file properly documented?	<i>(NPG 3300)</i>
(14) If degree or specific course work is required, is proper documentation obtained and maintained in file?	<i>(Qualifications Standards Handbook)</i>
(15) Are applications reviewed for citizenship requirements?	<i>(5 CFR 338; NPG 3300)</i>
(16) Is there proper documentation of the required job analysis?	<i>(29 CFR 1607, Uniform Guidelines; 5 CFR 300.103)</i>
(17) Are Interagency Career Transition Placement Assistance (ICTAP) candidates afforded appropriate priority consideration?	<i>(5 CFR 330, Subpart F)</i>
(18) Is veterans preference properly adjudicated including OPM medical determinations when required?	<i>(Delegation Agreement; Guide to Processing Personnel Actions; 5 CFR 332 and 339)</i>
(19) Are ineligible ratings based on suitability or medical considerations properly adjudicated?	<i>(5 CFR 339) and (5 CFR 731)</i>
(20) Are applicants properly listed in rank or relative standing order?	<i>(5 CFR 332)</i>
(21) Are procedures for breaking ties established and followed?	<i>(Delegated Examining Handbook)</i>
(22) Are procedures followed for issuing certificates, adding names of veterans entitled to reopen examinations, and issuing supplemental certificates?	<i>(5 CFR 332)</i>
(23) Are selections from certificates properly made in accordance with the rule of 3?	<i>(5 CFR 332)</i>
(24) Are objections and passovers properly documented and approved (forwarded to OPM for final approval when required)?	<i>(5 CFR 332; 5 USC 3318(b))</i>
(25) Is selection based on 10 point preference fully documented?	<i>(Guide for Processing Personnel Actions, Chptr 7)</i>
(26) Was selection made within the time frames required for selection?	<i>(Delegated Examining Handbook)</i>
(27) If certificate is cancelled/not used, is reason documented in case file?	<i>(Delegated Examining Handbook)</i>

A. STAFFING REVIEW ITEMS 3. DELEGATED EXAMINING AUTHORITY - (continued)	WAS REVIEW ITEM MET? (“YES” OR “NO” WITH COMMENTS) <i>(5 CFR 332 -- more references below)</i>
<p>(28) Are applicants notified of the status of their applications for the position(s) for which they applied?</p> <p>(29) Are notifications to nonselected eligibles processed consistently?</p> <p>(30) Have procedures for consideration of examining decisions been established and followed?</p> <p>(31) Are mistakes in certification corrected in accordance with required procedures?</p> <p>(32) Are audits of actions taken on certificates conducted and properly documented?</p> <p>(33) Is a file or record maintained for priority referral of eligibles who lost opportunity for certification or who did not receive bona fide consideration?</p> <p>(34) Are the requirements of the Freedom of Information or Privacy Act being met e.g., appropriate documentation including denial of disclosure, etc.?</p> <p>(35) Are recordkeeping requirements including disposition of records met in accordance to the schedules provided?</p> <p>(36) Is there complete documentation in the file?</p> <p>(37) Are quarterly reports properly prepared and submitted on time?</p> <p>(38) Are periodic operational reviews to assure regulatory compliance conducted in accordance with the requirements?</p> <p>(39) Are procedures (including recordkeeping requirements) for Direct Hire Authorities followed in accordance with the requirements?</p>	<p style="text-align: right;">PAGE A5</p> <p><i>(Delegation Agreement)</i></p> <p><i>(Delegated Examining Handbook)</i></p> <p><i>(Delegated Examining Handbook)</i></p> <p><i>(5 CFR 213.3202; 5 CFR 315.710)</i></p> <p><i>(5 CFR 294)</i></p> <p><i>(Delegation Agreement; Records Retention Schedule)</i></p> <p><i>(Delegation Agreement)</i></p> <p><i>(Delegated Examining Handbook)</i></p>

A. STAFFING REVIEW ITEMS 4. COMPETITIVE PLACEMENT PLAN (CPP)	WAS REVIEW ITEM MET? (“YES” OR “NO” WITH COMMENTS) <i>(5 CFR 335.101-105; NPG 3335.1)</i>
<p>SAMPLE: Select a sample of at least 10% of the total number of CPP records; including a representative number of (1) competitive placements, (2) career promotions, and (3) other exceptions to the use of competitive placement procedures. Also, assure that your sample includes at least one promotion, reassignment, detail, temporary promotion, term promotion, transfer, reinstatement, and appointment. Select the sample only from actions taken since implementation of the plan or during the period covered by the preceding 12 months, whichever date is later.</p> <p>*a. <u>Communications of CPP</u></p> <p>(1) Has required information concerning the CPP been published at least once a year?</p> <p>(2) Does such communication contain information which conforms to pertinent requirements?</p> <p>*b. <u>Placement Consideration Clearance</u></p> <p>(1) Are employees offered appropriate special placement consideration, are referrals properly made, are documentation reasons of selection/non-selection maintained, etc?</p> <p>-- Special consideration for repromotion for employees demoted without personal cause or who have retained grade status.</p> <p>-- Priority consideration for subsequent vacancies for employees not previously afforded proper consideration in competitive promotion actions.</p> <p>(2) Are employees provided a mechanism for consideration and are referrals properly made?</p> <p>-- Consideration for promotion as vacancies occur for employees absent in military services, IPA assignments, assignments with public international organizations or on Federal employees’ compensation.</p>	<p style="text-align: right;">PAGE A6</p> <p><i>*(NPG 3335.1; 5 CFR 335)</i></p> <p><i>*</i></p> <p><i>(NPG 3335.1)</i></p> <p><i>(CH 3, Sec 3.3)</i></p> <p><i>(CH 3, Sec 3.3)</i></p> <p><i>(CH 3, Sec 3.8)</i></p>

A. STAFFING REVIEW ITEMS 4. COMPETITIVE PLACEMENT PLAN - (continued)	WAS REVIEW ITEM MET? (“YES” OR “NO” WITH COMMENTS) <i>(5 CFR 335.101-105; NHB 3335.1C & Amendments)</i>
(12) Is basic eligibility of applicants for promotion determined by screening against minimum qualification standards and time-in-grade and time after competitive appointment requirements?	<i>(CH 3, Sec 3.10)</i>
(13) Is basic eligibility of candidates determined accurately?	<i>(CH 3, Sec 3.10)</i>
(14) Do selecting officials participate in the job analysis procedures in determining the knowledge, skills and abilities (KSAs) to be rated in identifying the best available candidates for a position	<i>(CH 3, Sec 3.11)</i>
(15) Are KSA’s properly developed and supported by sufficient documentation so that the process reveals appropriate technical steps showing evidence of job-relatedness?	<i>(CH 3, Sec 3.11; Appendix A)</i>
(16) Is use of rating panels/SMES in rating for various kinds and levels of positions in accordance with NPG 3335.1 (and any local supplements)?	<i>(CH 3, Sec 3.11)</i>
(17) Are promotion certificates properly prepared?	<i>(CH 3, Sec 3.12)</i>
(18) Do areas of consideration used produce sufficient candidates for consideration by selecting officials?	<i>(CH 3, Sec 3.4)</i>
(19) Are selections made in accordance with the provisions of NPG 3335.1 (and any local supplements)?	<i>(CH 3, Sec 3.11, 3.12, 3.13)</i>
(20) Are selections documented on promotion certificates by selecting officials?	<i>(CH 3, Sec 3.12, Appendix A)</i>
(21) Are the candidates selected released from their positions in accordance with the provisions of NPG 3335.1 (and only local supplements)?	<i>(CH 3, Sec 3.14)</i>
(22) Is information to candidates for competitive placement provided in accordance with provisions of NPG 3335.1 (and any local supplements)?	<i>(Appendix B)</i>
(23) Are employee complaints concerning the Merit Promotion Program handled in accordance with the provisions of NPG 3335.1 (and any local supplements)?	<i>(CH 3, 301)</i>

