UNITED STATES
OFFICE OF PERSONNEL MANAGEMENT

GENERAL SCHEDULE SUPERVISORY GUIDE

Workforce Compensation and Performance Service
Classification Programs Division
April 1998

SUPPLEMENTED BY

OPM SIGNIFICANT CLASSIFICATION DECISIONS

DEPARTMENT OF DEFENSE (DoD) and FAS SUPPLEMENTARY GUIDANCE

DEPARTMENT OF ARMY (DA) IMPLEMENTING INSTRUCTIONS

HQ USAREUR/7A SUPPLEMENTARY GUIDANCE

JULY 2001

TABLE OF CONTENTS

OPM SIGNIFICANT CLASSIFICATION DECISIONS AND OPINIONS 5
DEPARTMENT OF DEFENSE (DOD) AND FAS 5
DEPARTMENT OF ARMY (DA) 5
HQ USAREUR/7A GUIDANCE 5

INTRODUCTION 5

QUESTION #18: WILL SUPERVISORY POSITION DESCRIPTIONS NEED TO BE REWRITTEN UPON INITIAL APPLICATION OF GSSG? 5
QUESTION #19: IF A SUPERVISORY POSITION DESCRIPTION IS REWRITTEN, WHAT IS THE FORMAT FOR WRITING JOB DESCRIPTIONS THAT INCLUDE BOTH SUPERVISORY DUTIES AND NON SUPERVISORY DUTIES COVERED BY AN FES STANDARD? . 6
QUESTION #21: IS AN EVALUATION STATEMENT REQUIRED WHEN CLASSIFYING A SUPERVISORY POSITION? 6

STATEMENT OF COVERAGE 6

OPM DIGEST 15. INCLUSION OF A PROFESSIONAL POSITION IN THE BASE LEVEL OF WORK SUPERVISED BY A NON-PROFESSIONAL. 7
QUESTION #3: WHAT IS INTENDED BY THE TECHNICAL DIRECTION OF OTHERS? 7
OPM DIGEST 20. COVERAGE OF THE GSSG FOR SUPERVISION OF SMALL WORKLOADS. 8
OPM DIGEST 26. COVERAGE OF THE GSSG. 8
FAS DIGEST 3. COVERAGE OF A POSITION THAT SUPERVISES MILITARY PERSONNEL. 9
OPM DIGEST 21 AND 22. COVERAGE OF POSITION UNDER THE GSSG (CONTRACTOR WORK). 9
QUESTION #1: IS THERE A MINIMUM NUMBER OF EMPLOYEES THE POSITION MUST SUPERVISE TO APPLY THE GSSG? 10
QUESTION #2: DO POSITIONS MEET THE BASIC COVERAGE OF THE GSSG WHEN LESS THAN 25% OF THE TIME IS SPENT ON SUPERVISORY TASKS BUT PERFORMING A COMBINATION OF SUPERVISORY AND MANAGERIAL TASKS DOES MEET THE 25% REQUIREMENT? 10

EXCLUSIONS 10

QUESTION #6: CAN THE GSSG BE USED TO CLASSIFY MANAGERIAL POSITIONS? 11

SERIES DETERMINATION 11

DEFINITIONS 11

ORGANIZATIONAL DEFINITIONS 11

OPM DIGEST 19. INTERPRETING THE ALTERNATIVE DEFINITION OF "AGENCY" 12
QUESTION #4: WHICH COMMANDS IN ARMY MEET THE OPTIONAL DEFINITION FOR AGENCY? 12
QUESTION #5: HOW IS THE SERVICED POPULATION FOR A POSITION DETERMINED? 13
MAJOR MILITARY COMMAND. 13
MAJOR ORGANIZATION. 14

OTHER DEFINITIONS 15

PROGRAM AND MAJOR MILITARY FUNCTION. 15
QUESTION #7: DOES THE GSSG DEFINE MANAGERIAL POSITIONS? 16

TITLING INSTRUCTIONS 17

INSTRUCTIONS FOR APPLICATION 17

QUESTION #20: MUST THE GSSG BE USED TO EVALUATE POSITIONS COVERED BY SEPARATE SUPERVISORY GRADING CRITERIA, I.E., FIRE CHIEF, GS-0081? 18

DEPUTY AND "ASSISTANT CHIEF" SUPERVISORY POSITIONS 18

OPM DIGEST 17. CLASSIFYING DEPUTY OR ASSISTANT CHIEF DUTIES. 18
OPM DIGEST 19. IDENTIFYING DEPUTY POSITIONS. 19

GRADE EVALUATION FACTORS 19

FACTOR 1 - PROGRAM SCOPE AND EFFECT **19**

OPM DIGEST 20. DEFINITION OF "PROGRAM" OR "PROGRAM SEGMENT" 19
QUESTION #22: ARE REFERENCES TO PROFESSIONAL, ADMINISTRATIVE, TECHNICAL OR CLERICAL WORK IN THE GSSG IN ACCORDANCE WITH DEPARTMENT OF LABOR PATCO OCCUPATIONAL CODES AND DETERMINATIONS? 21
OPM DIGEST 19. INTERPRETATION OF "COMPLEX, MULTI-MISSION MILITARY INSTALLATION". 22
OPM DIGEST 19. CREDITING LEVEL 1-3 FOR SUPERVISION OF COMPLEX PROFESSIONAL, TECHNICAL, OR ADMINISTRATIVE SERVICES. 23
OPM DIGEST 19. DISTINGUISHING BETWEEN LEVEL 1-3 AND LEVEL 1-4. 24
QUESTION #8: WHAT ARE SOME ADDITIONAL EXAMPLES OF WORK AT LEVEL 1-3? 24
QUESTION #9: WHAT ARE SOME ADDITIONAL EXAMPLES OF WORK AT LEVEL 1-4? 25
QUESTION #10: WHAT ARE SOME ADDITIONAL EXAMPLES OF WORK AT LEVEL 1-5? 26

FACTOR 2 - ORGANIZATIONAL SETTING **27**

FAS DIGEST 1. IDENTIFICATION OF "DEPUTY" POSITIONS 27
QUESTION #11: CAN DEPUTY OR CHIEF OF STAFF POSITIONS BE CREDITED AS SEPARATE REPORTING LEVELS IN FACTOR 2? 27
QUESTION #12: IF A DEPUTY COMMANDER OR CHIEF OF STAFF POSITION IS A SEPARATE REPORTING LEVEL AS EXPLAINED IN ANSWER 11, CAN THE POSITION BE GRADED AT ONE GRADE LOWER THAN THE "CHIEF" WITHOUT DIRECTLY APPLYING THE GSSG CRITERIA? FOR EXAMPLE, THE DEPUTY IS FIRST LEVEL APPROVAL AUTHORITY AND THE CHIEF IS THE SECOND LEVEL APPROVAL AUTHORITY FOR PERFORMANCE EVALUATIONS OF SUBORDINATE SUPERVISORS. 27
OPM DIGEST 19. DETERMINING SENIOR EXECUTIVE SERVICE (SES) EQUIVALENCY. 28
FAS DIGEST 1. DETERMINING SENIOR EXECUTIVE SERVICE (SES) EQUIVALENCY. 28

FACTOR 3 - SUPERVISORY AND MANAGERIAL AUTHORITY EXERCISED **29**

OPM DIGEST 21. COVERAGE OF LEVEL 3-3A. 32
OPM DIGEST 22. SUPERVISORY AND MANAGERIAL AUTHORITY EXERCISED (LEVEL 3-3B). 33
OPM DIGEST 20. CREDITING LEVEL 3-3B. 34
OPM DIGEST 19. CREDITING LEVEL 3-4B. 35
OPM DIGEST 25. CREDITING LEVEL 3-4B. 35
QUESTION #13: WHAT POSITIONS AT THE INSTALLATION LEVEL WOULD TYPICALLY MEET LEVEL 3-4B? 36

FACTOR 4 - PERSONAL CONTACTS **36**

SUB-FACTOR 4A - NATURE OF CONTACTS **36**

OPM DIGEST 19. INTERPRETATION OF LEVEL 4A-4. 38

SUB-FACTOR 4B - PURPOSE OF CONTACTS **38**

QUESTION #14: WHAT CONTACTS ARE CONSIDERED IN DETERMINING THE LEVEL TO CREDIT IN FACTOR 4B, PURPOSE OF CONTACTS? 38
OPM DIGEST 19. DISTINGUISHING BETWEEN LEVELS 4B-2 AND 4B-3. 39

FACTOR 5 - DIFFICULTY OF TYPICAL WORK DIRECTED **39**

OPM DIGEST 4. CONVERSION OF LOCAL NATIONAL POSITIONS TO GENERAL SCHEDULE EQUIVALENT. 40
OPM DIGEST 4. SUPERVISION OF MILITARY POSITIONS. 40

FIRST LEVEL SUPERVISORS **41**

QUESTION #15: HOW SHOULD "WORKLOAD" BE INTERPRETED IN THIS GUIDE? 41
QUESTION #16: IS A DETAILED WORKLOAD COMPUTATION REQUIRED FOR EACH SUPERVISORY POSITION REVIEWED? 41
OPM DIGEST 15. SHARING OF SUPERVISORY RESPONSIBILITY. 42
OPM DIGEST 10. DETERMINING EXTRAORDINARY INDEPENDENCE OR FREEDOM FROM SUPERVISION OF SUBORDINATE POSITIONS. 42
OPM DIGEST 21. DETERMINING BASE LEVEL. 42

SECOND (AND HIGHER) LEVEL SUPERVISORS **43**

QUESTION #17: Is the organizational structure and requirement to supervise 50% of the time as outlined as an option for determining workload for second and higher level supervisors typical in Army? 43
FAS Digest 1. Converting FWS positions to a General Schedule grade..... 44
QUESTION #23: Is there an official WG to GS equivalency chart?..... 44

FACTOR 6 - OTHER CONDITIONS **45**

OPM Digest 19. Crediting Level 6-6b. 49

SPECIAL SITUATIONS **50**

OPM Digest 20. Crediting Physical Dispersion to a second-line supervisory position..... 51

DETERMINING THE GRADE **52**

POINT-TO-GRADE CONVERSION CHART **52**

APPENDIX A 54
APPENDIX B..... 55

OPM SIGNIFICANT CLASSIFICATION DECISIONS AND OPINIONS

The digest number and a brief summary of the issue and decision by OPM will be posted in underlined (blue) bold type.

DEPARTMENT OF DEFENSE (DoD) and FAS

DoD and FAS supplementary guidance is in (purple) bold type. It provides uniform clarification for classifying supervisory and managerial work to facilitate consistent DoD-wide application. At Appendix A is a suggested GSSG Position Evaluation Summary form for your use.

DEPARTMENT OF ARMY (DA)

A series of questions and answers to issues frequently raised to DA are in (green) italic type. The answers represent DA interpretation of the GSSG. As further OPM explanations, advisory opinions and appeal decisions become available, these responses will be appropriately revised. At Appendix B are two suggested Base Level Evaluation Summary forms for your use.

HQ USAREUR/7A GUIDANCE

USAREUR guidance is in (red) underlined italics.

INTRODUCTION

This guide provides evaluation criteria for determining the General Schedule (GS or GM) grade level of supervisory positions in grades GS-5 through GS-15. It also contains criteria for evaluating managerial responsibilities that may accompany supervisory responsibilities in this range of grades. However, the guide is not appropriate for evaluating managerial positions that do not include the accomplishment of work through the supervision of others or that do not require technical competence related to the work directed.

QUESTION #18: Will supervisory position descriptions need to be rewritten upon initial application of GSSG?

No. Army policy states that job descriptions will be in a format required by the grade-controlling standard. OPM does not prescribe a specific format for positions evaluated by the GSSG. However, it is easier to evaluate a position if the description and the standard are compatible. A position subject to adjudication through the classification appeal process must include sufficient information for evaluation purposes.

Although no format is required, if the supervisory duties are deemed grade controlling, the position description must contain Supervisory Controls and address the six GSSG factor levels (with assigned point values and total points).

QUESTION #19: If a supervisory position description is rewritten, what is the format for writing job descriptions that include both supervisory duties and non supervisory duties covered by an FES standard?

The grade controlling duties will dictate the format to be used. If the grade controlling duties are in FES format, the FES factors will be included in the position description. If the supervisory duties are grade controlling, the six GSSG factors will be listed in the position description.

Although the GSSG requires no specific format for covered positions, users are not precluded from describing positions in a format that is compatible with that of the GSSG. Current core document system users also have an appropriate format available within the system. Regardless of the format, descriptions should contain sufficient information addressed by the six factors to effectively and properly evaluate the work.

QUESTION #21: Is an evaluation statement required when classifying a supervisory position?

The Department of the Army does not require that evaluation statements be written. However, the position description should include sufficient information for evaluation. An optional evaluation summary form is attached.

Evaluation statements are however required for the classification appeal process. It is recommended that the DoD GSSG Position Evaluation Summary form (found at Appendix A) be completed for positions that are controversial, contain mixed work, i.e., supervisor and non-supervisory work, or contain mixed-grade work.

This guide employs a factor-point evaluation method that assesses:

- Program Scope and Effect,
- Organizational Setting,
- Supervisory and Managerial Authority Exercised,
- Personal Contacts,
- Difficulty of Typical Work Directed, and
- Other Conditions. General classification concepts, principles, and policies, such as those in the Introduction to the Position Classification Standards, apply to the classification of supervisory positions.

This guide supersedes the General Schedule Supervisory Guide (GSSG), issued in April 1993, TS-123.

STATEMENT OF COVERAGE

Use this guide to grade GS/GM supervisory work and related managerial responsibilities that:

- require accomplishment of work through combined technical and administrative direction of others; and

OPM Digest 15. Inclusion of a professional position in the Base Level of Work Supervised by a non-professional.
Issue - Appellant supervised a staff of GS-11 and GS-12 Engineering Technicians and one professional GS-12 Physicist. The agency did not include the Physicist position in the Base Level of Work Supervised by the appellant, asserting that an employee in a nonprofessional position which cannot technically review the work of an employee in a professional position which has a positive educational requirement. The appellant contended that the supervision exercised over the professional position was no less than that exercised over the GS-12 Engineering Technician positions in the unit.

