

# **DoD Supplement to the General Schedule Supervisory Guide**

**Purpose:** This guidance supplements and is used in conjunction with the OPM's GSSG, HRCD-5, dated June 1998. It provides clarification for classifying supervisory and managerial work to facilitate consistent DoD-wide application.

**(Updated January 2022: Includes 1993 DoD Supplemental Guidance and references to OPM and FAS Digest Decisions (through OPM Digest #32 and FAS Digest #3))**

**Defense Civilian Personnel Advisory Service  
Employment and Compensation  
Field Advisory & Support  
Classification Section**

## TABLE OF CONTENTS

INTRODUCTION .....	1
STATEMENT OF COVERAGE.....	1
EXCLUSIONS .....	3
SERIES DETERMINATION .....	4
DEFINITIONS .....	4
ORGANIZATIONAL DEFINITIONS .....	4
OTHER DEFINITIONS.....	8
TITLING INSTRUCTIONS .....	10
INSTRUCTIONS FOR APPLICATION.....	11
DEPUTY AND "ASSISTANT CHIEF" SUPERVISORY POSITIONS .....	12
GRADE EVALUATION FACTORS .....	12
FACTOR 1 - PROGRAM SCOPE AND EFFECT.....	12
FACTOR 2 - ORGANIZATIONAL SETTING .....	19
FACTOR 3 - SUPERVISORY AND MANAGERIAL AUTHORITY EXERCISED .....	21
FACTOR 4 - PERSONAL CONTACTS .....	27
SUB-FACTOR 4A - NATURE OF CONTACTS.....	27
SUB-FACTOR 4B - PURPOSE OF CONTACTS .....	29
FACTOR 5 - DIFFICULTY OF TYPICAL WORK DIRECTED .....	30
FIRST LEVEL SUPERVISORS .....	31
SECOND (AND HIGHER) LEVEL SUPERVISORS.....	33
FACTOR 6 - OTHER CONDITIONS .....	35
SPECIAL SITUATIONS .....	40
DETERMINING THE GRADE .....	42
POINT-TO-GRADE CONVERSION CHART.....	42
<a href="#"><u>APPENDIX A</u></a> – GSSG POSITION EVALUATION SUMMARY.....	44
<a href="#"><u>APPENDIX B</u></a> – SECTION/UNIT WORKLOAD CHART.....	45
<a href="#"><u>APPENDIX C</u></a> – PERCENTAGE-TO-TIME TABLE.....	46
<a href="#"><u>APPENDIX D</u></a> – OPM GSSG DIGEST ARTICLES WITH BRIEF SUMMARIES.....	47
<a href="#"><u>APPENDIX E</u></a> – FAS GSSG DIGEST ARTICLES WITH BRIEF SUMMARIES.....	56
<a href="#"><u>APPENDIX F</u></a> – OPM GSSG APPEAL DECISIONS WITH BRIEF SUMMARIES .....	59

# GENERAL SCHEDULE SUPERVISORY GUIDE

## INTRODUCTION

This guide provides evaluation criteria for determining the General Schedule grade level of supervisory positions in grades GS-6 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:** *Is there a specific format used when writing supervisory position descriptions?*

**ANSWER:** *Neither OPM nor DoD require agencies to write supervisory position descriptions in a specific format. However, it is easier to evaluate a position description written in a format compatible with the standard used in grading the position. DoD also encourages the use of percentages when classifying nonsupervisory positions and for the purpose of applying this guide. Some agencies may have supplemental guidance and procedures on the written format of position descriptions.*

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

**ANSWER:** *Evaluation statements are not required for supervisory positions. However, the position description should include sufficient information addressed by the six factors to evaluate the work assigned to the position. Note: An evaluation statement, prepared by the servicing HR office, is required for appeals to DCPAS and OPM.*

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
- 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

**QUESTION:** How should the term “technical direction of others” be interpreted for GSSG purposes?

**ANSWER:** The meaning intended by the GSSG for the “technical direction of others” is that the supervisor possesses sufficient, but not necessarily full, technical knowledge to plan, assign, direct, and review the work.

#### **OPM Digest 29 - Article 08**

**Issue - Coverage under the GSSG.**

#### **OPM Digest 32 - Article 04**

**Issue - Crediting contract work & distinguishing between administrative and technical supervision & Minimum criteria for coverage of the GSSG.**

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

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

**ANSWER:** There is no minimum number of subordinates prescribed when determining whether a supervisory position meets the GSSG requirement of a major duty occupying 25 percent of the position's time. When making this determination, the subordinate positions' supervisory controls should be considered. A good rule of thumb when looking at each position: the more oversight/supervision exercised, the less personnel needed to meet the 25 percent threshold because the supervisor will spend more time supervising them; conversely, the less oversight/supervision exercised, the more personnel needed to meet the 25 percent threshold because the supervisor will spend less time supervising them. Supervision normally decreases the higher the grades of the subordinate staff.

#### **OPM Digest 20 - Article 01**

**Issue - Coverage of the GSSG for supervision of small workloads.**

#### **OPM Digest 21 - Article 02**

**Issue - Coverage of the GSSG**

#### **OPM Digest 26 - Article 07**

**Issue - Coverage of the GSSG.**

- 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.)

**QUESTION:** Does the supervision of contractors count toward determining if the 25 percent threshold is met?

**ANSWER:** No, contractors may not be counted towards meeting the coverage requirements of the GSSG. However, once coverage is established based on supervision of **noncontractor** personnel

(i.e., at least 25 percent of the time is spent supervising noncontractor employees), contractor personnel may be considered when evaluating Factors 3, 5, and 6).

**OPM Digest 28 - Article 07**

**Issue – Crediting term and temporary work.**

**OPM Digest 32 - Article 05**

**Issue - Crediting volunteer and contractor work & distinguishing between administrative and technical supervision.**

**FAS Digest 3 - Case Number 2**

**Issue - Coverage of a position that supervises military personnel.**

**OPM Digest 22 - Article 02**

**Issue - Coverage of the GSSG (Contractor work).**

***QUESTION:** Does a position meet the basic coverage of the GSSG if the 25 percent of time is spent performing program management oversight of lower and subordinate organizational units as described in Level 3-3a?*

***ANSWER:** No, 25 percent of the position's time must be spent on **direct** technical and administrative supervision. Program management oversight may display some characteristics of supervision, such as technical clearance of work products or input to performance reviews. However, this is not the **full** technical and administrative supervision required for GSSG coverage. Management responsibilities may be credited under Factor 3 at Levels 3-3a and 3-4, but only after establishing that supervisory duties are performed at least 25 percent of the time.*

**DoD Supplemental Guidance**

**Code 4 Supervisors**

Positions designated as supervisory by the Civil Service Reform Act (CSRA) of 1978 (Code 4 supervisors) do not meet the coverage requirements of the GSSG.

**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.

**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.

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 nonsupervisory 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.

## **SERIES DETERMINATION**

Positions graded by this guide will continue to be classified in the most appropriate occupational series in accordance with instructions in OPM's Introduction to the Position Classification Standards, occupational definitions in the Handbook of Occupational Groups and Series, 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.

***QUESTION:** Who determines whether an activity meets the GSSG alternate definition of agency?*

***ANSWER:** The Departmental headquarters level makes the determination by ensuring the activity meets five of the seven conditions listed on page four of the GSSG.*

#### **OPM Digest 19 - Article 10**

##### **Issue - Interpreting the alternate definition of “agency.”**

**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.

#### **DoD Supplemental Guidance**

##### **Bureau equivalent**

The DoD Fourth Estate “agencies” are equivalent to “bureaus” in the GSSG, unless the alternative definition of “agency” is met.

Since the GSSG recognizes the Departments of Army, Navy, and Air Force as “agencies,” their major commands are equivalent to “bureaus.”

**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.

**DoD Supplemental Guidance**  
**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.

**MULTIMISSION 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.

**DoD Supplemental Guidance**  
**Large military installation**

Consider the terms “directly affects, directly impacts, or 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 services, 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-equivalent population they directly serve.

(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.



## **DoD Supplemental Guidance**

### **Complex, multi-mission military installation**

To determine “equivalent activities,” count each diverse mission that imposes additional complexities upon the position providing services as one of the four required organizations. If an installation has two diverse missions, count as two organizations toward the “complex” criteria on page 5 of the GSSG.

- a garrison;

Examples: Army garrison, Air Force Base, Naval station, or equivalent host activity that provides a variety of support services to the tenants of an installation

- a medical center or large hospital and medical laboratory complex;

Examples: Army-WOMACK Medical Center at Ft. Bragg; Navy-Naval Medical Center San Diego (Balboa); Air Force-David Grant USAF Medical Center at Travis AFB (medical treatment facilities (MTFs) are too small to meet this definition)

- multimillion dollar (annual) construction, civil works, or environmental cleanup projects; (Organization provides contract administration services for long-term, multi-year projects that involve several million per year)

- a test and evaluation center or research laboratory of moderate size;

Examples: Air Force-Major Shared Resource Center at Wright-Patterson AFB; Army-Combat Capabilities Development Command (DEVCOM) Army Research Laboratory at Adelphi; Navy-Naval Surface Warfare Center at Port Hueneme

- an equipment or product development center;

Examples: Air Force-Ground Based Strategic Deterrent Systems Directorate at Hill AFB; Army-U.S. Army Armament Research, Development and Engineering Center (ARDEC) at Detroit Arsenal; Navy-NAVFAC Ocean Facilities Office at WNY

- a service school;

Examples: any 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)

- a major command higher than that in which the servicing position is located or a comparable tenant activity of moderate size;

Examples: Joint Forces-U.S. Southern Command (SOUTHCOM) in Miami; Army-Industrial Operations Command HQ in Rock Island IL; Air Force-492d Special Operations Wing at Hurlburt Field; Navy-Naval Service Training Command at Great Lakes

- equivalent activities

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

**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.

**DoD Supplemental Guidance**  
**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 which 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.

**DoD Supplemental Guidance**  
**Other Definitions**

**Program and Major Military Function:** "Program" and "major military function" as defined in the GSSG 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.

**QUESTION:** *What is "a manager of high rank or level"?*

**ANSWER:** *OPM has not defined this term and has been inconsistent in its application. Since Level 3-3b is the lowest level of managerial work under Factor 3, logically the chief position should be evaluated at least at that level in order to support a deputy one grade lower than the chief. Since Level 3-3b also refers to direction of a "program segment" whereas Level 3-4 involves direction of a "program," the "deputy" definition's language of sharing in the direction of the organization's "program" would appear to align the chief position with Level 3-4. However, OPM appeal decisions do not apply this interpretation. Regardless, it is reasonable to conclude that deputies will not be found at lower levels in the organizational hierarchy or in support organizations and will normally serve as alter egos to second-level supervisors evaluated at Level 3-3b.*

**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:** *What is a managerial position within the context of the GSSG?*

**ANSWER:** *OPM has established that a position must meet Level 3-3b of Factor 3 of the GSSG to be considered a “managerial” position. Further, to meet those Level 3-3b criteria, the position must first meet and exceed Level 3-2c criteria. See the 1600 Job Family Standard, pages 18-19.*

**QUESTION:** *What is the difference between “management” and “managerial”?*

**ANSWER:** *“Management” refers to managing a program or program activities, including planning, monitoring, budgeting, reporting, evaluating, and overseeing. “Managerial” refers to managing people. Therefore, a program manager may or may not be supervisory, but a managerial position is by definition supervisory. See the 1600 Job Family Standard, pages 18-19, for a detailed discussion on “Distinguishing between Program Management Work and Managerial Work.”*

**QUESTION:** *Why is there a difference in usage of the term “managerial” between the 1600 JFS and the GSSG?*

**ANSWER:** *The GSSG uses the term “managerial” in Level 3-3a. However, the GSSG pre-dates the 1600 JFS, which specifically associates “managerial” work with Level 3-3b. Since the 1600 JFS is more recent guidance, Level 3-3a should be regarded as representing program “management” duties rather than the supervisory “managerial” duties described at Level 3-3b.*

## **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," "Program Manager," "Human Resources Officer," "Administrative 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 which meet the minimum requirements for coverage by this guide should be titled as supervisory even if nonsupervisory 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 which 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 which 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 nonsupervisory 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:** *Must the GSSG be used to evaluate positions covered by separate supervisory grading criteria, i.e., Fire Chief, GS-0081?*

**ANSWER:** *Yes, and whichever 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 assure that the highest level that is met is credited.

### **DoD Supplemental Guidance Instructions for Application**

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 6 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.

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.

***QUESTION:*** *Can a deputy be the same grade as the chief?*

***ANSWER:*** *Normally no, because this would require an unrealistic situation where the two positions equally share the supervisory responsibilities, thus diluting the chief's responsibility/authority and impacting his/her grade. But in some circumstances you may consider the inherent grade value, rather than the actual grade level, of the chief position. For example, under Level 2-3 the option exists for a position that directs a substantial GS-15 workload or GS-15 subordinate supervisors, and would support designation as SES except for lack of available SES allocations, to be considered SES-equivalent.*

***QUESTION:*** *Is there a minimum number of subordinate positions within the organization required to support a deputy position?*

***ANSWER:*** *There is no official minimum number. However, the GSSG definition of "deputy" references serving as an alter ego to a "manager" of high rank or level or exercising continuing responsibility for managing a major part of the manager's "program." Since the lowest level of managerial work in Factor 3 is Level 3-3b, deputies should generally not be established if the chief position does not meet Level 3-3b for supervisory work performed. This means that the chief position should be at least a second-level supervisor to warrant crediting of a full deputy.*

### **OPM Digest 03 - Article 10**

**Issue - Grading deputy or assistant chief positions.**

### **OPM Digest 15 - Article 02**

**Issue - Classifying Deputy Positions.**

### **OPM Digest 19 - Article 09**

**Issue - Identifying deputy positions.**

## **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.

**QUESTION:** *How is the serviced population for a supervisory position determined?*

**ANSWER:** *Only the population directly affected by the supervisory position under evaluation is credited towards the serviced population. This excludes potential or projected customers. It also excludes customers who may be co-located at the organization but not directly serviced or supported. For example, a civilian HR office may be located at a large installation, but the supervisor position may only be credited with servicing the civilian work force, not the military workforce, and therefore potentially not meet the 4000 employee threshold for "large" installation.*

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

- the program (or program segment) directed;

#### **OPM Digest 20 - Article 02**

##### **Issue - Definition of "program" or "program segment"**

- 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.

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

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

### **OPM Digest 32 - Article 16**

#### **Issue - Distinguishing between Levels 1-1 and 1-2**

##### **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 nondefense 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.

***QUESTION:** What is the difference between “procedural” work (Level 1-1) and “complex clerical” work (Level 1-2)?*

***ANSWER:** These are comparable to “clerical” and “assistance” work, respectively, as defined in the OPM Grade Level Guide for Clerical and Assistance Work.*

### **OPM Digest 31 - Article 09**

#### **Issue - Distinguishing between Level 1-2 and 1-3 & Crediting work performed by contractors.**



### [OPM Digest 32 - Article 01](#)

**Issue - Distinguishing between Level 1-2 and 1-3 technical and administrative work & Converting FWS positions to GS equivalent grades & Alternative method for evaluating second (and higher) level supervisors.**

#### **DoD Supplemental Guidance Factor Level 1-2 and Above**

The absence of specific examples of professional/administrative/scientific/technical, line/mission, or staff/support work at a specific level, i.e., FL 1-2, does not preclude assignment of the level. The critical issue is whether or not 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 or technical or professional services directly affecting a large or complex multi-mission military installation also falls at this level.

### [OPM Digest 19 - Article 05](#)

**Issue - Interpretation of “complex, multi-mission military installation” for crediting Scope at Level 1-3.**

### [FAS Digest 1 - Case Number 10](#)

**Issue – Interpretation of “complex, multimission installation” for crediting Level 1-3 Scope.**

### [OPM Digest 30 - Article 05](#)

**Issue - Organizational size in determining scope & alignment as a classification consideration.**

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

served 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 served by the agency and the complexity and intensity of the service itself, however, the served population may be concentrated in one specific geographic area, or involve a significant portion of a multistate 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.

**QUESTION:** *How do you distinguish between technical and administrative work at Level 1-2 vs. Level 1-3?*

**ANSWER:** *Level 1-2 is work graded at GS-08 and below, Level 1-3 is work graded at GS-09 (considered the first full-performance level of two-grade interval work) and above.*

#### **OPM Digest 19 - Article 01**

**Issue - Crediting Level 1-3 for supervision of complex professional, technical, or administrative services.**

#### **OPM Digest 32 - Article 12**

**Issue - Program Effect.**

**QUESTION:** *What organizational level does Level 1-3 represent?*

**ANSWER:** *Level 1-3 does not directly address organizational level except for “large/complex multimission installation.” However, it lies between Level 1-2 “field/area office” or “small/medium installation” and Level 1-4 “agencywide.” Therefore, Level 1-3 also represents bureau, major military command, or comparable organizational levels*

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

**ANSWER:**

- *Director of Maintenance for a centralized maintenance and repair facility that receives work from other installations.*
- *Training Director of centralized training offered at one site for a significant population of military and/or civilian personnel, providing specialized training not offered elsewhere.*
- *Supervisory Engineer at a district level 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.*

### **DoD Supplemental Guidance**

#### **Factor Level 1-3**

At installation level, activities that are generally considered “support,” such as budget, HR, supply management, etc., would not exceed FL 1-3, depending on the size of the installation.