A. STAFFING REVIEW ITEMS 5. SPECIAL PROGRAMS	WAS REVIEW ITEM MET? (“YES” OR “NO” WITH COMMENTS) PAGE A9
<p>a. <u>Part-Time Career Employment</u></p> <p><u>SAMPLE:</u> Select three part-time career appointments (or Conversion Actions) from actions taken during the period covered by the preceding 12 months.</p> <p>(1) Has a part-time career employment program been established and a program coordinator designated?</p> <p>(2) Has the program been implemented with due consideration being given to:</p> <ul style="list-style-type: none"> -- program goals and timetables, -- review of vacancies and established/proposed positions, -- procedure to permit current employees to convert to part-time, -- appropriate communications: notification to public; consultation with interested groups; keeping management/employees informed, and, -- records maintenance? <p>b. <u>Employees with Disabilities & Disabled Veterans Programs</u></p> <p>(1) Is there an installation Affirmative Action Program Plan for the Employment of Disabled Individuals and Disabled Veterans?</p> <p>(2) Are managers aware of delegated authorities available to hire employees with disabilities?</p>	<p><i>(5 USC 3401-3408; Public Law 95-437; 5 CFR 340)</i></p> <p><i>(5 USC 3402-7)</i></p> <p><i>(5 USC 3402-7)</i></p> <p><i>(5 CFR 720.301-307; NASA AAP)</i></p> <p><i>[5 CFR 213.3102(t)&(u); 213.3301(k)]</i></p>

A. STAFFING REVIEW ITEMS 5. SPECIAL PROGRAMS (continued)	WAS REVIEW ITEM MET? (“YES” OR “NO” WITH COMMENTS) PAGE A10
<p>c. <u>Student Education Employment Programs</u> (Student Temporary Employment Program and Student Career Experience Program)</p> <p><u>SAMPLE</u>: Select a few cases under each of the above programs.</p> <p>(1) Are eligibility requirements for candidates being met?</p> <p>(2) Are positions for student employment programs being properly classified?</p> <p>(3) Do students have performance plans in place?</p> <p>(4) Is there a signed agreement with the student’s university or college? (Student Career Experience Program only)</p> <p>(5) Are Program requirements for non-competitive conversion satisfied? (Student Career Experience Program only)</p> <p>d. <u>Non-permanent Appointments</u></p> <p><u>SAMPLE</u>: Select five temporary appointments.</p> <p>(1) Review the need for an applicant supply system for Temporary appointments outside the register.</p> <p>(2) If a need exists, has it been established and maintained in accordance with regulatory requirements?</p> <p>(3) Are there procedures for its use and are they followed?</p>	<p><i>(5 CFR 213.3202(a) and (b))</i></p> <p><i>[5 CFR 213.3202(a) and (b)]</i></p> <p><i>[5 CFR 213.3202(a)(11) and (b)(14)]</i></p> <p><i>[5 CFR Part 430 Subpart B]</i></p> <p><i>[5 CFR 213.3202(b)(12)]</i></p> <p><i>[5 CFR 213.3202(b)(11)]</i></p> <p><i>(5 CFR 333)</i></p>

A. STAFFING REVIEW ITEMS 6. PROBATION PERIOD	WAS REVIEW ITEM MET? (“YES” OR “NO” WITH COMMENTS) <i>(5 CFR 315 -- more references below)</i>
<p>SAMPLE: Select a maximum of 5 actions each of (a) appointments and (b) first assignments to a supervisory/managerial position.</p> <p>(1) Is there a system for making probationary period determinations (for both appointment and first assignment to a supervisory/managerial position)?</p> <p>(2) Is there adherence to regulatory requirements?</p>	<p style="text-align: right;">PAGE A11</p>
A. STAFFING REVIEW ITEMS *7. EXPERTS AND CONSULTANTS	WAS REVIEW ITEM MET? (“YES” OR “NO” WITH COMMENTS) <i>*(42 USC 2473(c)(9); 5 USC 3109; 5 CFR 304 -- more references below)</i>
<p>(1) Have services been obtained for an appropriate purpose and with appropriate levels of approval?</p> <p>(2) Do appointees meet the OPM definition of “expert” with no preference given to annuitants?</p> <p>(3) Was there appropriate documentation of pre-employment review and approval of individual expert/consultant?</p> <p>(4) Has a system for internal review during employment been established and followed? Does the system monitor the actual number of days each expert or consultant works?</p> <p>(5) Have statements of Financial Interest been obtained and reviewed in a timely manner?</p> <p>(6) Have pay rates been appropriately established?</p> <p>(7) Do services provided meet the organization’s specific need?</p>	<p><i>[NPG 3300, CH 4; 5 CFR 304.103(a)]</i></p> <p><i>(5 CFR 304.102)</i></p> <p><i>(5 CFR 304.108)</i></p> <p><i>(SF 278)</i></p> <p><i>(5 CFR 304.106)</i></p>

A. STAFFING REVIEW ITEMS 8. NON-COMPETITIVE DETAILS	WAS REVIEW ITEM MET? (“YES” OR “NO” WITH COMMENTS) PAGE A12
<p>NOTE: Details requiring competition will be reviewed under the Competitive Placement Plan Review.</p> <p>a. <u>Details Within NASA</u></p> <p>(1) Are procedures in place to advise management concerning requirements, control and proper documentation?</p> <p>(2) Are details processed in accordance with legal requirements (120 day increments) and limited to shortest practicable time?</p> <p>b. <u>Details to Other Federal Agencies</u></p> <p>(1) Have there been details to other agencies or organizations?</p> <p>(2) Have requests been approved by the required level of authority?</p> <p>(3) Have these details been properly controlled and recorded.</p>	<p><i>(NPG 3300, CH 8, 5 USC 3341)</i></p> <p><i>(5 USC 3341)</i></p> <p><i>(NPG 3300, CH 8)</i></p> <p><i>(NPG 3300, CH 8)</i></p>

A. STAFFING REVIEW ITEMS 8. NON-COMPETITIVE DETAILS	WAS REVIEW ITEM MET? (“YES” OR “NO” WITH COMMENTS) PAGE A13
<p>c. <u>Intergovernmental Personnel Act (IPA) Assignments</u></p> <p>SAMPLE: Review at least two of four types of IPA assignments: (a) by detail from a non-Federal organization to NASA, (b) by temporary appointment to NASA while on leave without pay (LWOP) from a non-Federal organization, (c) by detail from NASA to a non-Federal organization, (d) by temporary appointment to a non-Federal organization while on LWOP from NASA.</p> <p>(1) Has a system been established to:</p> <ul style="list-style-type: none"> (a) Review and approve organizations for IPA participation? (b) Ensure that all noncitizens, whether by detail or appointment (including extensions), are approved in advance by the Administrator? (c*) Monitor adherence to assignment and service time requirements? (d) Establish and document OPF’s? <p>(2) Was an IPA agreement, signed by NASA and the employee, prepared for each assignment, and is the IPA agreement adequate for the position?</p> <p>(3) Were proper pay rates established and are the salaries monitored?</p> <p>(4) Are copies of approval letters to organizations on file with the IPA agreement(s)?</p> <p>(5) Have copies of participation approval letters to organizations and IPA agreement(s) been forwarded to Code FPP and to Center’s Financial Management Officer for file retention?</p> <p>(6) Do services provided meet the organization’s specific needs?</p>	<p>(5CFR 334, NPG 3300, CH 6)</p> <p>*</p>