Resolution - The Guide prescribes that work identified as the Base Level must require of the immediate supervisor substantial and recurring use of technical skills of the kind typically needed for directing work at that level. In this case, OPM's review of applicable position descriptions, evaluation statements and governing classification standards disclosed that there was similar supervisory involvement in work initiation and planning, interim oversight activity, and review of work over all the GS-12 subordinate positions in the unit.
The Physicist was considered the specialist in his particular field and worked under "very general" technical supervision, with the supervisor outlining basic program objectives, discussing problems and appproaches, and reviewing work to determine progress towards objectives. The Physicist received no technical supervision from any other position, and the grade of the position was not based on less-than-normal supervision.
The Engineering Technicians utilized a high degree of judgment, originality and resourcefulness to resolve the most complex problems in their specialty areas. The grade levels of the Engineering Technicians were based on comparisons with professional engineering standards, as their work required superior technical qualifications. The positions worked under general technical supervision, receiving basic objectives from the supervisor and developing independent approaches to accomplish the work. The work was reviewed for compliance with broad agency policy.
Notwithstanding the educational requirement differences, OPM concluded the appellant did in fact exercise technical supervision over the GS-12 Physicist of the kind typically needed to direct work at that level and the Physicist position was therefore appropriate for inclusion with the positions used to determine the Base Level of Work Supervised.
NOTE: Only in RARE cases will technical positions be credited with supervision of professional subordinates.

QUESTION #3: What is intended by the technical direction of others?

The Introduction to the Position Classification Standards and Exclusion No. 6 of the GSSG exclude positions that do not require technical competence over the work directed. The supervisor need not be as skilled in the work as all subordinates, but must have sufficient technical knowledge to plan, assign, direct, and review work operations of the unit. The need for the supervisor to possess specific technical knowledge is generally strongest at the first line where employees are supervised directly. Although need for some type of technical skill persists throughout successively higher echelons of supervision and management, the nature of technical knowledge required becomes necessarily more general and diffused due to the broader variety of work and occupations directed. Technical direction is much more intense at the first line than it is at higher echelons.

- constitute a major duty occupying at least 25 percent of the position's time; and

OPM Digest 20. Coverage of the GSSG for supervision of small workloads.
Issue - Appellant occupied a Telecommunications Manager, GS-0391-12 position. The appeal for upgrading was based on supervising three subordinate GS-0391-12 positions. The subordinate positions had been upgraded to the GS-12 grade level by a manager with delegated classification authority contrary to the advice provided by the servicing personnel office. The appellant's position description of record indicated that he spent 10 percent of the work time on administrative supervisory functions. The new proposed position description credited the position with performing supervisory functions 25 percent of the work time.

Resolution - During the audit, the appellant stated that he spent approximately 50 percent of his time supervising two subordinates (the third position was vacant). The appellant described supervision as including working side by side with his subordinates in the communications room as well as watching their work in order to develop back-up skills. When evaluating potential new software interfaces and similar projects, he described the process as requesting ideas from and brainstorming with his subordinates after reviewing system literature, test results, etc. The position description to which the two subordinates were assigned described the supervision received as limited in nature and extent (Level 2-4). Literal interpretation of the work controls described by the appellant during the desk audit would not exceed Level 2-2. Crediting the subordinate positions with Level 2-2 would have had a substantial negative impact on their grade level. The oversight division found that the nature of the work control process described by the appellant was consultative in nature, typical of technical team direction rather than traditional supervision and concluded that the primary purpose of the appellant's position was technical program management evaluated properly by application of the Telecommunications Series, GS-0391, position classification standard.

OPM Digest 26. Coverage of the GSSG.
Issue - The appellant's position was classified as General Engineer, GS-0801-13. The appellant had full supervision over two subordinate GS-12 employees; one collocated with the appellant on the west coast and the other in the agency's office on the east coast. He also assumed the duties of his supervisor, the Division Chief, in his absence. The appellant claimed that these supervisory responsibilities consumed 25-50 percent of his work time and that his position should be classified as a supervisor.

Resolution - OPM found that the position did not meet the coverage requirements for application of the GSSG. An analysis of the two subordinate position descriptions and comparison to the relevant classification standards at the GS-12 level disclosed that both positions operated with limited technical supervision and exercised considerable initiative, ingenuity, judgment, and independence in performing their work. Moreover, the subordinate employee in the east coast office frequently received assignments and work review from an engineer in that office and occasionally received assignments and work review from the Division Chief. The frequency of those assignments and the level of review removed the subordinate employee from the appellant's technical supervision in many instances. Given such a small workforce, as well as the subordinate's grade levels and degree of independence, OPM

concluded that the appellant did not meet the minimum 25 percent threshold while supervising the two positions and, therefore, his position could not be evaluated using the GSSG.

BACK TO THE BASICS - In analyzing a potential supervisory position, position management issues should be examined to confirm that each criterion for coverage is met. This sometimes requires that subordinate positions be reviewed to determine their relationship to the supervisor's position and how they actually operate within the given work situation.

- meet at least the lowest level of Factor 3 in this guide, based on supervising Federal civilian employees, Federal military or uniformed service employees, volunteers, or other non-contractor personnel. (Work performed by contractors is considered in applying the grading criteria within each factor of this guide, provided the position first meets the coverage requirements above based on supervision of non-contractor personnel.)

FAS Digest 3. Coverage of a position that supervises military personnel.
Issue - The appeal involved the application of this guide to a position that supervised four military mail clerks 25% of his work time, in addition to a variety of non-supervisory duties. The appellant's position description reflected responsibility for establishing performance standards, making and reviewing formal appraisals, conducting performance feedback sessions, ensuring subordinates received appropriate training, providing technical assistance, making work assignments, approving leave, exercising disciplinary control, resolving minor complaints, enforcing safety, housekeeping and security standards, supporting quality improvement initiatives and equal opportunity objectives, and taking action to eliminate situations that could cause complaints. The servicing personnel office determined that the position was excluded from coverage of this guide because the only subordinates supervised were military personnel.

Resolution - It was determined that the appellant did in fact regularly perform the duties and responsibilities of 1-4, 6, 8, 9 and 10 described at Level 3-2c in this guide and as such exercised sufficient authority for coverage.

OPM Digest 21 and 22. Coverage of Position under the GSSG (contractor work).
Issue – Is a position directing the work of two staff years of GS-11 level work performed by Federal civilian employees and approximately five staff years of contractor performed work covered by the GSSG? The functions performed by the contractor staff were substantially of the same kinds and levels as the work performed by the Federal employees. The position description of record showed that the employee spent 10 percent of the time supervising two Federal employees and 25% overseeing contractor performed work.

Resolution – The position is excluded from coverage. The position must first meet the requirements of coverage (25% of the work time supervising Federal civilian employees, military or uniformed service employees, volunteers, or other non-contractor personnel) before the work of contractors may be taken into consideration.

QUESTION #1: Is there a minimum number of employees the position must supervise to apply the GSSG?

No. The GSSG does not use numbers of employees as a threshold for application. However, the GSSG cannot be applied unless a position spends a minimum of 25% of its time supervising.

Although the GSSG does not use numbers of employees as a threshold for application, we still must comply with USAREUR guidance regarding supervisory ratio (1 supervisor for each 11 employees) when feasible.

It would also not be practical to imply that it would take 25% of a supervisor's time to supervise two employees, especially if the positions are GS-11 or GS-12. (See OPM Digest 20, Coverage of the General Schedule Supervisory Guide for Supervision of Small Workloads for further validation.)

QUESTION #2: Do positions meet the basic coverage of the GSSG when less than 25% of the time is spent on supervisory tasks but performing a combination of supervisory and managerial tasks does meet the 25% requirement?

The intent of GSSG coverage is met if the managerial responsibilities (see Questions 6 & 7) exercised are directly related to the work supervised and, in combination with supervisory duties, are performed 25% of the time.

EXCLUSIONS

The following kinds of positions are excluded from the coverage of this Guide:

1. Positions with less than the minimum supervisory authority described at Level 3-2 of Factor 3 in this guide. The work of such positions (e.g., leaders over one-grade interval clerical or technical work or two-grade interval administrative or professional work) is graded through reference to other guides or standards, such as the General Schedule Leader Grade Evaluation Guide.

2. Supervisory positions that have, as their paramount requirement, experience in and knowledge of trades and crafts to perform their primary duties. Such positions are covered by the Federal Wage System (FWS), and are evaluated by application of the FWS Job Grading Standard for Supervisors.

3. Positions with project or program management responsibility (e.g., matrix management, financial management, or team leader duties) that do not directly supervise the work of a recognizable work force on a regular and recurring basis. Evaluate such positions through reference to appropriate standards for the occupation involved or guides such as the Equipment Development Grade Evaluation Guide. (Similar positions with continuing supervisory responsibilities that meet the minimum requirements for coverage by this guide may be graded using this guide provided due care is taken to avoid crediting direction of the same work to supervisors in different chains of command.)

4. Positions with oversight responsibilities over only the work of private sector contractors. Evaluate such positions using the appropriate non-supervisory standards or guides for the occupations involved.

5. Positions in which supervisory work is carried out only in the absence of another employee or is temporary, short term, and nonrecurring.

6. Positions requiring management skills alone, that is, positions which do not require either technical supervision of employees in specific occupations or competence in a specialized subject matter or functional area.

NOTE: A supervisory position over FWS employees, including some at production, maintenance, and overhaul facilities, may be properly classified to a GS series if its primary supervisory duties do not require experience in, and knowledge of, trades and crafts.

QUESTION #6: Can the GSSG be used to classify managerial positions?

Yes, however, the position must also perform supervisory responsibilities and the combination of supervisory and managerial duties must occupy at least 25% of the position's time. Positions requiring management skills alone are excluded under Exclusion 6 above.

SERIES DETERMINATION

Positions graded by this guide will continue to be classified in the most appropriate occupational series in accordance with instructions in the Introduction to the Position Classification Standards, occupational definitions in the Handbook of Occupational Groups and Families, and amplifying material in published classification standards.

DEFINITIONS

The following definitions are included solely for the purpose of applying the criteria in this guide. For ease of use, they are grouped into two sections: Organizational Definitions and Other Definitions.

ORGANIZATIONAL DEFINITIONS

AGENCY - An Executive or military department as specified by 5 U.S.C. 101, 102, and 5102, which has primary authority and responsibility for the administration of substantive national programs enacted by Congress; a comparable independent agency; or a large agency next below the Department of Defense with worldwide missions and field activities, multibillion dollar programs or resources to manage, and major mission(s) directly affecting the national security. The head of an agency is usually appointed by the President with the advice and consent of the Senate. For example, the Departments of Labor, Health and Human Services, Agriculture, Army, Navy, Air Force, the General Services Administration, the National Aeronautics and Space Administration, the Office of Personnel Management, and the Defense Logistics Agency are Agencies for purposes of this guide.

In addition, where 5 or more of the following conditions apply, an activity next below departmental level may be considered as equivalent to this definition for purposes of applying this guide: (1) the activity comprises or manages more than half of a cabinet level department's resources; (2) the activity has an international mission, and/or numerous Nationwide and worldwide field offices; (3) the activity manages multibillion dollar funds accounts typically separate from normal, departmental budgets (e.g., Social Security trust funds, IRS collections); (4) the activity deals directly with Congress on major budgetary, program, or legislative matters affecting large segments of the population or the Nation's businesses, or both; (5) the activity head is appointed by the President with the advice and consent of the Senate; (6) the activity exercises special statutory powers such as a Nationwide, quasi-judicial function affecting major industries or large segments of the population; (7) the activity manages directly delegated or statutorily assigned programs that have an impact which is Government-wide or economy-wide and that receive frequent, intensive, congressional and media scrutiny.

OPM Digest 19. Interpreting the alternative definition of "agency"
Issue - The appellant directed the work of an organization responsible for providing complex professional, technical, and administrative services for a major component of a bureau-level organization. The appellant argued that higher credit should be given under Factors 1 and 4 because the bureau in which his position was located met the alternative definition of "agency" as outlined on pages 3 and 4 of the GSSG.

Resolution - When five or more of the conditions listed on pages 3 and 4 of the GSSG apply, an activity next below department level may be considered equivalent to an agency. The Classification Appeals Office determined that the bureau in question did not meet three of the required seven conditions and thus could not be considered an agency. Specifically, organizational information showed that items (1), (3), and (4) were not creditable. However, the intent of items (4) and (7) was not clear. Thus, the Classification Appeals Office sought interpretive guidance from the Office of Classification regarding the overl intent of the alternative definition and the specific intent of items (4) and (7).
The Office of Classification advised that the alternative definition of "agency" was intended to apply to bureaus and bureau-equivalent organizations which, if removed from their location within departments and viewed as separate entities, would be comparable to independent agencies and some cabinet-level departments. Such organizations have staff, budget, worldwide installations and missions and similar characteristics that clearly equal or surpass those of some cabinet-level departments and most independent agencies, i.e., the Social Security Administration and the Internal Revenue Service. Only a handful of other organizations would merit such exceptional treatment.

QUESTION #4: Which commands in Army meet the optional definition for Agency?

Commands must request approval to use the optional "agency" definition. Each command would be required to present its case for agency status by meeting a minimum of five of the seven conditions listed in the optional definition for agency. The request for agency status, along with supporting documentation, must go through command channels to DA to be forwarded to the Office of the Chief of Staff of the Army for approval. Wherever "agency" is used in this guidance, the reference is to DA. For those commands identified by DA as an agency, specific guidance will be provided. All other

commands will consider Army as the agency. Army has determined that the Corps of Engineers is not an agency.

QUESTION #5: How is the serviced population for a position determined?

Only positions directly affected by the position under evaluation are counted. For example, counting serviced population for the Director of Community Activities (DCA) will include only those youth, military personnel, retirees, etc. actually receiving services. Potential customers to whom services are available but not provided are not included in the serviced population. Most service organizations generally maintain records to show services provided and to whom, for budget purposes.

BUREAU - An organizational unit next below the agency level (as defined above) which is normally headed by an official of Executive Level IV or V, or Senior Executive Service (SES) rank, or the equivalent. It is a component of a civilian agency directed by an appointed executive who reports to the Agency Director or the Director's immediate staff. Examples of bureaus include the Department of Labor's Bureau of Labor Statistics and the Department of Agriculture's Forest Service.