## 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: What are some examples of work at Level 1-4?***

#### ***ANSWER:***

- *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.*

- *Supervisory Industrial Engineer/General Engineer at one of the Army's largest complex industrial installations (i.e., U.S. Army Missile Command, U.S. Army Tank and Automotive Command, U.S. Armament Munitions and Chemical Command, U.S. Army Industrial Operations Command) who directs highly technical operations which facilitate the agency's accomplishment of its primary mission.*
- *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.*

### **OPM Digest 19 - Article 03**

**Issue - Distinguishing between Level 1-3 and Level 1-4.**

### **OPM Digest 32 - Article 02**

**Issue - Scope and impact of the work directed & Credit for reporting to a deputy or full assistant chief position.**

### **FAS Digest 2 - Case Number 6**

**Issue – Crediting Level 1-4 Scope.**

**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; industrywide; 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: What are some examples of work at Level 1-5?***

**ANSWER:**

- *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.*
- *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 an 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.)

**QUESTION:** *When is a deputy (or Chief of Staff) position(s) credited as a separate reporting level to an SES (or equivalent) position?*

**ANSWER:** *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:** *If a command is very large and believes two deputies are warranted, how should they be graded?*

**ANSWER:** *Per OPM Digest Article No. 28-06, if two deputies are assigned, they will be two grades below the full chief/director of the organization.*

### **FAS Digest 1 - Case Number 3**

#### **Issue - Identification of “deputy” positions.**

- 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 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 which has responsibility for performance appraisal. SES equivalents include military officers at, equivalent to, or above the ranks of Rear Admiral and Brigadier General

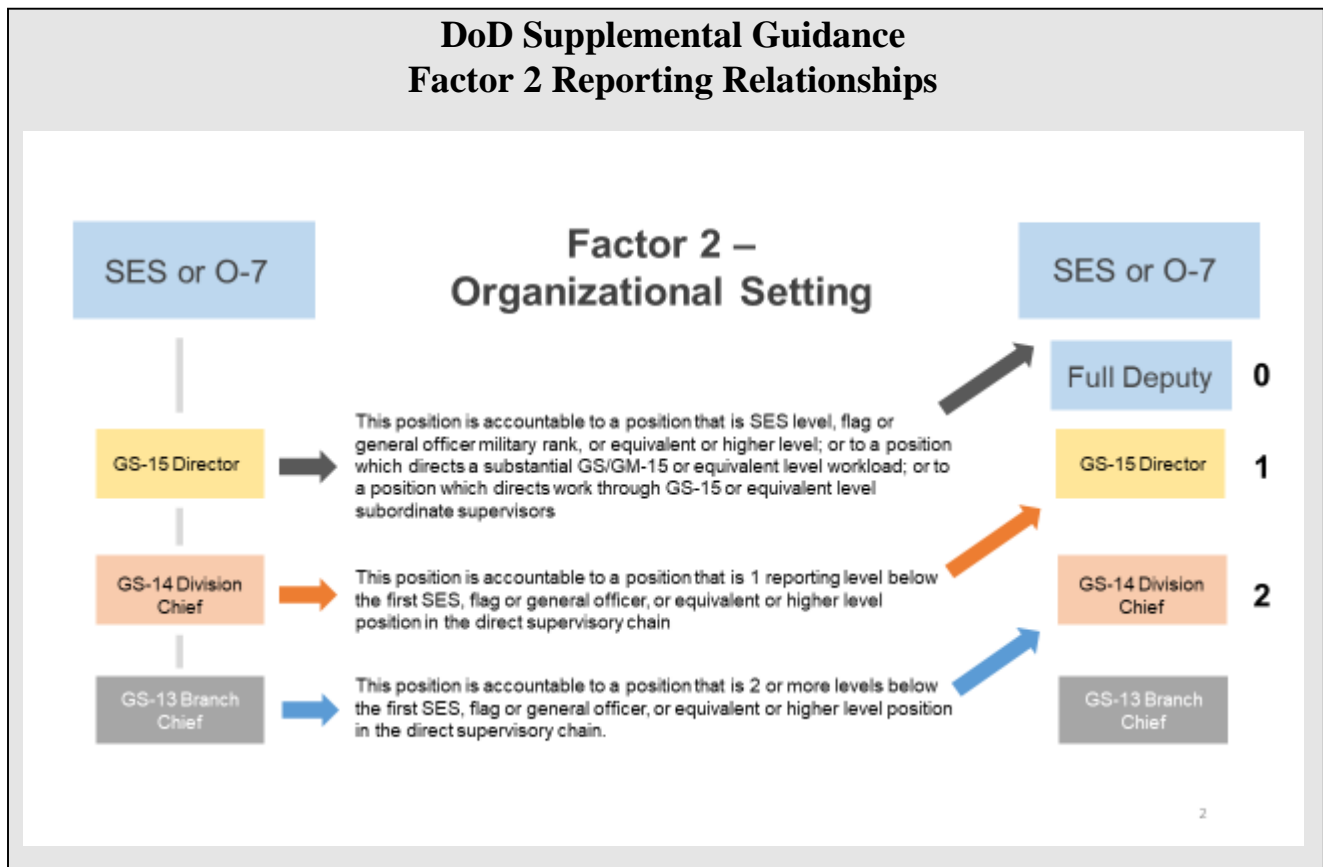
and also include commanding officers of the very largest military installations, regardless of rank.

**OPM Digest 19 - Article 04**

**Issue - Determining Senior Executive Service equivalency.**

**FAS Digest 1 - Case Number 2**

**Issue - Determining Senior Executive Service (SES) equivalency.**



**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.

**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.

**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.

**DoD Supplemental Guidance**  
**Factor 2, Organizational Setting**

Also assign FL 2-3 when the position under evaluation reports to: a position with the authorized military rank of O-7 or higher, or a position with the authorized military rank of O-6 who also directs either a substantial nonsupervisory GS-15 or equivalent workload or GS-15 or equivalent subordinate supervisory positions.

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

This factor covers the delegated supervisory and managerial authorities which 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.

**[OPM Digest 29 - Article 09](#)**

**Issue - Crediting work assignment and review as supervision.**

**DoD Supplemental Guidance**

**Factor 3, Supervisory and Managerial Authority Exercised**

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

**QUESTION:** *Why is Level 3-1 missing?*

**ANSWER:** *In the 1998 revision to the GSSG, OPM removed Level 3-1. Those duties and responsibilities were used to create the Part II responsibilities in the General Schedule Leader Grade Evaluation Guide (GSLGEG) for leaders over full performance level employees at the GS-09 through GS-13 grades.*

**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:

**DoD Supplemental Guidance  
Factor Level 3-2b**

“Nearly all” is interpreted to mean four of the five tasks listed for Level 3-2b.

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 which may affect payment to the contractor.

**QUESTION:** *Can a supervisory position be covered by the GSSG if it fully meets Level 3-2b over contractor positions but doesn't meet Level 3-2a or 3-2c over civilian and military positions?*

**ANSWER:** *No. To be covered by the GSSG, the supervisory position must meet the 25 percent technical and administrative supervision threshold over civilians and military first, BEFORE contractors may be considered. Since the minimum level under Factor 3 is Level 3-2, the position must qualify based on meeting Level 3-2a or 3-2c. Positions that only meet Level 3-2b do not meet the minimum threshold. See OPM Digest Article 21-02.*

**OPM Digest 21 - Article 02**

**Issue - Coverage of the GSSG**

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

**QUESTION:** *Can Level 3-3a be assigned in isolation?*

**ANSWER:** *No, Level 3-2c must first be met. This is because Level 3-3a credits certain higher-level management responsibilities that accompany supervisory work, rather than supervisory work itself, and is predicated on the minimum supervisory responsibilities of Level 3-2 (required for GSSG coverage) having also been met.*

**FAS Digest 1 - Case Number 6**  
**Issue – Crediting Level 3-3.**

**OPM Digest 19 - Article 08**

**Issue - Crediting Level 3-4b (addresses 3-3a).**

**OPM Digest 25 - Article 08**

**Issue - Crediting Level 3-4b (addresses 3-3a).**

**FAS Digest 3 - Case Number 6**

**Issue – Crediting Level 3-4 (addresses 3-3a & 3-3b).**

**OPM Digest 21 - Article 01**

**Issue - Coverage of Level 3-3a.**

**DoD Supplemental Guidance**

**Factor Level 3-3a**

In assessing Factor Level 3-3a, careful consideration of the GSSG definition of managerial in the context of the factor level description is required. This level clearly envisions the performance of delegated managerial duties (i.e., program management as defined in the 1600 JFS) for an organization that has subordinate OR lower echelon units over which the supervisor has the authority to set (not simply advise on), assure (direct and evaluate), and determine (not simply recommend) 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 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. Assuring reasonable equity (among units, groups, teams, projects, etc.) of performance standards and rating techniques developed by subordinates or assuring 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 multimillion 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 nonsupervisory employees rated by subordinate supervisors;
7. Making or approving selections for subordinate nonsupervisory 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 nonsupervisory subordinates;
11. Making decisions on nonroutine, 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 nonsupervisory 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.

**[OPM Digest 20 - Article 05](#)**

**Issue - Crediting Level 3-3b.**

**[OPM Digest 22 - Article 03](#)**

**Issue - Crediting of Level 3-3b & Coverage of the GSSG.**

**[OPM Digest 28 - Article 06](#)**

**Issue - Crediting for subordinate supervisors & Reporting to deputy positions.**

**[OPM Digest 30 - Article 06](#)**

**Issue - Crediting Level 3-3b.**

## **DoD Supplemental Guidance**

### **Factor Level 3-3b**

In considering the responsibilities listed under Level 3-3b, only the actual requirements of the organization should be credited. Hypothetical authority to carry out supervisory functions that would not realistically occur within the organizational context, such as nonroutine or controversial training or extensive overtime, cannot be credited if the organization does not require the regular and recurring exercise of that authority. However, authority for hearing and resolving group grievances and reviewing and approving serious disciplinary actions can be credited even if these situations have not occurred, if the supervisor has actually been delegated this authority or occupies an organizational level where the exercise of this authority would be expected.

### **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.

**QUESTION:** *Can Level 3-4a be assigned in isolation?*

**ANSWER:** *No, Level 3-3a and 3-3b must first be met.*

### **OR**

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 - Article 08](#)**

**Issue - Crediting Level 3-4b.**

**[OPM Digest 25 - Article 08](#)**

**Issue - Crediting Level 3-4b.**

## **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 Subfactor 4A, and the purpose of those contacts, credited under Subfactor 4B, must be based on the same contacts.

### **DoD Supplemental Guidance**

#### **Factor 4, Personal Contacts**

Personal contacts for nonsupervisory technical work, collateral duties, or similar activities performed by the supervisor are not evaluated under this factor. These contacts should be evaluated under the appropriate nonsupervisory standard if they meet the criteria for a major duty.

### **SUBFACTOR 4A - NATURE OF CONTACTS**

This subfactor 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.

#### **Subfactor 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.

#### **Subfactor 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 nonroutine or special preparation.

## **OPM Digest 19 - Article 02**

### **Issue - Distinguishing between Levels 4B-2 and 4B-3.**

#### **Subfactor 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 which 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.

#### **Subfactor 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;

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.

### **OPM Digest 19 - Article 07**

**Issue - Interpretation of Level 4A-4.**

## **SUBFACTOR 4B - PURPOSE OF CONTACTS**

This subfactor covers the purpose of the personal contacts credited in Subfactor 4A, including the advisory, representational, negotiating, and commitment making responsibilities related to supervision and management.

### **Subfactor 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.

### **Subfactor 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 - Article 02**

**Issue - Distinguishing between Levels 4B-2 and 4B-3.**

### **Subfactor 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.

**QUESTION:** *Is it possible for a first level supervisor to meet Level 4B-3?*

**ANSWER:** *In most cases, a first level supervisor will not meet Level 4B-3. This would only be possible if the supervisor were overseeing a program (as defined in the GSSG) and assigned at the agency level.*

#### **Subfactor 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.

#### **DoD Supplemental Guidance**

##### **Factor 5, Difficulty of Typical Work Directed**

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 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 range of work directed and the presence of intermediate supervisors.

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. For example, in cases where an individual position contains a percentage of higher graded work, but less than enough to control the grade of the position, such higher graded work may be counted toward meeting the overall 25 percent of the basic work directed for purposes of Factor 5.

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.



## First Level Supervisors

Determine the highest grade which:

- best characterizes the nature of the basic (mission oriented) nonsupervisory 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:** How should "workload" be interpreted in the GSSG?

**ANSWER:** Workload is synonymous with workhours. A full-time employee (FTE) is equivalent to 2,087 annual workhours or 40 weekly workhours.

**QUESTION:** How do you calculate workload?

**ANSWER:** Few positions spend 100 percent of their time on work at their classified grade level. Review each subordinate PD and determine the percentage of time spent on the work performed by grade level. This is easier if the PDs have percentages for the duty statements. For subordinate supervisory positions, do not count the time spent on supervisory work, but count the time spent on nonsupervisory work with an adjusted grade level. (For example, a GS-12 subordinate supervisor may spend 25 percent of the time on supervisory work, which should not be counted, and 75 percent of the time on GS-11 nonsupervisory work, which should be counted.) The workload chart provided in Appendix B may be used for these purposes.

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

**ANSWER:** 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 computation of the organization.

**QUESTION:** There are some OPM appeals which use the term "FTE." What does that mean?

**ANSWER:** Some OPM adjudicators use this term to refer to a full-time employee or multiple employees who make up a full-time schedule (e.g., two half-time employees are counted as one full-time employee, or any number of employees whose collective time is equivalent to one full-time employee, such as three seasonal workers who work only four months a year).

**QUESTION:** What does OPM mean by the term "staff years"?

**ANSWER:** "Staff years" is used by some OPM adjudicators in referring to full-time employees (FTE) at a given grade level. For example, one staff year of GS-11 level work is equivalent to one GS-11 FTE; or a GS-11 who spends 75 percent of their time performing GS-11 work and 25 percent performing GS-09 work would be equivalent to .75 GS-11 staff years and .25 GS-09 staff years, respectively. This is an alternate method of deriving the base level of work supervised.

This means that 25 percent or more of the nonsupervisory 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.

## DoD Supplemental Guidance

### 25 percent “at or above”

This is an often misunderstood concept because 25 percent “at or above” to determine base level of work supervised in the GSSG is not the same as the 25 percent rule to determine grade-controlling duties for nonsupervisory work. In the GSSG, base level of work is not a determination of the highest grade that comprises 25 percent or more of the workload. It is a determination of the grade at which 25 percent of the workload is either at that grade or above that grade. As examples of workload calculation:

GS-12	10%
GS-11	15%
GS-09	25%
GS-07	25%

In this case, the base level is NOT GS-09. The base level is GS-11 because at least 25 percent of the workload is AT OR ABOVE that level (10% + 15% = 25%) and it is the HIGHEST grade constituting 25% or more of the workload.

GS-12	5%	GS-08	10%
GS-11	15%	GS-07	50%
GS-09	10%	GS-05	10%

In this case, the base level is NOT GS-07. The base level is GS-09 because at least 25 percent of the workload is AT OR ABOVE that level (5% + 15% + 10% = 30%) and it is the HIGHEST grade constituting 25% or more of the workload.

You can find the base level by arranging the grade levels/percentages from highest to lowest as illustrated above, then adding the percentages from the top down. As soon as you hit 25 percent or more, that is the base 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;
- 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 - Article 06](#)

#### **Issue - Sharing of supervisory responsibility.**

- 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;

**QUESTION:** How do you determine “extraordinary degree of independence from supervision”?

**ANSWER:** Generally speaking, a subordinate position that has been credited with Level 2-5 under Supervisory Controls should be excluded from base level consideration if Level 2-5 is the grade-

*determining factor for the position. If the difference between Levels 2-4 and 2-5 does not result in a difference in grade level, then the subordinate position can be credited. Because GS-14 positions typically are credited with Level 2-5, GS-14 positions cannot be included for base level purposes. It should be noted that the classification of positions supervising GS-14 or higher graded positions is typically based on program management and not supervisory responsibilities, in which case the applicable subject-matter standard should be used for classification purposes.*

**QUESTION:** When is “adjusting the grades” for purposes of applying the GSSG appropriate?

**ANSWER:** OPM has not directly addressed this provision. However, there are situations when it would be required, such as if excluding GS-14 subordinates would render insufficient staff for coverage by the GSSG. In such cases, the GS-14 grade would be adjusted down to GS-13.

### **OPM Digest 10 - Article 03**

**Issue - Determining extraordinary independence or freedom from supervision of subordinate positions.**

### **OPM Digest 21 - Article 03**

**Issue - Determining Base Level.**

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

### **OPM Digest 15 - Article 05**

**Issue - Inclusion of a professional position in Base Level of Work Supervised by a non-professional.**

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.

### **OPM Digest 04 - Article 04**

**Issue - Conversion of local national positions to General Schedule equivalents.**

### **OPM Digest 30 - Article 07**

**Issue - Crediting work performed under detail & excluding lower-level support work.**

### **OPM Digest 32 - Article 08**

**Issue - Determining Difficulty of Typical Work Directed – Misclassification of subordinate positions.**

## **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 will 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 nonsupervisory 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:** *What should be considered in determining whether the alternative method should be applied?*

**ANSWER:** *The amount (or percentage) of the higher-graded workload and the organizational structure. This provision is intended for second (and higher) level supervisors over large workloads. It is not unusual for an organization to include a range of grades, including some above the base level. In most cases, however, the higher-graded workload does not occupy 50 percent of the supervisor's time. The presence of subordinate supervisors over the higher-graded workload undermines the likelihood that the second-level supervisor would devote 50 percent of the time to directing this work. Further, if the higher-graded workload is dispersed throughout a large organization, it would be difficult to establish that the supervisor is devoting 50 percent of the time to supervising those select positions constituting less than 25 percent of the workload. However, there may be situations where, for example, the second-level supervisor directly supervises a separate unit of higher-graded work that requires continuous involvement to support the 50 percent duty time required to apply this method.*

#### **OPM Digest 20 - Article 06**

**Issue - Alternative Method for second- and higher-level supervisors & Calculating Base Level.**

#### **OPM Digest 22 - Article 01**

**Issue - Alternative Method for Determining Difficulty of Typical Work Directed.**

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 which have mostly FWS employees making up their workforce, see the information in this guide under Exclusions.

