

# ARS □ CSREES □ ERS □ NASS

## *Policies and Procedures*

**Title:** Appointment and Orientation of New Employees

**Number:** 412.2

**Date:** 7/1/91 (Revised 12/19/91)

**Originating Office:** Personnel Division  
Personnel Policy and Systems Branch  
National Services Branch

**This Replaces:**

**Distribution:** Headquarters, Areas and Locations

This DIRECTIVE:

- Delegates authority to administer the oath of office and appointment affidavits required by 5 U.S.C. 3331-3333 and 5 U.S.C. 7311, and establishes procedures to be followed in the process.
- Establishes policy, procedures and offers suggestions for providing orientation to new employees.

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## **1. REFERENCES**

For a listing of individuals with delegated employment authority, see DIRECTIVE 400.4.

For information on individual development plans, see DIRECTIVE 440.1.

## **2. ABBREVIATIONS**

- CDL - Commercial Drivers License
- DPM - Department Personnel Manual
- IDP - Individual Development Plan
- LAO - Location Administrative Officer
- NSB - National Services Branch, PD
- PD - Personnel Division
- POB - Personnel Operations Branch
- USC - United States Code

## **3. FORMS**

- SF-61 - Appointment Affidavits
- I-9 - Employee Eligibility Verification Form
- OF-333 - Procurement Integrity Certification for Procurement Officials
- AD-392 - Statement of Financial Interest and Outside Employment
- ARS-100 - New Employee Orientation Evaluation
- ARS-123 - Appointment of New Employee (Local Reproduction)

## **4. AUTHORITIES**

- Title 5, USC 41
- DPM1 Chapter 410, Appendix E
- DPM Chapter 981

## **5. DELEGATION**

The following officials or persons officially designated to act for the incumbents are delegated authority to administer oath of office and appointment affidavits. This authority may not be redelegated.

- Administrator
- Individuals with delegated employment authority in DIRECTIVE 400.4
- Area Director
- Location Leader/Research Leader
- Administrative Officer/Administrative Technician
- Area Personnel Assistant

## 6. REQUIREMENTS

The SF-61 **must** be executed **before** the employee enters on duty under an appointment.

All employees **must** execute an SF-61 except those who are:

- Appointed without compensation under Schedule A, Section 213.3102(k) (collaborator).
- Converted to a new appointment or otherwise have a change in status, as long as service is continuous in the same agency.
- Reassigned when the employing office or agency changes as a result of a transfer of function ("Realignment" or "Mass Transfer" action).
- Restored to their former position as the result of an appeal and decision that their removal was unwarranted or unjustified.
- Covered under a waiver or modification authorized by the Director of Personnel, USDA.

## 7. PROCEDURE FOR APPOINTMENT

### Administering Official

- Impress upon the appointee the importance of truth and completeness on SF-61 and I-9.

## **New Appointee**

- Complete and sign Part C as appropriate on to USDA SF-61.

## **Administering Official**

- Have new Federal appointees repeat statements under Parts A, B, and C of the SF-61.
- Sign, date, and enter official title in Part C of the SF-61.

NOTE: Exact title must be used as shown under DELEGATIONS in this DIRECTIVE. Persons designated to act for incumbent of such positions must use "Acting" before the title.

- Obtain and review identification documents required by I-9, and certify with signature, official title, and date.
- Guard against impersonation and determine beyond a reasonable doubt that the appointee is the eligible qualified by examination and whose appointment has been authorized.
- Forward all forms to PD. (Exhibit 1 provides a checklist of both required and optional forms needed for appointment.) This form is filled out and signed by the person conducting the orientation.

## **PD**

- Review all forms to ensure that the appointment or conversion is legal and proper.

NOTE: Two additional forms, OF-333 Procurement Integrity Certification for Procurement Officials and AD-392 Statement of Financial Interest and Outside Employment may be required for certain employees within 30 days of appointment.

## **8. OBJECTIVES OF NEW EMPLOYEE ORIENTATION**

To introduce each new employee, whether permanent or temporary to the organizational structure, mission, and activities of ARS, and especially the Location at which they will be employed.

To familiarize each new employee with the type of appointment they hold and the benefits related to it.

To familiarize the new employee with basic Federal, USDA, and ARS policies and administrative procedures that affect them.

To ensure that all initial appointment processing forms are distributed to each incoming employee, with appropriate instructions for their completion.

To provide each new employee with an accessible, comprehensive, and up-to-date package of orientation materials (see Exhibit 2) and sources for more specific information.

To assist the new employee package in adapting to his/her work assignments, responsibilities, and work environment.