MAJOR MILITARY COMMAND - A military organization next below the Departments of Army, Air Force, or Navy and headed by a flag or general officer who reports directly to the agency headquarters. It is the bureau equivalent in a military department. For example, Air Force's Air Training Command, Army's Army Material Command, and Navy's Naval Sea Systems Command.

MAJOR MILITARY COMMAND.
To be considered a major military command, an organization must not only meet the basic criteria stated in the definition, but must also consist of a headquarters organization and formally established subordinate field activities. This organizational level does not apply to State National Guard organizations.

MULTI-MISSION MILITARY INSTALLATION - A large complex multi-mission military installation is one which is comparable to one of the two following situations:

> (1) A large military installation (including a military base with only one or a few major missions) or group of activities with a total serviced or supported employee-equivalent population exceeding 4000 personnel, and with a variety of serviced technical functions. These personnel are directly affected by, but not supervised by, the position under evaluation. Federal civilian and military employees, estimated contractor personnel, volunteers, and similar personnel may be used to derive the population total; non-employed personnel such as dependents are significant only if directly impacted by the program segment and work directed.

(1) Large. Consider the terms "directly affects, directly impacts, and directly supports" as interchangeable when counting the total serviced or supported employee-equivalent population. The population (military and/or civilian) may be concentrated in one facility or located in a group of activities. "Supported employee-equivalent population" measures people who actually receive service, not the population potentially eligible for services. Support activities within the

same organization/installation, or equivalent, often serve different sized populations; consequently, supervisors of those support activities may appropriately receive different credit for the employee employee-equivalent population they directly serve. When appropriate, the hours worked by National Guard Drill Status Guard Members on Annual Training (AT) or on mandays may be counted as full-time equivalents to determine whether the serviced employee-equivalent population exceeds 4000.

(2) A complex, multi-mission installation or a group of several organizations (directly supported by the position under evaluation) that includes four or more of the following: a garrison; a medical center or large hospital and medical laboratory complex; multimillion dollar (annual) construction, civil works, or environmental cleanup projects; a test and evaluation center or research laboratory of moderate size; an equipment or product development center; a service school; a major command higher than that in which the servicing position is located or a comparable tenant activity of moderate size; a supply or maintenance depot; or equivalent activities. These activities are individually smaller than the large installation described in the preceding paragraph.

(2) Complex. To determine equivalent activities, count each diverse mission that imposes additional complexities upon the position providing services as one of the four conditions. If an installation has two of the four conditions, count as two conditions toward the diverse missions, "complex" criteria. Additional examples are below.

(a) Organization(s) served provide contract administration service for multimillion dollar contracts for development or production of major weapons systems, subsystems, and components. subsystems, and components.

(b) Organization(s) served include any of the following, or equivalent, kinds of activities: Army garrison, Air Force base, Naval station, or equivalent host activity that provides a variety of support services to the tenants of an installation; military service academy (e.g., Army War College, West Point, Air Force Academy, Navy Postgraduate School, Industrial College of the Armed Forces, U.S. Coast Guard Academy).

MAJOR ORGANIZATION - An organizational unit located next below bureau or major military command level and headed by an official of SES rank, GM-15, or GM-14, or the civilian or military equivalent. For example, a line, staff, or program office next below bureau level, the head of which reports directly to the Bureau Director; or a comparable office or directorate which is next below a major military command, the director of which reports directly to the Commander or Director of the major command. At agency headquarters, major organizations include the offices of the heads of major staff functions at the agency level (e.g., Agency Personnel Directorate, Agency Budget Directorate, Agency Logistics Directorate, and Agency Directorate of Administrative Services), and major line organizations, the heads of which report directly to an Assistant Secretary or other office next below the Secretary of the Agency.

MAJOR ORGANIZATION.
A field installation whose commander reports directly to a major military command also qualifies as a major organization.

ORGANIZATIONAL UNIT - This is a generic term for purposes of this guide and refers to any component, subdivision, or group of employees that is directed by a supervisory position.

OTHER DEFINITIONS

PROGRAM - The mission, functions, projects, activities, laws, rules, and regulations which an agency is authorized and funded by statute to administer and enforce. Exercise of delegated authority to carry out program functions and services constitutes the essential purpose for the establishment and continuing existence of an agency. The focus of a program may be on providing products and services to the public, State and local government, private industry, foreign countries, or Federal agencies. Most programs have an impact or effect that is external to the administering agency. In addition, comparable agency-wide line or staff programs essential to the operation of an agency are considered programs in applying this guide; the impact of these programs may be limited to activities within one or a few Federal agencies.

A program may be professional, scientific, technical, administrative, or fiscal in nature. Typically, programs involve broad objectives such as: national defense; law enforcement; public health, safety, and well-being; collection of revenue; regulation of trade; collection and dissemination of information; and the delivery of benefits or services. However, specialized or staff programs may be considerably narrower in scope (e.g., merit systems protection; nuclear safety; and agency-wide personnel or budget programs). Programs are usually of such magnitude that they must be carried out through a combination of line and staff functions.

MAJOR MILITARY FUNCTION - The military equivalent of a civilian program, e.g., development of a major weapons system such as the Trident submarine, or an ongoing function such as defense intelligence, when such long range or continuing functions are otherwise comparable to a program, as defined above.

PROGRAM AND MAJOR MILITARY FUNCTION.
"Program" and "major military function" are interchangeable.

PROGRAM SEGMENT - This is a generic term for purposes of this guide and refers to any subdivision of a program or major military function.

DEPUTY - A position that serves as an alter ego to a manager of high rank or level and either fully shares with the manager the direction of all phases of the organization's program and work, or is assigned continuing responsibility for managing a major part of the manager's program when the total authority and responsibility for the organization is equally divided between the manager and the deputy. A deputy's opinion or direction is treated as if given by the chief.

This definition excludes some positions, informally referred to as "deputy" by agencies, which require expertise in management subjects but do not include responsibility for directing either the full organization or an equal half of the total organization. For example, the definition specifically excludes administrative, personal, or general staff assistants to managers, and positions at lower organizational or program segment levels that primarily involve performing supervisory duties.

FLAG OR GENERAL OFFICER - Any of the various ranks of Admiral or General, e.g., Brigadier General and Rear Admiral.

SUPERVISOR - A position or employee that accomplishes work through the direction of other people and meets at least the minimum requirements for coverage under this Guide. Those directed may be subordinate Federal civil service employees, whether full-time, part-time, intermittent, or temporary; assigned military employees; non-Federal workers; unpaid volunteers; student trainees, or others. Supervisors exercise delegated authorities such as those described in this guide under Factor 3, Supervisory and Managerial Authority Exercised. A first level supervisor personally directs subordinates without the use of other, subordinate supervisors. A second level supervisor directs work through one layer of subordinate supervisors. A "full assistant" shares fully with a higher level supervisor in all phases of work direction, contractor oversight, and delegated authority over the subordinate staff.

NOTE: In some circumstances, technical planning and oversight of work ultimately accomplished through contractors, by State and local government employees, or by similar personnel will be encompassed in a supervisor's position. Provision is made for considering this work in most factors in this guide. However, many of the supervisor's responsibilities over the work of Federal subordinates do not apply to oversight of contract work. When work for which the supervisor has technical oversight responsibilities is contracted out, or considered for contracting in lieu of accomplishment by subordinates, the supervisor's responsibilities may include: analyzing, justifying, comparing cost, and recommending whether work should be contracted; providing technical requirements and descriptions of the work to be accomplished; planning the work schedules, deadlines, and standards for acceptable work; arranging for subordinates to inspect quality or progress of work; coordinating and integrating contractor work schedules and processes with work of subordinates and others; deciding on the acceptance, rejection, or correction of work products or services, and similar matters which may affect payment to the contractor.

MANAGERIAL - The authority vested in some positions under the General Schedule which direct the work of an organizational unit, are held accountable for the success of specific line or staff functions, monitor and evaluate the progress of the organization toward meeting goals, and make adjustments in objectives, work plans, schedules, and commitment of resources. As described in 5 U.S.C. 5104, such positions may serve as head or assistant head of a major organization within a bureau; or direct a specialized program of marked difficulty, responsibility, and national significance.

QUESTION #7: Does the GSSG define managerial positions?

No, however, managerial positions typically perform the following:

> *a. Determine program goals and develop work plans for the organization;*
> *b. Determine resource needs, allocate resources, and account for their effective use;*
> *c. Identify the need, and develop plans for organizational changes that have considerable impact; e.g., affecting basic structure, operating costs, or key positions;*

d. Consider a broad spectrum of factors when making decisions, including public relations and policy, Congressional relations, labor-management relations, economic impact, and effect on other organizations;
e. Coordinate program efforts with other internal activities, or with the activities of other agencies;
f. Assess the impact on the organization's programs of substantive developments in programs and policies in other parts of the agency, in other government entities, and in the private sector;
g. Set policy for the organization managed in such areas as program priorities throughout the organization managed;
h. Make decisions on personnel policy matters affecting the key subordinate employees, employee grievances, workforce reductions, and adverse actions;
i. Delegate authority to subordinate supervisors to direct their work units and employees, and monitor the performance of their organizational units in accomplishing the assigned workload.

TITLING INSTRUCTIONS

Determine the title for a position covered by this guide through reference to the classification standard, classification guide, and/or series guidance used to determine the occupational series of the position. In most instances, these guidelines require use of the word "Supervisory" as a prefix to the appropriate occupational title. However, in some occupations, certain titles (e.g., "Budget Officer") denote supervision and the supervisory prefix is not used. In the absence of specific titling criteria in a classification standard, apply the instructions on titling contained in the Introduction to the Position Classification Standards in conjunction with the Handbook of Occupational Groups and Series. Positions that meet the minimum requirements for coverage by this guide should be titled as supervisory even if non-supervisory work in the position is grade controlling.

Although agencies may independently construct titles for informal or internal purposes, it is not permissible to use the words "Supervisory" or "Supervisor" in the official title of a position unless the position meets the minimum criteria for classification by this guide.

INSTRUCTIONS FOR APPLICATION

This guide uses a point-factor evaluation approach with six evaluation factors designed specifically for supervisory positions. Under each factor, there are several factor level definitions that are assigned specific point values. The points for all levels are fixed and no interpolation or extrapolation of them is permitted. Work of positions at different organizational levels often will be properly credited at the same level of a factor.

Evaluate supervisory duties by comparing them with each factor. Credit the points designated for the highest factor level that is met according to the instructions specific to each factor and level. If two or more levels of a factor are met, credit the points for the highest level met. However, if one level of a factor is exceeded, but the next higher level is not met, credit the lower level involved.

Add the total points accumulated under all factors. Use the point-to-grade conversion table at the end of this guide to convert the point total to a grade.

If the supervisory work does not fall at least one grade above the base level of work supervised (as determined by factor 5 in this guide), apply the adjustment provision following the grade conversion table.

(If the position includes major non-supervisory duties, evaluate them using appropriate other standards and guides. If they evaluate to a different grade than the position's supervisory duties, the grade for the higher level duties will be the final grade of the position.)

QUESTION #20: Must the GSSG be used to evaluate positions covered by separate supervisory grading criteria, i.e., Fire Chief, GS-0081?

Yes, and if the GSSG evaluation results in a higher grade, this is the final grade of the position.

Users are cautioned to read carefully all instructions and all levels for each factor before assigning a level; instructions differ for each factor. Individual positions may score low points on some factors and high points on others. As a final check, users should particularly examine the factor level definitions next above and below those initially credited to ensure that the highest level that is met is credited.

Examples provided in this guide do not represent threshold criteria needed to credit a specific factor level. Both the DoD and GSSG examples are useful for clarification; however, they should not be used solely to assign any factor level. If a factor level falls short of the GSSG factor level descriptions, the lower point value must be assigned.

DEPUTY AND "ASSISTANT CHIEF" SUPERVISORY POSITIONS

The evaluation criteria in this guide are not designed to be applied directly to deputy or "assistant chief" supervisory positions. The grade of a full deputy (as defined in the introduction to this guide) or full "assistant chief" supervisory position which shares fully in the duties, responsibilities, and authorities of the "chief" should normally be set one grade lower than the grade of the supervisory duties of the position to which it reports. Since the criteria in this guide are designed to evaluate only GS/GM grades 5 through 15, the grade of a full deputy to an SES or Executive Level position or other position which exceeds grade 15 is determined through the application of policies and criteria beyond the scope and coverage of this guide. However, a full deputy to such a position would normally not be graded below GS/GM-15.

OPM Digest 17. Classifying deputy or assistant chief duties.
Issue – Should the Chief of MER be credited with a higher grade based on functioning as deputy to the Personnel Officer by sharing many of the Personnel Officers' duties and acting in his absence?

Resolution – OPM determined that, except in the absence of the Personnel Officer, the appellant did not function in a direct supervisory line over the personnel office. In addition,

while the appellant shared many of the Personnel Officer's duties when he was present, the appellant did not normally participate, to a significant degree, in the direction and supervision of all phases of the work performed by the other branches in the personnel office. As such, the appellant was determined to be a limited assistant to the Personnel Officer, and that a limited assistant is typically graded two grade levels below the grade of the Personnel Officer.

OPM Digest 19. Identifying deputy positions.
Issue - Further definition of "deputy"
The "deputy" concept used in the GSSG is intended to cover a limited number of positions that fit one of two very specific situations. The first situation is the traditional organization arrangement where a position is designated as a full assistant ("alter ego") to the organization head and share in the management of the entire organization. The second situation describes an organizational arrangement where the chief and the deputy have responsibility for management of an equal (or nearly equal) portion of the total organization. Only one position in an organization can meet the GSSG definition of "deputy." Positions that do not share fully in the direction of the entire organization or direct an equal half of the total organization do not meet the GSSG definition of "deputy."

Assignment of SES rank to a position is subject to the requirements of the Executive Personnel Management System, and therefore outside the scope of this guide.

GRADE EVALUATION FACTORS

FACTOR 1 - PROGRAM SCOPE AND EFFECT

This factor assesses the general complexity, breadth, and impact of the program areas and work directed, including its organizational and geographic coverage. It also assesses the impact of the work both within and outside the immediate organization.