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

**ANSWER:** *No. WG grades do not correspond to GS grades (e.g., WG-07 is not equivalent to GS-07). To determine a GS-equivalent grade for work performed by FWS employees, the most appropriate GS classification standards must be selected and the grading criteria applied.*

**QUESTION:** *Is there an official military to GS equivalency chart?*

**ANSWER:** *No. There is a chart that shows military/GS equivalency for protocol purposes only. It is not to be used for classification purposes. No direct comparison can be made between the military rank-in-person and the civilian rank-in-position systems. To determine a GS-equivalent grade for work performed by military personnel, the most appropriate GS classification standards must be selected and the grading criteria applied. In some cases, assigned military personnel may be performing work similar to that of subordinate GS employees, in which case grade equivalency may be assumed.*

#### **OPM Digest 32 - Article 01**

**Issue - Distinguishing between Level 1-2 and 1-3 technical and administrative work & Converting FWS positions to GS equivalent grades & Alternative Method for Determining Difficulty of Typical Work Directed**

### **FAS Digest 1 - Case Number 11**

#### **Issue - Converting FWS positions to a General Schedule grade.**

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

<b>IF HIGHEST LEVEL OF BASE WORK IS:</b>	<b>THEN FACTOR LEVEL IS:</b>	<b>AND POINTS TO BE CREDITED ARE:</b>
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 and 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.

#### **DoD Supplemental Guidance**

##### **Factor 6, Other Conditions**

Factor 6 measures the amount of coordination and integration required by the work of the supervisor, not solely the difficulty of the base level work determined in Factor 5. It is not intended to replicate Factor 5, although many classifiers treat it that way. It measures the complexity of the work performed by the supervisor, not the difficulty of the work performed by the subordinates, although there is of course a nexus. The higher the base level of work supervised, the more coordination and integration potentially required.

Begin evaluation of Factor 6 with the same base level grade selected for Factor 5 and then determine if the additional coordination criteria are met. The Factor 6 evaluation may produce the same base level grade as Factor 5, or it may be lower, but it will never be higher. 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.

### **OPM Digest 20 - Article 07**

#### **Issue - Linkage of Factor 6 to Previous Factors in the Guide.**

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 3 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 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**

a. 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 assure 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 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.

**QUESTION:** Under what circumstances should “full and final technical responsibility” not be credited?

**ANSWER:** The availability of a higher-level supervisor or other staff to answer technical questions precludes crediting this element. For example, a dispatching unit for an installation includes dispatchers working 24/7, team leads, and supervisors who report to a regional dispatch manager in the emergency operations center. The immediate supervisors do not have full and final technical responsibility as complex technical issues flow up to the regional dispatch manager for resolution. Full and final technical responsibility should not be conflated with independence from day-to-day supervision.

### 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 assure that 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.

**QUESTION:** What does “substantial” mean in Levels 6-4b, 6-5c, and 6-6b?

**ANSWER:** Sufficient for base level crediting, meaning each subordinate supervisor has a base level comparable to that listed in 6-4b, 6-5c, or 6-6b.

**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 which have a direct and substantial effect on the organization and projects managed. For instance, makes 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 which 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.

## **DoD Supplemental Guidance**

### **Hypothetical Redistribution of Workload**

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 base level could be obtained in each subordinate unit by judicious redirection of the workload among other supervisors to yield the Factor 5 base level, then credit for the Factor 5 base level is warranted. This is not to be construed as a mandate that such a redirection must occur. Any such hypothetical redistribution of workload/personnel must be realistic from an organizational standpoint and in terms of the knowledge required to direct the work. It cannot result in an illogical mix of unrelated functions. This may only be applicable if the subordinate units are engaged in similar types of work such that workload/personnel are essentially interchangeable.

For example: A very large installation has a Public Works Directorate which includes a large unit of GS-09 Engineering Technicians as well as some GS-11 Mechanical and Electrical Engineers. This work unit has a base level of GS-09. There are two other work units which include mostly Maintenance Mechanics at the WG-09 and WG-10 level. Converting this work to GS, these two maintenance units equate to the GS-07 base level. The senior manager over the Directorate determines that by judicious redirection of the engineers to the two maintenance units, the base level for all three units would average out to the GS-09 level, thus crediting factor level 6-4b. The classifier denies this assignment as the engineering work is not interchangeable with the work of the maintenance mechanics and the WS supervisors cannot technically manage the engineers.

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

#### **OPM Digest 19 - Article 11** **Issue - Crediting Level 6-6b.**

### **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 the 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 10 - Article 01**

**Issue - Assigning credit to a second-line supervisory position.**

### **OPM Digest 20 - Article 08**

**Issue - Crediting Physical Dispersion to a second-line supervisory position.**

## 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.

#### **OPM Digest 20 - Article 09** **Issue - Special Situations.**

### **DETERMINING THE GRADE**

To determine the final grade of supervisory work:

- Assure that 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.
- 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**

<b>POINT RANGE</b>	<b>GRADE</b>
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-9
1605-1850	GS-8
1355-1600	GS-7
1105-1350	GS-6

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 3-2;

In addition, where the base grade of work directed is GS-09, 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."

### **DoD Supplemental Guidance Determining the Grade**

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

## APPENDIX A

### GSSG POSITION EVALUATION SUMMARY POSITION/ORGANIZATION INFORMATION

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

## APPENDIX B

### SECTION/UNIT WORKLOAD CHART

Workload Chart - (Section's Name)					
Grade levels of Workload	Positions performing work directed			Weekly Work Hours	Workload %
	PD#____ GS-XX (# assigned)	PD#____ GS- XX (# assigned)	PD#____ GS-XX (# assigned)		
GS-XX				0	
GS-XX				0	
GS-XX				0	
GS-XX				0	
GS-XX				0	
Total Unit Work Hours				0	

## APPENDIX C

### PERCENTAGE-TO-TIME TABLE

Percentage-to-Time Table									
Daily (8-hour day)			Daily (9-hour day)			Weekly		Monthly	
%	HRS	MIN	%	HRS	MIN	%	HRS	%	HRS
5	0	24	5	0	27	5	2	5	8
10	0	48	10	0	54	10	4	10	16
15	1	12	15	1	21	15	6	15	24
20	1	36	20	1	48	20	8	20	32
25	2	0	25	2	15	25	10	25	40
30	2	24	30	2	42	30	12	30	48
35	2	48	35	3	9	35	14	35	56
40	3	12	40	3	36	40	16	40	64
45	3	36	45	4	3	45	18	45	72
50	4	0	50	4	30	50	20	50	80
55	4	24	55	4	57	55	22	55	88
60	4	48	60	5	24	60	24	60	96
65	5	12	65	5	51	65	26	65	104
70	5	36	70	6	18	70	28	70	112
75	6	0	75	6	45	75	30	75	120
80	6	24	80	7	12	80	32	80	128
85	6	48	85	7	39	85	34	85	136
90	7	12	90	8	6	90	36	90	144
95	7	36	95	8	33	95	38	95	156
100	8	0	100	9	0	100	40	100	160



## APPENDIX D

### OPM GSSG DIGEST ARTICLES with BRIEF SUMMARIES

#### OPM Digest 03 - Article 10

**Issue – Grading deputy or assistant chief positions.** The equal sharing of supervisory responsibilities is usually the argument given for grading a deputy position to the same grade as the chief position; however, there are two main arguments against this concept discussed in this article. First, a situation in which the deputy and chief position constantly agree on decisions affecting their organization and their decisions are equally impacting, or in the absence of agreement their decisions are made independently of each other, is extremely rare. Second, if there were equality of decision-making, the authority of the chief position would be so diluted so as to not warrant the grade that would normally be assigned.

#### OPM Digest 04 - Article 04

**Issue – Conversion of local national positions to General Schedule equivalents.** An agency installation equated local national (LN) positions to the GS-1811 series based on the LN position title rather than equating the actual work. The investigative work performed by the LN positions was actually in the GS-0083 series. Although different classification systems may use titles identical to those found in GS standards, the work may not be equivalent.

#### OPM Digest 10 - Article 01

**Issue – Assigning credit to a second-line supervisory position.** The issue involved whether a Division Chief should be given the same physical dispersion credit as his subordinate supervisors. It was determined that the Division Chief could not be credited with physical dispersion because his day-to-day responsibilities were not impacted by the employees working in remote areas as the first line supervisors were responsible for assigning personnel to each area, making periodic rounds, and assuring that subordinates carried out their assigned duties. Credit should not automatically be given to second-line supervisors for physical dispersion solely on the basis of it being credited to the subordinate supervisors.

#### OPM Digest 10 - Article 03

**Issue – Determining extraordinary independence or freedom from supervision of subordinate positions.** An agency concluded that GS-12 employees credited with Level 2-4 and 3-4, under FES, should be excluded from base level consideration on the basis the factor levels were grade differentiating from a GS-11 position. OPM determined Level 2-4 provided a normal level of supervision in which there were some oversight activities and review of completed work, the employees therefore not working with an extraordinary degree of independence or freedom of supervision. Conversely, at Level 2-5 work is done independently and results are considered technically authoritative and accepted without significant change, thus representing extraordinary independence and freedom from supervision. Furthermore, under FES the grade of a position is dependent on all nine factors so unless the difference between Levels 2-4 and 2-5 causes a difference in grade, there can be no determination the grade of the position is based on extraordinary independence or freedom from supervision.

#### OPM Digest 15 - Article 02

**Issue – Classifying Deputy Positions.** An appellant argued his position should be classified to GS-15 because his position served as a deputy to an SES. OPM found that not only was the size of the

organization too small to support his position as a deputy but the appellant did not, in practice, occupy a position in the direct supervisory line from the chief to subordinate staff since the appellant was seldom called upon to make decisions for the chief. Based on this the appellant's position was classified applying the standard appropriate for its series. The extent of a deputy's authority must be considered when determining whether it truly meets the intent of a deputy or "assistant chief" position and when grading the position.

#### **OPM Digest 15 - Article 05**

**Issue – Inclusion of a professional position in the Base Level of Work Supervised by a non-professional.** A rare instance in which a professional position is credited in the base level of work for a non-professional supervisory position may occur when the professional position does not receive technical supervision from any other position, the grade of the position is not based on less-than-normal supervision, and the supervisor provides the same general technical supervision to the professional and non-professional positions as typically needed to direct work at their grade level.

#### **OPM Digest 15 - Article 06**

**Issue – Sharing of supervisory responsibility.** An agency excluded a team leader position, who shared limited supervisory responsibilities, when determining the base level of work supervised. OPM determined the grade of the team leader position was based on the special knowledge, skill, and judgment required for performing the complex and difficult assignments assigned rather than the supervisory responsibilities.

#### **OPM Digest 19 - Article 01**

**Issue – Crediting Level 1-3 for supervision of complex professional, technical, or administrative services.** The appellant argued her position met Level 1-3 based primarily on the *Scope* element for this factor. OPM found the *Effect* element did not meet Level 1-3 because the work directed did not impact activities with complex professional or administrative tasks, or diverse technical functions typically found at a large multi-mission installation. Although the serviced population was over 4000 employees, comparable to a large installation, the work primarily supported technical maintenance activities rather than the numerous, varied, and complex functions required at Level 1-3.

#### **OPM Digest 19 - Article 02**

**Issue – Distinguishing between Levels 4B-2 and 4B-3.** The appellant argued his position should be credited Level 4B-3 based on his role in representing the organization in gaining compliance with personnel management policies, rules, and regulations. Due to the stringent criteria of 4B-3, OPM determined the position did not meet all three elements required at Level 4B-3 in that he did not have authority to obtain or commit resources for the organization.

#### **OPM Digest 19 - Article 03**

**Issue – Distinguishing between Level 1-3 and Level 1-4.** An appellant responsible for directing criminal investigative work and related administrative and clerical work with a geographic coverage of a six-State area believed the *Scope* of his position met Level 1-4. OPM determined the *Scope* of work did not directly impact agency policies and regulations and the geographic coverage was narrower than numerous States or a major segment of the nation described at Level 1-4. The *Effect* failed to meet Level 1-4 because the work directed did not affect agency headquarters operations, several bureau wide programs, or most of the agency's field structure; or facilitate accomplishment of the agency's primary

mission or programs of national significance or affect large segments of the Nation's population or segments of one or few large industries; or receive frequent or continuing media interest.

#### **OPM Digest 19 - Article 04**

**Issue – Determining Senior Executive Service equivalency.** An agency's crediting Level 2-2 led OPM to reiterate SES equivalency for GSSG purposes. A position that directs a substantial GS-15 or equivalent workload, or a position directing work through GS-15 or equivalent level subordinate supervisors, officers, contractors, or others, is considered equivalent to the SES level. In this case, the direct reporting structure included only 2 GS-15 division chiefs, 2 GS-14 division chiefs, and 8 staff heads GS-11 to GS-13.

#### **OPM Digest 19 - Article 05**

**Issue – Interpretation of “complex, multi-mission military installation” for crediting Scope at Level 1-3.** OPM reiterates that even when an installation includes a variety of functions and geographic dispersion, it must meet the full intent of “complex, multi-mission installation” in terms of both size and the complexity of the organizations carrying out those missions.

#### **OPM Digest 19 - Article 06**

**Issue – Identifying the level of typical work directed & Linkage of Factors 5 and 6.** An appellant disputed an agency's conclusion of certain excluded work and the amount of credible GS-12 work in determining the base level. The article shows how all the work directed was reviewed for inclusion, or exclusion, in determining the base level of work. It states the linkage between difficulty of work measured in Factor 5 and the complexity of supervisory coordination of that work. OPM also rejected crediting of Level 6-5 because the subordinate supervisors did not individually direct a substantial GS-11 workload and no feasible redistribution of the work directed would result in an acceptable structure that would permit this.

#### **OPM Digest 19 - Article 07**

**Issue – Interpretation of Level 4A-4.** An appellant argued his position met Level 4A-4 due to his contacts with SES officials in other Federal agencies. OPM determined Level 4A-4 was not met because the appellant's contacts were SES officials who were division chiefs and directors of administrative support organizations but not heads of bureaus. Contacts creditable for Level 4A-4 are SES or equivalent officials who are heads of bureaus and higher-level organizations in other federal agencies.

#### **OPM Digest 19 - Article 08**

**Issue – Crediting Level 3-4b.** OPM reiterates Level 3-4b requires in addition to that level's criteria that it also meet the criteria in paragraphs *a and b of Level 3-3*. In addition, OPM explains the conditions which must be met to credit Level 3-4b.

#### **OPM Digest 19 - Article 09**

**Issue – Identifying deputy positions.** An appellant believed he was reporting to a deputy to an SES position, therefore warranting Level 2-3. A position meets the GSSG definition of ‘deputy’ when the position serves as an alter ego to the chief or when total authority of an organization is equally divided between the chief and the deputy. In this scenario, the appellant reported to a position whose management responsibilities expended only to a portion of the organization. The chief retained full authority over the organization and another position served as a full assistant to the chief. Therefore, the appellant could not be credited with Level 2-3 because he did not report directly to a true deputy.

### **OPM Digest 19 - Article 10**

**Issue – Interpreting the alternative definition of “agency.”** OPM addresses the alternative definition of “agency” and provides clarifying guidance on items (4) and (7) of the alternative definition.

### **OPM Digest 19 - Article 11**

**Issue – Crediting Level 6-6b.** OPM offers a liberal interpretation of Level 6-6b and provides two conditions in which it would be appropriate to credit 6-6b when the subordinate supervisors do not direct a substantial workload of GS-12 level work. First, if the workload/personnel could be redistributed resulting in each subordinate supervisor being responsible for a substantial GS-12 workload. Second, if all the lower level work is assigned to one unit and removing that unit from the organization would leave the requisite GS-12 base level in each remaining unit.

### **OPM Digest 20 - Article 01**

**Issue – Coverage of the GSSG for supervision of small workloads.** The appellant claimed he spent 50 percent of his time supervising two GS-12 employees (a third position was vacant). It was determined only 15 percent of the appellant’s time was devoted to personnel management and other supervisory responsibilities, therefore not meeting the 25 percent requirement for coverage of the GSSG.

### **OPM Digest 20 - Article 02**

**Issue – Definition of “program” or “program segment.”** The appellant claimed the training functions under his supervision were “programs” and not a support element. OPM determined that while training is an essential function to military forces, his organizational unit was not responsible for planning or conducting training but instead was responsible for providing training aids and accessories needed to conduct the actual training, which is a support service function. The GSSG allows staff certain functions, whose impact does not extend outside the agency, be considered “programs” only if involving the agencywide administration of these functions.

### **OPM Digest 20 - Article 03**

**Issue – Distinguishing Between Level 1-2 and 1-3 in Support Work.** Due to a reorganization of information systems support work, some functions at a regional office were downsized and posed the question of whether the supervisory position continued to support Level 1-3. The serviced population exceeded 4000, equivalent to a large installation. However, OPM determined the reorg reduced the functions from providing a full range of IT services to those related solely to providing computer operations and related services, thus not constituting the “complex” technical services required at Level 1-3 for Scope or impact equivalent to “essential” support operations required at Level 1-3 for Effect.