## **9. RESPONSIBILITIES**

**PD-NSB** is responsible for:

- Formulating and recommending orientation policy and procedures for new employees.
- Ascertaining needs for new employee orientation and materials as a part of the Training Needs Assessment process.
- Periodically updating, revising, and distributing to Areas and Locations the New Employee Handbook.
- Reviewing and monitoring results annually of new employee orientation evaluations for recommended changes and modifications of this DIRECTIVE.
- Developing and maintaining systems for updating and distributing information on new employee orientation to responsible individuals.

**Area Personnel Assistant, Location Administrative Officers/Administrative Technicians or Clerks, PD-POB staff who conduct orientation** are responsible for:

- Assuring that new employees understand, complete and return all initial appointment processing forms.

- Developing and conducting local new employee orientation (refer to LAO Personnel Desk Reference Manual, the stated "Objectives of New Employee Orientation" as outlined in this DIRECTIVE, and Exhibit 3, which provides a sample outline of an orientation program).
- Preparing and distributing new employee orientation resource folders to new employees. (Exhibit 2 provides a listing of required and suggested materials for the resource folders).
- Discussing the Ethics Reform Act and the Commercial Vehicle Safety Act.
- Monitoring the effectiveness of the new employee orientation by having new employees complete the post-orientation evaluation (Exhibit 4 - ARS-100).
- Using the results of the post-orientation evaluations to modify and revise their local new employee orientation program as needed.
- Obtaining and monitoring orientation materials and supplies as needed.

**Supervisors/Managers** are responsible for:

- Assuring that all new employees receive an orientation to USDA/ARS/ Area/Location within the first month of employment, and an orientation to work/job procedures on the first day of employment.
- Assuring that new employees are familiar with what is expected of them in their positions by having them participate in reviewing their official position description and establishing written performance standards.
- Ensuring that employees and cooperators currently authorized to operate commercial vehicles have appropriate state license.
- Assuring that all new employees receive copies of their official position descriptions and performance standards.
- Developing with the new employee an IDP within the first 3 months of employment. The IDP should assess the knowledge, skills, and abilities required of the new employee to successfully perform the required duties. Items for consideration include self study courses, readings, attendance at professional seminars or conferences, formal training at universities or colleges, developmental activities, and on-the-job training.

- Introducing new employees to co-workers and providing tour of immediate work areas (Exhibit 5 provides suggestions for immediate work site tours).
- Providing new employee with a post-orientation follow-up to check on progress and to answer any questions or concerns.

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Deputy Administrator  
Administrative Management

#### Exhibits

- 1 ARS-123 Appointment of New Employee (Local Reproduction)
- 2 Required and Suggested Materials for New Employee Orientation Folders
- 3 Sample Outline for New Employee Orientation
- 4 ARS-100 New Employee Orientation Evaluation (Local Reproduction)
- 5 Suggested Tour Guide Checklist for Supervisor/Managers

Exhibit 1

United States Department of Agriculture  
Agricultural Research Service  
APPOINTMENT OF NEW EMPLOYEE

- |                                       |   |
|---------------------------------------|---|
| 1. Name of Appointee_____             | 7. Type of Appointment                      |
| 2. Social Security Number_____        | <input type="checkbox"/> Career Conditional |
| 3. Position Title, Series, Grade_____ | <input type="checkbox"/> career             |
| _____                                 | <input type="checkbox"/> Temporary          |
| 4. Position Number_____               | <input type="checkbox"/> Term               |
| 5. SF-52 Number_____                  | <input type="checkbox"/> Excepted Service   |
| 6. Office/Research Unit_____          |   |

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8. Benefits for Which Appointee is Eligible

- |  |   |
|--|---|
| <input type="checkbox"/> Federal Employees Health Benefits     | <input type="checkbox"/> Civil Service Retirement System (Offset) |
| <input type="checkbox"/> Social Security (FICA)                | <input type="checkbox"/> Federal Employees Retirement System      |
| <input type="checkbox"/> Federal Employee Group Life Insurance | <input type="checkbox"/> Leave Earning                            |
| <input type="checkbox"/> Civil Service Retirement System       | <input type="checkbox"/> TSP                                      |

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**REQUIRED FORMS**

- ( ) AD-349 Employee Address
  - ( ) W-4 Employee's Withholding Allowance Certificate
  - ( ) State & Local Income Tax Withholding Forms
  - ( ) SF-6 Appointment Affidavit
  - ( ) SF-61B Declaration of Appointee
  - ( ) SF-78 Certificate of Medical Examination\*
  - ( ) SF-85 Questionnaire for Nonsensitive Positions
  - ( ) SF-87 Fingerprint Chart
  - ( ) SF-171 Application for Federal Employment
  - ( ) SF-177 Statement of Physical Ability for Light Duty Work
  - ( ) SF-2809 Health Benefits Registration
  - ( ) SF-2817 Life Insurance Election
  - ( ) DD-214 Certificate of Release or Discharge from Active Duty
  - ( ) Official College Transcript\*
  - ( ) 1-9 Employee Eligibility Verification Form
  - ( ) OF-333 Procurement Integrity Certification for Procurement Official\*
  - ( ) AD-392 Statement of Financial Interest and Outside Employment\*
  - ( ) ARS-100 New Employee Orientation Evaluation
- \*Required for Certain Employees

