

**SYSTEM OF VA HUMAN RESOURCES MANAGEMENT DIRECTIVES AND HANDBOOKS
GENERAL INTRODUCTION AND ADMINISTRATION**

- 1. REASON FOR ISSUE:** To issue Department of Veterans Affairs (VA) policy regarding human resources programs.
- 2. SUMMARY OF CONTENTS/MAJOR CHANGES:** This directive sets forth human resources policies previously contained in numerous other issuances. The directive also sets forth the policies and responsibilities for establishing, revising, and managing Human Resources Management directives and handbooks under the VA Directives Management System. The directive also reflects delegated authority for the promulgation of regulations for excepted personnel under [title 38, United States Code](#). The official version of these Human Resources Management directives and handbooks will be maintained electronically and will be available through the [Office of Human Resources Management and Labor Relations Web site](#).
- 3. RESPONSIBLE OFFICE:** The Human Resources Management and Labor Relations Compensation and Classification Service (055), Office of the Deputy Assistant Secretary for Human Resources Management and Labor Relations.
- 4. RELATED HANDBOOK:** VA Handbook 5001, "General Introduction and Administration."
- 5. RESCISSIONS:** MP-5, Parts I and II, and all supplements and changes thereto.

VA Directives:

- 5102.1 Nurse Qualification Standards
- 5103.2 Special Pay for Physicians and Dentists
- 5103.7 Individual Appointments Above the Minimum Rate of the Grade Under [38 U.S.C. 7408\(b\)](#)
- 5103.9 Locality Pay System
- 5111 Assignments, Staff Adjustments and Furloughs
- 5295 Title 5 Employment Applications
- 5330 VA Career Transition Assistance Plan
- 5334 Temporary Assignment of Employees under the Intergovernmental Personnel Act (IPA)
- 5338.1 Qualification Standard for Vocational Rehabilitation Counselor
- 5368 Alternative Workplace Arrangements (Flexiplace)
- 5383 VA Drug-Free Workplace Program
- 5430 Performance Appraisal System
- 5451 Employee Recognition and Awards
- 5530.2 Aggregate Limitation on Compensation
- 5532.1 Prevailing Rate Determinations
- 5534.5 Pay for Senior-Level and Scientific and Professional Positions
- 5550.2 Lump-Sum Payment for Accumulated and Accrued Annual Leave
- 5550.3 Allotments and Assignments from Pay
- 5575.3 Retention Allowances
- 5575.3/1 Retention Allowances
- 5610.1 Hours of Duty (General)
- 5610.4 Time and Attendance Records
- 5830.1 Retirement Coverage Determinations for Law Enforcement Officers and Firefighters

VA DIRECTIVE 5001

5930 Pay for Members of the Board of Veterans' Appeals

VA Handbooks:

5103.9 Locality Pay System Procedural Handbook
5103.9/1 Locality Pay System Procedural Handbook
5103.9/2 Locality Pay System Procedural Handbook
5103.9/3 Locality Pay System Procedural Handbook
5330 VA Career Transition Assistance Plan
5368 Alternative Workplace Arrangements (Flexiplace)
5383 VA Drug-Free Workplace Program
5383.1 VA Drug-Free Workplace Program (incl. App. A & App. B)
5383.2 VA Drug-Free Workplace Plan (incl. App. A, App. B, App. D, App. F & App. G)
5430 Performance Appraisal System Procedures
5430.1 Performance Appraisal Program
5451 Employee Recognition and Awards Procedures and Guides
5550.3 Allotments and Assignments from Pay
5575.3 Retention Allowances
5610.2 Time and Attendance Records

VA Notices:

01-06 Recruitment and Relocation Bonuses
01-08 LPS Annual Report

VHA Directives:

5103.2 Special Pay for Board Certification
5111 Assignments, Staff Adjustments and Furloughs
5113 Outside Professional Activities
5338.3 Qualification Standards for Chaplains
10-24-194 Special Salary Rates for Certain Health-Care Personnel Appointed Under Title 38

VHA Handbooks:

5103.2 Special Pay for Physicians and Dentists
5111 Assignments, Staff Adjustments and Furloughs

CERTIFIED BY:

John A. Gauss
Assistant Secretary for
Information and Technology

BY DIRECTION OF THE SECRETARY OF VETERANS AFFAIRS

Jacob Lozada, Ph.D.
Assistant Secretary for Human
Resources and Administration

SYSTEM OF VA HUMAN RESOURCES MANAGEMENT DIRECTIVES AND HANDBOOKS GENERAL INTRODUCTION AND ADMINISTRATION

1. PURPOSE. The purpose of this directive is to establish a basic Departmental medium to contain VA human resources management policies, program objectives, and instructions for the establishment of a positive, progressive, and integrated human resources management program in VA.

2. POLICY

a. Consistent with the decentralization of authority and responsibility of field facility directors for operating methods, mandatory procedures will be limited to (1) those which are essential to effective application of VA policies, requirements of law, regulations, or instructions of other agencies, and (2) those in which uniformity is required in the interest of increased effectiveness or economy, or to ensure uniform treatment of employees.

b. Implementations which are deemed necessary by the administrations to make the policies and procedures fully effective or to meet problems or conditions peculiar to a single administration will be issued, as appropriate, in the text of or as appendices to these directives and handbooks.