In applying this factor, consider all program areas, projects, and work assignments which the supervisor technically and administratively directs, including those accomplished through subordinate General Schedule employees, FWS employees, military personnel, contractors, volunteers, and others. To assign a factor level, the criteria dealing with both scope and effect, as defined below, must be met.

a. SCOPE. This addresses the general complexity and breadth of:

- the program (or program segment) directed;

OPM Digest 20. Definition of "program" or "program segment"
Issue - The appellant functioned as the Chief of the Training Support Center at a large military installation with 17,000 military personnel. Troop training was one of the installation's primary missions, i.e., conducting combat exercises, mobilization training, and classroom training for the combat units. Maintaining combat readiness and advancing combat capabilities was of primary importance. The Center played an important role in advancing the combat effectiveness of supported units by maintaining a large and varied inventory of training aids,

simulators and visual information equipment used by combat units. The center also provided visual information services. The work directed by the appellant was evaluated by the oversight division as a support element. In his reconsideration request, the appellant claimed the training support and visual information functions he supervised were "programs" constituting complex services essential to the conduct of training operations at the agency, thus meeting the definition of "programs" as defined in the GSSG.

Resolution - The functions supervised by the appellant did not meet the definition of "program" or "program segment". The GSSG defines "program segment" as any subdivision of a program or major military function. "Program" is defined as the "mission, functions, projects, activities, laws, rules, and regulations which an agency is authorized and funded by statute to administer and enforce", the conduct of which "constitutes the essential purpose for the establishment and continuing existence of an agency." The guide also states that although most programs have an impact or effect which is external to the administering agenyc, comparable agency-wide line or staff programs essential to the operation of an agency are considered programs. OPM determined the functions under the supervision of the appellant were support functions rather than programs or program segments. Although training represented an essential function of standing military forces, the appellant's organizational unit was not responsible for planning and conducting training. Rather, the unit provided certain support services, in theform of various training aids and accessories, that facilitated the conduct of training at the installation. These support functions did not constitute the essential purpose for the continuing existence of this military installation.

- the work directed, the products produced, or the services delivered.

The geographic and organizational coverage of the program (or program segment) within the agency structure is included under Scope.

b. EFFECT. This addresses the impact of the work, the products, and/or the programs described under "Scope" on the mission and programs of the customer(s), the activity, other activities in or out of government, the agency, other agencies, the general public, or others.

Ensure both Scope AND Effect is met before assigning a particular level. If only one is met, the next lower level MUST be assigned.

Factor Level 1-1, 175 points

a. SCOPE. Work directed is procedural, routine, and typically provides services or products to specific persons or small, local organizations.

b. EFFECT. Work directed facilitates the work of others in the immediate organizational unit, responds to specific requests or needs of individuals, or affects only localized functions.

Illustration:

- Directs messenger, guard, clerical, or laboratory support work below grade GS-5, or equivalent. Provides local services to an organizational unit, small field office, or comparable activity.

QUESTION #22: Are references to professional, administrative, technical or clerical work in the GSSG in accordance with Department of Labor PATCO occupational codes and determinations?

No, as OPM does not specify this to be the case. Professional, administrative, technical and clerical work are adequately defined on pages 11-13 in the OPM Introduction to the Position Classification Standards dated August 1991.

Factor Level 1-2, 350 points

a. SCOPE. The program segment or work directed is administrative, technical, complex clerical, or comparable in nature. The functions, activities, or services provided have limited geographic coverage and support most of the activities comprising a typical agency field office, an area office, a small to medium military installation, or comparable activities within agency program segments.

b. EFFECT. The services or products support and significantly affect installation level, area office level, or field office operations and objectives, or comparable program segments; or provide services to a moderate, local or limited population of clients or users comparable to a major portion of a small city or rural county.

Illustrations:

- Directs budget, management, staffing, supply, maintenance, protective, library, payroll, or similar services which support a small Army, Navy, or Air Force base with no extensive research, development, testing, or comparable missions, a typical national park, a hospital, or a non-defense agency field office of moderate size and limited complexity. The services provided directly or significantly impact other functions and activities throughout the organizations supported and/or a small population of visitors or users.

- In a field office providing services to the general public, furnishes a portion of such services, often on a case basis, to a small population of clients. The size of the population serviced by the field office is the equivalent of all citizens or businesses in a portion of a small city. Depending on the nature of the service provided, however, the serviced population may be concentrated in one city or spread over a wider geographic area.

- Directs operating program segment activities comparable to those above but found at higher organizational levels in the agency, for example, the section or branch level of a bureau.

The absence of specific examples of professional, administrative, scientific, technical, line/mission, or staff/support work at a specific level, i.e., Levels 1-2 and above, does not

preclude assignment of the level. The critical issue is whether both the scope and effect are fully met.

Factor Level 1-3, 550 points

a. SCOPE. Directs a program segment that performs technical, administrative, protective, investigative, or professional work. The program segment and work directed typically have coverage which encompasses a major metropolitan area, a State, or a small region of several States; or, when most of an area's taxpayers or businesses are covered, coverage comparable to a small city. Providing complex administrative, technical, or professional services directly affecting a large or complex multi-mission military installation also falls at this level.

OPM Digest 19. Interpretation of "complex, multi-mission military installation".
Issue - The agency's evaluation credited Level 1-3 to a position that involved supervision of complex administrative services by equating the employing installation to a "complex, multi-mission installation. This determination was based on the complexity of the installation's mission, which included multiple cargo, property storage and shipment and other traffic management functions accomplished throughout a geographic area covering several states within CONUS and OCONUS including Central America and Europe.

Resolution - OPM's factfinding revealed that the total population directly serviced by the appellant's staff function consisted of approximately 1,800 employees. At the primary work site, the serviced organizations included a small garrison (205 positions), a small command (502 positions) and a small co-located terminal facility (104 positions). The second major site had 321 employees and the two largest European organizations were staffed with about 185 positions each. The region found that the scope fo the installation's program exceed that of a small or medium military installation referenced in criteria for Level 1-2 and proceeded to examine the intent of the criteria for a "complex, multi-mission installation" at Level 1-3. OPM considered the varied components of the installation's transportation mission - freight traffic with CONUS, storage of personal property, sea lift cargo booking, and terminal facility operations. OPM concluded that these varied program segments did not comprise an organization comparable to a "complex, multi-mission installation," primarily because of the limited size and complexity of the organizations carrying out these programs. None of the individual components of the installation was found to be equivalent to any of the eight organizational components that typically comprise a "complex, multi-mission installation." Thus, despite the geographic dispersion and the variety of functions carried out by the components of the installation, OPM found that the overall organization was did not meet the definition and the supervisory duties could not be credited with Level 1-3.

b. EFFECT. Activities, functions, or services accomplished directly and significantly impact a wide range of agency activities, the work of other agencies, or the operations of outside interests (e.g., a segment of a regulated industry), or the general public. At the field activity level (involving large, complex, multi-mission organizations and/or very large serviced populations comparable to the examples below) the work directly involves or substantially

impacts the provision of essential support operations to numerous, varied, and complex technical, professional, and administrative functions.

Illustrations:

- Directs design, oversight, and related services for the construction of complex facilities for one or more agencies at multiple sites. The facilities are essential to the field operations of one or more agencies throughout several States.

- In providing services directly to the general public, furnishes a significant portion of the agency's line program to a moderate-sized population of clients. The size of the population serviced by the position is the equivalent of a group of citizens and/or businesses in several rural counties, a small city, or a portion of a larger metropolitan area. Depending on total population serviced by the agency and the complexity and intensity of the service itself, however, the serviced population may be concentrated in one specific geographic area, or involve a significant portion of a multi-state population, or be composed of a comparable group.
- Directs administrative services (personnel, supply management, budget, facilities management, or similar) which support and directly affect the operations of a bureau or a major military command headquarters; a large or complex multi-mission military installation; an organization of similar magnitude, or a group of organizations which, as a whole, are comparable.

OPM Digest 19. Crediting Level 1-3 for supervision of complex professional, technical, or administrative services.
Issue – The appellant stated that she directs the work of an organization that provides contracting and purchasing services for components of a military organization dispersed throughout a state. The work supervised directly supports a total of about 4,750 employees engaged in the performance of a variety of technical supply and maintenance activities, as well as various staff administrative functions. Per the appellant, the position warrants credit for Level 1-3.

Resolution – OPM found that the Scope of the appellant's supervisory work matched Level 1-3. The work directed provided complex professional services directly affecting more than 4,700. OPM found that the appellant's work did not meet the full intent of Level 1-3 for Effect. The criteria for this level include very specific conditions for positions providing supporting services at the field activity level. Level 1-3 envisions credit for mission-supporting services that directly impact a group of activities that includes complex professional and administrative functions *as well as* complex, diverse technical functions, as would typically be found at a large or complex, multi-mission military installation. This work matches Level 1-2. Since only Scope was credited at Level 1-3, OPM's overall evaluation of Factor 1 was Level 1-2.

Within DoD, activities that are generally considered "support" at the installation level, e.g., budget, personnel, would not exceed Level 1-3.

OPM Digest 19. Distinguishing between Level 1-3 and Level 1-4.
Issue - The appellant functioned as "Special Agent in Charge of an agency field office, directing a small staff of employees engaged in the performance of criminal investigative work and related administrative and clerical support work. The geographic area of responsibility encompassed a six-state area, including Massachusetts, Rhode Island, Maine, New Hampshire, Vermont and eastern Connecticut. The appellant asserted that the program under his direction warranted evaluation at Level 1-4 because the work impacted "all of New England and other parts of the East Coast corridor," the programs supported were of 'national significance," and the work had "national as well as worldwide ramifications."

Resolution - OPM found that the appellant's program segment did not meet the Scope of Level 1-4. The work directed by the appellant indirectly affected agency policy and regulations, but in contrast to Level 1-4, the appellant did not direct activities involving the development of agency policy or other activities impacting the development of major agency programs. The geographic scope of the appellant's program also fell short of the intent of Level 1-4, encompassing only six States, a much narrower range than numerous States or a major segment of the Nation, as described at Level 1-4. OPM found the Effect of Level 1-4 was not met in that the work directed did not affect the agency's headquarters operations, several bureau programs, or most of the agency's entire field structure. In summary, OPM found that both Scope and Effect were properly evaluated at Level 1-3.

QUESTION #8: What are some additional examples of work at Level 1-3?

1. *Director of Maintenance for a centralized maintenance and repair facility for aircraft, tanks, etc. Centralized facilities receive work from other installations.*

2. *Training Director of centralized training offered at one site for a significant population of military and/or civilian personnel. Centralized training facilities provide training when there is no other place where this training is normally provided, i.e., Fort Leavenworth, KS (Command and General Staff College), Fort Sam Houston, TX (medical training).*

3. *Supervisory engineer at a Corps of Engineers district directing engineering services to a major metropolitan area, throughout a state, or a small region of several states impacting the operations of outside interests or the general public.*

4. *Supervisory Staffing Specialist directing personnel services affecting a moderately large (less than 4,000) complex, multi-mission installation (i.e., includes a garrison, large hospital, a higher command tenant and a training school). The personnel work directed involves the provision of essential support operations to numerous, varied and complex technical, professional, and administrative functions.*

Factor Level 1-4, 775 points

a. SCOPE. Directs a segment of a professional, highly technical, or complex administrative program which involves the development of major aspects of key agency scientific, medical, legal, administrative, regulatory, policy development or comparable, highly technical

programs; or that includes major, highly technical operations at the Government's largest, most complex industrial installations.

b. EFFECT. Impacts an agency's headquarters operations, several bureau-wide programs, or most of an agency's entire field establishment; or facilitates the agency's accomplishment of its primary mission or programs of national significance; or impacts large segments of the Nation's population or segments of one or a few large industries; or receives frequent or continuing congressional or media attention.

Illustrations:

- Directs mission-essential, major operating programs or program segments at:
  - a large, complex, aerospace, undersea, or multi-mission research and development center;
  - the production department of one of the largest Navy shipyards or the aircraft management directorate at an Air Logistics Center;
  - major medical centers which include research programs or other medical programs of national interest and standing. The program segments directed affect segments of large industries, or receive frequent congressional or media attention, or are essential to major defense, space exploration, or public health programs.
- Directs a program segment which includes major aspects of a regulatory, social service, or major revenue producing program covering a major segment of the Nation or numerous States. The program segments directed directly affect large segments of the Nation's population or businesses.
- Directs administrative activities (such as budget, management analysis, or personnel) conducted throughout, or covering the operations of, the agency's headquarters or most of its field establishment. The program segments directed materially shape or improve the structure, effectiveness, efficiency, or productivity of major portions of the agency's primary missions, multi-region programs, headquarters-wide operations, or projects of national interest.

QUESTION #9: What are some additional examples of work at Level 1-4?

1. *Supervisory Research Scientist/Research Engineer at an Army laboratory (Waterways Experiment Station) or research center (Research Development and Engineering Center) where the professional program segment directed involves the development of major aspects of key agency scientific/medical policy development. There is impact to most of the agency's field establishment.*

2. *Supervisory Industrial Engineers/General Engineers at the Army's largest complex industrial installations (i.e., US Army Missile Command, US Army Tank and Automotive Command, US Armament Munitions and Chemical Command, US Army Industrial*

Operations Command) that directs highly technical operations which facilitate the agency's accomplishment of its primary mission.

3. *Director of Engineering and Housing at III Corps where the work directed is comparable to directing a high level organization at a large industrial installation.*

Factor Level 1-5, 900 points

SCOPE AND EFFECT combined.

- Directs a program for which both the scope and impact of the program or organization directed are one or more of the following: Nationwide; agency-wide; industry-wide; Government-wide; directly involve the national interest or the agency's national mission; are subject to continual or intense congressional and media scrutiny or controversy; or have pervasive impact on the general public.

- OR -

- Directs critical program segments, major scientific projects, or key high level organizations with comparable scope and impact.

Illustrations:

- Directs an agency-wide regulatory effort affecting the Nation's general public or one or more large industries. The position heads a major organization one or two levels below the bureau level tasked with developing, issuing, and implementing policies, regulations, and other guidance which have agency-wide usage, or affect major activities of large industries, or affect the general public.