A. STAFFING REVIEW ITEMS 9. ADDITIONAL STAFFING AUTHORITIES	WAS REVIEW ITEM MET? (“YES” OR “NO” WITH COMMENTS) <i>(42 USC 2473(c)(9); 5 USC 3109; 5 CFR 304 -- more references below)</i> PAGE A14
<p>a. <u>Advanced-in-hiring rates/Superior Qualifications</u></p> <p>(1) Is action properly documented?</p> <p>(2) Do re-appointments have a 90 day break in service if given advanced rate?</p> <p>(3) Was a recruitment bonus considered and documented?</p> <p>b. <u>Payment of Travel/Transportation to First Duty Post</u></p> <p>(1) Is payment under this authority in accordance with Federal Travel Regulations?</p> <p>c. <u>Payment of Travel for Interview at GS -13 and below</u></p> <p>(1) Does payment of expenses meet Federal Travel Regulations?</p> <p>(2) Are records of interview payments maintained for reconstruction purposes?</p> <p>d. <u>Time-Limited Promotions</u></p> <p>(1) Are Promotions made for limited term that does not exceed 5 years?</p> <p>(2) Are Competitive Placement Plan Procedures used?</p> <p>(3) Do employees receive written notice of conditions or promotions?</p> <p>e. <u>Conversion to Competitive from Excepted Appointments</u></p> <p>(1) Are requirements, including documentation requirements, for conversion of excepted employees to Competitive appointments fully met?</p>	<p><i>[5 USC 5333; 5 CFR 531.203 (b)]</i></p> <p><i>(5 CFR 572.101 to 103)</i></p> <p><i>(41 CFR Ch 301 to 304)</i></p> <p><i>(41 CFR Ch 301 to 304)</i></p> <p><i>(5 CFR 335)</i></p> <p><i>(5 CFR 315; Guide to Processing Personnel Actions)</i></p>

A. STAFFING REVIEW ITEMS 10. PERSONNEL ACTIONS REVIEW	WAS REVIEW ITEM MET? (“YES” OR “NO” WITH COMMENT <i>(Guide for Processing Personnel Action -- more references below)</i> PAGE A15
<p>SAMPLE: Randomly select 60-80 actions for the period covered by the preceding 12 months. A <u>Personnel Action Review Sampling Worksheet</u> is provided to cover most kinds of personnel actions.</p> <ul style="list-style-type: none"> • All aspects of each action are to be reviewed. • Use NPPS data to count how many actions of each type have occurred during the selected time period and to generate lists of actions for selecting which cases to review. • Because sampling sizes may be quite small for a given type of action, the reviewer may need to expand the sample to determine if errors are isolated or have a wider patterns of occurrence. • Determinations on qualifications of candidates, veterans preference determinations, propriety of actions, etc. will be coordinated between the member reviewing the actions and the members responsible for functional review. • Adequate random sampling can be assured if action case lists are pre-sorted only by action type (personnel action & legal authority codes) and cases are selected using the random sample determiner described on the <u>Worksheet</u>. <p>(1) Are personnel actions processed in accordance with requirements?</p> <p>(2*) Are personnel records maintained in accordance with requirements?</p> <p>(3*) Are personnel records properly safeguarded against any unauthorized access or the preparation of fictitious records?</p>	<p style="text-align: center;">*</p> <p style="text-align: center;">*</p>

A. STAFFING REVIEW ITEMS
10. PERSONNEL ACTION REVIEW (SAMPLING WORKSHEET)

Period Covered: _____	(A) # of Actions in Period	(B) # of Actions to Review	(C) Random Sample Determiner	(D) Added Actions
TYPE OF ACTION (ACTION CODES)				
1. CAREER APPTS (100, 500)				
2. CAREER CONDITIONAL APPTS (101, 501)				
3. EXCEPTED APPTS SCHED A&B (170-71, 570-71)				
4. SES APPOINTMENTS (142-149)				
5. CONVERSION TO SES APPT (542-43, 546, 548-49)				
6. TERM APPTS (108, 508)				
7. TEMPORARY APPTS (115, 515, 117, 517)				
8. CHANGE IN TENURE GROUP (180)				
9. TRANSFER (130)				
10. REINSTATEMENTS (140-41, 540-41)				
11. REASSIGNMENTS (721)				
12. DETAILS (730-732)				
13. PROMOTIONS (702, 703)				
14. QUALITY INCREASE (892)				
15. WITHIN-GRADE INCREASE (893, 888)				
16. CHANGE TO LOWER GRADE (713)				
17. SUSPENSIONS (450, 452)				
18. REMOVALS (330)				
19. RESIGNATIONS (317, 312)				
20. PAY ADJUSTMENT (894)				
TOTAL			XXXXXXXXXXXX	

(B) # OF ACTIONS TO REVIEW: In determining how many of each type of action to review, take into account any local factors such as previous review findings, new staff, recent changes in processing requirements, etc. Unless otherwise indicated, for each type of action choose between 3 to 8 cases for review.

(C) RANDOM SAMPLE DETERMINER: Divide the number of each action type (Column A) by the number of that type to be reviewed (Column B). The result (rounded down) represents the frequency determiner for the selection of actions to be reviewed. For example, if the number in Column A is 43 and the number of that kind of action to review is 5, then the frequency determiner for this action type is 8 ($43/5 = 8.6$ rounded down). From a list of the 43 actions, select the 8th action and all subsequent actions based on a multiple of the determiner (in this case, the 8th, 16th, 24th, 32nd, and 40th action on the list).

(D) ADDED ACTIONS: Add at least one of each of the following cases for review if not already randomly selected. For APPTS or CONVERSIONS add a reemployed annuitant, part-time appt/conversion, VRA placement & Taper appt. For EXCEPT APPT (type 3) add an assistant for a deaf or blind employee, alien scientist, expert/consultant, COOP student & employee with disability. For TEMPORARY APPT (type 7) add a 30% disabled veteran. For PROMOTIONS (type 13) add a reclassification, upgrading & first assignment to a supervisory/managerial position. For WGI (type 15) add an increase withheld for both GS & GM employee. For CLG (type 16) add a case with retained grade/pay.