c. Public Law 79-293, now incorporated in [38 U.S.C., chapters 73 and 74](#), authorized the establishment of a Department of Medicine and Surgery, now referred to as the Veterans Health Administration (VHA), within VA. A primary purpose of this act was to ensure an adequate and complete medical service for the care and treatment of veterans. The act also provided for employment and utilization of physicians, dentists, and nurses within the department without regard to civil service laws, rules, and regulations--such employment and utilization to be in accordance with regulations prescribed by the Secretary of the Department of Veterans Affairs. Public Law 94-123, provided for the inclusion of physician assistants and expanded-function dental auxiliaries. Public Law 94-581, provided for the inclusion of podiatrists[, chiropractors by (Public Law 108-170),] and optometrists. [] Public Law 96-330, provided for the inclusion of non-physician facility directors. Public Laws 98-160[, 98-528, and [] 99-576 provided for the inclusion of authorities for the appointment, qualifications, advancement, and pay of certified or clinical counseling psychologists who hold diplomas or diplomates from an accrediting authority approved by the Secretary, certified or registered respiratory therapists, licensed physical therapists, and licensed practical or vocational nurses. Public Laws 100-322 and 100-687, provided for the inclusion of authorities for the appointment, qualifications, advancement, and pay of pharmacists and occupational therapists. Public Law 108-170 provided for the inclusion of authorities for the appointment, qualifications, advancement, and pay for audiologists, speech pathologists, and audiologists-speech pathologists; biomedical engineers; dental hygienists; dental assistants and aids; dietitians; medical instrument technicians; medical records administrators and specialists; medical records technicians; medical technologists; nuclear medicine technologists; occupational therapy assistants and aids; kinesiotherapists; orthotists, prosthetists, and orthotist-prosthetists; pharmacy technicians and aids; physical therapy assistants and aids; prosthetic representatives; psychologists; diagnostic radiologic technicians and technologists; therapeutic radiologic technicians and technologists; and social workers. [Public Law 108-422, provided for the inclusion of authorities for the appointment, qualifications, advancement, and pay of blind rehabilitation specialists and blind rehabilitation outpatient specialists.]

(1) The Assistant Secretary for the Office of Human Resources and Administration is authorized to prescribe human resources regulations pursuant to [38 U.S.C., chapters 73 and/or 74](#)[:] to establish

and approve changes to human resources policies for title 38 and hybrid employment systems. This authority may be redelegated in accordance with the memorandum of the Secretary of the Department of Veterans Affairs, dated March 1, 2004.

(2) These directives and handbooks prescribe rules for such personnel employed or utilized under the title, whenever and to the extent that their conditions of employment are not subject to other acts. In addition, these issuances establish basic policies, programs, and standards for these employees in all functional areas of human resources administration, together with indications of authorities for administrative decisions, including the establishment and functions of various administrative or advisory boards of the Secretary to be issued by [38 U.S.C., chapters 73 and 74](#).

(3) Policies so promulgated under the authority of 38 U.S.C. are regulatory with no deviations, not expressly authorized herein, to be indulged.

3. RESPONSIBILITIES

a. Under Secretaries, Assistant Secretaries, Deputy Assistant Secretaries, Other Key Officials, and field facility directors are responsible for the implementation of VA Human Resources Management policy within the organization over which they have jurisdiction.

b. The Office of Human Resources Management and Labor Relations (OHRM&LR) will develop and interpret policy and procedures for administering the Department's Human Resources Management Policy, advise management, operating officials and employees, and maintain this system of directives and handbooks. OHRM&LR will also ensure that the official version of these Human Resources Management directives and handbooks are maintained electronically and available through the [OHRM&LR Web site](#).

c. HRM Officers will provide technical advice and assistance to managers, line officials and employees on all Human Resources Management policies and procedures.

4. REFERENCES

a. Secretary of Veterans Affairs Memorandum For The Assistant Secretary For The Office of Human Resources and Administration dated March 1, 2004, regarding Delegation of Authority for Title 38 and Hybrid Human Resources Policy Proposals and Revisions.

b. Title 5, United States Code.

c. Title 38, United States Code.

d. VA Directive 6330, Directives Management, and VA Handbook 6330, Directives Management Procedures.

e. 5 Code of Federal Regulations.

f. 38 Code of Federal Regulations.

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- 3. RESPONSIBLE OFFICE:** The Human Resources Management and Labor Relations Compensation and Classification Service (055), Office of the Deputy Assistant Secretary for Human Resources Management and Labor Relations.
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VA Directives:

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CONTENTS

PART I. HUMAN RESOURCES MANAGEMENT DIRECTIVES AND HANDBOOK SYSTEM

PART II. HUMAN RESOURCES MANAGEMENT GOALS, ROLES, AND AUTHORITIES

PART III. REPORTS

SYSTEM OF VA HUMAN RESOURCES MANAGEMENT DIRECTIVES AND HANDBOOKS
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PART I. HUMAN RESOURCES MANAGEMENT DIRECTIVES AND HANDBOOK SYSTEM

CONTENTS

PARAGRAPH	PAGE
1. <u>PURPOSE</u>	I-1
2. <u>SCOPE</u>	I-1
3. <u>DISTRIBUTION</u>	I-2
APPENDICES	
<u>I-A. LIST OF DIRECTIVES AND HANDBOOKS</u>	I-A-1

**PART I. HUMAN RESOURCES MANAGEMENT
DIRECTIVES AND HANDBOOK SYSTEM**

1. PURPOSE. This handbook sets forth procedures for establishing, revising, managing and distributing departmental Human Resources Management directives and handbooks under the VA Directives Management System.

2. SCOPE. Human Resources Management policies are divided into numbered directives and handbooks (see appendix A). Each handbook contains a table of contents to facilitate reference to material in the handbook.

a. A statement of general policy is included at the beginning of each directive. These statements briefly and concisely set forth the fundamental principles that constitute the Department's position with respect to subject matter of the directive or handbook.

b. The directives emphasize what can and should be done to achieve program objectives rather than detailed instructions on what must not be done. Detailed instructions and guidance are provided in the handbooks accompanying each directive.

c. New or revised directives or handbooks will be issued in accordance with the Department's directive management policy contained in VA Directive and Handbook 6330.

d. Every effort has been made to make the directives and handbooks a convenient and useful source of reference concerning the human resources management policies, instructions, and procedures for VA human resources management administration. Users of the directives and handbooks are invited to submit comments and suggestions for improvements in their content, coverage, or format.

e. With the publication of this system of directives and handbooks, previous administration HR policy issuance have been consolidated. However, they do not affect the existing authorities of administrations to regulate policy, but provide for placing policy statements on similar topics in close proximity to one another in more of a one-VA system of documentation. To assist the administration, the Office of General Counsel and the Office of Human Resources Management [and Labor Relations] in revising and reviewing this system of directives and handbooks, policy issued by the administrations is presented on the electronic version using a blue font. Policy statements so identified are regulated by the specific administrations and may be revised as necessary.

f. The official version of these Human Resources Management directives and handbooks will be maintained electronically by the Office of Human Resources Management [and Labor Relations] and made available through the [OHRM\[&LR\] Web site](#). The use of the dotted line alerts the user of a printed copy that a link does exist. Embedded links such as the web address for the OHRM[&LR] web site or other navigational links within the document can be distinguished from normal text and underlining by the combined use of dotted line and red font color.