**OPTIONAL FORMS**

- ( ) SF-181 Race and National Origin Identification
- ( ) SF-256 Self-Identification of Medical Disability
- ( ) SF-1152 Designation of Beneficiary  
(Unpaid Compensation of Deceased Civilian Employee)
- ( ) SF-1192 Authorization for Purchase and Request for Change - U.S. Series EE Savings Bond
- ( ) SF-2808 Designation of Beneficiary - Civil Service Retirement System
- ( ) SF-2823 Designation of Beneficiary - Federal Employees' Group Life Insurance
- ( ) SF-3102 Designation of Beneficiary - Federal Employees Retirement System
- ( ) Draft (Males Over 18)
- ( ) Acknowledgment of Temporary Position
- ( ) TSP-3 Designation of Beneficiary - Thrift Saving Plan
- ( ) OPM-155 Election of FERS (Offset Employees only) Verification of Receipt

9. Remarks

\_\_\_\_\_  
Signature and date

ARS-123 (6/91)  
(Local Reproduction)

## Exhibit 2

### REQUIRED AND SUGGESTED MATERIALS FOR NEW EMPLOYEE ORIENTATION FOLDERS

- +Welcome Letter (Area/Location Director)
  - \*New Employee Orientation Program Agenda
  - \*New Employee Handbook
  - \*Organizational Charts (USDA/ARS)
  - \*ARS Area Organization Map
  - +Latest Agricultural Research Magazine (published monthly)
  - \*Local Equal Employment Opportunity (EEO) Program Information
  - \*Local Employee Assistance Program (EAP) Information
  - \*USDA "Framework for Change" Cultural Diversity Brochure
  - \*Principles of Ethical Conduct Handout
  - +Any pertinent information about the Area/Location
  - \*Employee On-site Health Facilities
  - \*Names of Area Safety and Health Managers and Collateral Duty Safety Representatives
  - \*Emergency Action Plans/Material Safety Data Sheet
  - \*Standards of Conduct pamphlet
  - \*Directive 420.1 Merit Promotion
  - +Union Agreement
  - +Telephone/Personnel Directory
  - +Local Maps
  - +Public transportation/carpool information
  - +Credit union and banking information
  - +Building regulations, fire plan, etc.
  - +Employee Welfare and Recreation Association information
  - +Local child care information
- \*Required
- +Recommended (Materials may vary according to item availability, therefore, modifications are permissible. Also recommend using folders with inside pockets to hold orientation materials).

## Exhibit 3

### SAMPLE OUTLINE FOR NEW EMPLOYEE ORIENTATION

#### I. New Employee In-processing (1ST DAY)

Person(s) responsible for In-processing new employees will:

- a. Have new employee(s) complete necessary pre-employment paperwork;
- b. Discuss and explain appointment, benefits and other pertinent information with new employee(s);
- c. Administer oath of office.
- d. Provide direction on obtaining identification cards.

#### II. Orientation to Job/Work Procedures (1ST DAY)

Supervisor/Manager will:

- a. Welcome new employee(s)
- b. Introduce new employee(s) to co-workers
- c. Conduct tour of immediate work areas/offices (Exhibit 5 provides an example of what this tour should encompass)
- d. Provide overview of departmental functions (i.e. work performed, current and on-going initiatives, organizational structure, work flow, etc.)
- e. Discuss the directive system and other relevant resources for information on policies, regulations and procedures
- f. Discuss the Agency's occupational safety and health program, with emphasis on the new employee's rights and responsibilities, emergency action plan and if applicable location of material safety data sheets
- g. Using the new employee's job description, discuss employee's duties and responsibilities, also provide a copy to new employee
- h. Discuss and develop performance standards. Performance standards must be established within the first 30 days of employment
- i. Discuss his/her role as supervisor, distribution of work assignments, expectations of employees, performance appraisals, IDPs, etc.
- j. Discuss procedures for reporting for duty, if applicable, MaxiFlex, lunch hours, breaks, time and attendance reporting, requesting leave, delayed arrivals, closings, etc.
- k. Designate another employee with similar duties and responsibilities to serve as an informal "mentor" to the new employee for a pre-established amount of time. This "mentor" will assist in acclimating the new employee to his/her new surroundings and work and safety procedures.
- l. Provide follow-up to initial orientation by meeting regularly with new employee(s) during the first month to answer questions and to insure that employee is progressing in assignment