- Directs the development of the most critical and complex subsystem(s) in a major aerospace or weapons system development program. The work (whether accomplished at or below headquarters and bureau levels or locations) has significant direct impact one or a few major industries, the agency's national mission, or the national defense.

QUESTION #10: What are some additional examples of work at Level 1-5?

1. *A supervisory engineer at a Program Executive Office (PEO) who directs the development of critical subsystems that directly involve the national interest or the agency's national mission.*

2. *MACOM Corps of Engineers chief of regulatory functions who directs a program governing wetland and navigable waters development which affects the construction and navigation industries as well as the general public. The program work directed receives extensive Congressional and media scrutiny and controversy.*

FACTOR 2 - ORGANIZATIONAL SETTING

This factor considers the organizational situation of the supervisory position in relation to higher levels of management.

For purposes of determining reporting levels under this factor:

- A position reporting to a deputy or full assistant chief position is credited as reporting to the chief. For example, a position reporting to the deputy of a SES position should be credited as if reporting directly to the SES level position. (However, an assistant chief position that does not share fully in the authorities and responsibilities of the chief constitutes a separate, intervening, reporting level under this guide. A supervisory position reporting to such a position would be treated as if reporting to a position one level below the chief.)

FAS Digest 1. Identification of "deputy" positions.
Issue - The appellant's position was that of a Division Chief in a directorate of a large Army installation. The Garrison Commander was a military officer that had been determined to be the equivalent to the SES level. Reporting to the Commander was a Director of Logistics (DOL) whose position was below the SES level. The appellant reported to a Logistics Management Officer (LMO) next below the DOL. The servicing personnel office credited the LMO as the "deputy" DOL.

Resolution - CPMS found that while the LMO performed some duties as a "deputy" to the DOL, the LMO was not a full "deputy" as defined in this guide. The LMO spent the majority of his time (80 percent) directing the work of subordinate units and planning and managing the resources of the directorate: the duties performed in the capacity of the "deputy" consumed no more than 20 percent of his time and were performed *as required* rather than on a continuing basis. The LMO position did not fit either of the two "deputy" situations described in this guide and therefore determined that crediting the LMO as "deputy" was not warranted.

QUESTION #11: Can deputy or Chief of Staff positions be credited as separate reporting levels in Factor 2?

Yes. When the deputy position or the Chief of Staff do not fully share in the duties, responsibilities, and authorities of the chief, they are credited as separate reporting levels. They can only be credited as one level when they share equally in duties, responsibilities, and authorities.

QUESTION #12: If a deputy commander or Chief of Staff position is a separate reporting level as explained in Answer 11, can the position be graded at one grade lower than the "chief" without directly applying the GSSG criteria? For example, the Deputy is first level approval authority and the Chief is the second level approval authority for performance evaluations of subordinate supervisors.

No. If the Deputy and Chief are separate levels for performance evaluation, each must be fully evaluated by the GSSG. The full deputy procedures to set the deputy's grade one grade lower than the chief's would not apply.

- The appropriate full performance level or rank of the position reported to is used when that position is occupied by officials of lower or different rank, e.g., for career development, budgetary, or similar purposes.

A typical example of this would be a General Officer (07) slot being filled with a Colonel (06).

- A single factor level definition may cover positions at more than one organizational level in an agency or activity.

- If the position reports to two positions, select the factor level associated with the position that has responsibility for performance appraisal. SES equivalents include military officers at, equivalent to or above the ranks of Rear Admiral and Brigadier General and also include commanding officers of the very largest military installations, regardless of rank.

OPM Digest 19. Determining Senior Executive Service (SES) equivalency.
Issue - The agency determined that the head of the activity occupied a position equivalent to the SES level because he supervised subordinate GS-15 supervisors (two positions). While Factor 2 was not the subject of the appeal, and the appellant did not question the agency's evaluation of Factor 2, the OPM regional office examined the accuracy of the agency's determination on the SES-equivalency issue.

Resolution - Per this guide, a position that directs a substantial GS-15 or equivalent workload, or a position that directs work through GS-15 or equivalent level subordinate supervisors, officers, contractors, or others, is to be considered equivalent to the SES level. The region found that the activity's organization structure did not include a substantial GS-15 or equivalent workload; nor did it include an adequate GS-15 subordinate supervisory structure to justify recognizing the activity head position as equivalent to a SES position. Accordingly, the region credited Level 2-1.

FAS Digest 1. Determining Senior Executive Service (SES) equivalency.
Issue - Position serves as a full deputy to a military chief of a supply organization at a typical Air Force base. The chief reported to a Group Commander (0-6). The Group Commander reported to a Wing Commander, also (0-6). The Wing Commander reported to a four-star general at the major command level of the agency. Is the Wing Commander position the equivalent to the SES level even though the position is designated as a colonel position?

Resolution - This guide specifically identifies those military office positions that are considered SES equivalents. While the Wing Commander was deemed an SES equivalent, no evidence was presented to corroborate this. The three subordinate Group Commanders were credited as being GS-15 equivalents, however no civilian versions of the military positions descriptions had been developed and evaluated to substantiate these determinations. Hence, the Wing Commander could not be equated to the SES equivalent.

Factor Level 2-1, 100 points

The position is accountable to a position that is two or more levels below the first (i.e., lowest in the chain of command) SES, flag or general officer, equivalent or higher level position in the direct supervisory chain.

The incumbent of the position being evaluated reports to Mr. Jones, who reports to COL Doe, who reports to BG Green.

Factor Level 2-2, 250 points

The position is accountable to a position that is one reporting level below the first SES, flag or general officer, or equivalent or higher level position in the direct supervisory chain.

The incumbent of the position being evaluated reports to COL Doe who reports to BG Green.

Factor Level 2-3, 350 points

The position is accountable to a position that is SES level, flag or general officer military rank, or equivalent or higher level; or to a position which directs a substantial GS/GM-15 or equivalent level workload; or to a position which directs work through GS/GM-15 or equivalent level subordinate supervisors, officers, contractors, or others.

The incumbent of the position being evaluated reports directly to BG Green.

Also assign Level 2-3 when the position under evaluation reports to: a position with the authorized military rank of 0-7 or higher; a position with the authorized military rank of 0-6 who also directs either a substantial non-supervisory GS/GM-15 or equivalent workload or at least several subordinate supervisory GS/GM-15 positions or equivalent workload.

Remember it is the reporting level of the position the incumbent reports to, not necessarily the grade/rank of the occupant of that position. Level 2-3 may be assigned if the position the incumbent reports to is authorized the military rank of 0-6 and the incumbent holds the rank of 0-5 as long as he or she directs either a substantial non-supervisory GS/GM-15 or equivalent workload or at least several (more than 3) subordinate supervisory GS/GM-15 positions or equivalent workload.

In the National Guard, the Adjutant General in each state is equivalent to SES. For ANG or ARNG technician positions, to determine the reporting level, use the civilian grade of the Commander position instead of the military rank of the incumbent even when the incumbent is an Active Guard Reserve member.

FACTOR 3 - SUPERVISORY AND MANAGERIAL AUTHORITY EXERCISED

This factor covers the delegated supervisory and managerial authorities that are exercised on a recurring basis. To be credited with a level under this factor, a position must meet the authorities and

responsibilities to the extent described for the specific level. Levels under this factor apply equally to the direction of specialized program management organizations, line functions, staff functions, and operating and support activities. Where authority is duplicated or not significantly differentiated among several organizational levels, a factor level may apply to positions at more than one organizational level.

This factor measures the supervisory and managerial authorities exercised for the work in which the incumbent is directly responsible; i.e., the operations of the organization supervised for which a supervisory/subordinate relationship exists.

Factor Level 3-2, 450 points

Positions at this level meet a or b or c below:

a. Plan and schedule ongoing production-oriented work on a quarterly and annual basis, or direct assignments of similar duration. Adjust staffing levels or work procedures within their organizational unit(s) to accommodate resource allocation decisions made at higher echelons. Justify the purchase of new equipment. Improve work methods and procedures used to produce work products. Oversee the development of technical data, estimates, statistics, suggestions, and other information useful to higher level managers in determining which goals and objectives to emphasize. Decide the methodologies to use in achieving work goals and objectives, and in determining other management strategies.

- OR -

b. Where work is contracted out, perform a wide range of technical input and oversight tasks comparable to all or nearly all of the following:

"Nearly all" is interpreted to mean four of the five tasks listed below.

1. Analyze benefits and costs of accomplishing work in-house versus contracting; recommend whether to contract;

2. Provide technical requirements and descriptions of the work to be accomplished;

3. Plan and establish the work schedules, deadlines, and standards for acceptable work; coordinate and integrate contractor work schedules and processes with work of subordinates or others;

4. Track progress and quality of performance; arrange for subordinates to conduct any required inspections;

5. Decide on the acceptability, rejection, or correction of work products or services, and similar matters that may affect payment to the contractor.

- OR -

c. Carry out at least three of the first four, and a total of six or more of the following 10 authorities and responsibilities:

1. Plan work to be accomplished by subordinates, set and adjust short-term priorities, and prepare schedules for completion of work;

2. Assign work to subordinates based on priorities, selective consideration of the difficulty and requirements of assignments, and the capabilities of employees;

3. Evaluate work performance of subordinates;

4. Give advice, counsel, or instruction to employees on both work and administrative matters;

5. Interview candidates for positions in the unit; recommend appointment, promotion, or reassignment to such positions;

6. Hear and resolve complaints from employees, referring group grievances and more serious unresolved complaints to a higher level supervisor or manager;

7. Effect minor disciplinary measures, such as warnings and reprimands, recommending other action in more serious cases;

8. Identify developmental and training needs of employees, providing or arranging for needed development and training;

9. Find ways to improve production or increase the quality of the work directed;

10. Develop performance standards.

Factor Level 3-3, 775 points

To meet this level, positions must meet paragraph a or b below:

a. Exercise delegated managerial authority to set a series of annual, multiyear, or similar types of long-range work plans and schedules for in-service or contracted work. Ensure implementation (by lower and subordinate organizational units or others) of the goals and objectives for the program segment(s) or function(s) they oversee. Determine goals and objectives that need additional emphasis; determine the best approach or solution for resolving budget shortages; and plan for long range staffing needs, including such matters as whether to contract out work. These positions are closely involved with high level program officials (or comparable agency level staff personnel) in the development of overall goals and objectives for assigned staff function(s), program(s), or program segment(s). For example, they direct development of data; provision of expertise and insights; securing of legal opinions; preparation of position papers or legislative proposals; and execution of comparable

activities which support development of goals and objectives related to high levels of program management and development or formulation.

OPM Digest 21. Coverage of Level 3-3a.
Issue - The appellant directed a small staff conducting a program management function in an organization immediately below the agency level. The work entailed providing program guidance and oversight to operating programs at multiple field installations. The position did not exercise line authority over the lower echelon operating programs. The small staff workload directly supervised primarily performed program policy development work.

Resolution - This guide is used to evaluate the supervisory responsibilities of positions and managerial responsibilities that may accompany supervisory responsibilities. Covered positions must exercise both administrative and technical supervision over their subordinate workforce. Exclusion #3 further clarifies this basic coverage requirement in that positions meeting the coverage requirements and graded by using this guide may not have positions reporting to them and assigned to different chains of command credited in applying the guide, e.g., matrix management positions (supervisory responsibilities may not be credited to multiple positions). The position is covered by the GSSG in that is exercises both administrative and technical supervision over a small staff and met the other two GSSG basic coverage requirements and therefore meets the intent of Level 3-2. Although the position is engaged in some delegated functions and authorities typical of Level 3-3a, these were program management functions. The position is not delegated line supervisory or managerial authority over the field operating units implementing the program goals and objectives.

In assessing this Factor Level, careful consideration of the GSSG definition of "managerial" in the context of the level description is required. This level clearly envisions the performance of delegated managerial duties for an organization that has subordinate OR lower echelon units over which the supervisor has the authority to set (not simply advise on), ensure (direct and evaluate) and determine (not simply recommend) the critical aspects (i.e., long-range plans, goals and objectives, budgetary and staffing needs and solutions, etc.) of the program segment(s) or function(s) for which the supervisor is held accountable. It is implicit that positions at this level have significant authority with full responsibility and accountability. To summarize, this level is predicated on the managerial responsibilities exercised by the supervisor having a direct and marked effect on subordinate organizations.

- OR -

b. Exercise all or nearly all of the delegated supervisory authorities and responsibilities described at Level 3-2c of this factor and, in addition, at least 8 of the following:

1. Using any of the following to direct, coordinate, or oversee work: supervisors, leaders, team chiefs, group coordinators, committee chairs, or comparable personnel; and/or providing similar oversight of contractors;

2. Exercising significant responsibilities in dealing with officials of other units or organizations, or in advising management officials of higher rank;

3. Ensuring reasonable equity (among units, groups, teams, projects, etc.) of performance standards and rating techniques developed by subordinates or ensuring comparable equity in the assessment by subordinates of the adequacy of contractor capabilities or of contractor completed work;

4. Direction of a program or major program segment with significant resources (e.g., one at a multi million dollar level of annual resources);

5. Making decisions on work problems presented by subordinate supervisors, team leaders, or similar personnel, or by contractors;

6. Evaluating subordinate supervisors or leaders and serving as the reviewing official on evaluations of non-supervisory employees rated by subordinate supervisors;

7. Making or approving selections for subordinate non-supervisory positions;

8. Recommending selections for subordinate supervisory positions and for work leader, group leader, or project director positions responsible for coordinating the work of others, and similar positions;

9. Hearing and resolving group grievances or serious employee complaints;

10. Reviewing and approving serious disciplinary actions (e.g., suspensions) involving non-supervisory subordinates;

11. Making decisions on non-routine, costly, or controversial training needs and training requests related to employees of the unit;

12. Determining whether contractor performed work meets standards of adequacy necessary for authorization of payment;

13. Approving expenses comparable to within-grade increases, extensive overtime, and employee travel;

14. Recommending awards or bonuses for non-supervisory personnel and changes in position classification, subject to approval by higher level officials, supervisors, or others;

15. Finding and implementing ways to eliminate or reduce significant bottlenecks and barriers to production, promote team building, or improve business practices.