3. DISTRIBUTION

a. All directives and handbooks will be available in an electronic format. Each using office should limit printed copies of the directives and handbooks to those that must be readily maintained on a current basis for active day-to-day use. The maintenance of copies in excess of reasonable needs results in a waste of funds and a waste of employee time devoted to maintaining policies superfluous to actual needs.

b. One copy of all of the complete and current directives and handbooks will be maintained in the human resources management office of each installation to serve as the official facility copy. This official copy is to be available for review and reference by appropriate operating officials, supervisors, and employees. Ready access to all directives and handbooks as well as advice from the human resources management office in explanation of its provisions facilitates understanding and comprehension of VA human resources management policies and practices.

APPENDIX A. LIST OF DIRECTIVES AND HANDBOOKS

NUMBER	TITLE
5001	General Introduction and Administration
5003	Position Classification, Job Grading, and Position Management
5005	Staffing
5007	Pay Administration
5009	Employee Benefits
5011	Hours of Duty and Leave
5013	Performance Management Systems
5015	Employee Development
5017	Employee Recognition and Awards
5019	Occupational Health Services
5021	Employee/Management Relations
5023	Labor-Management Relations
5025	Legal
5027	Senior Executive Service

PART II. HUMAN RESOURCES MANAGEMENT GOALS, ROLES, AND AUTHORITIES

CONTENTS

PARAGRAPH	PAGE
1. <u>SCOPE</u>	II-1
2. <u>POLICY</u>	II-1
3. <u>REFERENCES</u>	II-1
4. <u>HUMAN RESOURCES MANAGEMENT OBJECTIVES AND HUMAN RESOURCES MANAGEMENT PROGRAM GOALS</u>	II-2
5. <u>THE ROLE OF LINE OFFICIALS IN HUMAN RESOURCES MANAGEMENT</u>	II-3
6. <u>ROLE OF HUMAN RESOURCES MANAGEMENT OFFICIALS</u>	II-4
7. <u>MANAGEMENT AND DIRECTION OF THE HUMAN RESOURCES MANAGEMENT PROGRAM</u>	II-4
8. <u>DELEGATIONS OF AUTHORITY</u>	II-5
 APPENDICES	
II-A. <u>POSITIONS FOR WHICH THE SECRETARY RETAINS PRIOR APPROVAL AUTHORITY</u>	II-A-1
II-B. <u>VHA POSITIONS REQUIRING PRIOR APPROVAL AUTHORITY OF THE OFFICE OF THE UNDER SECRETARY FOR HEALTH</u>	II-B-1
II-C. <u>VBA POSITIONS REQUIRING PRIOR APPROVAL AUTHORITY OF THE UNDER SECRETARY FOR BENEFITS</u>	II-C-1
II-D. <u>NCA POSITIONS REQUIRING PRIOR APPROVAL AUTHORITY OF THE UNDER SECRETARY FOR MEMORIAL AFFAIRS</u>	II-D-1

PART II. HUMAN RESOURCES MANAGEMENT GOALS, ROLES, AND AUTHORITIES

1. SCOPE. This part outlines basic department-wide policies and principles to assure a sound, progressive, and integrated program for human resources management in VA. It sets forth the major human resources management program goals, states the respective roles of management and human resources management officials, outlines the VA organization for human resources management, and delegates specific human resources management authorities. Although the basic policies and objectives of this directive apply department-wide, the specific delegations of authority do not apply to the Office of Inspector General. Specific authorities are vested in the Inspector General by Public Law 95-452 and will be maintained by that office.

2. POLICY

a. Human resources management is an integral part of overall management. It is carried on within the framework established by statutes, Executive orders, regulations and directives, and without discrimination for reason of race, religion, color, sex, national origin, age, non-disqualifying physical or mental disability, lawful political affiliation or any other irrelevant factors. Human resources management will be conducted in keeping with the highest public trust, interest and public policy objectives.

b. The VA human resources management program exists to help management accomplish the agency missions and programs by assisting directly and effectively in the acquisition, development, utilization, and management of human resources.

c. HRM officials advise and assist management on all aspects of human resources management, labor relations and the regulatory and technical considerations of human resources management programs. Assistance to management will be planned and carried out on a continuing basis as an essential part of the human resources management program at each installation.

d. Authority for human resources management matters is decentralized to the level of management where human resources management operations are performed, except as limited for control purposes.

e. Uniform practices and procedures will be established for human resources administration throughout VA to the extent necessary and practicable with flexibility to meet human resources management goals in the most effective manner possible.

3. REFERENCES

- a. Executive Order 9830, February 24, 1947.
- b. Title 5, United States Code.
- c. Title 38, United States Code.
- d. Inspector General Act of 1978 (PL 95-452).

e. Veterans' Health Care Amendments of 1979 (PL 96-22).

f. [5 CFR, parts 230](#) and [250](#).

4. HUMAN RESOURCES MANAGEMENT OBJECTIVES AND HUMAN RESOURCES MANAGEMENT PROGRAM GOALS

a. It is essential that management practices support and facilitate achievement of overall human resources management objectives. The human resources management program should ensure:

(1) Selection of the best available persons and their placement in positions where their talent and abilities can be most effectively utilized.

(2) Equal opportunity in all aspects of employment and positive action to promote progressive employment practices and maximum utilization of skills and training to further equal employment opportunities for all employees, and to provide, wherever practicable, job opportunities and work experience for the economically or educationally disadvantaged.

