



Date: April 8, 2005

MEMORANDUM FOR: ITA OHRM Staff

FROM: Doris W. Brown
Human Resources Office

A handwritten signature in black ink that reads "Doris W. Brown".

SUBJECT: ACES and Case File Close Out Procedures
(File code 332)

The attached SOP checklists will be used to close out ACES announcements and associated DEU and MAP case files, and to ensure all DEU case files satisfy the auditing requirements outlined in the [DEU Handbook](#). These checklists will also ensure that all documentation necessary to be archived, is retained in each ACES case file.

Records Retention and Disposition Schedule:

MAP case files may be destroyed after 2 years, or after the program has been formally evaluated by OPM, whichever comes first, if the time limit for grievance has lapsed before the anniversary date. [5 CFR 335.103\(a\)\(5\)](#).

DEU case files must be retained for a period of two years, at which time those case files are properly destroyed. If the examination upon which a certificate is based is under litigation, then the certificate case file must be retained indefinitely until further notice from OPM ([DEU Manual, Appendix C](#)). In the event that OPM audits a case file, the case file must be retained for the remainder of the retention and disposition schedule. Example: If OPM audits DEU case files one year into the two year retention schedule, then, the case files must be retained for the additional time needed to satisfy the retention schedule, before disposing of case files.

e-Attachment

MAP ACES Close Out Checklist
DEU ACES Close Out Checklist
DEU Case File Audit Checklist

MAP

ACES Case File - Close Out Checklist

Announcement Number: _____

Open Date: _____

Close Date: _____

ITA/Bureau Organization: _____

Case File Item		Included in close out folder (Circle)	Included in close out folder (Circle)
Copy of announcement	N/A	YES	NO
PPP/RPL form (with applications and documentation, if applicable)	N/A	YES	NO
CTAP/ICTAP	N/A	YES	NO
ACES list of applicants		YES	NO
Copy of recruitment SF-52		YES	NO
Copy of PD		YES	NO
List of KSA's used (including selective factors, if used)	N/A	YES	NO
Job Analysis		YES	NO
Explanation and justification for use of selective factor(s)	N/A	YES	NO
Information on SMEs who participated in development of the selection process (if any)	N/A	YES	NO
Copy of certificates with selecting official sign off Date Cert Issued: _____	N/A	YES	NO
Copy of amended/supplemental certificate(s)	N/A	YES	NO
Requests for extension of certificate(s)	N/A	YES	NO
Documentation of declination(s) and/or other removals from consideration	N/A	YES	NO
Notice of results sent to applicants (or other notification of examination results sent to applicants) through ACES email notification	N/A	YES	NO
Crediting Plan (Print ACES Screen w/Questions and assigned points)		YES	NO
Copy of Freeze Memo (if GS-14 or 15) ITA position only	N/A	YES	NO

CLOSE OUT ACES CASE FILE COMPLETE	YES	NO
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MAP - EOD INFORMATION ON SELECTEES

SELECTEE NAME					EOD TARGET DATE			
Please check boxes as you complete the hiring process for the selectee								
Ten. Offer	SF-75 Info	Drug test/ waiver If applicable	Security/ waiver	Physical Exam If applicable	Release date approved	Firm Confirm Offer	e-EOD Letter sent	Add to EOD Shared Drive
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

CLOSE OUT ACES CASE FILE COMPLETE	YES	NO
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Additional Notes:

THIS CHECKLIST WILL BE PLACED IN THE ACES MAP CASE FILE.

HR Specialist _____ Date: _____

DEU

ACES Case File - Close Out Checklist

Announcement Number: _____

Open Date: _____

Close Date: _____

ITA/Bureau Organization: _____

Case File Items		Included in close out folder (Circle)	Included in close out folder (Circle)
Copy of Announcement	N/A	YES	NO
RPL form (with applications and documentation if applicable)	N/A	YES	NO
CTAP/ICTAP	N/A	YES	NO
Additional public notice information (if used)	N/A	YES	NO
ACES list of applicants		YES	NO
Copy of recruitment SF-52		YES	NO
Copy of PD		YES	NO
Job Analysis		YES	NO
Listing of KSA's used (including selective factors, if used)	N/A	YES	NO
Explanation and justification for the use of selective factor(s)	N/A	YES	NO
Information on SMEs who participated in development of the selection process (if any)	N/A	YES	NO
Tie-breaking information (if used)	N/A	YES	NO
Copy of SF-39 request	N/A	YES	NO
Copy of certificates with selecting official sign off and selectee(s) notated. Cert #: _____ Date Cert Issued: _____		YES	NO
Copy of changed/supplemental certificate(s)	N/A	YES	NO
Requests for extension of certificate(s)	N/A	YES	NO
Documentation of declination(s) and/or other removals from consideration	N/A	YES	NO
Passover of preference eligibles documentation	N/A	YES	NO
Notice of results sent to applicants (or other notification of examination results sent to applicants) through ACES email notification	N/A	YES	NO
Crediting Plan (Print ACES Screen w/Questions and assigned points)		YES	NO
Copy of Freeze Memo (if GS-14 or 15) ITA position only	N/A	YES	NO
DE internal Audit completed within 5 workdays of selection		YES	NO

DEU - EOD INFORMATION ON SELECTEES

SELECTEE NAME					EOD TARGET DATE			
Please check boxes as you complete the hiring process for the selectee								
Ten. Offer	SF-75 Info	Drug test/ waiver If applicable	Security/ waiver	Physical Exam If applicable	Release date approved	Firm Confirm Offer	e-EOD Letter sent	Add to EOD Shared Drive
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

CLOSE OUT ACES CASE FILE COMPLETE	YES	NO
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Additional Notes:

THIS CHECKLIST WILL BE PLACED IN THE ACES CASE FILE.