OPM Digest 22. Supervisory and Managerial Authority Exercised (Level 3-3b).
Issue - The appellant supervised 12 employees: seven indirectly through a subordinate supervisor, and three others indirectly through a designate team leader. The appellant believed his authority met Level 3-3b for two reasons. First, as required at Level 3-3b, he exercised

nearly all the responsibilities described at Level 3-2c. Second, he believed that he exercised 12 of the 15 responsibilities listed under Level 3-3b. For example, he claimed that he exercised "responsibility 1" under Level 3-3b, since he used a subordinate supervisor and a team leader to direct work.

Resolution – OPM determined that the appellant did not meet Level 3-3b since the unit's work as a whole was not sufficiently complex to justify the establishment of a quasi-supervisory team leader position. OPM noted that there were already two positions classified as supervisors in the unit (the appellant plus one subordinate supervisor), consisting of a total of only 11 non-supervisory positions, thus yielding a narrow span of control of 1 supervisor to 5.5. employees. Because the position could not receive credit for "responsibility 1" several other responsibilities listed under Level 3-3b that involve the use of subordinate supervisors or leaders could not be credited.

OPM Digest 20. Crediting Level 3-3b.
Issue - The appellant supervised 11 employees, five directly and five others indirectly through a subordinate supervisor.

Resolution - OPM determined the appellant did not meet the intent of Level 3-3b. The GSSG uses the plural when speaking of subordinate supervisor and leaders; this is deliberate. Level 3-3b is intended to credit only supervisors who direct at least two or three persons who are officially recognized as subordinate supervisors, leaders, or comparable personnel. Further, the supervisor's subordinate organization must be so large and its work so complex that it requires using those two or more subordinate supervisor or comparable personnel.

Typically, this level applies to second-level supervisors; however, situations are possible where it applies to first-level. For example, organizations with sufficient subordinate staff and workload to warrant more than one of the following: teams under matrix management, committees, self-directed teams, task forces, etc., approximate a second-level supervisory situation by placing similar demands on the supervisor. "Nearly all" in this factor is interpreted to mean eight of the ten Factor Level 3-2c conditions.

Factor Level 3-4, 900 points

In addition to delegated managerial and supervisory authorities included at lower levels of this factor, positions at this level meet the criteria in paragraph a or b below:

> a. Exercise delegated authority to oversee the overall planning, direction, and timely execution of a program, several program segments (each of which is managed through separate subordinate organizational units), or comparable staff functions, including development, assignment, and higher level clearance of goals and objectives for supervisors or managers of subordinate organizational units or lower organizational levels. Approve multiyear and longer range work plans developed by the supervisors or managers of subordinate organizational units and subsequently manage the overall work to enhance achievement of the goals and objectives. Oversee the revision of long range plans, goals and objectives for the work directed. Manage the development of policy changes in response to

changes in levels of appropriations or other legislated changes. Manage organizational changes throughout the organization directed, or major change to the structure and content of the program or program segments directed. Exercise discretionary authority to approve the allocation and distribution of funds in the organization's budget.

This level would typically be assigned to positions no lower than the first reporting level below an installation commander.

- OR -

b. Exercise final authority for the full range of personnel actions and organization design proposals recommended by subordinate supervisors. This level may be credited even if formal clearance is required for a few actions, such as removals and incentive awards above set dollar levels.

OPM Digest 19. Crediting Level 3-4b.
See DoD guidance below.

Before considering Factor Level 3-4b, OPM intends that the delegated authorities in both Factor Level 3-3a AND 3-3b first be met. The criteria of the standard are satisfied if the supervisor possesses the authority to approve most significant organization design proposals recommended by subordinate supervisors. Supervisors need not be delegated final approval authority for all proposals that emanate from lower organizational levels.

In fact, supervisors are often delegated authority to approve organizational changes affecting lower strata of their own units even though they may only recommend changes affecting higher levels. For example, in some organizations, authority to approve restructuring at division or higher levels is reserved for agency headquarters, while approval authority for organization changes at branch, section, and lower levels is delegated to installation managers.

OPM Digest 25. Crediting Level 3-4b.
Issue - The appellant was the manager of a field unit staffed with about 70 employees. The employing agency credited the appellant's supervisory responsibilities at Level 3-4b on the basis that he exercised final authority for approving the full range of personnel actions and organization design proposals recommended by this subordinate supervisors.

Resolution - Before Level 3-4b may be considered, a position must first fully satisfy the managerial and supervisory authorities described at Level 3-3 under both paragraphs a and b of that level. The basis for this requirement is that the various levels described under Factor 3 are not stand-alone criteria that may be viewed in isolation, but rather represent a continuum of progressively more responsible supervisory/managerial work. Each successively higher factor level description represent additional authorities beyond those expressed at the next lower level. Therefore, all of Level 3-3 must be met before Level 3-4 may be credited. In the appellant's case, although he occasionally served on task forces and working groups formed to explore new program initiatives or address continuing program issues or concerns, the assignments were infrequent project assignments intended to present a range of options to

higher-level decision-making officials. The appellant had no independent authority to make the types of managerial decisions described at level 3-3a in the standard and therefore by extension, Level 3-4 could not be considered.

QUESTION #13: What positions at the installation level would typically meet Level 3-4b?

Typically the final authorities for personnel actions and organization design described at Level 3-4b will not be lower than directorate level or one level below the Commander.

FACTOR 4 - PERSONAL CONTACTS

This is a two-part factor, which assesses the nature and the purpose of personal contacts related to supervisory and managerial responsibilities. The nature of the contacts, credited under Sub-factor 4A, and the purpose of those contacts, credited under Sub-factor 4B, must be based on the same contacts.

SUB-FACTOR 4A - NATURE OF CONTACTS

This sub-factor covers the organizational relationships, authority or influence level, setting, and difficulty of preparation associated with making personal contacts involved in supervisory and managerial work. To be credited, the level of contacts must contribute to the successful performance of the work, be a recurring requirement, have a demonstrable impact on the difficulty and responsibility of the position, and require direct contact.

Personal contacts for non-supervisory, technical work performed, collateral duties, or similar activities are not evaluated under this criterion. These contacts should be evaluated under the appropriate non-supervisory standard if they meet the criteria for a major duty.

Sub-factor Level 4A-1, 25 points

Contacts are with subordinates within the organizational unit(s) supervised, with peers who supervise comparable units within the larger organization, with union shop stewards, and/or with the staff of administrative and other support activities when the persons contacted are within the same organization as the supervisor. Contacts are typically informal and occur in person at the work place of those contacted, in routine meetings, or by telephone.

Sub-factor Level 4A-2, 50 points

Frequent contacts comparable to any of those below meet this level. Contacts are with:

- members of the business community or the general public;
- higher ranking managers, supervisors, and staff of program, administrative, and other work units and activities throughout the field activity, installation, command (below major command level) or major organization level of the agency;
- representatives of local public interest groups;

- case workers in congressional district offices;

- technical or operating level employees of State and local governments;

- reporters for local and other limited media outlets reaching a small, general population.

Contacts may be informal, occur in conferences and meetings, or take place through telephone, televised, radio, or similar contact, and sometimes require non-routine or special preparation.

Sub-factor Level 4A-3, 75 points

Frequent contacts comparable to any of those below meet this level. Contacts are with:

- high ranking military or civilian managers, supervisors, and technical staff at bureau and major organization levels of the agency; with agency headquarters administrative support staff; or with comparable personnel in other Federal agencies;

- key staff of public interest groups (usually in formal briefings) with significant political influence or media coverage;

- journalists representing influential city or county newspapers or comparable radio or television coverage;

- congressional committee and subcommittee staff assistants below staff director or chief counsel levels;

- contracting officials and high level technical staff of large industrial firms;

- local officers of regional or national trade associations, public action groups, or professional organizations; and/or State and local government managers doing business with the agency.

Contacts include those that take place in meetings and conferences and unplanned contacts for which the employee is designated as a contact point by higher management. They often require extensive preparation of briefing materials or up-to-date technical familiarity with complex subject matter.

Sub-factor Level 4A-4, 100 points

Frequent contacts comparable to any of those below meet this level. Contacts are with:

- influential individuals or organized groups from outside the employing agency, such as executive level contracting and other officials of major defense contractors or national officers of employee organizations;

- regional or national officers or comparable representatives of trade associations, public action groups, or professional organizations of national stature;

- key staff of congressional committees, and principal assistants to senators and representatives. For example: majority and minority staff directors, chief counsels, and directors of field operations;

- elected or appointed representatives of State and local governments;

- journalists of major metropolitan, regional, or national newspapers, magazines, television, or radio media;

- SES, flag or general officer, or Executive Level heads of bureaus and higher level organizations in other Federal agencies;

OPM Digest 19. Interpretation of Level 4A-4.
Issue - Contacts with SES officials in other Federal agencies.

Resolution - Level 4A-4 is the highest level described in this guide and is reserved for employees who frequently engage in the most difficult and demanding contacts required by supervisory and managerial work. Particular attention must be paid to contacts with "SES, flag or general officer, or Executive Level *HEADS OF BUREAUS AND HIGHER LEVEL ORGANIZATIONS IN OTHER FEDERAL AGENCIES.* Contacts with SES officials who are NOT heads of bureaus or higher level organizations in other agencies are NOT creditable at Level 4A-4. Instead, these contacts would be those envisioned at Level 4A-3 "contacts with high-level officials in other Federal agencies."

Contacts may take place in meetings, conferences, briefings, speeches, presentations, or oversight hearings and may require extemporaneous response to unexpected or hostile questioning. Preparation typically includes briefing packages or similar presentation materials, requires extensive analytical input by the employee and subordinates, and/or involves the assistance of a support staff.

SUB-FACTOR 4B - PURPOSE OF CONTACTS

This sub-factor covers the purpose of the personal contacts credited in Sub-factor 4b, including the advisory, representational, negotiating, and commitment-making responsibilities related to supervision and management.

QUESTION #14: What contacts are considered in determining the level to credit in Factor 4B, Purpose of Contacts?

Credit only the contacts used to determine the level in Factor 4A, Nature of Contacts.

Sub-factor Level 4B-1, 30 points

The purpose of contacts is to discuss work efforts for providing or receiving services; to exchange factual information about work operations and personnel management matters; and to provide training, advice, and guidance to subordinates.

Sub-factor Level 4B-2, 75 points

The purpose of contacts is to ensure that information provided to outside parties is accurate and consistent; to plan and coordinate the work directed with that of others outside the subordinate organization; and/or to resolve differences of opinion among managers, supervisors, employees, contractors or others.

OPM Digest 19. Distinguishing between Levels 4B-2 and 4B-3.
Issue - Appellant claimed that Level 4B-3 should be credited to his position, arguing that his duties as a branch chief in a personnel office required him to represent the organization in gaining compliance with personnel management policies, rules, and regulations.

Resolution - OPM advised that while any one of the three elements at Level 4B-2 would merit credit for this level, the criteria for Level 4B-3 are more stringent. At Level 4B-3 all three criteria, representing the project, program segment(s), or organizational unit(s) directed, obtaining or committing resources; AND gaining compliance with established polices are required to receive credit for the Level. The appellant did not have the responsibility and authority to obtain or commit resources for his organizational segment. Consequently, Level 4B-2, the highest level fully met, was assigned.

Sub-factor Level 4B-3, 100 points

The purpose of contacts is to justify, defend, or negotiate in representing the project, program segment(s), or organizational unit(s) directed, in obtaining or committing resources, and in gaining compliance with established policies, regulations, or contracts. Contacts at this level usually involve active participation in conferences, meetings, hearings, or presentations involving problems or issues of considerable consequence or importance to the program or program segment(s) managed.

Sub-factor Level 4B-4, 125 points

The purpose is to influence, motivate, or persuade persons or groups to accept opinions or take actions related to advancing the fundamental goals and objectives of the program or segments directed, or involving the commitment or distribution of major resources, when intense opposition or resistance is encountered due to significant organizational or philosophical conflict, competing objectives, major resource limitations or reductions, or comparable issues.

At this level, the persons contacted are sufficiently fearful, skeptical, or uncooperative that highly developed communication, negotiation, conflict resolution, leadership, and similar skills must be used to obtain the desired results.

FACTOR 5 - DIFFICULTY OF TYPICAL WORK DIRECTED

This factor measures the difficulty and complexity of the basic work most typical of the organization(s) directed, as well as other line, staff, or contracted work for which the supervisor has

technical or oversight responsibility, either directly or through subordinate supervisors, team leaders, or others.

OPM Digest 4. Conversion of Local National positions to General Schedule equivalent.
Issue – The highest level of line work in the organization is represented by positions classified under a Local National system as Criminal Investigators, level 14 and 16. The agency installation equated these positions to those included in the GS-1811 series and credited the work at GS-09 and GS-11.

Resolution – OPM found that the Local National positions were not equivalent to positions properly included in the GS-1811 series, rather the Police Series, GS-0083 and were found to substantially match the description for Detective at the GS-07 level.

Although the guide stated in the above is issue is no longer in use, the issue remains. You must be extremely careful when equating Local National positions to the General Schedule. Remember to research all possible standards before making the final determination of the appropriate series and grade.

OPM Digest 4. Supervision of military positions.
Issue - A civilian in a military organization had both non-supervisory and supervisory responsibilities. In evaluating the supervisory responsibilities, credit had been given for supervising a total of three individuals, two of whom were military. However, the evaluation statement did not reflect any specific consideration of whether the supervision of the military positions was properly creditable.

Resolution - Supervision of military positions should neither be automatically included in nor be automatically excluded from consideration. Rather, the determination of whether supervision of military positions meets the criteria for inclusion requires knowledge of the specific factual supervisory situation as well as the exercise of sound judgment, just as in the case of supervision of civilian employees. The question of whether to credit supervision of military positions can be difficult because supervisors may not provide comprehensive administrative supervision to such positions, not-withstanding technical supervision. The guide does not provide guidance specifically on the supervision of military positions, however it does provide general criteria for determining whether any position should be directly evaluated using the guide. Accordingly, Factor 3 criteria must be applied to the supervision of military positions in the same way they are applied to the supervision of civilian positions. Therefore if the civilian supervisor does not perform three of the first four and a total of six or more of the 10 authorities and responsibilities described in Factor 3-2c, the supervision of those positions must be excluded from consideration of the Base Level of Work.