(3) Current and timely classification of positions and evaluation of jobs, consistent with approved standards, to provide equitable compensation for employees and facilitate sound organization.

(4) Sound pay administration policies and procedures and the effective and equitable administration of laws, regulations and policies relating to the hours of work and pay.

(5) Effective training and supervision which will result in the development and maintenance of an efficient and productive work force and create a positive climate for the career development of employees.

(6) Advancement of employees in accordance with their qualifications, potential, and merit.

(7) Improvement of the level of performance of employees whose work is marginal or substandard or assignment to work for which they are better fitted.

(8) Separation of employees whose work performance or conduct is unsatisfactory, and who fail to improve after a reasonable opportunity has been given them to do so.

(9) Prompt, fair and equitable consideration of employee complaints.

(10) Constructive relationships between management and recognized labor organizations.

(11) Exchange of information with employees concerning the goals of the organization and their career objectives, as well as their rights, benefits, privileges, responsibilities, and obligations as Federal employees.

(12) Promotion of an effective flow of information and ideas for work improvement between and among management and employees.

(13) Stimulation and recognition of employee accomplishments.

b. The human resources management program will be implemented locally, consistent with Department policy and standards, to achieve these goals. Management and direction of the human resources management program will assure the full development and proper balance of all human resources management functions. Programs will be carried out on a planned basis as effectively and economically as possible.

c. To be responsive to a changing environment, human resources management policies and procedures shall be regularly reviewed to determine their currency and appropriateness.

d. Department officials may direct the correction or modification of a human resources management action or practice over which they have approval authority if the action or practice is found to be inconsistent with law, Government-wide regulation, or the provisions of this part. These same individuals may suspend or revoke an authority granted under this part if the responsible approving official is found to be acting in a manner which is contrary to law, rule, regulation, or acceptable standards of human resources management practice.

e. This system of HR Directives and Handbooks includes regulations concerning the title 38 human resources management program that the Secretary is authorized to issue under 38 U.S.C. 501(a) and 7421. These provisions are regulatory in nature. Deviations may not be approved unless they are expressly authorized herein. This does not, however, bar the Secretary, with the advice of the Under Secretary for Health and the Assistant Secretary for Human Resources and Administration, from waiving any policy or procedure pertaining to the title 38 regulations. Waivers may only be approved on an individual case-by-case basis, in exceptional circumstances determined to be in the best interest of the Department, and where the waiver would not be contrary to law or Government-wide regulation.

5. THE ROLE OF LINE OFFICIALS IN HUMAN RESOURCES MANAGEMENT

a. Human resources management is a continuing responsibility of all who plan, direct or supervise the work of others.

b. The line official or supervisor who has responsibility for the work of a group must determine the number and skills of employees needed to do the job. The supervisor at the appropriate level determines the organization of the work unit, the composition of positions, selects employees, makes initial decisions in grievance and disciplinary matters, determines training needs, and provides necessary training. The supervisor places employees in jobs where their skills, knowledge, and potential can be best utilized. The supervisor appraises the performance of employees, counsels and advises them on performance improvement and plans for self-development, and recommends their promotion or retention. These human resources management responsibilities are a fundamental part of overall management. Effective human resources management cannot be accomplished without recognition of this responsibility by both line and HRM officials.

c. The influence of the line official on each employee supervised is a significant factor in human resources management. It is the line official who has continuous day-to-day contact with individual employees, and who, therefore, is most familiar with employees and their jobs. The line official exercises an important influence on the attitudes of employees toward their jobs and their organization and, consequently, upon the volume and quality of their work. The line official must be aware of the needs and aspirations of employees

and must have the necessary skill and knowledge to deal with human resources management matters affecting employees. The line official must assure that effective human resources management policies and practices are considered in management's decisions affecting employees and applied in day-to-day operations.

6. THE ROLE OF HUMAN RESOURCES MANAGEMENT OFFICIALS

a. HRM officials function in a staff capacity to the organization head and to the management officials in the organization. Through knowledge of program objectives, productive human resources management practices, regulatory requirements, and skill in the application of techniques, HRM officials provide the leadership which significantly contributes to the quality and direction of human resources management in VA.

b. HRM officials are responsible for advising management officials of actions which should be taken to achieve human resources management objectives as well as for insuring that all phases of the human resources management program meet statutory and regulatory requirements and agency policy and standards. This entails furnishing assistance to management on the technical as well as the employee-supervisory aspects of management's human resources management responsibilities. In addition, HRM officials perform a variety of human resources management operations as an auxiliary service to management--a service which can be more effectively and economically provided by a central service unit.

c. HRM officials are responsible for exercising classification and employment authorities, assuring compliance with appropriate standards and VA policy and making certain that personnel actions are taken in accordance with pertinent legal and regulatory requirements. In carrying out these functions HRM officials are expected to consider the judgments and recommendations of operating officials, and to do everything practicable to meet their operating requirements. The exercise of delegated authority and compliance with regulations and requirements, however, are but one aspect of the role of HRM officials. The primary role of HRM officials is to assist management to accomplish the work of the organization in the most efficient manner through effective human resources management.

d. HRM officials also have a responsibility to employees for fostering and promoting their fair and equitable consideration and treatment in employment matters. In carrying out their responsibilities to employees, HRM officials must make sure that employees are informed of and receive the rights and benefits to which they are entitled under law and regulations.

e. HRM officials furnishing human resources management support services to another VA facility (e.g., national cemeteries) are responsible for providing the same level of service as is provided at their own facility.

