

Appendix A.

Internal Agency Controls on Employment of Individual Experts and Consultants

A-1 ESTABLISHMENT OF POSITIONS AND SELECTION OF APPOINTEES

b. Certifying official. The appropriate Secretarial or Departmental Officer or Head of Operating Administration shall serve as certifying official for proposed appointments, extensions of appointments, and reappointments. Certifications, however, are subject to final approval by the Assistant Secretary for Administration.

c. Documentation of preappointment review. Each proposed request is to be submitted to the Assistant Secretary for Administration for final approval, through the Departmental Director of Personnel and Training, Attention: Chief, Executive Personnel and Training Division. Requests must contain:

(1) Transmittal memorandum signed by the appropriate Secretarial or Departmental Officer or Head of Operating Administration. The memorandum should contain a brief description of the duties to be performed, background qualifications of the proposed incumbent, proposed effective date of appointment, proposed rate of pay, and a statement certifying that a Statement of Employment and Financial Interests, Form DOT F3700.2 (12-67) has been obtained and that it has been determined that no conflict of interest exists. (In the case of reappointments made immediately after separation, a statement certifying that the original Form DOT F3700.2 is currently correct, is acceptable).

(2) Consultant/Expert Preappointment Review Certificate signed by the appropriate Secretarial or Departmental Officer or Head of Operating Administration.

(3) Expert or Consultant Appointment, Form DOT F3300.7 (4-70), signed by the appropriate Personnel Officer.

(4) Classified Position Description.

(5) A completed Standard Form 171, Personal Qualifications Statement or resume of the proposed appointee.

(6) Standard Form 52, Request for Personnel Action signed by the appropriate Secretarial or Departmental Officer or Head of Operating Administration.

A-2. INTERNAL REVIEW DURING EMPLOYMENT

a. Quarterly review. It is the responsibility of the Operating Administrations and the Chief, Personnel Operations Division, Office of the Secretary, to conduct the critical review of the utilization of experts and consultants in their organizations each quarter.

c. Documentation of review. The record of each quarterly review will consist of a written narrative and a listing of employees included and excluded from the review. The narrative will describe the method used to conduct the review, summarize findings, state the actions taken to correct deficiencies, if any, and provide justification for all exclusions. The narrative and listing will each be signed by an appropriate reviewing official and forwarded to the Departmental Director of Personnel and Training through the Chief, Executive Personnel and Training Division no later than the 15th day of the month following each quarter. (see Appendix B "Quarterly Review" for preferred listing format).

A-3. INTERNAL COMMUNICATIONS

The Office of the Secretary and the Operating Administrations shall communicate at least annually to their appointing officials, relevant highlights of this chapter.