B. CLASSIFICATION & POSITION MGMT REVIEW ITEMS 1. CLASSIFICATION PRACTICES	WAS REVIEW ITEM MET? (“YES” OR “NO” WITH COMMENTS) <i>(5 CFR 511.101-703-- more references below)</i>
<p>1) Do locally developed program documents comply with OPM and NASA requirements.</p> <p>(2*) Is there a written delegation covering each official that classifies positions at the Installation?</p> <p>SAMPLE: Review a two percent (2%) sample of all positions that represent major OPM series and various grade levels at the full performance level. Include (a) supervisory positions; (b) positions whose classification in some measure reflects the impact of the incumbent on the position; (c) positions that are borderline General Schedule/Wage Grade, (d) mixed series AST positions; and as practicable, (e) positions that exceed published grade-level criteria in the governing standards; (f) positions for which there are no specific published grade-level criteria; and, (g) positions classified using the General Schedule Leader Grade Evaluation Guide.</p> <p>(3) Are position descriptions current and related documentation complete?</p> <p>(a*) The position description has been reviewed and certified by the first-line supervisor and reflects the current organizational structure and mission.</p> <p>(b*) Position has been classified by an official to whom classification authority is delegated.</p> <p>(c) Position description adheres to local format requirements.</p> <p>(d) NASA classification <u>and</u> OPM title, series, and grade are shown on position description.</p> <p>(e) Fair Labor Standard Act determination is shown on position description and is correct.</p> <p>(f) Position sensitivity is appropriately documented.</p> <p>(g) Position suitability risk level is documented.</p>	<p><i>(NASA Position Classification Handbook)</i></p> <p><i>*(NMI 3510.1)</i></p> <p><i>*(OPM Introduction to Position Classification Standards, Section III)</i></p> <p><i>*(NMI 3510.1)</i></p> <p><i>(5 CFR 551.201, NASA Form 692)</i></p> <p><i>[5 CFR 732.201(a)]</i></p> <p><i>[5 CFR 731.302(a)]</i></p>

B. CLASSIFICATION & POSITION MGMT REVIEW ITEMS 1. CLASSIFICATION PRACTICES (continued)	WAS REVIEW ITEM MET? (“YES” OR “NO” WITH COMMENTS) <i>(5 CFR 511.101-703-- more references below)</i>
<p>(h) Positions in certain scientific and engineering series are coded in accord with National Science Foundation scheme.</p> <p>(i) Student trainees are classified to the GS-XX99 series for the appropriate occupational group.</p> <p>(j) Written analyses are prepared for positions (1) whose classification basis is not readily apparent and (2) showing FES factor levels and point values where appropriate.</p> <p>(k) The major duties, supervisory control, or work relationships are described clearly or specifically enough to permit pay system, title and grade determination.</p> <p>(4) Does Installation appropriately use the most recent edition of NASA Form 692 for new position documentation and maintain a local stock of the forms?</p> <p>(5) Are grades commensurate with the work performed and do not exceed the grade-level needed to perform the work of the unit?</p>	<p><i>(Introduction to Position Classification Standards Appendix 2. OPM Operating Manual, The Guide to Personnel Data Standards)</i></p> <p><i>OPM Handbook of Occupational Groups and Series of Classes Definition of GS-099, General Student Trainee Series)</i></p> <p><i>(NASA Position Classification Handbook, Chapter 3)</i></p> <p><i>(NASA Position Classification Handbook, Chapter 3)</i></p>
2. UNDERSTANDING OF CLASSIFICATION	
<p>1) Discussion with managers, supervisors, and the classification staff shows that they understand their roles and responsibilities in this area (assigning work, structuring positions, updating positions descriptions of subordinates when changes in work occur, etc.) and have received appropriate training or information on the subject</p>	

B. CLASSIFICATION & POSITION MGMT REVIEW ITEMS 3. CLASSIFICATION STANDARDS	WAS REVIEW ITEM MET? (“YES” OR “NO” WITH COMMENTS) <i>(5 CFR 511; Position Classification Handbook -- more references below)</i> PAGE B3
<p>(1) Does the classification staff have access to up-to-date version of NASA’s position Classification Handbook and all classification and job grading standards that apply to positions within the serviced Installation.</p> <p>SAMPLE: Review documentation on several occupations for which new position classification and job grading standards have been issued within the preceding 12 months. The transmittal sheets filed with the position classification and job grading standards will state which standards have been recently issued.</p> <p>(2) Have new standards been applied to positions within a reasonable time period (i.e., within 6 months unless a longer period was requested from and approved by the Agency Classification Officer)?</p>	
4. CLASSIFICATION APPEAL DECISIONS	<i>(5 CFR 511.701-703)</i>
<p>SAMPLE: Review several classification appeal decisions over the last 2 years and check the OPF’s of affected individuals.</p> <p>(1) Were corrective personnel actions processed in a timely fashion, e.g., within four pay period unless decisions specified a later date?</p>	

B. CLASSIFICATION & POSITION MGMT REVIEW ITEMS 5. POSITION MANAGEMENT	WAS REVIEW ITEM MET? (“YES” OR “NO” WITH COMMENTS) <i>(5 CFR 511-- more references below)</i>
<p>(1*) Do local issuances on position management comply with NASA requirements?</p> <p>(2) Interview local program official to ascertain that specific measures and procedures are in place and designed to ensure:</p> <p>(a) accomplishment of the work through establishment of a position structure which blends the skills and assignments of employees with the goal of successfully performing the Installation’s mission,</p> <p>(b) the organizational structure effects a logical balance between the number of employees needed to perform the Installation’s major functions and the number of employees needed to provide adequate support; between professional employees and technicians; between full performance and trainee positions; between supervisors and subordinates, and the use of deputy positions,</p> <p>(c) individual performance plans are linked with duties not only assigned but actually performed; and organization performance measures are linked with individual performance measures to determine overall organization effectiveness.</p> <p>(3) Based on locally established responsibility, authority and accountability, do managers receive satisfactory advisory services from the personnel office staff as to organizational and position structuring?</p>	<p>*(NMI 3510.1)</p>

C. COMPENSATION REVIEW ITEMS 1. ABSENCE AND LEAVE	WAS REVIEW ITEM MET? (“YES” OR “NO” WITH COMMENTS) <i>(References Below)</i>
<p>(1) Is there a written delegation of authority to approve absence and leave?</p> <p>(2) Does the Installation have guidelines for planning, scheduling, and rescheduling, annual leave?</p> <p>(3) Have the Installation’s procedures been established and communicated to employees?</p> <p>(4) Does the Installation have guidelines in place to ensure that employees are allowed to use leave as entitled under the Family and Medical Leave Act and the Family Friendly Leave Act?</p> <p>(5) Does the Installation have guidelines in place for the operation of a Voluntary Leave Transfer Program, including establishing and maintaining separate leave accounts for leave recipients?</p> <p>SAMPLE: Review 3 requests for restoration of annual leave and 3 cases of leave transfer to determine that:</p> <p>(6) Actions taken are in compliance with regulatory provisions.</p> <p>(7) Actions are fully and properly documented.</p> <p>(8) The restoration was approved by an official with proper authority.</p> <p>(9) Separate leave accounts have been established for restored leave and for donated leave.</p>	<p><i>(5 CFR 630.101-1211)</i></p> <p><i>(5 CFR 630.308)</i></p> <p><i>(5 CFR 630, Subparts D and L)</i></p> <p><i>(5 CFR 630, Subpart I)</i></p> <p><i>(5 CFR 630, Subpart C)</i></p>

C. COMPENSATION REVIEW ITEMS 2. PAY ADJUSTMENT FOR SUPERVISORS	WAS REVIEW ITEM MET? (“YES” OR “NO” WITH COMMENTS) <i>(5 CFR 575.401-407 - more references below)</i>
<p>SAMPLE: Review a few actions of supervisory differential to determine that:</p> <p>(1) Documentation shows rationale for adjusting pay.</p> <p>(2) The justification complies with OPM/NASA regulations and guide-lines.</p> <p>(3*) The pay adjustment was authorized by an official with the proper authority.</p> <p>(4) Is there a follow-up system to discontinue supervisory differential when no longer justified?</p>	<p style="text-align: right;">PAGE C2</p> <p><i>*(NPD 3000)</i></p>
<p>3. ANNUAL PREMIUM PAY</p>	<p><i>(5 CFR 550, Subpart A)</i></p>
<p>(1) Do local delegations comply with Agency requirements?</p> <p>(2) Is there a follow-up system to discontinue annual premium pay when no longer justified?</p> <p>SAMPLE: Review annual premium pay documentation to determine that:</p> <p>(3) Justification is based on adequate historical records of standby duty and/or overtime.</p> <p>(4) The percentage is derived from OPM regulations.</p> <p>(5*) Cases are approved by officials with delegated authority.</p> <p>(6) Employee is not ineligible under availability pay.</p>	<p><i>(NPG 3530)</i></p> <p><i>(5 CFR 550.161-162)</i></p> <p><i>(5 CFR 550.141-164)</i></p> <p><i>*</i></p> <p><i>(5 CFR 550.181)</i></p>