7. MANAGEMENT AND DIRECTION OF THE HUMAN RESOURCES MANAGEMENT PROGRAM

a. Ultimate responsibility for effective human resources management in VA is retained by the Secretary. As the top human resources management advisor to the Secretary, the Deputy Assistant Secretary for Human Resources Management [and Labor Relations] plans and formulates department-wide human resources management policies, programs, and requirements for human resources management throughout VA; advises key executives in their application; and appraises for the Secretary the human resources management program of the Department.

b. Administration Heads, Assistant Secretaries, and Other Key Officials have authority and responsibility for the conduct of the field human resources management program for their respective elements. The Deputy Assistant Secretary for Human Resources Management [] advises and assists these officials in carrying out this responsibility.

c. VA's organization for human resources management provides that most human resources management functions are to be performed at the facility level. Consistent with this concept, field facility heads have the authority and the responsibility for the management of the human resources management program in their respective facilities. For certain key field positions, approval of employment and classification actions affecting such positions is retained by the Secretary, Administration Heads, Assistant Secretaries, or Other Key Officials.

d. The human resources management functions at the field facilities are administered for the field facility Director by the Human Resources Management Officer (HRMO). Specific responsibilities include:

(1) Advising management and operating officials on human resources management policies, practices, and functions.

(2) Providing leadership in maintaining effective relations with labor organizations, community relations and contacts with schools and universities regarding employment matters.

(3) Keeping management advised on changing concepts in human resources management which tend to make employees more effective and productive members of the organization.

(4) Planning, organizing and conducting the human resources management program within the framework of applicable laws, regulations, instructions, and agency policies and standards.

8. DELEGATIONS OF AUTHORITY

a. General

(1) Specific delegations of human resources management authority are set forth in the HR Directives/Handbooks 5001-5027.

(2) Delegations of authority contained in this directive/handbook do not divest a higher line official of overall responsibility in accordance with the VA plan of organization.

(3) In exercising delegated authority, officials concerned will be governed by applicable provisions of law, rules and regulations, and VA policies and procedures with particular reference to the instructions and procedures set forth in this set of HR directives and handbooks.

(4) Officials to whom human resources management authority is delegated may temporarily place such further conditions or limitations on the exercise of the authorities delegated to subordinates as appropriate. Any official invoking this authority will immediately request confirmation of the action from the next higher level of supervision. Such requests will indicate the nature and extent of the limitation and full justification [].

(5) [Officials] to whom [human resources management] authority is delegated shall not re-delegate any part of such authority to other [officials] except as specifically provided.

(6) All human resources management authorities, whether specifically contained in this system of directives and handbooks or other parts of this system, delegated to a Deputy Assistant Secretary/Other Key Official under the jurisdiction of an Assistant Secretary may be assumed by the Assistant Secretary. Specific human resources management authorities (i.e., selections, discipline and adverse actions, incentive awards, etc.) may be centralized to the Assistant Secretaries for elements under their jurisdiction through appropriate issuances.

(7) The [Human Resources Management Officer] is delegated appointing authority, authority to process and authenticate notifications of personnel actions, and authority to effect management-approved employment actions on behalf of officials, employees and facilities for which service is provided. This authority is accompanied by the responsibility for completing appropriate review and certifying that personnel actions are legal and proper. These authorities do not infringe on the management rights of VA officials who initiate and/or approve personnel actions.

b. Prior Approval Authority for Centralized Positions

(1) Personnel actions involving positions listed in appendix A of this part require the prior approval of the Secretary or Deputy Secretary.

(2) Personnel actions involving positions centralized to the Under Secretaries for Health, Benefits, and Memorial Affairs may be found in appendices B, C and D, respectively, of this part.

(3) Personnel actions involving positions centralized to an Assistant Secretary or Other Key Official require the prior approval of that official or designee. Personnel actions involving Canteen Service positions centralized to a field director, Veterans Canteen Service, require the prior approval of the Field Director.

(4) In accordance with Department policy of maximum decentralization of authority and responsibility consistent with efficient and economical operations, positions centralized to an administration, Assistant Secretary, or Other Key Official will be limited to those key positions which, in the judgment of the Administration Head, Assistant Secretary, or Other Key Official, must receive top level consideration. Administration Heads, Assistant Secretaries, and Other Key Officials will issue lists of all such positions centralized to the Administration, Assistant Secretary, or Other Key Official in appropriate supplements to this directive. Excepted Canteen Service positions which are centralized will be listed in Veterans Canteen Service Operating Procedures, VCS-1.

c. Other Delegations of Authority. Except as limited by paragraph 8b above, authority is delegated to officials occupying the positions listed below, and persons properly acting in such positions, to effect appointments, separations (including removals), and other personnel actions for VA positions as specified.

(1) **Administration Heads, Assistant Secretaries, and Other Key Officials.** All field positions under their respective jurisdiction.

(2) **Deputy Assistant Secretary for Human Resources Management [] and Associate Deputy Assistant Secretary for Human Resources Management []**. All Central Office positions; field positions not under the jurisdiction of a field facility director; and any field position at the request of a responsible official.

NOTE: *Responsible officials, as used in this directive, include the Secretary, Deputy Secretary, Administration Heads, Assistant Secretaries, Other Key Officials, and persons properly acting in such positions.*

(3) **Director, Central Office Human Resources Service ([05HRS])**. All Central Office positions and other positions when requested by the responsible official.

(4) **Field Facility Directors and HRM Officers**. All field positions under the jurisdiction of the Director, and Central Office or other positions located at field facilities when requested by the responsible official.

(5) **Directors, Field Directors and Canteen Officers, Veterans Canteen Service[;] and HRM Officers**. Excepted Canteen Service positions in VA field facilities.

(6) **Directors, Prosthetic Distribution Center, National Acquisition Center, and other Acquisition & Materiel Management facilities[;] and HRM Officers**. All field positions in the facilities or centers under the jurisdiction of the Director.

(7) **Directors, National Cemetery Area Offices; Directors National Cemeteries; and Servicing HRM Officers**. All positions in National Cemeteries and National Cemetery Area Offices under their jurisdiction.

[(8) **Chiefs, Voluntary Service / VA Voluntary Service Program Managers**. Limited to persons appointed under authority of 38 U.S.C. 513 as without compensation (WOC) VA volunteers upon approval of Application for Voluntary Service, VA Form 10-7055. (Reference: VHA Handbook 1620.1, Department of Veterans Affairs Voluntary Service Procedures.)]