HR Specialist _____ Date: _____

DEU CASE FILE AUDIT

Preparing the Certificate for the Audit

[DEU Manual - Chapter 6, Section C](#)

Introduction

In the process of making selections from a certificate, situations occur that may warrant an eligible to be eliminated from consideration. Any eligible who declines or who fails to respond to inquiries as to his/her availability may be removed from further consideration. The official who received the declination should document these actions adequately. When all actions have been completed on a certificate, OHRM or selecting official should return it to you promptly.

Documenting the selecting official's action

READY FOR AUDIT?
YES NO N/A

Once you receive the completed Certificate of Eligibles, you are responsible for assuring that all actions taken on each of the eligibles certified is documented. Appropriate documentation should be included for all eligibles who were removed from consideration (e.g., for failure to respond). The applications of all eligibles, except eligibles who were appointed, should accompany the certificate.

If no, state reason: _____

Reporting codes

READY FOR AUDIT?
YES NO N/A

Proper reporting codes for all actions can be found on the reverse side of the [SF 39, Request for Referral of Eligibles](#). You can locate a copy of this form on our website at www.opm.gov.

If no, state reason: _____

Preparing the Certificate for the Audit

Eligible selected (A)

READY FOR AUDIT?
YES NO N/A

If an eligible is reported as selected, you should annotate the certificate for documentation for reconstruction purposes.

If no, state reason: _____

Documenting declinations (DD)

READY FOR AUDIT?
YES NO N/A

The preferred documentation for a declination is a written statement from the eligible. If the declination was taken verbally, the official who received the declination should prepare a written summary of the eligible's decision. Verbal declinations must come from the eligible, not from another individual.

If no, state reason: _____

Documenting failure to respond (FR)

READY FOR AUDIT?
YES NO N/A

You may choose how to contact an eligible (by letter, electronic mail, or telephone) to determine his or her availability. All contacts should instruct eligibles to respond by a specific date if they wish to continue to be considered for the position. If you do not hear from the eligible by that date, you should document failure to respond "**FR**" for that eligible and no longer consider that eligible for the position. No additional written documentation or notification is required.

If you are contacting the eligible via telephone, you should make a good faith effort to speak to the eligible before annotating his/her record as **FR**. You should document the record by showing who made the contact, when, with whom you talked, and a summary of any conversation that you had. The procedures used to contact eligibles should be specified as a matter of agency policy and applied uniformly and consistently.

If no, state reason: _____

Preparing the Certificate for the Audit

Documenting failure to report for an interview

READY FOR AUDIT? YES NO N/A

If an eligible fails to appear for a pre-employment interview, he/she may be treated as an **FR** (eliminated from consideration) when:

1. You sent a written notice to the eligible that he/she would be removed from further consideration for the position if he/she failed to appear for an interview; and
2. The arrangements for the interview were reasonable.

In considering such **FR** actions, you should take into account such matters as the relative importance of the interview to the vacancy, the amount of travel required for the applicant to appear for the interview, and the amount of notice given. Traveling for an interview should normally not be required outside of the commuting area, unless the job is above the clerical level (or above the journeyman level in the skilled trades).

If no, state reason: _____

Documenting mail returned unclaimed (CRU)

READY FOR AUDIT? YES NO N/A

When a properly addressed, written availability inquiry is returned by the Postal Service because it was undeliverable, the envelope (preferably unopened) is adequate documentation. You should use communication returned unclaimed "**CRU**" as your code. This also applies to returned email with a "failure delivery notice".

If no, state reason: _____

Preparing the Certificate for the Audit

Elimination of persons already employed by the agency (CE)

READY FOR AUDIT?		
YES	NO	N/A

A certified eligible may be eliminated from consideration if he or she is serving under the same conditions as that for which the certificate was issued, including:

- Appointing officer; Type of position; Higher grade;
- Duty location; and Type of appointment.

You may use the career or career-conditional employee code "CE" for this situation. When this symbol is used, the title of position, grade and duty location should be listed as evidence that all of the above conditions are present including the type of appointment and selecting official, if known.

If no, state reason: _____

Non-Selected (NS)

READY FOR AUDIT?		
YES	NO	N/A

If a selecting official decides not to select an eligible, you should use the code non-selected "NS". The application is then returned to the case file.

If no, state reason: _____

Objection or passover

READY FOR AUDIT?		
YES	NO	N/A

If an eligible is the subject of an Objection/Passover and the request was sustained, the certificate should be annotated with the appropriate symbol next to the eligible's name. You should use one of the following symbols that describes the type of Objection/Passover submitted by the selecting official:

- Removed from Certificate (RM) - Medical ([5 CFR Part 339](#))
- Removed from Certificate (RQ) - Other ([5 CFR Part 332](#))

For more information about the Objection or Passover process, see Section D of this Chapter.

If no, state reason: _____

Preparing the Certificate for the Audit

Improper removal

READY FOR AUDIT?

YES NO N/A

If an eligible's name was removed improperly from consideration, the selecting official's action code must be changed to "not selected, NS" before auditing begins.

If no, state reason: _____

Removal from consideration only for preference eligibles

READY FOR AUDIT?

YES NO N/A

If any preference eligible was certified and was given three bona fide considerations, the preference eligible's consideration may be discontinued. However, you must notify the preference eligible in advance of the discontinuance of certification. ([5 U.S.C. § 3317](#))

If no, state reason: _____

THIS AUDIT CHECKLIST WILL BE PLACED IN THE ACES CASE FILE.

HR Specialist _____ **Date:** _____