Technical or oversight responsibility of the basic work of the organization normally requires recurring use of substantive technical skills/knowledge appropriate to direction of the work supervised. The supervisor need not be as skilled in the work as all subordinates, but must have sufficient technical knowledge to plan, assign, direct, and review work operations of the unit. The first-line supervisor generally should possess more specific technical knowledge since the employees are directly supervised. Second-line and successively higher echelons of

supervisors/managers continue to require technical skills, but the nature becomes more general and diffused due to the broader variety of work directed.

FIRST LEVEL SUPERVISORS

Determine the highest grade which:

- best characterizes the nature of the basic (mission oriented) non-supervisory work performed or overseen by the organization directed; and
- constitutes 25 percent or more of the workload (not positions or employees) of the organization.

QUESTION #15: How should "workload" be interpreted in this Guide?

Workload is synonymous with workhours. A full-time employee is equivalent to 2,087 annual workhours or 40 weekly workhours.

QUESTION #16: Is a detailed workload computation required for each supervisory position reviewed?

No. Where the complexity of work is readily identifiable, i.e., no mixed-grade positions, and majority of time spent performing highest graded duties, apply sound classification judgment in determining the workload of the organization.

This means that 25 percent or more of the non-supervisory duty hours of subordinates and others (based on estimates derived from position descriptions, supervisors, staffing studies, or contract documents) is expended on work at or above the base level credited, or, where extensive contract work is overseen, that 25 percent or more of the dollars spent on human services is for work at or above that level.

Include the workload of General Schedule subordinates, Federal Wage System employees, assigned military, volunteers, student trainees or non-Federal workers, such as contractor employees, State and local workers, or similar personnel.

In determining the highest level of work which constitutes at least 25 percent of workload or duty time, credit trainee, developmental, or other work engineered to grades below normal full performance levels, at full performance levels. Exclude from consideration:

- the work of lower level positions that primarily support or facilitate the basic work of the unit;

Do not automatically discount all clerical positions from consideration. You must first determine whether the work being performed is mission work, i.e., required in the performance of the organization's mission, or whether the work being performed is clerical support to assist higher graded personnel.

- any subordinate work that is graded based on criteria in this guide (i.e., supervisory duties) or the Work Leader Grade-Evaluation Guide;

OPM Digest 15. Sharing of supervisory responsibility.
Issue - Does the above statement preclude the consideration of the GS-12 team leader position from the base level of work?

Resolution – The position description for the team leader position credited the performance of the most complex and difficult assignments involving one-of-a-kind instruments and systems in a specialty field. A further review of the position clearly indicated that it was the special knowledge, skill and judgment required to perform such complex assignments that distinguished the work and was the paramount grade-influencing factor, not the lead duties. OPM found the GS-12 team leader position to be appropriate for inclusion with the positions used to determine the base level of work.

- work that is graded based on an extraordinary degree of independence from supervision, or personal research accomplishments, or adjust the grades of such work - for purposes of applying this guide – to those appropriate for performance under "normal" supervision;

OPM Digest 10. Determining extraordinary independence or freedom from supervision of subordinate positions.
Issue – Does the crediting of a higher level on Factor 2, Supervisory Controls, constitute evidence of a degree of extraordinary independence or freedom from supervision?

Resolution – Factor Level 2-4 provides for positive supervisory involvement in work initiation and planning, interim oversight activities, and review of completed work. While limited in some respects, it is an appropriate and normal level of supervision for an employee at the GS-12 level. Factor Level 2-5 provides for administrative direction with assignments in terms of broadly defined missions or functions. The employee is responsible for planning, designing and carrying out the work independently and results are considered technically authoritative and are normally accepted without significant change. Consequently, Level 2-5 does represent an extraordinary independence or freedom from supervision. Thus, where Level 2-5 is the grade-determining factor for a position, that position would not normally be creditable toward determining the base level of work supervised.

OPM Digest 21. Determining Base Level.
Issue - Does the GSSG permit crediting a GS-14 base level? This was based on the wording in Factor 5-8 "GS-13 or higher, or equivalent" and Factor 6-6a "work comparable in difficulty to the GS-13 or higher level". The grades of the GS-14 non-supervisory administrative positions directed were dependent on the crediting of Level 2-5, and followed the typical factor level pattern for GS-14 administrative work illustrated in the Classifier's Handbook.

Resolution - OPM found the GS-14 positions could not be used for base level purposes. This guide specifically excludes "work that is graded on an extraordinary degree of independence from supervision, or personal research accomplishments" from base level consideration. It does

however, permit adjusting the grades of such work for purposes of applying the guide to those appropriate for performance under "normal" supervision. The stated purpose of this guide is to evaluate the demands of overseeing "work through combined technical and administrative direction of others."

- work for which the supervisor or a subordinate does not have the responsibilities defined under Factor 3.

FWS, military, contractor, or volunteer work that is similar to that described in this paragraph should also be credited, adjusted or excluded from consideration as above.

The GSSG relies heavily upon percentages of time for determining the difficulty and complexity of the basic work directed. Although estimates may be used, percentages of time spent on major duties should be captured in position descriptions and core documents, when possible, to make the most accurate determination.

The degree of documentation required depends upon the organizational setting. In cases where an individual position contains a percentage of higher graded work, but less than enough to control the grade of position, such higher graded work may be counted toward meeting the overall 25% of the basic work directed.

In the preceding example, only a portion of the work of the position is counted, excluding the remaining work; therefore, when calculating the total for the unit, the divisor should be adjusted accordingly.

Appendix B provides an optional method of determining the basic work typical of the organization directed. This option may be useful where subordinate positions are of "mixed" grade levels.

SECOND (AND HIGHER) LEVEL SUPERVISORS

First, use the method described above for first level supervisors. For many second level supervisors, the base level arrived at by that method would be the correct one. In some cases, however, a heavy supervisory or managerial workload related to work above that base level may be present. For these positions: determine the highest grade of non-supervisory work directed which requires at least 50 percent of the duty time of the supervisory position under evaluation. The resulting grade may be used as the base level for second (and higher) level supervisors over large workloads -- if sound alignment with other supervisory positions in the organization and agency results.

QUESTION #17: Is the organizational structure and requirement to supervise 50% of the time as outlined as an option for determining workload for second and higher level supervisors typical in Army?

The organization structure intended and the requirement to spend 50% of the time performing supervisory duties are atypical in Army but may be feasible for supervisors of large organizations such as the DEH, DOL, or Chief of Construction/Operations at Corps district.

In the assessment of the level of any work performed by non-General Schedule employees, the pertinent classification standards should be consulted to derive an appropriate GS equivalent. In assessing supervisory positions that have mostly FWS employees making up their workforce, see the information in this guide under Exclusions.

FAS Digest 1. Converting FWS positions to a General Schedule grade.
Issue - The appellant served as a full deputy to a military chief of a supply organization at an Air Force base composed of a large workforce of 235 positions, a significant number of which were FWS positions. WG-10 employees performed the highest level of FWS work.

Resolution - While it is not possible to make a direct correlation between FWS and GS work, some valid analogies can be made to convert FWS work to a GS grade. A suitable GS classification standard must be selected to properly credit the skill and knowledge, responsibility, working conditions and physical ability required by the FWS work. The standard selected may be in FES or narrative format, so long as it permits measurement of the important grade-determining characteristics of the FWS work. A careful evaluation of the work was conducted and it was determined that the WG-10 work equated to GS-7.

QUESTION #23: Is there an official WG to GS equivalency chart?

No. To assess work performed by non-General Schedule (GS) employees, pertinent GS classification standards must be consulted. However, the following chart may be used as an indicator (NOT AN AUTOMATIC CONVERSION) of the equivalent full performance level for Federal Wage System positions. It does not apply to other pay schedules (e.g., WD, XP, etc.) for which you must also select an appropriate GS standard.

CAUTION: The neither FAS nor The Office of Personnel Management will recognize this chart as a basis for evaluation in adjudicating an appeal decision. Therefore, documentation other than the suggested equivalency chart must be cited in appeal decisions.

FWS Equivalency Guide

GS-1/2; WG-1/2	*= FL 5-1*	*= 75 Points*
GS-3/4; WG-3/4	*= FL 5-2*	*= 205 Points*
GS-5/6; WG-5/6	*= FL 5-3*	*= 340 Points*
GS-7/8; WG-7/8	*= FL 5-4*	*= 505 Points*
GS-9/10; WG-9/11	*= FL 5-5*	*= 650 Points*
GS-11; WG-12+	*= FL 5-6*	*= 800 Points*
GS-12; N/A	*= FL 5-7*	*= 930 Points*
GS-13+; N/A	*= FL 5-8*	*= 1030 Points*

After determining the highest qualifying level of the basic non-supervisory work directed, using a method consistent with the instructions above, assign the proper Factor Level and credit the appropriate points using the following chart:

IF HIGHEST LEVEL OF BASE WORK IS:	THEN FACTOR LEVEL IS:	AND POINTS TO BE CREDITED ARE:
GS-01 or 02, or equivalent	5-1	75
GS-03 or 04, or equivalent	5-2	205
GS-05 or 06, or equivalent	5-3	340
GS-07 or 08, or equivalent	5-4	505
GS-09 or 10, or equivalent	5-5	650
GS-11 or equivalent	5-6	800
GS-12 or equivalent	5-7	930
GS-13 or higher, or equivalent	5-8	1030

FACTOR 6 - OTHER CONDITIONS

This factor measures the extent to which various conditions contribute to the difficulty/complexity of carrying out supervisory duties, authorities, and responsibilities. Conditions affecting work for which the supervisor is responsible (whether performed by Federal employees, assigned military, contractors, volunteers, or others) may be considered if they increase the difficulty of carrying out assigned supervisory or managerial duties and authorities.

Begin evaluation of Factor 6 with the same basic work level selected for Factor 5; do not begin with a basic work level lower than factor 5. Although factor 6 evaluation normally produces the same basic work level as factor 5; there may be situations where it does not. Merely matching the grade levels will not justify a factor level selection. The full coordinative aspects of a level, in combination with the difficulty of work supervised, must also be met in order to be credited.

As indicated above, there are times when Factors 5 and 6 differ. This is particularly evident when assessing the requirements of Level 4 and above. The position may supervise a base level of work at the GS-12 level (Factor Level 5-7), however the incumbent is not responsible for the "significant and extensive coordination and integration" or making "major recommendations having a direct and substantial effect on the organization" envisioned at Level 6-5. In this instance, the appropriate Level to assign to Factor Level 6 is Level 6-4. While Level 6-4a generally pertains to first- level supervision, it may also be appropriate for second-level supervision, i.e., when the position being evaluated directly and indirectly supervises GS-11 level non-supervisory work and performs coordination and integration activities comparable to those typical of Level 6-4a.

To Apply This Factor:

Step 1.

Read each Factor Level Definition and select the highest level which the position fully meets.

Step 2.

If the level selected is either 6-1, 6-2, or 6-3, refer to the Special Situations section to be found after the Factor Level Definitions. Read each of the eight situations and determine how many

are met by the position. If the position meets three or more of the situations (i.e., meets 3 or more of the numbered paragraphs), then add a single level to the level selected in Step 1. For example, if the highest factor level that the position meets is 6-3, and the position also meets three separate numbered paragraphs under Special Situations, credit the position with level 6-4 for Factor 6.

If the level selected under Step 1 is either 6-4, 6-5, or 6-6, do not consult the Special Situations section, and do not add any levels to the level selected in Step 1. The level selected in Step 1 will be the level credited to the position for Factor 6.

Factor Level 6-1, 310 points

The work supervised or overseen involves clerical, technician, or other work comparable in difficulty to the GS-6 level, or lower. This could vary from basic supervision over a stable workforce performing work operations that are routine, to a level of supervision which requires coordination within the unit to ensure that timeliness, form, procedure, accuracy, quality and quantity standards are met in individual cases.

Factor Level 6-2, 575 points

a. The work supervised or overseen involves technician and/or support work comparable in difficulty to GS-7 or GS-8, or work at the GS-4, 5 or 6 level where the supervisor has full and final technical authority over the work, which requires coordination and integration of work efforts, either within the unit or with other units, in order to produce a completed work product or service. (Full and final technical authority means that the supervisor is responsible for all technical determinations arising from the work, without technical advice or assistance on even the more difficult and unusual problems, and without further review except from an administrative or program evaluation standpoint. Credit for this should be limited to situations involving an extraordinary degree of finality in technical decision making.)

The required coordination at this level ensures: consistency of product, service, interpretation, or advice; conformance with the output of other units, with formal standards or agency policy. Supervisors typically coordinate with supervisors of other units to deal with requirements and problems affecting others outside the organization.

- OR -

b. The position directs subordinate supervisors of work comparable to GS-6 or lower, where coordinating the work of the subordinate units requires a continuing effort to ensure quality and service standards, limited to matters of timeliness, form, procedure, accuracy, and quantity.

Factor Level 6-3, 975 points

a. Supervision and oversight at this level requires coordination, integration, or consolidation of administrative, technical, or complex technician or other support work comparable to GS-9

or 10, or work at the GS-7 or 8 level where the supervisor has full and final technical authority over the work. (Full and final technical authority means that the supervisor is responsible for all technical determinations arising from the work, without technical advice or assistance on even the more difficult and unusual problems, and without further review except from an administrative or program evaluation standpoint. Credit for this should be limited to situations involving an extraordinary degree of finality in technical decision making.) Directing the work at this level (cases, reports, studies, regulations, advice to clients, etc.) requires consolidation or coordination similar to that described at Factor Level 6-2a, but over a higher level of work.

This level may also be met when the work directed is analytical, interpretive, judgmental, evaluative, or creative. Such work places significant demands on the supervisor to resolve conflicts and maintain compatibility of interpretation, judgment, logic, and policy application, because the basic facts, information, and circumstances often vary substantially; guidelines are incomplete or do not readily yield identical results; or differences in judgments, recommendations, interpretations, or decisions can have consequences or impact on the work of other subordinates. Such work also may be accomplished by a team, each member of which contributes a portion of the analyses, facts, information, proposed actions, or recommendations, which are then integrated by the supervisor.