**APPENDIX A. POSITIONS FOR WHICH THE SECRETARY
RETAINS PRIOR APPROVAL AUTHORITY**

1. The Secretary retains prior approval for all actions involving the following positions unless otherwise delegated in the appropriate subject matter directives:
 - a. All positions in the Secretary's immediate office.
 - b. Assistant Secretaries, Deputy Assistant Secretaries, and Administration Heads.
 - c. General Counsel and Other Key Officials.
 - d. The Chairpersons of the Board of Veterans Appeals and the Board of Contract Appeals.
 - e. All other Central Office and field positions in the Senior Executive Service or title 38 equivalent; VHA and VBA director, associate director and assistant director positions at the GS-15 level in the field; and those Central Office positions at grade GS-15 and above.
 - f. All positions listed in 38 U.S.C. 7306.
 - g. Positions of director of service and equivalent in VA Central Office.
2. When it is known that one of the field positions specified in paragraph 1 above is to be vacated or has been vacated, the field facility head will promptly notify the Secretary through proper channels of the name and position of the employee concerned, nature and date of the action, and other pertinent data.
3. Officials in the normal line of supervision for the above positions may approve such recurring actions as within grade increases, resignations, name changes, voluntary retirements, separations by transfer without reemployment rights and voluntary releases from centralized positions.
4. Candidates who are nominated for centralized positions are not to be informed of their nomination until the Secretary has approved their selection. Except where critical duties must be performed, candidates will not be detailed or assigned to positions in an acting capacity prior to approval of the Secretary.

**APPENDIX B. VHA POSITIONS REQUIRING PRIOR APPROVAL AUTHORITY
OF THE OFFICE OF THE UNDER SECRETARY FOR HEALTH**

- 1. DEPUTY UNDER SECRETARY FOR HEALTH.** Approval of all field positions at GS-15 except associate medical center director or equivalent.
- 2. NETWORK DIRECTOR.** Approval of chiefs of staff and associate or assistant directors at GS-14 and equivalents and for all other GS-14 positions not redelegated to facility director or equivalent.
- 3. RESEARCH AND DEVELOPMENT.** All GS-14 positions funded through the Research and Development (R&D) appropriation are approved by the Chief R&D Officer or designee in VHA/VACO.

APRIL 15, 2002

VA HANDBOOK 5001
PART II
APPENDIX C

**APPENDIX C. VBA POSITIONS REQUIRING PRIOR APPROVAL AUTHORITY
OF THE UNDER SECRETARY FOR BENEFITS**

The Under Secretary for Benefits retains prior approval authority for the following positions:

All field division chiefs (all grade levels)

All GS-14 positions (includes VA Central Office positions)

**APPENDIX D. NCA POSITIONS REQUIRING PRIOR APPROVAL AUTHORITY
OF THE UNDER SECRETARY FOR MEMORIAL AFFAIRS**

1. The Under Secretary for Memorial Affairs retains prior approval authority for all actions involving the following positions:
 - a. Director, Memorial Service Network;
 - b. Assistant Director, Memorial Service Network;
 - c. Cemetery Director;
 - d. Assistant Cemetery Director;
 - e. Cemetery Director Intern; and
 - f. All positions having direct management authority over national cemeteries.
2. This authority may be redelegated.
3. Candidates selected for these positions will be required to sign a mobility statement prior to effecting the appointment.

PART III. REPORTS

CONTENTS

PARAGRAPH	PAGE
1. <u>SCOPE</u>	III-1
2. <u>PURPOSE</u>	III-1
3. <u>POLICY</u>	III-1
4. <u>REQUIRED RECURRING REPORTS</u>	III-1

APPENDICES

<u>III-A. REQUIRED REPORTS</u>	III-A-1
<u>III-B. [ANNUAL REPORT ON FEDERAL EMPLOYEE ASSISTANCE PROGRAMS]</u>	III-B-1
<u>III-C. ANNUAL REPORT ON TITLE 5 EXPERT AND CONSULTANT APPOINTMENTS</u>	III-C-1
<u>III-D. REPORT ON TITLE 38 SPECIAL SALARY RATE INCREASES COINCIDENT TO GENERAL SCHEDULE ADJUSTMENTS</u>	III-D-1
<u>III-E. ANNUAL ETHICS REPORT</u>	III-E-1
<u>III-F. ANNUAL REPORT ON FEDERAL DRUG-FREE WORKPLACE PROGRAM</u>	III-F-1
<u>III-G. ANNUAL REPORT ON DELEGATION OF PERSONNEL MANAGEMENT AUTHORITIES</u>	III-G-1
<u>III-H. ANNUAL REPORT ON INTERGOVERNMENTAL PERSONNEL ACT MOBILITY ASSIGNMENTS</u>	III-H-1
<u>[III-I. ANNUAL REPORT ON THE STUDENT LOAN REPAYMENT PROGRAM</u>	III-I-1
<u>III-J. ANNUAL REPORT ON RECRUITMENT, RELOCATION AND RETENTION INCENTIVES</u>	III-J-1]

PART III. REPORTS

1. SCOPE. This directive applies to recurring manually prepared human resources management reports required from all VA facilities. These reports are required from all Department of Veterans Affairs facilities for meeting information needs for external reports, e.g., those requested by the Office of Personnel Management and other elements of the executive and legislative branches of the Government, and for internal reports for operational and evaluation purposes of the human resources management program. This part does not apply to reports that are generated automatically from the PAID System without additional input from facilities.

2. PURPOSE. The purpose of this part is to provide a medium for the incorporation of continuing instructions for recurring reports initially established by either temporary or permanent media, and a reference list of recurring manually prepared human resources management reports.

3. POLICY

a. The amount and frequency of reporting will be the minimum required for meeting external human resources reporting requirements; for ascertaining and planning program needs and improvements; and for evaluating the effectiveness of human resources management.

b. Automatic data processing techniques will be used, as practicable and feasible, for obtaining employment statistics, workforce data, and human resources program information.

c. Narrative reports and manually prepared employment and human resources statistics will be requested only when it is not feasible, economical, or permissible to obtain the required information by use of automated data processing methods.

d. Recurring reports will be reviewed periodically to confirm continuing need to determine possible reduction in frequency, and for simplification.