### **OPM Digest 20 - Article 04**

**Issue – Distinguishing between Levels 1-2 and 1-3.** An appellant in charge of a telephone service center claimed her position met Level 1-3 for *Scope* based on the coverage of services provided and *Effect* based on the complexity of work and impact it had on the agency’s mission. OPM determined the geographic area of responsibility met Level 1-3 for *Scope*; however, the nature of services provided to the population directly and significantly serviced was single-grade interval in nature, therefore not meeting Level 1-3 where the work is complex administrative or technical. In addition, the position failed to meet Level 1-3 for *Effect* due to the population size directly and significantly serviced being comparable to only a portion of a small city and the work not affecting a wide range of agency activities.

### OPM Digest 20 - Article 05

**Issue – Crediting Level 3-3b.** The appellant claimed he exercised all of the responsibilities under Level 3-3b and exercised responsibility 1 since he had one subordinate supervisor. OPM reiterated that responsibility 1 uses the plural when speaking of subordinate supervisors or leaders, meaning there must be at least two such positions supervised, and that responsibility 1 further impacts responsibilities 5, 6, and 8.

### OPM Digest 20 - Article 06

**Issue – Alternative Method for second- and higher-level supervisors & Calculating Base Level.**

The appellant argued his position met criteria for applying the alternative base level methodology in determining base level of work; and that his position should be credited with supervisor-employee relationship with owners, managers, CEOs and project managers of Architect/Engineer and service contractors because although the contractors' working-level employees were laborers, he was dealing with the contractors' top management. OPM found his position did not devote 50 percent or more of his time overseeing GS-11 work due to the presence of intermediate supervisors. The work performed by the contract owner, manager, CEO, and project manager was supervisory in nature and therefore excluded from base level consideration.

### OPM Digest 20 - Article 07

**Issue – Linkage of Factor 6 to Previous Factors in the Guide.** The appellant claimed he spent 50 percent of his time on second-level supervision over GS-11 work which should be credited as the base level using the alternative method, also thus allowing crediting of Level 6-5a. OPM rejected application of the alternative method based on the presence of intermediate supervisors and found there was insufficient GS-11 work in the division to permit the crediting of *each* subordinate supervisor with a substantial GS-11 workload.

### OPM Digest 20 - Article 08

**Issue – Crediting Physical Dispersion to a second-line supervisory position.** The agency credited a second-level supervisory position with physical dispersion of the subordinate supervisors; however, OPM found the physical dispersion did not make day-to-day supervision difficult. Aspects to consider: how work assignments are typically made (do they require face-to-face interaction); type of positions supervised (do the positions require close daily supervision); and nature of the work performed (does the work require close technical supervision).

### OPM Digest 20 - Article 09

**Issue – Special Situations.** The appellant claimed her position met six of the *Special Situations* from the GSSG. OPM evaluated the appellant's position for credit of the *Special Situations* and found the appellant's position only met one of the six situations claimed and therefore did not receive credit for *Special Situations*. This article contains an in-depth discussion of the six situations.

### OPM Digest 21 - Article 01

**Issue – Coverage of Level 3-3a.** The position was responsible for directing a small staff that provided program guidance and oversight to installation-level operating conducting a program management function in an organization immediately below the agency level. OPM determined that while the position engaged in some delegated functions and authorities typical of Level 3-3a, they were program management functions rather than supervisory/managerial authorities and therefore did not meet the intent of Level 3-3a.



### OPM Digest 21 - Article 02

**Issue – Coverage of the GSSG.** The issue was whether a position directing work of Federal employees and contractor work met criteria for coverage of the GSSG. The Federal employee supervision only constituted 10 percent of the time. To be covered the position must (1) administratively and technically direct others; (2) spend at least 25 percent of the work time performing those functions; and (3) meet at least the lowest level of Factor 3 based on supervising “Federal civilian employees, military or uniformed service employees, volunteers, or other *non-contractor* personnel.” OPM determined the position did not meet GSSG coverage criteria.

### OPM Digest 21 - Article 03

**Issue – Determining Base Level.** The issue was whether the GSSG permitted crediting a GS-14 base level based on the wording in Level 5-8 “GS-13 or higher, or equivalent” and Level 6-6a “work comparable in difficulty to the GS-13 or higher level.” The GSSG requires the exercise of both technical and administrative supervision whereas Level 2-5 reflects administrative supervision only. The cited wording in Levels 5-8 and 6-6a represents a ceiling. OPM determined the GS-14 grade was based on extraordinary degree of independence from supervision, resulting in the GS-14 work being excluded from base level consideration.

### OPM Digest 22 - Article 01

**Issue – Alternative Method for Determining Difficulty of Typical Work Directed.** The alternative method was not appropriate in this case based on the presence and authority of intermediate levels of supervision and the limited amount of higher graded work directed. OPM contrasted this with another position of manager over a field activity that had two separate and distinct missions - a lower-graded operating function and a higher-graded program and policy development function. Although the latter constituted a smaller portion of the workload, it required continuous involvement by the supervisor and was appropriate for applying the alternative method.

### OPM Digest 22 - Article 02 (Same article as in Digest 21 – Article 02)

**Issue – Coverage of the GSSG (Contractor work).**

### OPM Digest 22 - Article 03

**Issue – Crediting of Level 3-3b & Coverage of the GSSG.** The appellant believed his position met Level 3-3b on the premise he exercised 12 of the 15 listed responsibilities. OPM found he only exercised 3 of the 15 responsibilities under 3-3b. The appellant had subdivided his unit into small sections with one subordinate supervisor and one team leader. OPM was not persuaded there was enough quasi-supervisory work present to justify this structure. Therefore, the position did not meet responsibility 1, which also influences responsibilities 5, 6, and 8. This article clarifies the intent of responsibility #1 under Level 3-3b that when an organization is subdivided into smaller sections with supervisory or lead positions, the workload and complexity must exist for crediting of this level.

### OPM Digest 25 - Article 08

**Issue – Crediting Level 3-4b.** The appellant claimed his position met Level 3-4b based on exercising final authority for approving the full range of personnel actions and organization design proposals. To even consider crediting Level 3-4, the position *must* fully meet Level 3-3 in its entirety (both *a* and *b*). Since the GSSG is a threshold standard, each successively higher factor level represents *additional* authorities beyond those expressed at the next lower level. In this case, Level 3-3a was not met and by

extension, Level 3-4 could not be considered. Further, the appellant's organization was not of sufficient size and complexity to permit flexibility in organizational design.

#### **OPM Digest 26 - Article 07**

**Issue – Coverage of the GSSG.** The appellant claimed his supervision of two subordinate GS-12 employees consumed 25-50 percent of his time. OPM found that one of the positions that worked from another office received their assignments from someone other than the appellant and both subordinates worked with limited supervision and exercised considerable judgment and independence in performing their work. Thus, the 25 percent threshold was not met. This illustrates the importance of examining subordinate positions when evaluating supervisory positions to determine/verify the position being evaluated meets the basic coverage criteria to apply the GSSG.

#### **OPM Digest 28 - Article 06**

**Issue – Crediting for subordinate supervisors & Reporting to deputy positions.** The appellant believed his position should be credited Level 2-3 and Level 3-3b. OPM determined the deputy position was not a full deputy for GSSG purposes, the appellant did not exercise a sufficient number of responsibilities under Level 3-3b, and the organization did not require using multiple team leaders or supervisors who devoted at least 25 percent of their time to leadership responsibilities. The article emphasizes verifying subordinate supervisors and leaders spend 25 percent of their time on supervisory, lead, or comparable functions before crediting a supervisor position with subordinate supervisors, team leaders, or comparable personnel.

#### **OPM Digest 28 - Article 07**

**Issue – Crediting term and temporary work.** Term and temporary work must be credited in applying the GSSG but must be applied to all the factors, including Factors 5 and 6.

#### **OPM Digest 29 - Article 08**

**Issue – Coverage under the GSSG.** The appellant claimed he supervised GS-13 employees at separate geographic locations, therefore warranting a higher base level of work. The appellant only exercised administrative supervision, therefore those employees were excluded from consideration under the GSSG.

#### **OPM Digest 29 - Article 09**

**Issue – Crediting work assignment and review as supervision.** The appellants believed their positions should be credited with supervising regional office investigators. However, the appellants functioned as coordinators, not supervisors; completed reports were technically reviewed by regional supervisory investigators, not the appellants; and the appellants did not exercise administrative supervision.

#### **OPM Digest 30 - Article 05**

**Issue – Organizational size in determining scope & Alignment as a classification consideration.** Determining the *Scope* of a position is not based solely on the size of the geographic area covered but rather on the complexity and breadth of the program, or segment, directed. Although organizational alignment is not a basis for classifying a supervisory position, it may serve to reinforce a grade if counterpart positions have similar demands and responsibilities.

### OPM Digest 30 - Article 06

**Issue – Crediting Level 3-3b.** The appellant, who directed the work of subordinate project/team leaders, believed his position warranted Level 3-3b. OPM found his position did not meet responsibilities 1, 3, 5, 6, and 8 because although he had five subordinate project leaders, their leadership responsibilities fell short of the 25 percent threshold and the organization was not sufficiently large and complex to require managing through these types of subordinate positions.

### OPM Digest 30 - Article 07

**Issue – Crediting work performed under detail & Excluding lower-level support work.** The appellant was credited with the workload of a detailed position because he exercised full administrative and technical supervision over the detailed employee for the duration of the detail, even though the detailed employee was credited to the supervisory position over his permanent position. The GSSG credits *workload* supervised, not positions or employees, regardless of how this workload is accomplished. In this case, the appellant's workload in his organization of record remained in that unit and was being accomplished by other means. Lower-graded maintenance work was excluded as support work not directly related to the primary functions of the unit and placing minimal demands on the appellant's position either in terms of time or skills requirements.

### OPM Digest 31 - Article 09

**Issue – Distinguishing between Level 1-2 and 1-3 & Crediting work performed by contractors.** The appellant believed the addition of contract workers warranted an upgrade to his position. OPM determined the position met Level 1-3 for *Scope* as the work directed was administratively complex and directly impacted a multi-mission installation; however, the work failed to meet Level 1-3 for *Effect* as it involved only the security aspects of IT systems rather than the full range of IT services. Although one contract worker was designated as a team leader, the duties performed did not warrant consideration as such under the GSLGEG. The difficulty and complexity of the contractor work was properly evaluated by the agency using OPM position classification standards.

### OPM Digest 32 - Article 01

**Issue – Distinguishing between Level 1-2 and 1-3 technical and administrative work & Converting FWS positions to GS equivalent grades & Alternative method for evaluating second (and higher) level supervisors.** OPM clarifies that since GS-09 is the first full-performance level for two-grade interval professional and investigative work, Level 1-3 administrative and technical work is two-grade interval work at GS-09 and above. Level 1-2 administrative and technical work is associated with "complex clerical" work, which is one-grade interval GS-08 and below. A detailed discussion on converting various types of FWS work to GS equivalent is provided. The alternative method for evaluating second (and higher) level supervisors was not applicable because of the presence of intermediate supervisors.

### OPM Digest 32 - Article 02

**Issue – Scope and impact of the work directed & Credit for reporting to a deputy or full assistant chief position.** The appellants argued their position warranted Level 1-4 based on their involvement in program and policy development and Level 2-3 because they reported to deputies to SES positions. OPM found the annual operating plan was developed solely by the agency headquarters, the appellants developed only local plans, and the impact of the work was district-wide rather than bureau-wide. The "deputy" position did not fully meet the GSSG definition and thus constituted an intervening level.



#### [OPM Digest 32 - Article 04](#)

**Issue – Crediting contract work & Distinguishing between administrative and technical supervision & Minimum criteria for coverage of the GSSG.** The issue was whether the appellant exercised all or nearly all of the responsibilities under 3-2b for GSSG coverage. The appellant's supervisory authority over the contract workers was limited. While he accepted or rejected contractor work products, the work was assigned through and relayed by the contract supervisor, who scheduled the contract workers' time and leave. Level 3-2b was not met because he did not meet all or nearly all of the listed responsibilities. The appellant's supervision over four Federal employees was administrative only, with technical review provided by a program manager.

#### [OPM Digest 32 - Article 05](#)

**Issue – Crediting volunteer and contractor work & Distinguishing between administrative and technical supervision.** The issue was whether the appellant exercised the applicable authorities and/or responsibilities under Factor 3 for different groups of workers. Supervision over the volunteers was limited and not counted toward the supervisory workload. Technical supervision over the contractors was exercised by professional staff serving as COTRs. Level 3-2b was not fully met.

#### [OPM Digest 32 - Article 08](#)

**Issue – Determining Difficulty of Typical Work Directed – Misclassification of subordinate positions.** The appellant argued his position should be graded at the GS-14 level because he directly supervised three GS-13 positions. OPM determined two of the subordinate positions were misclassified and therefore not creditable at their given grade levels under Factor 5. This article demonstrates that in evaluating all positions, the proper application of position classification standards to work performed is critical.

#### [OPM Digest 32 - Article 12](#)

**Issue – Program Effect.** An agency credited Level 1-3 to a second level supervisor position. OPM determined *Scope* met 1-3 because the serviced population was over 15,000, but *Effect* of the work directed was limited and did not directly involve or substantially impact the provision of essential support operations to numerous, varied, and complex technical, professional, and administrative functions performed at the air station. Rather, the activities supervised were limited to providing *personal* mental health services to individuals.

#### [OPM Digest 32 - Article 16](#)

**Issue – Distinguishing between Levels 1-1 and 1-2 & Full and final technical responsibility & Physical dispersion.** The appellant was responsible for overseeing the collection of Census data. OPM determined the work directed met the geographic coverage of 1-2 for *Scope* but was routine and standardized and did not affect the individuals contacted, thus meeting only Level 1-1. Credit for full and final technical responsibility was precluded by the availability of higher-level personnel to answer technical questions. Physical dispersion was not credited as it did not make the appellant's supervisory responsibilities more difficult; the work was inherently independent in nature and work progress could easily be monitored.

## APPENDIX E

### FAS GSSG DIGEST ARTICLES with BRIEF SUMMARIES

#### FAS Digest 1 - Case Number 2

**Issue - Determining Senior Executive Service (SES) equivalency.** The appellant served 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 (O-6). The Group Commander reported to a Wing Commander (also O-6). The Wing Commander reported to a four-star general at the major command level of the agency. The issue was whether the Wing Commander was equivalent to the SES level even though the position was a Colonel.

**Resolution** – The GSSG specifically identifies those military officer positions considered SES equivalent. 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 position descriptions had been developed and evaluated to substantiate these determinations. Hence, the Wing Commander could not be equated to an SES equivalent.

#### FAS Digest 1 - Case Number 3

**Issue - Identification of “deputy” positions.** The appellant was a Division Chief in a directorate of a large Army installation. The Garrison Commander was a military officer considered to be SES equivalent. 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 “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 the GSSG and therefore could not be credited as a “deputy.”

#### FAS Digest 1 - Case Number 6

**Issue – Crediting Level 3-3.** The appellant served in a staff position as a training officer for a large Army Reserve command. The servicing personnel office credited Level 3-3 based on the appellant’s delegated authority to manage the command’s training program; however, the question of whether the position met the full intent of Level 3-3 was reviewed by CPMS.

**Resolution** – CPMS determined the appellant’s position did not meet Level 3-3. The appellant did not have the authority to unilaterally determine long-range work plans, he only made recommendations; nor did he participate in the development of overall goals and objectives for the agency training program to meet Level 3-3a. CPMS also found he only exercised six of the authorities listed under Level 3-3b, not having authority to resolve serious complaints or approve serious disciplinary actions, resulting in the crediting of Level 3-2c.

### **FAS Digest 1 - Case Number 10**

**Issue – Interpretation of “complex, multimission installation” for crediting Level 1-3 Scope.** The appellant served as a division chief in the Directorate of Civilian Personnel providing services for an Army installation. The personnel office credited Level 1-3 for *Scope* for providing complex administrative services directly supporting a “complex, multimission installation,” crediting four of the nine activities for meeting the GSSG definition. CPMS questioned the accuracy of this determination.

**Resolution** – CPMS determined two of the four activities were not creditable. The service school was found to be a branch school and not equivalent to the examples of multidisciplinary schools contained in the DoD supplementary guidance, and the construction and environmental cleanup projects were neither an ongoing mission nor were they of sufficient cost to be credited. Level 1-2 was assigned.

### **FAS Digest 1 - Case Number 11**

**Issue - Converting FWS positions to a General Schedule grade.** 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 (i.e., WG-07 is not equivalent to GS-07), 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, as long as it permits measurement of the important grade-determining characteristics of the FWS work. It was determined the WG-10 work equated to GS-7.

### **FAS Digest 2 - Case Number 6**

**Issue – Crediting Level 1-4 Scope.** The appellant was assigned to a field element of a logistics support activity at a major command. He supervised and managed a division responsible for the functional development and maintenance of management information systems and the provision of central management and oversight to support various applications of the parent organization. The servicing personnel office credited Level 1-4 for *Scope* based on directing a segment of a program involving the development of major aspects of key agency programs.

**Resolution** – CPMS determined the appellant directed work that involved indirectly supporting major aspects of agency programs rather than developing them. Further, the information systems the appellant’s organization developed and maintained were viewed as tools used to support decisions made in program areas and not major aspects in developing an agency program. Level 1-3 was credited based on the work directed involving administrative services provided in support of the command’s headquarters operations, which included overall management and control of agency supply systems.

### **FAS Digest 3 - Case Number 2**

**Issue - Coverage of a position that supervises military personnel.** The appeal involved the application of the GSSG to a position that supervised four military mail clerks 25 percent of his work time, in addition to performing 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 excluded the position from coverage of the GSSG because the only subordinates supervised were military personnel.

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

### **FAS Digest 3 - Case Number 6**

**Issue – Crediting Level 3-4.** The appellant believed their position warranted Level 3-4 based on the managerial authority exercised through subordinate supervisory/leader positions.