- OR -

b. The position directs subordinate supervisors over positions in grades GS-7 or 8 or the equivalent which requires consolidation or coordination similar to that described at Factor Level 6-2a within or among subordinate units or with outside units.

Factor Level 6-4, 1120 points

a. Supervision at this level requires substantial coordination and integration of a number of major work assignments, projects, or program segments of professional, scientific, technical, or administrative work comparable in difficulty to the GS-11 level. For example, such coordination may involve work comparable to one of the following:

- identifying and integrating internal and external program issues affecting the immediate organization, such as those involving technical, financial, organizational, and administrative factors;

- integrating the work of a team or group where each member contributes a portion of the analyses, facts, information, proposed actions, or recommendations; and/or ensuring compatibility and consistency of interpretation, judgment, logic, and application of policy;

- recommending resources to devote to particular projects or to allocate among program segments;

- leadership in developing, implementing, evaluating, and improving processes and procedures to monitor the effectiveness, efficiency, and productivity of the program segment and/or organization directed;

- reviewing and approving the substance of reports, decisions, case documents, contracts, or other action documents to ensure they accurately reflect the policies and position of the organization and the views of the agency.

- OR -

b. The position directs subordinate supervisors and/or contractors who each direct substantial workloads comparable to the GS-9 or 10 level. Such base work requires coordination similar to that described at Factor Level 6-3a., above, for first line supervisors.

For Factor Levels 6-4b, 6-5c, and 6-6b, the phrase "who each" means that all of the subordinate supervisors direct workloads at the referenced grade level. However, if the Factor 5 basic work level could be obtained in each subordinate unit by judicious redirection of the workload among supervisors to yield the Factor 5 work level, then credit for the Factor 5 basic work level is warranted. This is not to be construed as a mandate that such a redirection must occur.

Also, see OPM Digest 19, Crediting Level 6-6b below. The same criteria OPM uses for crediting Level 6-6b is used to credit 6-4b and 6-5c

Factor Level 6-5, 1225 points

a. Supervision and oversight at this level requires significant and extensive coordination and integration of a number of important projects or program segments of professional, scientific, technical, managerial, or administrative work comparable in difficulty to the GS-12 level. Supervision at this level involves major recommendations that have a direct and substantial effect on the organization and projects managed. For instance, make major recommendations in at least three of the areas listed below or in other, comparable areas:

- significant internal and external program and policy issues affecting the overall organization, such as those involving political, social, technological, and economic conditions, as well as those factors cited in the first item of Factor Level 6-4a;

- restructuring, reorienting, recasting immediate and long range goals, objectives, plans, and schedules to meet substantial changes in legislation, program authority, and/or funding;

- determinations of projects or program segments to be initiated, dropped, or curtailed;

- changes in organizational structure, including the particular changes to be effected;

- the optimum mix of reduced operating costs and assurance of program effectiveness, including introduction of labor saving devices, automated processes, methods improvements, and similar;

- the resources to devote to particular programs (especially when staff-years and a significant portion of an organization's budget are involved);

- policy formulation, and long range planning in connection with prospective changes in functions and programs.

- OR -

b. Supervision of highly technical, professional, administrative, or comparable work at GS-13 or above involving extreme urgency, unusual controversy, or other, comparable demands due to research, development, test and evaluation, design, policy analysis, public safety, public health, medical, regulatory, or comparable implications.

- OR -

c. Managing work through subordinate supervisors and/or contractors who each direct substantial workloads comparable to the GS-11 level. Such base work requires similar coordination as that described at Factor Level 6-4a. above for first line supervisors.

NOTE: Credit for Factor Level 6-5 cannot be obtained by means of the Special Situations found at the end of the Factor Level Descriptions.

Factor Level 6-6, 1325 points

a. Supervision and oversight at this level requires exceptional coordination and integration of a number of very important and complex program segments or programs of professional, scientific, technical, managerial, or administrative work comparable in difficulty to the GS-13 or higher level. Supervision and resource management at this level involves major decisions and actions that have a direct and substantial effect on the organizations and programs managed. For instance, supervisors at this level make recommendations and/or final decisions about many of the management areas listed under Factor Level 6-5a., or about other comparable areas.

- OR -

b. They manage through subordinate supervisors and/or contractors who each direct substantial workloads comparable to the GS-12 or higher level. Such base work requires similar coordination as that described at Factor Level 6-5a. above for first line supervisors.

OPM Digest 19. Crediting Level 6-6b.
Issue - Appellant contended that the agency placed undue emphasis on the requirement that *each* subordinate supervisor direct a substantial workload of GS-12 work.

Resolution - Based on guidance provided by the Office of Classification, the Classification Appeals Office adopted a more liberal interpretation of the criteria for Level 6-6b. Essentially, they concluded that there are two conditions under which it would be appropriate to credit GS-12 level work for the purpose of crediting Level 6-6b when each subordinate supervisor does not direct a substantial workload of GS-12 level work. First, if the workload/personnel could be redistributed among the subordinate units so that substantial workload of GS-12 level work *could* be assigned to each subordinate supervisor, the GS-12 level work would be creditable. Second, if all of the lower level work of the organization is assigned to one unit, and removing that unit from the organization left the requisite GS-12 base level work in each remaining subordinate unit, then GS-12 level work would be creditable.

NOTE: Credit for Factor Level 6-6 cannot be obtained by means of the Special Situations described below.

SPECIAL SITUATIONS

Supervisory and oversight work may be complicated by special situations and/or conditions. The Methodology section at the beginning of this factor explains how to credit the following situations.

1. Variety of Work:

> Credit this situation when more than one kind of work, each kind representing a requirement for a distinctly different additional body of knowledge on the part of the supervisor, is present in the work of the unit. A "kind of work" usually will be the equivalent of a classification series. Each "kind of work" requires substantially full qualification in distinctly separate areas, or full knowledge and understanding of rules, regulations, procedures, and subject matter of a distinctly separate area of work. Additionally, to credit "Variety" (1) both technical and administrative responsibility must be exercised over the work, and (2) the grade level of the work cannot be more than one grade below the base level of work used in Factor 5.

2. Shift Operations:

> Credit this situation when the position supervises an operation carried out on at least two fully staffed shifts.

3. Fluctuating Work Force or Constantly Changing Deadlines:

> Credit Fluctuating Work Force when the workforce supervised by the position has large fluctuations in size (e.g., when there are significant seasonal variations in staff) and these fluctuations impose on the supervisor a substantially greater responsibility for training, adjusting assignments, or maintaining a smooth flow of work while absorbing and releasing employees.

Credit Constantly Changing Deadlines when frequent, abrupt, and unexpected changes in work assignments, goals, and deadlines require the supervisor constantly to adjust operations under pressure of continuously changing and unpredictable conditions.

4. Physical Dispersion:

Credit this situation when a substantial portion of the workload for which the supervisor is responsible is regularly carried out at one or more locations which are physically removed from the main unit (as in different buildings, or widely dispersed locations in a large warehouse or factory building), under conditions which make day-to-day supervision difficult to administer.

OPM Digest 20. Crediting Physical Dispersion to a second-line supervisory position.
Issue - The appellant was a second-level supervisor who directed the work of a transportation unit and a building and grounds maintenance unit associated with a military base dependent school system. The appellant wanted to be credited with Physical Dispersion because: 1 the maintenance and transportation units were located in separate buildings on the base; 2 there were 10 different buildings on the base associated with the school system and 1 building approximately 14 miles away; and 3 the transportation personnel (bus drivers) were dispersed throughout the base and surrounding community on their daily routes thus making supervision more difficult.

Resolution - OPM denied credit because the physical dispersion of the units in this case did not make the appellant's day-to-day supervision more difficult to administer. As a second-level supervisor, the location of the subordinate supervisors (who do not require close daily supervision) did not impact on the appellant's day-to-day supervision since work assignments were normally made by telephone, written memorandum, or occasional face-to-face meetings. More importantly, as a second-level supervisor, the appellant did not make daily onsite visits to supervise the actual maintenance or transportation work being performed; in addition, bus, drivers, by the very nature of their work, are not subject to close daily supervision. Although the appellant supervised a workload carried out in many locations, this did not impact on the difficulty of his day-to-day responsibilities.

5. Special Staffing Situations:

Credit this situation when: (1) a substantial portion of the work force is regularly involved in special employment programs; or in similar situations which require involvement with employee representatives to resolve difficult or complex human resources management issues and problems; (2) requirements for counseling and motivational activities are regular and recurring; and (3) job assignments, work tasks, working conditions, and/or training must be tailored to fit the special circumstances.

6. Impact of Specialized Programs:

Credit this situation when supervisors are responsible for a significant technical or administrative workload in grades above the level of work credited in Factor 5, provided the

grades of this work are not based upon independence of action, freedom from supervision, or personal impact on the job.

7. Changing Technology:

Credit this when work processes and procedures vary constantly because of the impact of changing technology, creating a requirement for extensive training and guidance of the subordinate staff.

8. Special Hazard and Safety Conditions:

Credit this situation when the supervisory position is regularly made more difficult by the need to make provision for significant unsafe or hazardous conditions occurring during performance of the work of the organization.

DETERMINING THE GRADE

To determine the final grade of supervisory work:

- Ensure you have applied this guide in accordance with the "Instructions for Application" in the introduction to this Guide, and the directions given in each factor.

To reach a final grade level determination, apply all criteria in this guide. If there is a conflict between the supplemental guidance and the GSSG, the GSSG takes precedence.

- Total the points for all six factors and convert them to a grade using the point-to-grade conversion chart below. This normally produces the final grade of supervisory major duties.

POINT-TO-GRADE CONVERSION CHART

Point Range	Grade
4055 – up	GS-15
3605-4050	GS-14
3155-3600	GS-13
2755-3150	GS-12
2355-2750	GS-11
2105-2350	GS-10
1855-2100	GS-09
1605-1850	GS-08
1355-1600	GS-07
1105-1350	GS-06

If the grade which results from applying the conversion chart is not higher than the base grade of work supervised, as determined under Factor 5 of this guide, the final grade for the supervisory work evaluated will be one grade above the "base" grade of work directed, provided:

a. the "base" level of work directed is determined under Factor 5 of this guide, and involves 25 percent or more of the workload directed, as estimated under Factor 5; and

b. the delegated supervisory and managerial authorities and responsibilities credited meet the minimum level of authority and responsibility in Factor Level 3-1;

In addition, where the base grade of work directed is GS-9, and the adjustment conditions "a" and "b" immediately above are fully met, the final grade for the supervisory work shall not be less than GS-11.

These adjustments may not be applied directly to "Deputy" or "Assistant Chief" duties causing a position to be graded at the same grade as the "Chief."

APPENDIX A

GSSG POSITION EVALUATION SUMMARY
POSITION/ORGANIZATION INFORMATION

POSITION NUMBER:			
POSITION TITLE:			
PAY PLAN, SERIES, GRADE:			
ORGANIZATION INFORMATION:			
SUPERVISORY LEVEL: (1ST, 2ND, HIGHER):			
CHIEF OR DEPUTY:			
FACTORS	**LEVEL**	**POINTS**	**REMARKS**
1. PROGRAM SCOPE AND EFFECT	**1-____**		
2. ORGANIZATIONAL SETTING	**2-____**		
3. SUPERVISORY AND MANAGERIAL AUTHORITY	**3-____**		
4. PERSONAL CONTACTS …..A. NATURE	**4A-____**		
…..B. PURPOSE	**4B-____**		
5. DIFFICULTY OF TYPICAL WORK DIRECTED	**5-____**		
5. OTHER CONDITIONS	**6-____**		
TOTAL POINTS ASSIGNED:		**GRADE CONVERSION: GS-**	
ADJUSTMENT PROVISION:	**YES…….NO**		
OTHER REMARKS:			
CLASSIFIER:			**DATE:**

APPENDIX B

OPTIONAL METHOD TO DETERMINE BASIC WORKLOAD, FACTOR 5

An example workload analysis method to assist in determining the basic workload under Factor 5 may be useful when the basic work level is not apparent (where several subordinate positions are mixed grade). This material is from an OPM briefing on the GSSG.

Workload Analysis by Work Hours

WORK AT	POSITIONS IN BASE CALCULATION ..#1……..#2……#3……#4 GS-12…….GS-12…….GS-11…….GS-11				TOTAL	DIVIDE BY	% TOTAL WORKLOAD
GS-12	20	10	4		34	160	21.25
GS-11	10	30	30	20	90	160	56.25
GS-09	10		6	20	36	160	22.5
TOTAL	40	40	40	40	160		100%

The four positions above meet the GSSG criteria for credit toward the base level of work. GS-12 #1 expends 20 workhours at GS-12; 10 at GS-11; and 10 at GS-9, etc. There are 34 GS-12 workhours; 90 GS-11 workhours; and 36 GS-9 workhours for the organization, for a total of 160 workhours per week. To determine the number of hours needed to meet the GSSG 25% requirement, compute 25% of 160, which is 40 workhours. Looking at the last column, percentage of total workload, the highest grade level that meets or exceeds 25% is creditable. This analysis results in a base level of work of GS-11.

OPTIONAL FACTOR 5 BASE LEVEL EVALUATION SUMMARY BY WORKHOURS

WORK AT	*POSITIONS IN BASE LEVEL CALCULATION ..#1…….#2…….#3……#4…….#5 GS-…..,.GS-……GS-…….GS-……GS-*					*TOTAL HOURS*	*DIVIDE BY*	*% TOTAL WORKLOAD*
GS-								
GS-								
GS-								
GS-								
TOTAL								

ORGANIZATION: _____

TOTAL INCLUDABLE IN BASE LEVEL CALCULATION (I.E., DIVISOR): _____

OPTIONAL FACTOR 5 SUMMARY PAGE BY WORKHOURS

WORK AT	*WORKSHEET PAGE SUBTOTALS Page 1…Page 2….Page 3…Page 4…Page 5*					*TOTAL HOURS*	*DIVIDE BY*	*% TOTAL WORKLOAD*
GS-								
GS-								
GS-								
GS-								
TOTAL								

These optional forms may be used in the evaluation of Factor 5.