4. REQUIRED RECURRING REPORTS

a. Appendix A of this part identifies recurring human resources management reports required from facilities. This listing will be updated periodically but will not supersede official reporting instructions.

b. The appendices to this part provide reporting instructions not elsewhere specified for individual reports.

APPENDIX A. REQUIRED REPORTS

RCS/IRCN	TITLE	FREQUENCY	REFERENCE
[IRCN 0058-OPM-AN]	[Annual Report on Federal Employee Assistance Programs]	[Annually] (05[1])	Appendix B of this part
IRCN 0417-OPM-AN	Annual Report on Title 5 Expert and Consultant Appointments	Annually (059)	Appendix C of this part
RCS 05-0827	Report on Title 38 Special Salary Rate Increases Coincident to General Schedule Adjustments	Annually (055)	Appendix D of this part
RCS 02-0884	Annual Ethics Report	Annually (051)	Appendix E of this part
RCS 05-0853	Annual Report on Federal Drug-Free Workplace Program	Annually (051)	Appendix F of this part
RCS 05-0513	Annual Report on Delegation of Personnel Management Authorities	Annually (059)	Appendix G of this part
[]	Annual Report on Intergovernmental Personnel Act Mobility Assignments	Annually on request (059)	Appendix H of this part
[]	Annual [Report on the Student Loan Repayment Program]	Annually (055)	[Appendix I of this part]
[]	Annual [Report on Recruitment, Relocation, and Retention Incentives]	Annually (055)	[Appendix J of this part]
[]	Annual [Self-Evaluation of Human Resources Management]	Annually [by field station to] (05[4])	[VA Directive 5024]
[]	[Telework Report]	Annually (05[8])	[OPM Request]
[]	[Annual Report on Nurse Staffing]	[Annually (055)]	[VA Handbook 5007, Part X]

[**APPENDIX B. ANNUAL REPORT ON FEDERAL EMPLOYEE ASSISTANCE PROGRAMS**

1. PURPOSE. This appendix provides reporting requirements for the Office of Personnel Management (OPM) Annual Report on Federal Employee Assistance Programs.

2. PREPARING OFFICES. The report will be prepared by the Human Resources Management office at each field facility and by the Central Office Human Resources Service. Human Resources Management offices servicing more than one facility will prepare a separate report for each facility.

3. REPORTING REQUIREMENTS

a. The report will be completed on a fiscal year basis. Field facilities and the Central Office Human Resources Service will be notified annually by VA Notice of the due date for the report.

b. Field facilities will be provided with specific information to be reported in advance of the due date to assure timely completion of the report. Information will be reported in the format provided in the VA Notice.

c. Reports will be sent to the Office of Human Resources Management (051).

d. Negative reports are required.

4. INTERAGENCY REPORTS CONTROL NUMBER. Interagency Reports Control Number (IRCN) 0058-OPM-AN is assigned to this report.]

**APPENDIX C. ANNUAL REPORT ON TITLE 5
EXPERT AND CONSULTANT APPOINTMENTS**

1. PURPOSE. This appendix provides instructions for reporting expert and consultant service under 5 U.S.C. 3109.

2. PREPARING OFFICES. The report will be prepared by the field Human Resources Management officer at each facility and by the Central Office Human Resources Service.

3. REPORTING REQUIREMENTS

a. The "Annual Report on Expert and Consultant Appointments" will be made on a calendar year basis. It will be forwarded to Office of Human Resources Management [and Labor Relations] (05[9]) by the first workday of February of each year. The report will cover only those experts and consultants appointed under 5 U.S.C. 3109. The report does not apply to experts and consultants appointed under 38 U.S.C. 7405.

b. The following format will be used in reporting information on each expert or consultant appointed at each facility for the preceding calendar year:

(1) Last name, first name, M.I.

(2) Social Security number (SSN).

(3) Enter "expert" or "consultant" to show type of position.

(4) Enter "intermittent" or "other" to show work schedule.

(5) Number of days worked during the year reported.

(6) Total gross pay. Use the "wages" figure, box 1, on the IRS W-2 Statement, unless the employee also worked in some other capacity for your facility during the year.

c. Negative reports are not required.

5. REPORTS CONTROL SYMBOL. Interagency Report Control Number (IRCN) 0417-OPM-AN is assigned to this report.

**APPENDIX D. REPORT ON TITLE 38 SPECIAL SALARY RATE INCREASES
COINCIDENT TO GENERAL SCHEDULE ADJUSTMENTS**

1. PURPOSE. This appendix provides instructions for the preparation of a report in support of any increase coincident to adjustments in the General Schedule (GS) for employees being paid special rates authorized under 38 U.S.C. 7455.

2. PREPARING OFFICES. The report will be prepared by Human Resources Management offices at each applicable field facility.

3. REPORTING REQUIREMENTS

a. The report on "Special Salary Rate Increases Coincident to General Schedule Adjustments" will be prepared according to instructions issued annually by the Under Secretary for Health. The report will normally contain the following information on current title 38 special rates authorizations for each facility:

(1) Occupation.

(2) GS Grade.

(3) Number of Positions Filled (by grade).

(4) Number of Positions Vacant (by grade).

(5) Certification by Facility Director that the adjustment is necessary for recruitment and/or retention purposes.

(6) Name and Location of Duty Facility.

b. This report is used to support pay increases for employees being paid special rates authorized under 38 U.S.C. 7455 that are equal to and simultaneous with pay increases to the General Schedule as authorized by the Under Secretary for Health. Requests for pay increases that do not meet this criteria will be handled through the normal special rates reviewing process.

c. A VA Notice issued by the Under Secretary for Health will define the due date and submission of the report to Office of Human Resources Management [and Labor Relations] (05[5]).

d. Negative reports are required to be submitted.