**Resolution** – CPMS determined the appellant’s responsibilities fell short of Level 3-3a and the appellant did not exercise at least eight of the responsibilities required for crediting Level 3-3b. The leader positions functioned more as senior specialists than as extensions of the supervisor and were not considered equivalent to “team leaders” described at Level 3-3b. Further, the organization lacked the complexity to require multiple subordinate supervisors/leaders. Therefore, Level 3-4 was not considered and Level 3-2c was credited.

## APPENDIX F

### OPM GSSG APPEAL DECISIONS with BRIEF SUMMARIES

Listed below are most of the OPM GSSG appeal decisions posted on the OPM website as of the date of this Supplement, with brief summaries of the major issues addressed and with DoD cases indicated. Decisions with only brief or nonsubstantive content have been omitted. Please note that OPM interpretation of the GSSG has evolved over time. Some older decisions were issued by the OPM Regional Offices (no longer existent) prior to centralization of the appellate program and before OPM interpretation of the GSSG was fully developed. Therefore, in the case of conflicting interpretations, rely on later decisions as OPM's current guidance.

#### C-0018-12-01, Safety and Occupational Health Manager (Army)

**Issue: Coverage under the GSSG.** The appellant provided administrative supervision to three professional employees (GS-610/690) and both technical and administrative supervision to two GS-018s, who were credited with functioning independently under only general supervision. He also supervised one GS-303 and one part-time student aid. His PD indicated he spent 25% of his time supervising all of his subordinates. However, since only those positions receiving both technical and administrative supervision were creditable, the amount of time spent on supervisory duties was less than the 25% threshold for coverage under the GSSG.

#### C-0018-12-03, Supervisory Safety and Occupational Health Specialist (Navy)

**Issue: Factors 2 & 3.** The appellant disputed reporting level and supervisory duties. OPM concluded the appellant did not report to the base commander as that position did not directly supervise the program, approve leave, or do her performance appraisal. OPM also concluded that neither Level 3-3a nor 3-3b (no subordinate supervisors) were met.

#### C-0025-09-01, Supervisory Park Ranger

**Issue: Factors 3 & 6/Special Situations.** Although the appellant was a second level supervisor over 24 employees plus a number of volunteers and special appointees, only five of the required eight authorities needed to credit Level 3-3b were met because many of the other authorities were held at higher levels. Physical Dispersion and Special Hazard and Safety Conditions were credited.

#### C-0025-11-01, Park Manager (Army)

**Issue: Factors 3/Level 3-3b vs. 3-2c & 6/Special Situations.** OPM provided analysis on why Level 3-3b elements 1, 4, 9, 10 & 11 were not met. Special Situations were all considered but only Variety of Work was credited.

#### C-0025-11-03, Park Manager (Army)

**Issue: Factors 3 & 6/Special Situations.** This was a reconsideration superseding decision C-0025-11-02. Level 3-3b was not met because the appellant supervised only one subordinate supervisor. The GSSG deliberately uses the plural when speaking of subordinate supervisors and leaders because 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 subordinate organization must be so large and its work so complex that it requires using those two or three

subordinate supervisors. OPM considered all eight Special Situations but only Fluctuating Workforce or Constantly Changing Deadlines and Physical Dispersion were credited.

#### **C-0025-13-01, Park Manager**

**Issue: Factors 2 & 3.** The appellant asserted that he reported to one of four GS-15 “deputies” to the regional director. However, the GSSG allows for only one full deputy; multiple positions reporting to a chief cannot each be construed as fully functioning deputies. OPM also reviewed Level 3-4 even though the position only met Level 3-3b but not 3-3a. Level 3-4a was not met because positions at this level are normally found at higher levels in the organizational hierarchy and include positions of staff-level program managers responsible for policy development and oversight of agencywide program areas, or managers of several program functions such as at a regional office level.

#### **C-0025-14-01, Park Manager**

**Issue: Factor 5/positions excluded from base level/conversion of WG to GS equivalency.** Excluded were elevated grades for positions performing “acting” duties; research positions; and employees of other agencies stationed at the site for administrative purposes. Included were one-grade interval support positions engaged in mission-oriented work and FWS positions. WG-9s and above were considered equivalent to GS-7; WG-7s were considered equivalent to GS-5. OPM explained why FWS positions would rarely exceed GS-7 equivalency.

#### **C-0025-14-02, Supervisory Park Ranger**

**Issue: Factors 1 & 6; Alignment with other properly graded counterpart positions.** The agency’s rationale for assigning Level 1-2 was that because of the limited geographic coverage of the organization, its scope was more comparable to an “area office.” However, the purpose of “scope” is to measure geographic and organizational coverage as it affects “the general complexity and breadth” of the program directed. Thus, the actual geographic area covered (in terms of acreage or square miles) is not in and of itself a determinant of program scope. Further, while the appellant’s organization did not directly and significantly impact a wide range of agency activities or the work of other agencies, it did have this degree of impact on the operations of outside interests and the general public based on the organization constituting the core mission functions of the agency. Given visitation levels and the consideration that the park included premier tourist attractions nationwide and worldwide, impact extended beyond the local interests typical of Level 1-2 to the broader general public. Although the difficulty of work supervised was GS-12 base level, Level 6-5 complexity was not met. The grade was corroborated by consideration of alignment with other counterpart positions with the same functional responsibilities.

#### **C-0025-14-03, Supervisory Park Ranger**

**Issue: Factor 5/inclusion of professional work supervised by nonprofessional supervisor & work performed by detailed employee/exclusion of FWS support positions.** A GS-11 professional position was included in the base level because the PD described a degree of technical supervision typical for work at that level which did not require full technical skills. A GS-13 position temporarily filled by an employee on detail from another organization to satisfy an ongoing workload demand was included because the GSSG credits workload supervised, not positions or employees. FWS employees performing work auxiliary to the organization’s mission (maintenance workers/laborers) were excluded.



#### **C-0025-14-04, Park Manager**

**Issue: Factors 1 & 5/exclusion of lower-graded support positions/alternative method.** The appellant was superintendent of a large urban park constituting one-fifth the land area of the city and with concentrated and diverse historic/cultural/recreational resources. The park exceeded Level 1-2 “limited geographic coverage” and met Level 1-3 “major metropolitan area” coverage, and had significant impact on the general public, elected officials, and constituency groups equivalent to a moderate-sized population. Secretarial and clerical support positions, laborers, and motor vehicle operators were excluded from the base level. The alternative method was not applicable due to insufficient higher graded work above the base level (only three positions out of a total staff of 65 employees).

#### **C-0080-09-02, Supervisory Physical Security Specialist (Navy)**

**Issue: Factors 1 & 5.** Although the installation was comparable to a large military installation, the work supervised was routine clerical with limited effect, thus Level 1-1 was assigned. Three military billets were equated to GS-equivalent grades and incorporated in the civilian base level.

#### **C-0080-12-01, Security Officer (Army)**

**Issue: Factors 1, 4, 5/alternative method, & 6/Special Situations.** The appellant supervised a staff of 134 employees with ten subordinate supervisors and a base level of GS-7. Level 1-2 was credited based on the Level 1-3 requirement that complex administrative work starts at the GS-9 level. The alternative method to determine base level was not applicable because the delegation of authority and freedom from supervision documented in the GS-9 PDs and the presence of subordinate supervisors did not support the appellant spending 50% of his time supervising this work. USARC was identified as being below the major command level, thus crediting Levels 4-A2 and 4-B2. Variety of Work, Shift Operations, Impact of Specialized Programs, and Special Hazard and Safety Conditions were credited.

#### **C-0081-10-01, Supervisory Fire Protection Inspector (Army)**

**Issue: Factors 1 & 6/Special Situations.** The firefighting services including inspection were not considered “complex technical” work, therefore Level 1-2 was credited. Physical Dispersion was credited.

#### **C-0085-07-01, Supervisory Security Guard (Army)**

**Issue: Factors 3 & 6/Special Situations.** Although the appellant had subordinate leaders, only six of the required eight authorities needed to credit Level 3-3b were met. OPM reviewed all eight Special Situations but only credited Shift Operations and Special Hazard and Safety Conditions.

#### **C-0101-12-01, Supervisory Social Science Program Specialist**

**Issue: Factor 3.** Level 3-3 was not met, largely because the appellant only supervised one subordinate supervisor.

#### **C-0101-12-02, Supervisory Social Science Program Specialist**

**Issue: Factor 3.** Level 3-3 was not met, largely because the appellant only supervised one official subordinate supervisor. Other subordinate supervisor/leader positions did not perform this work for at least 25% of their time.

#### **C-0105-12-03, Social Insurance Administrator**

**Issue: Factors 1 & 4.** Level 1-3 was partially met because the total population of 215,000 in the area serviced by the appellant exceeded a small city and the appellant’s subordinates performed moderately complex technical and administrative work. However, the total population directly and significantly

served (i.e., complex cases rather than clerical processing) was less than 20,000/year, and there was limited effect on other agencies and the general public. OPM provided an extensive discussion on why the position did not meet Level 4A-3 or 4B-3.

#### **C-0105-12-07, Supervisory Social Insurance Specialist (Retirement)**

**Issue: Factors 1, 5/alternative method, & 6/Special Situations.** Level 1-3 was partially met because the total serviced population of 481,000 exceeded a small city and the appellant's subordinates performed moderately complex technical and administrative work (i.e., GS-9 base level). However, the total population directly and significantly serviced (i.e., significant actions rather than phone calls) was only about 67,000/year, and there was limited effect on other agencies and the general public. Although the appellant was a second-level supervisor, the alternative method was not applicable because there was insufficient work above the base level (only 2.7 work years out of a total staff of 35 employees). All Special Situations were addressed but none credited.

[In this and other older GSSG appeal decisions, OPM introduced four aspects implicit in the concept of Scope: sweep: the geographic coverage of the program (for instance, city, region, or state); magnitude: the total population serviced directly and significantly by the program (for instance, small and confined to an installation, moderate, or large); importance: the importance of the program to the agency and its mission (whether line or staff, whether involving service to higher agency levels, other agencies, or the general public); and complexity: the complexity of the products or services provided (for instance, routine or complicated). These were largely reiterative of the existing scope and effect elements and were dropped from discussion in later decisions.]

#### **C-0201-11-04, Human Resources Officer (Air Force)**

**Issue: None.** The position was evaluated against the GSSG even though comprising less than 25% of the time supervising mostly one-grade interval work.

#### **C-0201-12-01, Supervisory Personnel Management Specialist**

**Issue: Factors 3 & 5/exclusion of support positions.** The appellant supervised 25 employees including one subordinate supervisor and four team leaders. Level 3-3b was not met because the organization was not large or complex enough to hypothetically require at least two subordinate supervisors. Clerk-Typists and Personnel Clerks were excluded from the base level as support positions, but Time and Leave Clerks were included as performing one of the line functions of the appellant's organization.

#### **C-0201-13-01, Supervisory Personnel Management Specialist GS-201-13**

**Issue: Factors 1 & 6.** The appellant supervised seven HR specialists, two assistants, and one secretary in providing HR support to an organization of about 800 personnel. OPM provided a detailed explanation of why Levels 3-3b and 6-5a were not met, particularly in relation to advising management officials and the degree of coordination and integration performed.

#### **C-0201-13-02, Supervisory Personnel Management Specialist (Army)**

**Issue: Factors 1, 3, & 6.** The appellant supervised the civilian personnel proponent function and related data systems support for three career fields in the medical department. Level 1-3 was met because the scope encompassed two major commands and seven support activities and affected long-term training and development plans for over 18,000 personnel. Level 3-3b was not met because there were only two team leaders and the organization was lacking in size and complexity. Level 6-5 was not met even though the base level was GS-12.



#### **C-0201-13-04, Supervisory Human Resources Specialist**

**Issue: Factors 1 & 5.** The appellant supervised the labor/employee relations function servicing about 6000 employees dispersed across three States with a staff of 13 subordinates. Level 1-3 was not met because the serviced population was not equivalent to a large or complex military installation and the function was considered comparable to a segment of an HR program as at Level 1-2. Two GS-13 specialists were excluded from the base level because they received only administrative supervision, operated with an extraordinary degree of independence, and were considered experts within their respective areas. A GS-5 HR Assistant was also excluded as a support position.

#### **C-0201-13-05, Human Resources Officer**

**Issue: Factors 1, 3, & 6.** The appellant supervised six HR specialists and two assistants in providing HR support to an organization of about 1400 personnel. Level 1-3 was not met because the serviced population was not equivalent to a large or complex military installation and the function was considered comparable to a segment of an HR program as at Level 1-2. Level 3-3b was not because there were only two unofficial team leaders and the organization was lacking in size and complexity. Level 6-5 was not met even though the base level was GS-12.

#### **C-0201-13-06 Supervisory Human Resources Specialist**

**Issue: Factors 3 & 5/conversion of contractors to GS equivalency.** The appellant supervised a regional labor/employee relations function servicing 7500 permanent/temporary employees with a staff of 16 HR specialists and support staff. Level 3-3b was not met because there were no officially designated subordinate supervisors or team leaders. Two contractor positions were included in the base level and determined to be GS-12 equivalent because they were performing essentially the same work as the noncontractor personnel at that grade level.

#### **C-0201-13-07, Human Resources Officer**

**Issue: Factor 3.** The appellant was responsible for the delivery of HR services to 19 organizational locations dispersed throughout 13 States with a staff of ten HR specialists and support personnel. Level 3-3b is addressed in detail.

#### **C-0201-13-09, Supervisory Human Resources Specialist (Information Systems) (Navy)**

**Issue: Factor 6.** The appellant managed a wide range of IT functions related to the automation of civilian personnel management programs in a geographic area with a staff of six specialists and two support staff. Only Factor 6 is significant, describing why Level 6-6 was not met.

#### **C-0201-14-01, Supervisory Personnel Management Specialist**

**Issue: Factors 1 & 4.** The appellant supervised a staff-level office developing HR policies for a 38,000-employee personnel system. Factor 1-4 was met because the work represented a major aspect of an important agencywide program (overseas employment) constituting its entire field organization. Level 1-5 was not met because the appellant did not supervise the agency's entire HR program and the work did not constitute critical line operations directly related to the Department's mission-oriented activities. Level 4B-4 was not credited with extensive discussion regarding rationale.

#### **C-0205-09-01, Supervisory Military Personnel Specialist (Army)**

**Issue: Factors 3, 4, & 6/full and final technical authority.** The appellant supervised a processing branch of 14 subordinate staff in one-grade interval occupations. Level 3-3b was not met because there

were only one subordinate supervisor and two team leaders and the organization was lacking in size and complexity. The assignment of Levels 4A-2 and 4B-2 are explained. Full and final technical authority was not credited because although the appellant made day-to-day operating decisions independently, unusual technical issues were decided by his supervisor.

**C-0260-12-03, Equal Employment Manager (USMC)**

**Issue: Coverage under the GSSG.** The appellant supervised three GS-260s and one support position. The subordinate PDs indicated the incumbents operated independently, referring only difficult or unusual problems to the appellant for resolution. This level of independent operation did not support the appellant spending the minimum 25% of her time on supervisory duties for coverage under the GSSG.

**C-0260-12-04, Equal Employment Manager (Army)**

**Issue: Coverage under the GSSG.** The appellant supervised three GS-0260s and one support position but did not meet the 25% threshold for coverage under the GSSG.

**C-0260-12-05, Equal Employment Manager (Army)**

**Issue: Coverage under the GSSG.** The appellant supervised three GS-260s but did not meet the 25% threshold for coverage under the GSSG. Supervision of Base Support Battalion EEO employees for whom he provided technical oversight and performance review were not credited.

**C-0260-12-06, Equal Employment Manager (Army)**

**Issue: Coverage under the GSSG.** The appellant supervised two subordinates and did not meet the 25% threshold for coverage under the GSSG. The amount of supervision asserted by the appellant was inconsistent with the subordinate PDs and would have had a negative impact on their grade levels.

**C-0260-12-07, Equal Employment Manager**

**Issue: Coverage under the GSSG.** The appellant supervised two subordinates and did not meet the 25% threshold for application of the GSSG positions. The amount of supervision asserted by the appellant was inconsistent with the subordinate PDs, particularly given that one included leader responsibilities.

**C-0260-12-08, Equal Employment Manager (USACE)**

**Issue: Coverage under the GSSG.** The appellant claimed to spend 25% of the time supervising 2 FPL GS-11 employees, one of which was vacant and the other a GS-5 developmental position. Some of the claimed supervisory work represented program management responsibilities unrelated to the technical and administrative supervision covered by the GSSG. In addition, some of the administrative supervisory work involved a transitory situation related to the developmental employee, not the baseline percentage of supervisory work that could be expected for a staff of two GS-11 employees.

**C-0301-11-03, House Manager**

**Issue: Factors 4/Levels 4B-2 vs. 4B-3 & Factor 6/Special Situations.** The appellant was the House Manager at a park theater. The theater was only open for five months/year and used both a seasonal workforce plus hundreds of volunteers. Level 4B-3 was not met as the appellant was not responsible for justifying or defending actions to outside parties, obtaining or committing resources, or gaining compliance with policies, regulations, or contracts. Detailed discussion is provided as to why no Special Situations were met. [This case was unusual in that the appellant supervised a seasonal staff during the performance season and was nonsupervisory for the remainder of the year.]

#### **C-0301-12-01, Services Squadron Deputy (Air Force)**

**Issue: Deputy to a military supervisor; Factors 1 & 3.** In order to determine the appellant's deputy grade, an equivalent GS grade was derived for the Services Squadron Commander position by application of the GSSG. While all six factors were evaluated, of particular note are Factors 1 & 3. Level 1-3 Scope was met based on providing administrative, professional and technical services to a population of over 10,000 personnel. However, Effect was evaluated at Level 1-2 as the support services provided did not affect the overall mission of the installation. Level 3-3a was not met because while the Commander developed and evaluated the Squadron program goals and objectives ensuring conformance to a multiyear operating plan, delegated program responsibilities to subordinate program managers, and assured that operations were effectively managed, the work did not require intensive involvement in program development/management activities. OPM precedent has established that absent this level of involvement in the agency's overall program development and program activities, a position would not fully meet the intent of Level 3-3a.