C. COMPENSATION REVIEW ITEMS 4. HIGHEST PREVIOUS RATE	WAS REVIEW ITEM MET? (“YES” OR “NO” WITH COMMENTS <i>(5 CFR 531, Subpart B - more references below)</i>
<p>(1) Are local issuances consistent with OPM regulations and Agency policy?</p> <p>(2) Based on review of OPF’s, are individual exceptions to Agency policy properly granted and documented?</p> <p>(3*) SAMPLE: Review a few highest previous rate actions (including exceptions to Agency policy) to determine if the highest previous rate rule is properly and consistently applied and documented (including exceptions to Agency policy).</p>	<p style="text-align: right;">PAGE C3</p> <p><i>*(NPG 3530)</i></p>
5. HOURS OF DUTY	<i>(5 CFR 610.101-404)</i>
<p>(1*) Do local delegations comply with Agency requirements?</p> <p>(2) Do local policy issuances comply with Agency regulations, especially on approval of first - 40 tours of duty and special educational tours of duty?</p> <p>(3) Do justifications for first - 40 tours and educational tours comply with OPM, Agency, and Installation regulations?</p> <p>(4) Are work schedules established in accordance with legal and regulatory requirements?</p> <p>(5) Does the administration of credit hours, holidays, core hours, and premium pay under flexible or compressed schedules comply with legal, regulatory, and Agency (including local) requirements?</p>	<p><i>*(NPG 3600)</i></p> <p><i>(5 USC Chapter 61, 5 CFR 610)</i></p> <p><i>(5 USC Chapter 61, 5 CFR 550 and 551)</i></p>

C. COMPENSATION REVIEW ITEMS 6. OVERTIME	WAS REVIEW ITEM MET? (“YES” OR “NO” WITH COMMENTS <i>(5 CFR 550.111-114) - more references below)</i>
<p>(1) Do local delegations comply with Agency requirements?</p> <p>(2*) Do local policy issuances comply with OPM regulations and agency policy, especially on approval and use of compensatory time?</p> <p>(3) Are known overtime requirements scheduled into regularly scheduled administrative workweeks?</p>	<p><i>(NPD 3000)</i></p> <p><i>*[5 CFR 550, Subpart A (Title V)]</i></p> <p><i>[5 CFR 551, Subpart E (FLSA)]</i></p>
7. PAY RATE SPECIAL FACTORS	<i>(Guide for Processing Personnel Actions)</i>
<p>SAMPLE: Review personnel actions for employees with a pay rate determinant other than zero to include (if applicable): at least 1 retained grade, 1 retained pay, and 1 superior qualifications case; AND at least 1 promotion from a special rate position to a non-special rate position, and 1 conversion from GM to GS case to determine that:</p> <p>(1*) The rate of pay has been set properly.</p> <p>(2) The SF 50s clearly document special factors, e.g., superior qualifications rate, retained grade, special rate.</p> <p>(3) The decision to convert the employee from GM to GS was made properly, in accordance with applicable regulations.</p>	<p><i>*(5 CFR 531, Subpart B; 5 CFR 536)</i></p> <p><i>(5 CFR 531, Subpart B; 5 CFR 536)</i></p> <p><i>(5 CFR 531, Subpart B)</i></p>

D. EMPLOYEE RELATIONS REVIEW ITEMS 1. PERFORMANCE APPRAISAL	WAS REVIEW ITEM MET? (“YES” OR “NO” WITH COMMENTS) PAGE D1
<p>(1) Has the Installation implemented the performance appraisal program in compliance with Agency and OPM requirements?</p> <p>(2*) Are plans developed for all employees in the current rating cycle?</p> <p>(3) Does personnel office have documentation to show that all employees have received a signed or otherwise documented rating for the most recently completed rating cycle?</p> <p>(4) Have performance plans changed/been improved over prior years?</p> <p>SAMPLE: Review the performance plans for the most recently completed appraisal cycle for 5 managers/supervisors and 5 nonsupervisors to include at least one job with EEO requirement, and one case with rating of “Fails to Meet Expectations”.</p> <p>(5) Do performance plans contain at least one critical element which addresses both the individual performance and the Agency Strategic Plan?</p> <p>(6) In the two-level system, are only critical elements used for the rating of record?</p> <p>(7) Are critical elements clear and reflect work assignments and responsibilities?</p> <p>(8) When, appropriate, do plans reflect key managerial/supervisory responsibilities?</p> <p>(9) Are EEO considerations reflected, as appropriate?</p> <p>(10) Are performance standards clear and measurable?</p> <p>(11) If required, do performance plans reflect at least one progress review?</p> <p>(12) Do performance ratings include a narrative summary of performance?</p> <p>(13) Is the overall rating based on the ratings of each job element?</p> <p>(14) Does the overall rating meet the appropriate definition?</p> <p>(15) Has performance rating of “Fails to Meet Expectations” been reviewed and approved by a higher level management official?</p>	<p>(5 CFR 430;NPG 3430)</p> <p>[*5 CFR 430.206(b)]</p>

D. EMPLOYEE RELATIONS REVIEW ITEMS 2. INCENTIVE/PERFORMANCE AWARDS PROGRAM	WAS REVIEW ITEM MET? (“YES” OR “NO” WITH COMMENTS) <i>(5 USC 4501-4513, CFR 451.101-451.203, NPG 3451.1 -- more references below)</i> PAGE D2
<p>(1) Has the installation established a program in conformance with applicable Agency and OPM requirements?</p> <p>(2) Does the program receive positive support from all levels of management?</p> <p>(3) Are awards granted to individuals, groups, and supervisors so as to encourage meeting organizational goals or improving efficiency, effectiveness and economy of operations?</p> <p>(4) Is there publicized recognition for employee contributions?</p> <p>(5) Have all individual awards granted that exceeded \$7,500 been forwarded to HQ for prior approval by the NASA Administrator?</p> <p>(6*) Have controls been established to prevent a time-off award being converted to a cash payment?</p> <p>SAMPLE: Review 10 Performance awards (include at least 2 each of monetary and time-off awards) (include five each of non-supervisory employees and supervisors) granted during the past year.</p> <p>(7) Are awards granted in accordance with applicable OPM, Agency and Center requirements?</p> <p>(8) Have awards been processed through the agency personnel data system to enable accurate reporting to OPMs Central Personnel Data File?</p> <p>(9*) Is justification for awards not based on performance rating of record filed in Employee’s Performance File?</p> <p>(10) Does justification for awards not based on performance rating of record conform to requirements?</p> <p>(11*) Were awards approved at the proper level under delegated authorities?</p>	<p>(* 5 CFR 451.104 (f))</p> <p>(* 5 CFR 451.103 (c) (2); CFR 430.203 & OPM Operating Guide to Personnel Recordkeeping Chapter 3 Table 3-C; and 5 CFR 293.403 (b) (2))</p> <p>*</p>