4. REPORTS CONTROL SYMBOL. Reports Control Symbol 05-0827 is assigned to this report.

APPENDIX E. ANNUAL ETHICS REPORT

- 1. PURPOSE.** This appendix provides general instructions to assist field facilities in reporting ethics information to Central Office for inclusion in the Departmentwide "Annual Agency Ethics Report" which is required by Section 402(e)(1) of the Ethics in Government Act of 1978, as amended and submitted to the Office of Government Ethics.
- 2. PREPARING OFFICES.** The report will be prepared by the Human Resources Management office at each facility and by the Central Office Human Resources Service.
- 3. REPORTING REQUIREMENTS**
 - a. The report will be completed on an annual basis. Field facilities and the Central Office Human Resources Service will be notified annually of the due date of the report.
 - b. Field facilities will be provided with specific information to be reported in advance of the due date to assure timely completion of the report. Information will be reported in the format provided in the notification of due date.
 - c. Negative reports are required.
 - d. Reports will be sent to the Office of Human Resources Management [and Labor Relations] (051).
- 4. REPORTS CONTROL SYMBOL.** Reports Control Symbol, 02-0884 is assigned to this report.

**APPENDIX F. ANNUAL REPORT ON FEDERAL
DRUG-FREE WORKPLACE PROGRAM**

1. PURPOSE. This appendix provides reporting requirements for the Department of Health and Human Services (HHS) Annual Report on Federal Drug-Free Workplace Program.

2. PREPARING OFFICES. The report will be prepared by the Human Resources Management office at each field facility and by the Central Office Human Resources Service. Human Resources Management offices servicing more than one facility will prepare a separate report for each facility.

3. REPORTING REQUIREMENTS

a. The report will be completed on an annual basis. Field facilities and the Central Office Human Resources Service will be notified annually of the due date of the report.

b. Field facilities will be provided with specific information to be reported in advance of the due date to assure timely completion of the report. Information will be reported in the format provided in the notification of due date.

c. Reports are to be sent to Office of Human Resources Management [and Labor Relations] (051).

d. Negative reports are required.

4. REPORTS CONTROL SYMBOL. Reports Control Symbol 05-0853 is assigned to this report.

**APPENDIX G. ANNUAL REPORT ON DELEGATION OF
PERSONNEL MANAGEMENT AUTHORITIES**

- 1. PURPOSE.** This appendix provides instructions for preparation of an annual report required to monitor the use of personnel management authorities delegated to the Department of Veterans Affairs (VA) by the Office of Personnel Management (OPM).
- 2. PREPARING OFFICES.** The report will be prepared by the Human Resources Management office at each facility and by the Central Office Human Resources Service.
- 3. REPORTING REQUIREMENTS**
 - a. The "Annual Report on Delegation of Personnel Management Authorities" will be made on a calendar year basis. It will be forwarded to Office of Human Resources Management [and Labor Relations] (05[9]) by the 10th workday of January of each year. The report will cover the following delegated authority: Assignment of Schedule C Excepted Employees to Competitive Positions.
 - b. The following information will be reported on the authority:
 - (1) Number of requests considered.
 - (2) Number of actions taken.
 - (3) Significant problems encountered, if any.
 - (4) Benefits derived.
 - (5) Title, series, grade levels, duty locations of positions on which the action was authorized will be included for each authority.
 - c. Records on the use of other delegated authorities will be maintained locally.
- 4. REPORTS CONTROL SYMBOL.** Reports Control Symbol 05-0513 is assigned to this report.

**APPENDIX H. ANNUAL REPORT ON INTERGOVERNMENTAL
PERSONNEL ACT MOBILITY ASSIGNMENTS**

1. PURPOSE. This appendix provides instructions for preparation of an annual report to be used for the evaluation of Intergovernmental Personnel Act mobility assignments by the Office of Personnel Management (OPM) ([5 CFR 334.108](#)). This report is only required when OPM sends out a request for information.

2. PREPARING OFFICES. The report will be prepared by Human Resources Management Service (HRMS) at each VA facility and by the Central Office Human Resources Service for Central Office. HRM offices servicing more than one facility will prepare a separate report for each facility.

3. REPORTING REQUIREMENTS

a. When required by OPM, reports will be made annually on a calendar year basis.

b. Reports will be sent through channels to the [Recruitment and Placement Policy Service] (05[9]) to arrive not later than January 15.

c. Evaluation data must be reflected on the form prescribed by OPM. A copy of the form will be sent to HRM services each year by the [Recruitment and Placement Policy Service] (05[9]).

d. Negative reports are required.

[APPENDIX I. ANNUAL REPORT ON THE STUDENT
LOAN REPAYMENT PROGRAM

1. PURPOSE: This appendix provides reporting requirements for the Office of Personnel Management (OPM) Annual Report on the use of the student loan repayment program (see VA Handbook 5007, part IV, chapter 8).

2. PREPARING OFFICES. The report will be prepared by the Human Resources Management office at each facility and by the Central Office Human Resources Service.

a. The report will be completed on a fiscal year basis. Field facilities and the Central Office Human Resources Service will be notified annually of the due date of the report.

b. The following information will be reported:

(1) The number of employees who received student loan repayment benefits.

(2) The job title and occupational series of the recipients.

(3) The dollar amount of each student loan repayment.

(4) Description of whether the use of the student loan repayment program has improved recruitment and retention abilities.

(5) Explanation of how the facility has publicized use of the student loan repayment program (e.g., on vacancy announcements, through employee newsletter, etc).

(6) Additional information as specified in the annual notification.

**APPENDIX J. ANNUAL REPORT ON RECRUITMENT, RELOCATION, AND
RETENTION INCENTIVES**

1. PURPOSE. This appendix provides reporting requirements for the Office of Personnel Management (OPM) Annual Report on the use of recruitment, relocation, and retention incentives (see VA Handbook 5007, Part VI, Chapters 2 and 3).

2. PREPARING OFFICES. The report will be prepared by the Human Resources Management office at each field facility and by the Central Office Human Resources Service.

3. REPORTING REQUIREMENTS

a. The report will be completed on a calendar year basis. Field facilities and the Central Office Human Resources Service will be notified annually of the due date for the report.

b. The following information will be reported:

(1) A description of how the authority to pay each incentive was used.

(2) The number and dollar amount of each incentive paid to individuals by occupational series and grade.

(3) Additional information as specified in the annual notification.]