### III. Orientation to USDA/ARS/Area/Location (1ST MONTH)

Person(s) responsible for conducting orientation will provide:

- a. Official Welcome
- b. Orientation overview (what the orientation will encompass, persons involved, etc.)
- c. Discussion on the history/mission of USDA/ARS (films are available from ARS Information Staff "USDA Makes a World of Difference" and "ARS - Commitment to the Future")
- d. Discussion on the mission of the Area/Location
- e. Discussion on the Ethics Reform Act
- f. Orientation folders and discussion on its contents (Exhibit 2 offers suggestions for folder content)
- g. Discussion on Merit Promotion principles.
- h. Question and answer session
- i. Discussion on where to obtain additional information on subject matters covered.
- j. Tour of overall site/location
- k. Orientation evaluation (Exhibit 4 contains a sample evaluation. Local production is permitted)

NEW EMPLOYEE ORIENTATION EVALUATION

- o Please complete the questionnaire as soon after finishing your orientation as is feasible.
- o Check appropriate boxes and supply narrative where indicated.
- o The information obtained will be used to evaluate and if necessary revise the orientation program.

Type of Position	Previous Experience	
<input type="checkbox"/> Secretary/Clerical	<input type="checkbox"/> Administrative	<input type="checkbox"/> No previous Federal
<input type="checkbox"/> Professional	<input type="checkbox"/> Supervisory/Manager	<input type="checkbox"/> Gov't Experience
<input type="checkbox"/> Technician	<input type="checkbox"/> IPA assignee	<input type="checkbox"/> Previous Gov't
<input type="checkbox"/> Scientist	<input type="checkbox"/> Student Aid	<input type="checkbox"/> Experience
<input type="checkbox"/> Craft/Labor	<input type="checkbox"/> Summer, Work Study	<input type="checkbox"/> Previous ARS Experience

1. To what extent do you feel the orientation was valuable in increasing your knowledge about ARS and location activities?

- Very Valuable     Of Some Value     Of Little Value     Not Valuable

2. Knowledge of material before attending session.

- Knew none of material     Knew some of material     Knew most of material     Already knew all material

3. Do you feel a need for additional information about a certain topic(s)?

- Yes     No

If yes, please identify \_\_\_\_\_

4. What is your overall evaluation of the Orientation program?

- Excellent     Good     Fair     Poor

5. The organization of the Orientation program was:

- Highly organized     Adequately organized     Unorganized

6. Effectiveness and quality of personnel conducting Orientation.

- Very Good     Good     Fair     Poor

7. Level of difficulty

- Too Advanced     Appropriate     Too Elementary

8. Would you recommend this Orientation for other new employees?

- Yes     No

9. Any recommendations for improvement or general comments regarding the Orientation program.

\_\_\_\_\_

Exhibit 5

SUGGESTED TOUR GUIDE CHECKLIST FOR SUPERVISORS/MANAGERS

The following areas should be included in your tour of the work place for new employees. Please modify this guide according to your specific work place.

- |  |  |
|--|--|
| <input type="checkbox"/> Office area           | <input type="checkbox"/> Conference area           |
| <input type="checkbox"/> Co-workers            | <input type="checkbox"/> Cafeteria                 |
| <input type="checkbox"/> Secretary/Time Keeper | <input type="checkbox"/> Administrative Offices    |
| <input type="checkbox"/> Map of facility       | <input type="checkbox"/> Restricted areas          |
| <input type="checkbox"/> Stairs                | <input type="checkbox"/> Copy machine              |
| <input type="checkbox"/> Elevators             | <input type="checkbox"/> Supply area               |
| <input type="checkbox"/> Fire exits            | <input type="checkbox"/> Receptionist              |
| <input type="checkbox"/> Storm shelter         | <input type="checkbox"/> Word processing center    |
| <input type="checkbox"/> Mailroom              | <input type="checkbox"/> Files                     |
| <input type="checkbox"/> Vending               | <input type="checkbox"/> Break area/Smoking policy |
| <input type="checkbox"/> Restrooms             | <input type="checkbox"/> Storage                   |
| <input type="checkbox"/> Parking lots          | <input type="checkbox"/> Conference room           |
| <input type="checkbox"/> Health Unit           |  |
| <input type="checkbox"/> _____                 | <input type="checkbox"/> _____                     |
| <input type="checkbox"/> _____                 | <input type="checkbox"/> _____                     |
| <input type="checkbox"/> _____                 | <input type="checkbox"/> _____                     |