D. EMPLOYEE RELATIONS REVIEW ITEMS 3. SUGGESTION/EMPLOYEE INVOLVEMENT PROGRAM	WAS REVIEW ITEM MET? (“YES” OR “NO” WITH COMMENTS) <i>(5 USC 4501-4513;CFR 451.101-451.203;NPG 3451.1)</i>
<p>(1) Is there evidence of management support and publicity of the program?</p> <p>(2) Have awards granted to individuals that exceeded \$7,500 been forwarded to HQ for prior approval by the Administrator?</p> <p>SAMPLE: Review four of the suggestions submitted within the last 3 years to determine if the installation’s active program complys with OPM, Agency and Center requirements.</p> <p>(3) Was the suggestor a government employee at the time the contribution was made?</p> <p>(4) Have suggestions been outside of the suggestor’s job responsibilities or, if within them, so superior that it warranted special recognition?</p> <p>(5) Does documentation indicate that awards for suggestions have been commensurate with the benefits realized by the Government as determined by NASA’s Intangible and Tangible Benefits Scales?</p>	<p style="text-align: right;">PAGE D3</p>
4. QUALITY STEP INCREASES	<i>(CFR 531.501-508 & NPG 3451.1 & NPG 3530 -- more references below)</i>
<p>SAMPLE: Review five of the quality step increases granted during the past year to determine if Installation processed QSI in compliance with OPM, Agency, and Installation requirements.</p> <p>(1*) Were QSI’s approved at the proper level under delegated authority?</p> <p>(2*) Was a QSI granted only once to an employee during the past 52 weeks?</p> <p>(3) Were QSI’s granted only to employees paid under the General Schedule?</p> <p>(4) Was there a written justification other than employee’s rating of record that demonstrated sustained performance of high quality significantly above that expected at the “Meets Expectations” level?</p>	<p>*(CFR 531.501 & NPG 3530)</p> <p>*(CFR 531.505 & NPG 3451.1)</p> <p><i>(NPG 3451.1)</i></p> <p><i>(CFR 531.504 (b)(2) & NPG 3451.1)</i></p>

D. EMPLOYEE RELATIONS REVIEW ITEMS 5. WITHIN-GRADE INCREASES	WAS REVIEW ITEM MET? (“YES” OR “NO” WITH COMMENTS) <i>(CFR 531.401-414 & NPG 3530 -- more references below)</i>
<p>a <u>Processing WIG’s</u></p> <p>(1) Is there adequate training on WIG’s to supervisors and employees?</p> <p><u>SAMPLE:</u> Review five WIG’s to determine that they are processed in accordance with Agency, OPM and local collective bargaining requirements.</p> <p>(2) Was acceptable level of competence (ALOC) determined based on most recent rating of record?</p> <p>(3) How does management assure that work reflects an ALOC (i.e., WIG not granted on an automatic basis)?</p> <p>(4) Is proper documentation in OPF?</p> <p>b <u>Denials of WIG’s</u></p> <p><u>SAMPLE:</u> Review three of the WIG denials to determine that these are processed in accordance with requirements.</p> <p>(1) Was the denial of WIG approved at the proper level under delegated authorities?</p> <p>(2) Was the negative determination done in a timely manner?</p> <p>(3) Is there adequate documentation in the case file?</p> <p>(4) Was the reconsideration of a negative determination done in a timely manner?</p>	<p style="text-align: right;">PAGE D4</p> <p><i>(CFR 531.409)</i></p>

D. EMPLOYEE RELATIONS REVIEW ITEMS 7. ADVERSE ACTIONS AND DISCIPLINE	WAS REVIEW ITEM MET? (“YES” OR “NO” WITH COMMENTS) <i>(5 CFR 752.101 to 605; NPG 3752.1E)</i>
<p>SAMPLE: Review at least 2 of the disciplinary and 2 of the adverse action files (i.e., reprimands, suspensions, demotion’s/removals, reprimands) for each of the past 3 years to determine that actions taken conform to applicable Agency, OPM and collective bargaining requirements.</p> <p>(1*) Were actions proposed and taken by appropriate officials?</p> <p>(2) Were the reasons for the action stated clearly and the charges supported by the evidence?</p> <p>(3) Were the employees informed of their right to be represented, to review the evidence relied upon and to reply orally and/or in writing?</p> <p>(4) Were penalties generally within the guidelines set out in the Installation Table of Penalties if any? (Douglas factors considered as appropriate?)</p> <p>(5*) Did the decision letter include appropriate appeal rights?</p> <p>(6) Were actions proposed, processed and taken without unnecessary delay?</p> <p>(7) Was an evidence file maintained as required?</p>	<p style="text-align: right;">PAGE D6</p> <p><i>*(NPG 3752.1E, Ch. 1.1 and 1.2)</i></p> <p><i>*(5 USC 752.405)</i></p> <p><i>(5 CFR 752.406)</i></p>

D. EMPLOYEE RELATIONS REVIEW ITEMS 8. APPEALS AND GRIEVANCES	WAS REVIEW ITEM MET? (“YES” OR “NO” WITH COMMENTS) PAGE D7
<p>(1) Is a mechanism available to inform employees about the various processes available to deal with their concerns, e.g. grievances, Office of Special Counsel, equal opportunity, etc.?</p> <p>(2*) Were “root problems” or grievances being addressed/resolved by management in a proactive way to avoid future grievances?</p> <p>SAMPLE: Review a minimum of three of the administrative and three of the negotiated grievances filed during each of the past 3 years to determine that grievances are processed in accordance with Agency, OPM and collective bargaining requirements.</p> <p>(3*) Were grievance files established and maintained in accordance with requirements?</p> <p>(4) Were grievances rejected only for proper reasons?</p> <p>(5) Were deciding officials properly identified?</p> <p>(6) Were grievance fact finders properly selected?</p> <p>(7) Were processing time requirements met or reasons for delays documented?</p>	<p><i>*(5 CFR 771)</i></p> <p><i>*(NPG 3771.1E, local collective bargaining agreements)</i></p>

D. EMPLOYEE RELATIONS REVIEW ITEMS 9. EMPLOYEE RESPONSIBILITIES AND CONDUCT	WAS REVIEW ITEM MET? (“YES” OR “NO” WITH COMMENTS) <i>(5 CFR 735; 5 CFR Part 2635; 5 CFR 2634)</i>
<p>(1) Is standards of conduct/ethics training provided for employees in accordance with regulations?</p> <p>(2) Are copies of laws, E.O. Agency regulations and OPM regulations and instructions relating to ethical and other conduct available for review by employees?</p> <p>(3) Are files relating to requests for permission to engage in outside employment maintained and updated on a regular basis?</p> <p>(4*) Are statements of Employment and Financial Interest (OGE Form 450) processed timely, and maintained (filed) in a manner that ensures their confidentiality at all times?</p>	<p style="text-align: right;">PAGE D8</p> <p><i>*(5 CFR Part 2634, subpart I)</i></p>
10. PROHIBITED PERSONNEL PRACTICES	<i>(5 USC Chapter 23)</i>
<p>(1) Is a mechanism available to periodically inform employees about prohibited personnel procedures?</p>	