#### **C-0301-12-03, Assistant District Manager-Recreation**

**Issue: Factor 3.** The appellant had one subordinate supervisor and one unofficial team leader. Level 3-3b was not met because the leader position did not meet the GSLGEG definition based on the independence level of the journey positions led, lack of technical knowledge of the work led, and the small span of control in the overall organization that limited the amount of quasi-supervisory work available. Detailed discussion of the Level 3-3b elements is provided.

#### **C-0301-12-12, Supervisory Force Development Specialist (Air Force)**

**Issue: Factors 1 & 6.** The appellant's unit provided training, education, and testing services to a supported population of over 5000 military and civilian personnel. Level 1-3 was met for Scope because this was equivalent to a large military installation, but was not met for Effect because the impact of the work was tangential to the functioning of the overall serviced organization and not comparable to the provision of essential support operations. Level 6-4a was not met because although the base level was GS-9, only one of the three subordinate supervisors directed a GS-9 workload.

#### **C-0301-13-01, Command Executive Officer (Army Reserve)**

**Issue: Factors 1, 3, and 5/exclusion based on extraordinary independence.** Level 1-3 Scope was met due to the provision of training services to a population of 75,000 across the region, but Level 1-3 Effect was not met because the impact was region wide rather than agencywide. Level 3-3a was not met as the appellant worked with the other training commands to coordinate work plans vice agency level personnel, and the appellant was not responsible for setting long-range training work plans or goals and objectives for the USARC, which authority was reserved for higher-level officials at Army HQ. Although the appellant had responsibility for a large organization of 136 personnel, only 38 nonsupervisory positions performing the mission-oriented work of the organization were included in the base level. All military and civilian supervisory, managerial, leader or similar type jobs, support positions, and positions whose grades were based on extraordinary independence from supervision (including IT specialists, Auditor, IG, and Adjunct Attorney) were excluded.

#### **C-0301-13-03, Supervisory Marine & Family Services Administrator (Navy)**

**Issue: Factors 1, 3, 5/alternate method, & 6/exclusion of unit constituting lower-graded work.** The appellant was a department head over 426 subordinates providing a broad range of human services to a population of 9400 military personnel and 6000 dependents. Level 1-3 was met for Scope because this

was equivalent to a large installation, but was not met for Effect because the work involved the provision of individual personal services rather than essential support operations. A detailed discussion of Levels 3-4a/b is provided. The alternate method under Factor 5 was not applicable because although there were 23 positions above the base level, there were intervening supervisors and the higher-graded work was dispersed throughout the organization, with no practical means to determine amount of time spent supervising specific workloads. Level 6-4b was met by excluding the unit constituting most of the lower-graded work, leaving the requisite base level in the remaining subordinate units.

#### **C-0301-14-02, Director, Information Resources Management (IRM)**

**Issue: Factors 1/Levels 1-3 vs. 1-4, 3/Level 3-3a vs. 3-3b, 4/Level 4B-3, & 6/Level 6-5a vs. 6-6b.**

Level 1-3 was credited for both Scope and Effect as the position did not direct a complex administrative program covering development of major aspects of the agency information technology/telecommunications operations program. Level 3-4 was not met as the position did not fully meet Level 3-3a. Unlike Level 3-3a, the appellant was not involved with high level program officials in directing the development of data for overall goals; was not tasked with directing the securing of legal opinions or preparing position papers or legislative proposals; or carrying out comparable activities which supported development of goals related to the highest levels of program management at the bureau level. Level 4B-3 was credited as the purpose of her contacts was to justify, defend, or negotiate in representing the program, in obtaining or committing resources; *and* in gaining compliance with established IT policies, regulations, or contracts. Unlike level 6-6b, the appellant's position did not require exceptional coordination and integration of administrative work comparable in difficulty to a GS-13 or higher base level. Although the subordinate supervisors directed GS-12 level workloads, that base work did not require of each supervisor similar coordination as described at Level 6-5a.

#### **C-0303-06-07, Supervisory Program Support Assistant**

**Issue: Factors 1 & 6/Variety of Work.** The appellant supervised one-grade interval work including files and records administration, property and equipment maintenance, duplicating services, mail processing, and equipment service calls at a medical center. Level 1-2 was not met because the services provided did not significantly affect facility operations. The decision addresses why Special Situations are not met - Variety of Work, Fluctuating Workforce or Constantly Changing Deadlines, Special Staffing Situations, Changing Technology, and Special Hazard and Safety Conditions. Although the appellant supervised several one-grade interval occupations, Variety of Work was not credited because these were all procedural work classified to the GS-300 family not requiring the appellant be substantially fully qualified in each area.

#### **C-0305-06-01, Mail Supervisor (Air Force)**

**Issue: Factor 6/Special Situations.** The decision addresses why none of the eight Special Situations were met.

#### **C-0334-12-01, Supervisory Computer Specialist (Army)**

**Issue: Factors 1 & 3.** The appellant confused the mission of his unit with the District's engineering mission. The work that he directed supported, but was not equivalent in scope to, the broader mission. The supported population of 1100 personnel fell short of Level 1-3 large military installation equivalency. Several elements under Level 3-3b are addressed.

#### **C-0334-13-01, Supervisory Computer Specialist**

**Issue: Factor 1.** Similar to Level 1-2, the appellant directed work which was administrative in nature. However, unlike Level 1-3, the appellant's unit did not provide services to an organization comparable to a large military installation. Neither the total workforce serviced nor the variety, size, intensity and complexity of the program elements supervised and the offices serviced would allow credit for Level 1-3 organizational coverage. Thus, while the scope of the services provided did exceed Level 1-2 in some aspects, it did not fully meet Level 1-3 and therefore was evaluated at Level 1-2. Effect was similarly covered.

#### **C-0341-12-01, Administrative Officer (USMC)**

**Issue: Factors 1 & 6.** The appellant's unit provided administrative services supporting a dependents school system with over 500 employees and 3700 students. Although the population serviced was equivalent to a large military installation, the organization lacked the full diversity and complexity typical of Level 1-3. The eight Special Situations are addressed in detail.

#### **C-0341-12-05, Administrative Officer**

**Issue: Factor 1.** The appellant provided administrative services to 238 employees at five parks in one State, not meeting Level 1-3. Although she asserted that her position should be credited with affecting the 4 million annual visitors to the parks, only the population directly serviced may be counted, in this case the park employees.

#### **C-0341-12-09, Administrative Officer**

**Issue: Factor 4.** Level 4B-3 was not met because although the appellant provided significant input to budget decisions, she did not have sole authority to obtain or commit resources, this being retained by her supervisor.

#### **C-0341-14-01, Administrative Officer**

**Issue: Factors 1 & 6.** The position met some aspects of Level 1-3 because it had geographic coverage over a region of several States. However, the serviced population was only 1300 employees, not equivalent to several rural counties or a small city or to a large military installation. Level 6-5 was not met even though base level was GS-12. A distinction was made between serving as advisor to management, which is not credited here, as opposed to the management of the subordinate organization. In this case, the organization was stable and divided into specialized groups not easily reconfigured, thus Level 6-5a elements were not met. Level 6-5c was not met because only one of the two subordinate supervisors directed a substantial GS-11 workload.

#### **C-0342-12-01, Support Services Supervisor**

**Issue: All factors assessed.** The appellant's unit provided full administrative and complex clerical services to a population of 500 employees, and limited services to an additional 500 employees duty-stationed overseas, insufficient for crediting Level 1-3. This was distinguished from other positions credited Level 1-3 but directly responsible for accomplishing the mission-oriented work of the organization rather than administrative services supporting agencywide line programs. The appellant's supervisor was not found to be a "deputy" as she only served in this capacity when acting. A detailed discussion of why Level 3-4 was not met is provided. The base level was GS-9 as the two higher graded employees did not constitute 25% of the workload and the alternate method was not considered plausible. Special Situations were reviewed, only crediting Variety of Work.



#### C-0342-12-02, Support Services Supervisor

**Issues: All factors assessed.** The appellant's unit provided administrative services to a small field office of 80 employees increasing to a 400-employee seasonal staff. Level 3-4 was not met because the appellant was not a program manager but rather worked at the lowest organizational level of the agency. The base level was GS-7 as the higher graded work directed did not constitute 25% of the workload. Special Situations were reviewed, with Impact of Specialized Programs receiving detailed review as not creditable because work above the base level did not represent a significant workload.

#### C-0342-12-03, Support Services Supervisor (Army)

**Issue: Factors 2 & 3.** The appellant reported to an assistant chief versus a full deputy. The position was supervisory rather than managerial, so Level 3-3a could not be credited. All 15 elements of Level 3-3b are addressed.

#### C-0342-13-01, Support Services Supervisor (DFAS)

**Issue: Factors 1, 5/alternate method, & 6.** The total serviced population was 3750 employees, with full services to only 2000 employees duty-stationed at the site, comparable to Level 1-2. Although the appellant claimed a serviced population of 86,000 through the ID Card Office, only 3000 cards were issued the preceding year and the complexity of this work did not exceed Level 1-2. While the appellant did have some agencywide functions and programs, e.g., forms and publications and property accountability, they only constituted a limited a portion of the support services provided by the appellant's division. The alternate method under Factor 5 was not applicable because the ten employees (out of a total staff of 62) above the base level were in specialized fields and operated with substantial freedom from supervision. Variety of Work and Impact of Specialized Programs were credited.

#### C-0343-12-01, Management Analysis Officer (Navy)

**Issue: Coverage under the GSSG.** The appellant only supervised two employees, not meeting the 25% threshold for coverage under the GSSG.

#### C-0343-12-03, Supervisory Management Analyst (DoD)

**Issue: Factor 5/military-civilian grade equivalency.** OPM determined grade equivalency for the appellant's military (E-6/E-7) subordinates.

#### C-0343-13-02, Supervisory Program Analyst

**Issue: Factors 1, 3, 5 & 6.** Each of the three appellants supervised four employees. Level 1-4 was not met because the data collection work supervised was not considered highly technical or complex, constituted a support function that provided the basic data needed for the agency's regulatory activities, and did not directly affect the accomplishment of the primary work of the agency. Level 3-3a was not met because these were not program management positions. Although two of the appellants each had a subordinate GS-13 on their staffs, the base level for both supervisors based on four subordinate employees was GS-12. OPM stated: "Those two GS-13 employees perform essentially the same work as the GS12s, but in addition are each designated as project officer for a telephone investigations contract. Even assuming that these additional duties are properly classified at the GS-13 level, they comprise only a portion of the two employees' time. Therefore, this work does not constitute at least 25 percent of the workload of the staffs of those two appellants." The work of the subordinate units did not support the managerial decision-making required at Level 6-5.

#### C-0343-13-03, Supervisory Program Analyst (Army)

**Issue: Factor 5.** The appellant asserted that the credited base level should be GS-13 because this represented 25% (one position) of the four subordinates supervised. However, the wording of the GS-13 PD showed he provided minimal technical supervision to this employee, whose grade was based on relative independence rather than substantive difference in the work performed. The GS-13 was accordingly adjusted down to GS-12.

#### C-0343-14-01, Management Analysis Officer (Air Force)

**Issue: Deputy to a military position.** The appellant served as a full deputy and the position was evaluated one grade below the work of the chief. The chief position (military) was evaluated to determine the deputy grade.

#### C-0343-14-02, Management Analysis Officer (Navy)

**Issues: Factors 1, 3, & 4.** The appellant was the Manpower Officer for a major military command. Level 1-4 was not met because the organizational scope was not agencywide and the work did not affect accomplishment of the bureau's primary functions. The decision includes a detailed discussion on why Levels 3-3a and 4A-4 were not met.

#### C-0391-09-01, Telecommunications Manager

**Issue: Factors 5 & 6/Special Situations.** OPM reassessed the subordinate work supervised from GS-6 to GS-4 and disallowed the agency-credited elements Fluctuating Work Force or Constantly Changing Deadlines and Changing Technology, providing detailed explanations.

#### C-0391-09-02, Telecommunications Manager

**Issue: Factors 5 & 6/Special Situations (same as C-0391-09-01).** OPM reassessed the subordinate work supervised from GS-6 to GS-4 and disallowed the agency-credited elements Fluctuating Work Force or Constantly Changing Deadlines and Changing Technology, providing detailed explanations.

#### C-0401-14-02, Supervisory Fish and Wildlife Biologist

**Issue: Factors 1 & 4/Congressional interest/contacts.** The appellant exercised line management responsibility for the endangered species conservation program in a 32-county area and had regional or national lead responsibility for the recovery of certain species native to his geographic area of responsibility. Level 1-4 Scope was not met because he did not have full responsibility for establishing policies, identifying resources, and other staff functions. Congressional contacts were primarily on behalf of constituents (i.e., Congressional correspondence), not comparable to the direct Congressional interest at Level 1-4 Effect or the key staff of Congressional committees at Level 4A-4.

#### C-0470-13-02, Supervisory Soil Scientist

**Issue: Factors 3 & 5/what constitutes a "lead" position.** Level 3-3a was not met because of the absence of lower/subordinate organizational units. Although the appellant had five project leaders, they oversaw the work of temporary/seasonal employees and much of their time was spent on non-lead duties, thus they did not spend at least 25% of their time on leader functions and could not be credited as such.

#### **C-0501-11-02, Budget and Fiscal Officer**

**Issue: Coverage of the GSSG.** The appellant supervised seven employees, including three budget analysts, one accountant, and three technician/clerical employees, but only spent 10% of his time on supervision, thus not meeting the 25% GSSG coverage threshold.

#### **C-0501-11-04, DCPS Civilian Payroll Manager (DFAS)**

**Issue: Deputy position; Factors 1, 3, & 6.** This decision was subsequently overturned by C-0501-12-02 based on nonsupervisory work performed. However, the GSSG evaluation in C-0501-11-04 was still considered valid. This decision evaluated the division chief position to derive the deputy's grade. Although the function had nationwide coverage, Level 1-3 was not met because the work supervised was primarily clerical/technician and did not directly affect DoD's mission-related work. The decision includes discussions of why Level 3-3a was not met & Special Situations was not assigned. Note that Responsibility 14 under Factor 3 was not assigned because of the use of standard PDs.

#### **C-0501-12-01, Financial Management Administrator (Army)**

**Issue: Factors 5/conversion of NAF to GS equivalency/alternative method & 6.** The appellant supervised a staff of 20 employees (majority NAF) providing budget/financial services for all MWR activities serving three military communities. The NAF positions were converted to GS-equivalent grades to derive the GS-9 base level. The three GS-11 subordinate positions were not considered sufficient to consume at least 50% of the appellant's time supervising. Although the appellant exercised financial oversight for two lodging facilities with a large subordinate staff, these positions were not included in the base level because operational supervision came directly from DA/USAREUR. There was insufficient GS-9 work to permit crediting each of the four subordinate supervisors with supervising substantial GS-9 workloads under Factor 6.

#### **C-0501-12-03, Supervisory Financial Management Specialist (Navy)**

**Issue: Definition of "deputy."** The appellant's PD identified her as the deputy division chief. The division chief was responsible for the management of the division with the appellant responsible for directing day-to-day operations and supervising the staff. (This is a common external/internal division of work.) Because the appellant did not share in the direction of all phases of the division's work, she did not meet the deputy definition. Further, the small size and structure of the division (ten employees), compounded by the relatively low grade level of work supervised, did not support the need for a deputy. Although the two subordinate supervisors were credited with 25% supervision, this was not realistic as each supervised only three employees.

#### **C-0501-13-01, Resource Manager (Army)**

**Issue: Factors 1, 2, & 3.** Level 1-3 was not met because the serviced population was only 600 employees/contractors. Level 2-3 was assigned because the appellant reported to the Technical Director, who did her performance appraisal, rather than the Commander. A detailed discussion of Level 3-3b responsibilities is provided, particularly #4, 9, 14, & 15.

#### **C-0503-09-01, title at agency discretion**

**Issue: Factors 1-6.** The position was downgraded from GS-501-14 to GS-503-09 & the factor levels reflect first-level supervision of a limited support function. A detailed discussion of Level 3-3b responsibilities is provided, particularly #4, 9, & 10.



#### C-0510-12-03, Accounting Officer

**Issue: Factor 5.** The appellant supervised four employees, including one GS-12, one GS-9, and two GS-7s. The base level was GS-9 because the GS-12 subordinate performed some quasi-supervisory functions as evidenced in the PD, thus the GS-12 nonsupervisory work performed was below the 25% threshold.

#### C-0510-14-01, Accounting Officer

**Issue: Factor 1.** Supervision of line accounting operations at the agency level meets Level 1-3.

#### C-0511-12-02, Supervisory Auditor (Navy)

**Issue: Factor 1.** The appellant supervised a professional auditing function at the Navy's largest training center. This was narrower in scope than the multi-functional examples cited at Level 1-3 (e.g., the full range of functions performed in a broad administrative area such as budget, HR, or financial management), thus meeting Level 1-2.

#### C-0526-11-01, Supervisory Tax Technician

**Issue: Factor 1/Level 1-3 definition of "small city"/determination of population serviced.** Coverage "comparable to a small city" requires providing direct and significant administrative or technical service to about 100,000 individuals. The discussions of Effect and the illustrations at the different Factor 1 levels all indicate that in determining population serviced, only the total population *directly and significantly* serviced may be considered rather than just the total population in the geographic area served. The provision of routine assistance not characteristic of Level 1-3 complexity such as responding to requests for forms may not be included in the population count.