D. EMPLOYEE RELATIONS REVIEW ITEMS 11. DRUG FREE WORKPLACE PROGRAM (DFWP)	WAS REVIEW ITEM MET? (“YES” OR “NO” WITH COMMENTS) <i>(E.O. 12564; HHS Mandatory Guidelines; and NPG 3792.1C)</i>
<p>a. <u>Notifying Employees in Testing Designated Positions (TDP)</u></p> <p>(1) Discussions with managers, supervisors, and the personnel staff show that they understand their roles and responsibilities to evaluate job duties against TDP criteria.</p> <p>(2) Are all TDP’s periodically reviewed to verify the accuracy of the designation and TDP pool for random drug testing?</p> <p>(3) Is there a procedure in place to require an acknowledgment of receipt of the “Thirty (30) Day Notice to Employee in Testing Designated Position” for every employee occupying a TDP?</p> <p><u>SAMPLE:</u> Review up to 8 cases to include at least a couple of each of the following types of actions: reclassified position, position the duties of which changed without resulting in reclassification, and reassignment from/to a TDP.</p> <p>(4) As job duties change, are positions systematically reviewed to verify determinations as a TDP or non-TDP?</p> <p>b. <u>Vacancy Announcements</u></p> <p>(1) For any position/set of duties determined to be a TDP for which there has been a vacancy announcement, an Intergovernmental Personnel Act (IPA) agreement, etc., has the announcement or agreement clearly stated that the position/set of duties is designated as a TDP and subject to random drug testing?</p>	<p style="text-align: right;">PAGE D9</p>

D. EMPLOYEE RELATIONS REVIEW ITEMS 11. DRUG FREE WORKPLACE PROGRAM (DFWP Continued)	WAS REVIEW ITEM MET? (“YES” OR “NO” WITH COMMENTS) <i>(E.O. 12564; HHS Mandatory Guidelines; and NPG 3792.1C)</i>
<p>c. <u>Education and Training</u></p> <p>(1) Is adequate information regarding the NASA Drug-Free Workplace Program (the NASA Plan for a Drug-Free Workplace, brochure, etc.) provided to new employees at the time of entrance on duty?</p> <p>(2) Does the Center have a continuing drug education program which provides information regarding drug abuse and rehabilitation to all employees on a periodic basis?</p> <p>(3) Have all supervisors been trained in accordance with regulations and Agency requirements in recognizing and addressing illegal drug use?</p> <p>(4) Is training timely and appropriately recorded for reporting purposes?</p> <p>(5) Have managers, supervisors, personnel, Employee Assistance Program (EAP) staff, and the Installation’s Medical Review Officer received appropriate guidance on their roles and responsibilities as they pertain to the DFWP?</p>	<p style="text-align: right;">PAGE D10</p>

E. LABOR MANAGEMENT RELATIONS REVIEW ITEMS 1. MANAGEMENT SUPPORT	WAS REVIEW ITEM MET? (“YES” OR “NO” WITH COMMENTS) <i>(5 USC Ch.71)</i> PAGE E1
<p>(1) Is there a published local policy statement or is the Agency’s Labor-Management Relations (LMR) policy available?</p> <p>(2) Does the LMR staff have access to key management officials?</p> <p>(3) Does the LMR staff have the opportunity to review and provide input to new or proposed changes in personnel policies and practices and other actions that affect working conditions of bargaining unit employees prior to implementation?</p> <p>(4) Is LMR training provided for managers and supervisors who supervise bargaining unit employees?</p> <p>(5) Are copies of the labor agreement given to managers and supervisors who have direct responsibility for the work performed by members of the bargaining unit and to all bargaining unit employees?</p>	
2. CONSULTATION/BARGAINING/PARTNERSHIP	
<p>(1*) Are labor organizations given the opportunity to meet at reasonable times and to consult/bargain/partner in a good faith effort to reach agreement with respect to conditions of employment of bargaining unit members?</p> <p>(2) Are issues that are discussed or agreed upon between management and union documented?</p> <p>(3) Is management represented at negotiations or third-party actions by someone with authority to commit management to a written agreement?</p>	<p><i>*[5 U.S.C. 7103 (a) (12); 5 USC 7117; EO 12871)</i></p>

E. LABOR MANAGEMENT RELATIONS REVIEW ITEMS 3. REPRESENTATION BY LABOR ORGANIZATIONS	WAS REVIEW ITEM MET? (“YES” OR “NO” WITH COMMENTS) PAGE E2
<p>(1*) Are labor organization given the opportunity to be represented at formal discussions between management and employees or employee representatives concerning grievances, personnel policies and practices, or other general conditions of employment?</p> <p>(2*) Are employees in exclusive bargaining units notified annually of their right to be represented at any examination of an employee by a management representative where the employee (a) believes discipline may result and (b) requests such representation? (Weingarten right)</p>	<p><i>*(5 U.S.C. 7121 (b) (3) (A) (B); 5 USC 7114)</i></p> <p><i>*[5 U.S.C. 7114 (a) (3)]</i></p>
4. USE OF OFFICIAL TIME	
<p>(1*) Have procedures and controls been developed and maintained to account for official time used?</p>	<p><i>*(5 USC 7131)</i></p>
5. CONTINGENCY PLANS	
<p>(1) Have current contingency plans been developed establishing local procedures for dealing with work stoppages or other disruptive activities?</p>	<p><i>[5 USC 7103 (a) (4) (D); 7116 (b) (7); 7311 (3); OPM Guidance Bulletin No. 14, June 1982, “Strike Contingency Plan”</i></p>
6. UNFAIR LABOR PRACTICE (ULP) ALLEGATIONS/GRIEVANCES	
<p>(1) Are ULP’s reviewed to determine if any basic management practices need to be addressed/changed to avoid future problems?</p> <p>(2) Are grievances under the collective bargaining unit reviewed to determine if any basic management practices need to be addresssed/changed to avoid future problems?</p>	

F. MANAGEMENT CONTROLS 1. SUMMARY REPORT ON CONTROL ENVIRONMENT	WAS REVIEW ITEM MET? (“YES” OR “NO” WITH COMMENTS) (NASA Desk Guide DG-06, Sections A through E) PAGE F1
<p>Cyclic summary reports verify that the overall personnel office environment effectively assures internal controls are in place and used as planned. Documentation of the following items form the basis of a cyclic management control review and are to be maintained for at least 6 months after the date of the summary report.</p> <p>a. <u>Data & records are up-to-date and accurate.</u></p> <p>(1) Are personnel processing action records maintained in accordance with OPM and NASA requirements?</p> <p>(2) Have procedures and controls been developed to insure accurate accounting of official time used by employee bargaining unit representatives?</p> <p>(3) Is justification for those awards not based on performance rating of record, filed in Employee’s Performance File?</p> <p>(4) Was a QSI granted only once to an employee during the past 52 weeks?</p> <p>(5) Are grievance files established/maintained in accordance with requirements?</p> <p>b. <u>Program operating procedures and activities are clearly documented & adequate upon examination.</u></p> <p>(1) Since the most recent self-assessment summary report, do OPM reviews of delegated examining operations confirm satisfactory program operation?</p> <p>(2) Do competitive placement procedures follow guideline requirements?</p> <p>(3) Does employment of experts/consultants follow guideline requirements?</p> <p>(4) Do Intergovernmental Personnel Act assignments adhere to assignment and service time requirements?</p> <p>(5) Do local issuances on position management comply with NASA requirements?</p> <p>(6) Have pay rates been properly set?</p> <p>(7) Have controls been established to prevent a time-off award being converted to a cash payment?</p>	<p><i>(Item A10 (2))</i></p> <p><i>(Item E4 (1))</i></p> <p><i>(Item D2 (9))</i></p> <p><i>(Item D4 (2))</i></p> <p><i>(Item D8 (3))</i></p> <p><i>(Most recent OPM Report on delegated examining)</i></p> <p><i>(Item A4)</i></p> <p><i>(Item A7)</i></p> <p><i>(Item A8 (c2))</i></p> <p><i>(Item B5 (1))</i></p> <p><i>(Item C7 (1))</i></p> <p><i>(Item D2 (6))</i></p>

F. MANAGEMENT CONTROLS 1. SUMMARY REPORT ON CONTROL ENVIRONMENT (continued)	WAS REVIEW ITEM MET? (“YES” OR “NO” WITH COMMENTS) <i>(NASA Desk Guide DG-06, Sections A through E)</i>
<p>c. <u>Appropriate procedures are established and followed to assign and approve work of HR functional staff.</u></p> <p>(1) Are recruitment travel costs considered reasonable including cost for interview trips?</p> <p>(2) Are performance plans developed for <u>all</u> personnel office employees?</p> <p>d. <u>Significant activities are authorized and performed only by persons acting within their assigned authority.</u></p> <p>(1) Are there indications of major problems in recruitment planning regarding management participation in plan development?</p> <p>(2) Is there a written delegation covering each official that classifies positions at the Installation?</p> <p>(3) Were the following actions authorized by officials with proper authority: supervisory pay adjustments, annual premium pay, highest previous rate, hours of duty, compensatory time and awards?</p> <p>(4) Were the following actions approval at the proper level under delegated authority: quality step increases, actions based on unacceptable performance, and adverse and disciplinary actions.</p> <p>(5) Are the labor organizations given the opportunity to meet at reasonable times and to consult/bargain/partner in good faith effort to reach agreement with respect to conditions of employment of bargaining unit members?</p> <p>e. <u>Key duties and responsibilities are separated among individuals.</u></p> <p>(1) Were position descriptions reviewed and certified by the first-line supervisors and reflect current organizational structure and mission?</p> <p>(2) Have positions been classified by an official to whom classification authority is delegated?</p>	<p style="text-align: right;">PAGE F2</p> <p><i>(Item A1b (3))</i></p> <p><i>(Item D1 (2)) adapted</i></p> <p><i>(Item A1a (4))</i></p> <p><i>(Item B1 (2))</i></p> <p><i>(Items C2 (3), C3 (5), C4 (3), C5 (1), C6 (2), D2 (11))</i></p> <p><i>(Items D4 (1), D6 (4), D7 (1))</i></p> <p><i>(Item E2 (1))</i></p> <p><i>(Item B1 (3a))</i></p> <p><i>(Item B1 (3b))</i></p>

F. MANAGEMENT CONTROLS 1. SUMMARY REPORT ON CONTROL ENVIRONMENT (continued)	WAS REVIEW ITEM MET? (“YES” OR “NO” WITH COMMENTS) <i>(NASA Desk Guide DG-06, Sections A through E)</i> PAGE F3
<p>(3) Were the employees notified of appropriate appeal rights in actions based on unacceptable performance, adverse actions, or discipline?</p> <p>(4) Is 10% of the employee’s in TDP’s randomly tested for illegal drug use on an annual basis?</p> <p>(5) Are labor organizations given the opportunity to be represented at formal discussions between management and employees or employee representatives concerning grievances, personnel policies and practices, or other general conditions of employment?</p> <p>(6) Are employees in exclusive bargaining units notified annually of their right to be represented at any examination of an employee by a management representative where the employee (a) believes discipline may result and (b) requests such representation? (Weingarten right)</p> <p>f. <u>Procedures are followed to limit access of resources/records to authorized personnel.</u></p> <p>(1) Are personnel action records properly safeguarded against any unauthorized access or the preparation of fictitious records?</p> <p>(2) Have steps been taken to assure the confidentiality of statements of Employment and Financial Interest (OGF Form 450) at all times.</p>	<p><i>(Items D6 (6), D7 (5))</i></p> <p><i>(Item D11 d(1))</i></p> <p><i>(Item E3 (1))</i></p> <p><i>(Item E3 (2))</i></p> <p><i>(Item A10 (3))</i></p> <p><i>(Item D9 (4))</i></p>
F. MANAGEMENT CONTROLS 2. DEFICIENCY RESOLUTION	WAS REVIEW ITEM MET? (“YES” OR “NO” WITH COMMENTS) <i>(NASA Desk Guide DG-06, Sections A through E)</i> PAGE F3
<p>(1) Corrective action is initiated for any deficiency identified above within 60 days of its discovery through self-assessment.</p> <p>(2) Root problems for grievances are addressed/resolved by management in a proactive way to avoid future grievances.</p>	<p><i>(Item D8 (2))</i></p>

1. In broad terms, self-assessment of human capital management covers the goals, results, leadership, processes and work climate for customer service within applicable laws and regulation and may include such things as how the personnel office:
 - uses first-hand knowledge and insights of employees and employee groups to develop responsive human resource policies,
 - integrates human resource strategies with Center organizational and core mission practices,
 - sustains the leadership and employee characteristics needed to achieve specific mission goals,
 - benchmarks and streamlines personnel administrative processes, and
 - ensures that human resource management decisions fall within the scope of applicable legal and ethical considerations.
2. To focus assessment efforts on the broader value propositions of human capital management, refer to *GAO's Human Capital: A Self-Assessment Checklist for Agency Leaders*.
3. This *NASA Personnel Function Self-Assessment Desk Guide* serves as a checklist on the principal regulatory and procedural program items. Specific items are targeted (by an asterisk throughout the *Guide* and compiled in Section F) for review under the agency implementation of the *Federal Manager's Financial Integrity Act* and *OMB Circular A-123*. Additional assessment guidance on benefits programs is available from the Office of Personnel Management's *Self Evaluation Guide for Agency Administration of Employee Benefit Programs*.
4. The *Guide* may be modified to encompass local procedural requirements and process checklists, expand sampling to include local concerns, or reflect recent changes in personnel regulations and agency policy. Various case review checklists used by OPM and agency reviewers are available through the local self-assessment program contact. As appropriate, coordinate with the local Labor Relations Officer to identify and obtain guidance in assessing respective local collective bargaining contract provisions.
5. The *Guide* assumes a general familiarity with proper personnel functional operation by reviewers performing self-assessments and may also serve as a reference tool for developmental assignments, for example: a trainee may be assigned to a senior personnelist who can use the *Guide* for instruction, or an experienced personnelist may use it to refresh or develop their knowledge in another program area. Additionally, reviewers of delegated examining must be certified by OPM or NASA in examining.
6. The reviewer is expected to review program policies and references, identify data collection needs (documents, cases, interviews, surveys etc.), develop a work plan, complete an analysis, and document findings in sufficient detail to serve as the basis for improvement or corrective action. Sampling suggestions in the *Guide* are to be used with judgment. Generally, a few actions of each specific type, somehow randomly selected, is all that is needed to feel confident that the sampling is a good faith test of a process. Moreover, the goal of sampling is to reflect on the health of operational quality control and not to just fix cases.
7. The *Guide* includes a column to document whether the review element was met or not met, describe how sampling was conducted, explain the need for improvement or corrective action and describe findings that are particularly noteworthy. As such, it serves as the reviewer's working papers and provides sufficient documentation in developing self-assessment summary reports. It is advisable to maintain this documentation until the completion of a subsequent review. Moreover, review documentation must be maintained until a subsequent review for delegated examining elements.
8. Required corrective actions shall begin at the time any deficiency is recognized with follow-up included as part of the subsequent self-assessment cycle.