#### C-0526-11-02, Supervisory Tax Technician

**Issue: Factor 1/Level 1-3 definition of "small city"/determination of population serviced/ impact on the work of other agencies.** Coverage "comparable to a small city" requires providing direct and significant administrative or technical service to about 100,000 individuals. The appellant supervised a staff of GS-7 & GS-9 technicians. Only the GS-9s were performing work comparable to Level 1-3 complexity since this is the first full performance level for professional/administrative work, thus reducing the workload included in the population count. As a line operating unit within the agency, the appellant's organization did not in itself meet Level 1-3 Effect on a "wide range of agency activities," which could only be considered in the aggregate. This decision includes a detailed discussion of examples of Level 1-3 "impact on the work of other agencies."

#### C-0560-11-02, Supervisory Budget Analyst

**Issue: Factor 1/"complexity."** The appellant's position was classified to the GS-560 series based on nonsupervisory work performed but his subordinates were all one-grade interval. Level 1-3 was not met because fiscal services were provided to a division with offices in four States and a workforce of less than 300, comparable to a Level 1-2 moderate-sized field office. The work supervised, as opposed to the work personally performed, did not exceed Level 1-2 technical/complex clerical.

#### C-0560-12-01, Supervisory Budget Analyst (DoD agency)

**Issue: Definition of "deputy"; Factor 1/providing operating-level services to agency headquarters office.** Although identified as the "Deputy Fiscal Officer," the appellant was not a full deputy because she did not share in the direction of all phases of the organization's work; there was a clear internal/external division of responsibilities with the appellant supervising day-to-day operations and

technical budget administration and the chief concentrating on external issues and special initiatives. Level 1-2 was assigned for providing operating-level budget services to the agency headquarters office with a serviced population of only 860 personnel.

#### **C-0560-12-02, Supervisory Budget Analyst (Army)**

**Issue: Factors 1/providing support to a multimission military installation and 3/subordinate team leaders & Responsibility 15.** Level 1-3 was not met because the appellant was only responsible for the budget for the installation's mission-related activities, excluding the "garrison budget" for base operations, thus not providing the full range of budget services required at Level 1-3. The appellant supervised a staff of 14 subordinates organized into five smaller work units, four of which were headed by an unofficial team leader. They were not credited as team leaders because they were not classified as such and could not realistically each spend 25% of their time on leader responsibilities, nor could the organization support the use of multiple team leaders. This decision includes a discussion of Factor 3/Responsibility 15, that most supervisors have responsibility for resolving program-related problems, improving operations, and promoting a cooperative work environment, but these common functions do not reach the level of significance expected under Responsibility 15.

#### **C-0560-13-01, Budget Officer (DeCA)**

**Issue: Factor 1.** The appellant was one of four regional Budget Officers over a region of several States. Level 1-3 was not met because she did not provide full budget services to an entire bureau or major military command headquarters. In addition, her immediate supervisor was the Financial Manager who was responsible for all aspects of resource planning, budgeting, funds control, and accounting, and the overall Budget Officer at DeCA headquarters had nationwide program responsibility.

#### **C-0601-10-01, Supervisory Cytotechnologist**

**Issue: Factor 6/Special Situations.** The appellant supervised a laboratory supporting three hospitals and five outpatient clinics. This decision includes a detailed discussion of several Special Situations.

#### **C-0601-13-01, Supervisory Public Health Specialist (DeCA)**

**Issue: Definition of "agency" & "program"; Factors 1 & 3.** DeCA was not found to be an "agency" as defined in the GSSG & its food safety staff function was not found to be comparable to a "program," therefore Level 1-4 was not met. This decision reiterates previous OPM guidance discussing the interaction of four aspects implicit in the concept of "Scope": (1) sweep: the geographic coverage of the program (2) magnitude: total population directly serviced; (3) importance: the importance of the program to the agency's mission; and (4) complexity: the complexity of the services provided. [This does not introduce new concepts but rather more precisely articulates the considerations inherent to "Scope."] A detailed discussion of Level 3-3b responsibilities is also provided.

#### **C-0601-14-02, Supervisory Health System Specialist (Navy)**

**Issue: Factors 1/definition of "program," 5/inclusion of contractor employees, & 6/"coordination and integration."** The appellant supervised a professional epidemiology function. Level 1-4 was not met because he developed data analyses to support agency program development but was not responsible for the actual development of any major agency medical program. Factor 5 includes an extended discussion on the inclusion of some contractor employees under a "labor contract" where the appellant exercised direct technical supervisory oversight, and the exclusion of other contractor employees under a "service contract" who were fully accountable to a contractor program manager. Also included under Factor 5 were several post-graduate students performing epidemiological work

under a service agreement. A GS grade equivalency was determined for all of these positions for base level purposes. A detailed discussion of Level 6-5a “coordination and integration” is provided.

**C-0671-12-01, Supervisory Health System Specialist**

**Issue: Factors 5 & 6.** Factor 5 was increased to Level 5-6 and Factor 6 to Level 6-4 but with no grade impact.

**C-0671-12-03, Supervisory Health System Specialist (DHA)**

**Issue: Factor 1.** The appellant directed the provision of medical management support to remotely located active duty military members throughout the U.S. Although the geographic coverage of the work met Level 1-3, the potential population serviced was only 100,000 and the actual beneficiaries therefore less than that, which was not “comparable to a small city.” Level 1-2 was assigned.

**C-0802-11-10, Supervisory Engineering Technician (Civil) (USACE)**

**Issue: Factor 6/Special Situations.** The decision includes a detailed discussion of the Special Situations, most notably Variety of Work which was not credited because the appellant did not exercise full technical supervision over some subordinates in other series.

**C-0808-14-01, Supervisory Architect**

**Issue: Factors 1, 3/Level 3-4a, & 5/conversion of WG to GS equivalency.** The appellant, a second-line supervisor over a staff of 72 employees, was responsible for the management of a national training center which also provided agencywide technical consultation. Level 1-3 was only partially met because although the consultation services were nationally available, the potential population directly serviced was limited to local program personnel rather than the general population and the services only supported, rather than constituted, agency line programs. Level 3-4a was met because the appellant had significant independence and managerial authority to operate a \$7M nonappropriated/reimbursable funding program to include approving, allocating, and distributing all funds, committing resources and entering into contracts/agreements, and approving multi-year/long-range work plans developed by subordinate supervisors. The FWS subordinate positions (mostly WG-9/10) were converted to GS-equivalent grades using the GS-802 PCS and found to not exceed GS-6/7, respectively.

**C-0810-12-04, Supervisory Civil Engineer (Navy)**

**Issue: Factors 3 & 5/conversion of WG to GS equivalency.** The appellant supervised 32 employees, including 24 FWS employees. Level 3-3a was not met because the appellant made recommendations rather than decisions on long-range plans and his work was driven by requirements established at higher levels. The FWS positions (WG-10) were converted to GS-equivalent grades using the GS-802 PCS and found not to exceed GS-7.

**C-1015-12-01, Supervisory Museum Curator (Science & Technology) (Army)**

**Issue: Factor 6.** The appellant supervised a staff of two civilians and four military personnel. Although the base level was GS-11, Level 6-4 was not met because the relative stability of the museum collection and small staff size precluded the “substantial coordination and integration” required at that level.

**C-1071-12-01, Supervisory Audiovisual Production Specialist (Air Force)**

**Issue: Factor 1.** The appellant supervised a staff of approximately 20 employees including military personnel of various GS & WG equivalencies. He was responsible for the development of television training productions for the Air Combat Command. Level 1-3 was not met because although the

products occasionally reached other markets and audiences, the main serviced population was limited to pilots and air crew of the Command, thus not exceeding Level 1-2.

#### **C-1101-11-01, Supervisory Contract Surveillance Representative (Navy)**

**Issue: Factors 1 & 5/contractors.** The appellant supervised, through a subordinate supervisor, ten GS-1101-9s, and was responsible for review/acceptance of the work of a large number of contractor positions involved in trades, crafts, and technical work. The unit provided administrative oversight of the installation's support services and maintenance contracts, including housing maintenance. The combined military and civilian population was 2500, meeting Level 1-2. The additional 2000 dependents occupying the housing were excluded because they did not increase the appellant's housing maintenance responsibilities. The contractors were excluded under Factor 5 because the appellant did not exercise the supervisory responsibilities identified under Factor 3 for these workers.

#### **C-1101-12-01, Quality of Life Director (Navy)**

**Issue: Factor 1 & Factor 6/Physical Dispersion.** The appellant was the first-line supervisor over five employees and second-line supervisor over 154 civil service, NAF, military, and contract personnel at an NAS. The total serviced population was approximately 17,000, including civilian employees, active duty military and reservists, retirees, and dependents. Although the serviced population met the definition of a large military installation, the complexity of work supervised (GS-7 base level) did not meet Level 1-3 and the work did not directly impact a wide range of installation activities. Physical Dispersion was not credited under Factor 6 because although the subordinate supervisors were dispersed throughout the installation, they did not receive close daily supervision and the appellant did not make daily onsite visits to monitor the routine work being performed.

#### **C-1101-12-03, Supervisory Shipbuilding Specialist (Navy)**

**Issue: Factors 1 & 5/creditable positions/contractors.** The appellant provided contract oversight for the hull, mechanical, and electrical aspects of ship construction for the AEGIS warship. Comparable to Level 1-2, the unit furnished a portion of line services to a population of less than 1000 civilian, military, and contractor personnel involved in the shipbuilding effort and administered limited aspects of the overall shipbuilding contracts for the field activity. He provided full administrative and technical supervision to six GS-11s, administrative supervision to four GS-12 Production Controllers, and general oversight of six contractor employees through a contract supervisor. The Production Controllers were excluded from Factor 5 base level consideration because they received technical supervision and performance appraisal input from others. The contractor employees were excluded because the appellant did not exercise the minimum Factor 3 supervisory responsibilities over these personnel.

#### **C-1101-13-01, Pneudraulics Production Manager (Air Force)**

**Issue: Factors 1, 3/Level 3-3a, & 5/alternative method.** The appellant was a third-level supervisor over a staff of 260 employees (32 GS/228 FWS) through multiple subordinate supervisors. Level 1-3 was met because the unit was responsible for repair and overhaul of multiple product lines for several large installations, major commands, and Foreign Military Sales. Level 3-3a was not met because although the appellant was responsible for setting annual and 5-year production plans, adjusted workload and manpower in response to resource allocation decisions made at higher echelons, and made decisions to contract out work, he was not *closely involved* with high level program officials or *agency* staff level personnel in the development of overall goals and objectives for the program segment. The base level under Factor 5 was GS-8. The presence of both first- and second-level supervisors over the small GS-11 workload (eight positions) did not support the appellant spending 50% supervision over

these positions. This decision contains two examples of earlier OPM appeal decisions where the alternative method for determining base level was applied.

#### **C-1101-13-02, Supervisory Economic Development Specialist**

**Issue: Factor 1.** The appellant supervised a district office engaged in promoting and fostering business development. Level 1-3 was met because the program coverage was a major metropolitan area and half of a State, and impact was on outside interests and the general public.

#### **C-1101-13-03, Supervisory FMFS Product Line Coordinator (Navy)**

**Issue: Factors 1 & 5/misclassification of subordinate positions.** The appellant's unit provided facility services and contracting support to installations and facilities throughout a small region of several States. Level 1-3 was met for Scope but was not met for Effect because impact was local rather than agencywide and the contracting support related solely to maintenance and waste disposal functions rather than a wide range of activities. Although the appellant supervised three GS-13 subordinates, review of those positions indicated their classification was inconsistent with OPM's evaluation of the appellant's nonsupervisory work and the degree of supervision received was closer than the assigned Level 2-5. The base level was thus determined to be GS-12.

#### **C-1101-14-01, Deputy/Technical Assessment Manager (DCMA)**

**Issue: Deputy to a military position.** The appellant was a deputy to the military commander at a DCMA field activity responsible for administering major weapons system contracts. The activity head position was evaluated at GS-15 and the appellant, as a full deputy, at GS-14.

#### **C-1102-11-03, Supervisory Contract Specialist**

**Issue: Coverage of the GSSG.** The appellant exercised limited supervisory responsibility over two employees, thus not meeting either the 25% GSSG coverage threshold or Level 3-2c.

#### **C-1102-14-01, Supervisory Contract Specialist**

**Issue: Factors 1/Level 1-4 & 3/definition of team leadership.** The appellant supervised eleven employees constituting one of six divisions engaged in contract/grant award and administration for the agency. The overall contract/grant function met Level 1-4, i.e., directing an agencywide acquisition and grants program for the headquarters and its field establishment. As a segment of the overall program, the appellant's position was credited at Level 1-3. Two of the appellant's subordinates had program responsibilities but could not be considered team leaders as administratively mandated acquisition/grants package review may not be equated with team leadership. The appellant's unit was not sufficiently large or complex to require multiple team leaders.

#### **C-1102-14-02, Supervisory Contract Specialist (USMC)**

**Issue: Factors 1 & 4/Level 4A-4.** The appellant's unit provided contracting support to 5000 recruiters throughout the U.S., Puerto Rico, and Guam. Level 1-3 was met for Scope because this was equivalent to a large military installation but was not met for Effect because the contracting work supported a single mission (recruiting) rather than a wide range of activities. A detailed discussion of Level 4A-4 is provided.

#### **C-1130-13-01, Supervisory Public Utilities Specialist**

**Issue: Factor 1/Level 1-4.** The appellant supervised a program responsible for providing VA facilities (65 of 105) and other Federal agencies nationwide with natural gas in the most cost effective manner.



Level 1-4 was not met because the appellant did not develop major aspects of key agency programs (i.e., the VA's primary mission) or impact the agency's entire field establishment.

**C-1152-13-01, Supervisory Production Controller (Navy)**

**Issue: Factor 1/Level 1-3.** The appellant directed a surface ship planning program for a particular class of ships in six homeports. Level 1-3 was not met because the work supported a program segment in a medium-sized field activity not considered a major command and did not impact a wide range of agency activities.

**C-1165-12-01, Supervisory Loan Specialist**

**Issue: Factors 1/determination of population serviced & 6/coordinative requirements.** The appellant supervised seven employees engaged in the provision of credit and technical assistance services to six State counties. Level 1-3 was not met because although approximately 700,000 people in these counties were eligible for the subject loans, only the total population actually rather than potentially serviced may be credited under Factor 1. Level 6-4 was not met because there were only two positions constituting the GS-11 base level, thus not requiring substantial coordination and integration of work. In addition, these two employees independently approved loans within their delegated approval authority, thus the appellant did not review their work for policy conformance.

**C-1170-12-01, Supervisory Realty Specialist (Army/USACE)**

**Issue: Factors 1/Level 1-3, 3/identifying team leader positions, & 5/inclusion of contractor positions in the base level.** The appellant was chief of one of four branches in the Real Estate Division supporting military projects in a geographic area covering three States and including all Army and AF installations, all recruiting operations, and at least 4-5 large or complex military installations in the covered area, and providing additional program services to a 15-State area. Level 1-3 was not met because the appellant did not provide the full range of real estate services to the installations within the geographic area but rather only planning/financial management support, which most directly affected the primary real estate functions of the Division rather than the installations serviced. The appellant supervised two unofficial team leaders who were not credited because neither was classified or graded based on team lead responsibilities. In addition, one of these positions led less than three employees, and the other led five employees performing one-grade interval work. One contractor employee who was performing essentially the same work as one of the federal employees and was supervised in a similar manner as the federal employees was included in the base level calculation.

**C-1173-11-01, C-1173-11-02, C-1173-11-03, C-1173-11-04, C-1173-11-05, Housing Manager (Navy)**

**Issue: Coverage of the GSSG.** In the first four of these related decisions, the appellants were found to not meet the 25% GSSG coverage threshold despite supervising staffs of 4-11 subordinates. In the fifth decision, the appellant supervised nine employees GS-5 to GS-9 but the GSSG was not applied as it would not have derived a higher grade.

**C-1315-12-02, Supervisory Hydrologist**

**Issue: Coverage of the GSSG.** The appellant supervised one GS-12 Chemist, one GS-11 Chemist, one GS-11 Hydrologist, and up to three temporary, part-time GS-4 Physical Science Technicians. Because he only spent 10-15% of his time on supervisory work, his position was not covered by the GSSG and was retitled as Hydrologist.

#### **C-1601-14-01, Aircraft Maintenance Manager, (Air Force)**

**Issue: Rank-in-person concept; Factors 2 & 5/conversion of WG to GS equivalency.** The appellant, a third level supervisor, directed the operation and administration of a maintenance organization with an annual budget of \$96M and a workforce of 690 civilian employees and over 250 contract employees. Comparison of the appellant's position to equivalent military rank was not considered valid. The appellant reported to two positions but was credited with the level responsible for performance appraisal. The FWS positions (WG-10) were converted to GS-equivalent grades using the GS-802 PCS and found not to exceed GS-9.

#### **C-1640-12-01, Facility Manager, (Navy)**

**Issue: All factors assessed.** The appellant supervised four employees providing support services to a large training facility. All factors were evaluated.

#### **C-1640-13-01, Facility Manager**

**Issue: Factors 1 & 5/conversion of WG to GS equivalency.** The appellant was chief of the Maintenance Division for a national park and a third-level supervisor over 90 primarily FWS employees. Level 1-3 was not met because the work supervised (mostly FWS no higher than GS-9 equivalency) was not complex administrative/technical, the park was not comparable to a complex/multimission installation, and the services provided were not a significant portion of the agency's line programs. The FWS positions (WG-10/11) were converted to GS-equivalent grades using the GS-802 PCS and found not to exceed GS-9.

#### **C-1670-12-01, Supervisory Equipment Specialist**

**Issue: Factor 5/conversion of WG to GS equivalency.** The appellant was responsible for the operation and maintenance of forest roadways and the maintenance and repair of forest fleet equipment. He supervised 13 FWS employees through two subordinate supervisors. The FWS positions (WG-10) were converted to GS-equivalent grades and found not to exceed GS-7.

#### **C-1670-13-01, Supervisory Equipment Specialist, (Army)**

**Issue: Factors 1, 3, 4, 5, and 6.** Level 1-3 was not met because while the overall function may have warranted a higher level under Scope, the segment directed by the appellant did not meet the breadth and complexity expected at that level and its impact under Effect also fell short of Level 1-3. The position failed to meet Levels 3-3a or 3-3b primarily due to authority being retained at higher levels. Under Factor 5, the team/task leader responsibilities performed by some of the appellant's subordinates were situational and their grade value changed depending on the project. Further, a significant portion of these leader functions were over contractors whose work did not exceed GS-11. The decision notes that position management studies typically find that grade controlling work is rarely performed more than 75% of the time. It reiterates that the base level determined under Factor 5 is only part of what is considered in Factor 6; also assessed is the range of coordination and work integration responsibilities performed.

#### **C-1710-14-01, Education Program Administrator (DoDEA)**

**Issue: Factors 1 & 5/alternative method.** The appellants were District Superintendents at various District Offices overseas. Even though the size of their districts varied, the duties and responsibilities were sufficiently similar to adjudicate as a group appeal. An explanation that distinguished between administering the education program versus actual program development necessary for Level 1-4 Scope was provided. The position failed to meet Level 1-4 as the position administered the delivery of

education services and was not responsible for developing major aspects of critical agency programs such as developing policies, goals and objectives, program plans, and directives, which was done at the headquarters level. The alternative method for base level of work was applied. The appellants each supervised several hundred to over a thousand employees, most of them teachers performing GS-11 equivalent work at the school level directly supervised by Principals and thus far removed from the appellants' attention. The base level was derived from the GS-12 workload performed by the appellants' immediate office staff at the District level as this constituted over 50% of the appellants' time.

#### **C-1740-12-01, Supervisory Education Services Specialist (Army)**

**Issue: Factor 1.** The appellant was responsible for the Army Continuing Education System program at a military installation and supervised five employees. Although the position was located on a large multimission installation, Level 1-3 was not met because it did not directly impact the delivery of essential support operations to numerous complex functions.

#### **C-1801-12-05, Supervisory Immigration Agent**

**Issue: Factor 1.** Level 1-3 was not met because the program involved only a portion of the agency's mission and the population of approximately 4000 actually served each year was not equivalent to several rural counties or a small city.

#### **C-1801-13-01, Supervisory Detention and Deportation Officer**

**Issue: Deputy position; Factors 4/"frequent" contacts & 5/alternative method.** This was an unusual situation where the appellant and his supervisor shared equally in the supervision and management of the program, despite long-standing OPM guidance that such situations would normally lower the grade of the chief position, which in this case was evaluated to derive the deputy's grade. This decision describes "frequent" contacts as occurring several times a week whereas contacts occurring at longer intervals, i.e., monthly or quarterly, are considered infrequent unless they involve extensive preparation consuming large portions of time. The overall organization included 171 subordinate positions, 103 of which were creditable toward the GS-9 base level. The alternate method was applied based on supervision of 19 GS-12 employees (18% of the workforce) whose work was statutorily required to be reviewed/approved by the appellant or the chief.

#### **C-1801-13-02, Supervisory Detention and Deportation Officer**

**Issue: Factor 1.** This appeal demonstrates that Scope measures not only geographic size (in this case a large State) but the actual volume of work generated. It also found that despite coordinating with local law enforcement agencies, the appellant did not directly impact the work of those agencies.

#### **C-1802-09-01, title at agency discretion**

**Issue: Factors 1 and 5/misclassified subordinate positions.** Level 1-2 was not met because the work directed was one-grade interval and only supported the internal operations of the office. Despite there being two GS-08 and one GS-06 position, the base level of work was determined to be GS-07, which was the grade of the appellant's nonsupervisory work.

#### **C-1811-13-01, Supervisory Criminal Investigator**

**Issue: Factors 1/determination of population serviced, 3/Level 3-3b, & 6/coordinative requirements.** The appellant was an Assistant District Director responsible for conducting investigations of suspected violation of criminal laws related to illegal immigration in the States of Nebraska and Iowa. Level 1-3 Scope was met for investigative work covering two States. Level 1-3



Effect was not met because the actual population “serviced” was not the total population of these States but rather their estimated undocumented population of less than 10,000, which was not considered equivalent to a “moderate-sized population of clients.” Further, the effect of the program’s enforcement work on employers was considered indirect and the dollar amount of fines levied was not significant. The appellant supervised 12 employees through two subordinate supervisors, which added to the supervisory structure but little to the difficulty of supervision which stems from organizational complexity rather than number of subordinate supervisors. The appellant’s unit lacked the size and complexity to permit significant exercise of Level 3-3b responsibilities. Level 6-5 was met in terms of the GS-12 base level, but the attendant coordinative requirements were not met, and the unit’s limited organizational size and complexity did not permit the exercise of Level 6-4 coordination by his subordinate supervisors.

#### **C-1811-13-03, Supervisory Criminal Investigator**

**Issue: Factors 1, 5, & 6/coordinative requirements.** The appellant was a section chief responsible for a district-wide investigations program. Level 1-3 was met for Scope as it covered a three-State area but not for Effect because the impact was limited to one district program. The base level was GS-12 excluding/adjusting four subordinate GS-13 positions assigned to special task forces whose grades were based in part on independence. Despite the GS-12 base level, the appellant did not exercise Level 6-5a coordination which was retained by the district director. Although the six subordinate supervisors directed substantial GS-12 workloads, they did not exercise Level 6-5a coordination, thus Level 6-6b was not met and Level 6-5c was credited.

#### **C-1811-13-04, Supervisory Criminal Investigator**

**Issue: Factor 6/coordinative requirements.** The appellant directed criminal investigation and law enforcement functions for a geographic area equivalent to a major metropolitan area. Although the base level was GS-12, Level 6-5 was not met because the appellant’s work did not require significant and extensive coordination and integration.

#### **C-1811-14-01, Supervisory Criminal Investigator**

**Issue: Factor 4/Level 4A-4.** The appellant had regular contacts comparable to Level 4-A4. “Frequent” contacts within the meaning of the GSSG are those that occur several times a week. Contacts that occur at longer intervals, such as monthly or quarterly, are considered infrequent unless they typically involve extensive preparation consuming large portions of the work time. The appellant’s contacts with Presidential/Congressional committees, occurring every 1-3 months, met these criteria.

#### **C-1811-14-02, Supervisory Criminal Investigator**

**Issue: Deputy to a Senior-Level (SL) position.** The appellant was full deputy to a U.S. Marshal position. OPM had granted SL position allocations to the Department for some U.S. Marshal positions based on complexity of their districts and with a combined staff of 80 or more FTP positions and contract staff. Other U.S. Marshal positions were classified at the GS-15 level. Because SL positions were considered equivalent to SES or Executive Level positions which exceed grade 15, the deputy positions were graded at GS-15 and GS-14, respectively. The bureau was responsible for determining those positions that required an SL allocation. The U.S. Marshal position for the appellant’s district was at the GS-15 level. The appellant’s position was accordingly graded at GS-14.

#### **C-1816-11-01, Supervisory Immigration Inspector**

**Issue: Factor 1/determination of population serviced.** The appellant supervised the conduct of immigration inspections at an airport. Level 1-3 Scope was not met because although over one million people passed through the inspection station annually, most passed through the primary inspection station with a brief review of documents and a few questions, comparable to Level 1-2 complexity. The more complex or intensive services were limited to about 13,000 international passengers who were processed in the secondary station, comparable to the size of the constituency served in a portion of a small city. Level 1-3 Effect was not met because the appellant only directed a portion of the agency's line program at a typical field office providing services to a population equivalent to a portion of a small city.

#### **C-1816-12-01, Supervisory Immigration Inspector**

**Issue: Factors 1/determination of population serviced & 3/Responsibilities 4, 14, & 15.** The appellant supervised the immigration inspections operation in a large State including 12 air, land, and sea ports. Level 1-3 was not met because the work did not cover most of the area's taxpayers or businesses but rather a limited clientele of international travelers. The decision notes that Scope does not measure geographic size alone but rather the volume of work generated in the geographic area. Under Factor 3, Responsibility 4 was not credited because the annual budget the appellant directly controlled was less than 1.5 million, which is not a multimillion-dollar level budget. Responsibility 14 was not credited because changes made to standard PDs were minor with no classification impact. Responsibility 15 was not credited because improving office operations is not comparable to finding ways to eliminate significant barriers to production.

#### **C-1816-13-01, Supervisory Immigration Inspector**

**Issue: Factor 1/determination of population serviced.** The appellant supervised immigration inspection operations at all airports and seaports handling international aircraft and ship arrivals in four States. Level 1-3 Scope was not met because although over 1.5 million individuals were subjected to primary inspection annually, this consisted of a few questions and brief review of their admittance documents, comparable to Level 1-2 complexity. Only 53,000 required the more complex and intensive secondary inspection resulting from problems with their documents, violation of immigration-related laws, or other reasons. Although this population may have exceeded a portion of a small city, when complexity and intensity of the service provided was considered, the work situation was equivalent to a field office providing services to the public. Level 1-3 Effect was not met because the appellant only directed a portion of the agency's line program at a typical field office.

#### **C-1816-14-01, Supervisory Immigration Inspector**

**Issue: Factor 1/determination of population serviced.** The appellant directed a district immigration inspections program at the highest volume airport of entry into the U.S. processing over eight million passengers annually. Primary inspection consisting of asking a few questions and conducting a brief review of admittance documents did not exceed Level 1-2 complexity. However, more intensive secondary inspection for possible document fraud, asylum application review, and terrorist infiltration was conducted on almost 200,000 passengers, meeting Level 1-3 for complexity and population equivalency to an entire small city. The appellant also conducted program development and testing functions indicative of Level 1-3 complexity, such as testing new inspection methods for possible agencywide implementation. Level 1-4 was not met because although some of the appellant's program initiatives had been implemented at other agency sites, they represented improved methods for achieving goals and policies controlled at agency headquarters, without delegated authority for determining

whether they should be instituted agencywide. The appellant's program was geographically limited in effect and did not impact the agency's entire field structure.

#### **C-1890-11-01, Customs Inspector**

**Issue: Coverage of the GSSG.** The appellant supervised two employees and only spent 10% of her time providing technical and administrative supervision. Based on this, the position did not meet the 25% threshold for GSSG coverage and was evaluated using the appropriate standard for the nonsupervisory work performed.

#### **C-1890-12-01, Supervisory Customs Inspector**

**Issue: Factor 4/Level 4B.** This decision reiterates, based on OPM guidance, that all three conditions listed must be met for crediting Level 4B-3.

#### **C-1896-12-01, Supervisory Border Patrol Agent**

**Issue: Deputy position.** The appellant was considered full assistant to the GS-13 chief of an organization with 24 subordinate employees, including two GS-12 subordinate supervisors. He exercised first-line supervisory responsibility over the two subordinate supervisors and five GS-12 nonsupervisory employees. He asserted that setting his grade one grade below the chief discounted the GS-12 work he directly supervised. OPM rejected this argument and determined the chief's grade to derive the deputy's grade. [The definition of "deputy" became more stringent in later decisions.].

#### **C-1896-12-02, Supervisory Border Patrol Agent**

**Issue: Deputy position.** Similar to C-1896-12-01. The appellant was considered full assistant to the GS-13 chief of an organization with 66 subordinate employees, including eleven subordinate supervisors. He exercised first-line supervisory responsibility over two GS-13 subordinate supervisors and second-line supervisory responsibility over nine GS-12 subordinate supervisors. He believed that setting his grade one grade below the chief was inappropriate given the two GS-13 subordinate supervisors. OPM rejected this argument and determined the chief's grade to derive the deputy's grade.

#### **C-1896-14-01, Supervisory Border Patrol Agent**

**Issue: Factors 1, 3, & 5/alternate method.** Level 1-4 was not met because the appellant supervised line operations at the field level rather than program development work and the work supervised represented a segment of the agency's primary line operations, not a self-contained program of national significance. Level 3-3a was not met, therefore Level 3-4 could not be credited. To credit Level 3-4, both 3-3a and 3-3b must be fully met. The appellant's position was supervisory, not managerial, in nature. The alternate method under Factor 5 was not applicable because the appellant did not supervise a heavy nonsupervisory workload above the base level (only six positions out of a total subordinate staff of over 50 employees engaged in mission-oriented work), and those positions resided one or two levels down in the organization so their supervision rested with the appellant's subordinate supervisors.

#### **C-1896-14-02, Supervisory Border Patrol Agent**

**Issue: Factors 1 & 4.** Level 1-4 was not met because the appellant supervised a segment of the agency's line program rather than program development work and its effect did not extend to the entire field structure. Although the appellant had some contacts similar to Level 4A-4, the frequency and preparation/analysis required were not met.

#### C-2001-11-01, Supervisory Allowance Specialist (Army)

**Issue: Factor 1.** The appellant supervised an equipment management unit at a large military installation, which was a segment of the overall base supply program. Level 1-3 was not met because she did not supervise the entire installation supply management function.

#### C-2003-09-01, Supervisory Supply Management Specialist (Army)

**Issue: Factors 1 & 5/crediting leader positions/conversion of WG to GS equivalency.** The appellant supervised a troop issue subsistence unit that supported a population exceeding 4000 customers covering a region of six States, thus meeting the definition of a large military installation. However, Level 1-3 was not met because this unit was only one limited part of the overall supply management function, which was considered the “program segment.” The appellant supervised only one official leader position creditable under Factor 5, which specifically requires supervision of “leaders” (plural) under Responsibility 1. A WG-6907-6 subordinate position was converted to GS-5 equivalency for base level purposes using the GS-2005 classification standard.

#### C-2003-12-01, Supply Management Officer (Army)

**Issue: Factors 1 & 5/conversion of LN & WG to GS equivalency/alternative method.** The appellant supervised a staff of 482 employees, 446 of which were Local National (LN) positions and the remainder a mix of FWS and mostly one-grade interval GS positions. Although the organizational coverage of the work met Level 1-3, the complexity of the work supervised did not exceed Level 1-2, making the distinction between directing one-grade interval “supply services” at Level 1-2 and two-grade interval “supply management” at Level 1-3. This decision includes a detailed discussion converting the organization’s LN & FWS positions to GS equivalents for base level purposes, particularly describing that the GS & LN grade structures are so dissimilar that no direct correlation can be made. The alternative method for determining base level was not applicable because although there were over 60 positions above the base level, the presence of intervening supervisors rendered 50% supervision over these positions unlikely. In addition, these positions were not concentrated in one unit as a separate and distinct mission but rather were dispersed throughout the organization, with no practical means of determining how much time the appellant may have devoted to these specific workloads.

#### C-2005-07-02, Supervisory Supply Technician (Navy)

**Issue: Factor 5/conversion of WG to GS equivalency.** The appellant supervised a staff of mostly Hazardous Material Handlers, WG-6501-6. These positions were converted to GS-4 equivalency for base level purposes, presumably using the GS-2005 classification standard.

#### C-2030-12-01, Supervisory Distribution Facilities Specialist (DLA)

**Issue: Factors 1 & 5/conversion of WG to GS equivalency.** The appellant supervised 64 GS & WG employees engaged in a warehousing function. Although the population serviced met Level 1-3, the unit’s preponderantly FWS and technician work did not exceed Level 1-2 complexity, i.e., technical or complex clerical. This decision includes a detailed discussion converting the unit’s Heavy Mobile Equipment Mechanics, 5803, to GS-7 equivalency for base level purposes by comparison to GS-802 work.

#### C-2152-13-01, Supervisory Air Traffic Control Specialist (Terminal) (Army)

**Issue: Factor 1/determining population serviced & 6/Level 6-6b.** Although the appellant was located at a large military installation, the population directly serviced and thus creditable under Factor 1

consisted of the pilots permanently assigned to the installation and others who used the ATC services for training, military transport, or other purposes, not the total population of the installation or the geographic area supported by the installation for training purposes of reservists/Air National Guard squadrons. The pilot population using a substantial range of airspace and ATC services did not exceed Level 1-2. Level 6-6b was not met because (1) the nature of the operating-level ATC work did not permit the exercise of Level 6-5a coordination by the subordinate supervisors and (2) not all of the subordinate supervisors had a GS-12 base level.

**C-2210-12-01, Supervisory IT Specialist (Army)**

**Issue: Factor 5/determining GS equivalency of contractor positions.** GS grade equivalency of contractor positions is determined by comparison to the applicable classification standards, not by comparison to the GS pay schedules. Although the appellant asserted that two subordinate contractor employees were performing work equivalent to GS-12/13 based on their pay rates, they were performing work comparable to that performed by the GS-11 employees in the unit.

**C-2210-13-03, Supervisory IT Specialist**

**Issue: Crediting team leader positions under Factors 3 & 5.** The appellant supervised 18 subordinates, including three team leaders. Although each team leader led only a few employees, OPM found this arrangement to be acceptable due to the geographic dispersion of the teams across time zones sufficient for crediting responsibility #1. A detailed discussion of the remaining responsibilities is provided. Although the team leaders led some GS-13 employees, that grade was considered questionable for most of the positions and an extended discussion of how the various GS-12/13 percentages were derived is provided. This decision emphasizes the difficulty of applying the GSSG when the subordinate PDs do not include time percentages.