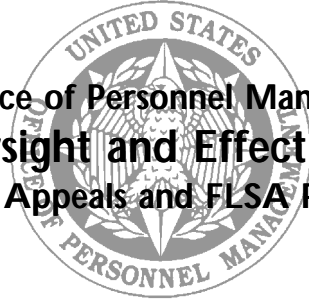


U.S. Office of Personnel Management
Office of Merit Systems Oversight and Effectiveness
Classification Appeals and FLSA Programs



San Francisco Oversight Division
120 Howard Street, Room 760
San Francisco, CA 94105

Classification Appeal Decision
Under Section 5112 of Title 5, United States Code

Appellant: [The appellant]

Agency classification: Pneudraulics Production Manager
GS-1101-13

Organization: [The appellant's installation]
U.S. Department of the Air Force

OPM decision: GS-1101-13
title at agency discretion

OPM decision number: C-1101-13-01

_____/s/_____
Carlos A. Torrico
Classification Appeals Officer

October 22, 1999
Date

As provided in section 511.612 of title 5, Code of Federal Regulations, this decision constitutes a certificate that is mandatory and binding on all administrative, certifying, payroll, disbursing, and accounting officials of the government. The agency is responsible for reviewing its classification decisions for identical, similar, or related positions to ensure consistency with this decision. There is no right of further appeal. This decision is subject to discretionary review only under conditions and time limits specified in the Introduction to the Position Classification Standards, appendix 4, section G (address provided in appendix 4, section H).

Decision sent to:

[The appellant's address]

[The appellant's servicing personnel office]

Mr. William Duffy
Chief, Classification Branch
Field Advisory Services Division
Defense Civilian Personnel Management
Service
1400 Key Boulevard, Suite B-200
Arlington, VA 22209-5144

Ms. Sandra Grese
Director of Civilian Personnel
HQ USAF/DPCC
1040 Air Force Pentagon
Washington, DC 20330-1040

Mr. Robert E. Coltrin
Director, Civilian Personnel Operations
U.S. Department of the Air Force
AFPC/DPC
550 C Street West
Randolph Air Force Base, TX 78150-4759

Introduction

On September 11, 1998, the San Francisco Oversight Division of the U.S. Office of Personnel Management (OPM) received a classification appeal from [the appellant]. His servicing personnel office and the Department of Defense (DOD), on appeal, classified his position as a Pneudraulics Production Manager GS-1101-13. However, he believes his position should be classified at the GS-14 level. He works in [the appellant's organization and installation], Department of the Air Force. We have accepted and decided his appeal under section 5112 of title 5, United States Code (U.S.C.).

General issues

The appellant makes various statements about his agency and its evaluation of his position. In adjudicating this appeal, our only concern is to make our own independent decision on the proper classification of his position. By law, we must make that decision solely by comparing his current duties and responsibilities to OPM standards and guidelines (5 U.S.C. 5106, 5107, and 5112). Therefore, we have considered the appellant's statements only insofar as they are relevant to making that comparison.

The appellant was officially assigned to the appealed position on April 16, 1995. He has been temporarily promoted (from July 19, 1998 to November 7, 1999) to a position in another division. The appealed position, #26741, is scheduled to be abolished due to base closure. The decision to close the base was made July 13, 1995. No action was taken for three years until it was decided that the work would be contracted out. The contract was awarded in January 1999 to Hill Air Force Base in Ogden, Utah. The transfer of work began in April 1999. In our judgment, it is most fair and equitable to treat this position as if it is continuing because the full ongoing management of the program remained with the appealed position until January 1999. In addition, agencies do not typically downgrade positions as their duties diminish.

Position information

The purpose of the appealed position is to serve as a manager of [the appellant's organization], directing Pneudraulic Product Lines through multiple subordinate supervisors and support staff.

The [appellant's organization] has three subordinate branches:

Production Branch (LIHM): The branch is responsible for accomplishing maintenance, overhaul, repair, modification, technical order compliance, test and trouble-shooting of hydraulic pumps, motors, and other miscellaneous hydraulic components. The Branch has about 105 employees, most of whom are graded to the Pneudraulic Systems Mechanic 8255 occupation.

Production Branch (LIHS): The branch is responsible for accomplishing maintenance, overhaul, repair, modification, technical order compliance, test and trouble-shooting of

electro-hydraulic and mechanical servo flight control components. The Branch has about 130 employees, most of whom are graded to the Pneudraulic Systems Mechanic 8255 occupation.

Operations Support Branch (LIHO): As the Technical Repair Center for the agency, the branch is involved in daily discussion with all other centers and field organizations for workload status, availability of components, material status, MICAP's, critical items, and surge requirements. LIHO is also the focal point for Foreign Military Sales workloads, temporary jobs and technical assistance to foreign countries.

The appellant did not reach agreement with the servicing personnel office on the accuracy of the official position description (PD). Therefore, the appellant and [name of a branch chief], head of the Operations Support Branch, were interviewed to obtain additional information about the appellant's duties and responsibilities. The appellant's supervisor has retired. Information furnished by the appellant and his agency also provides additional details about the appellant's duties and responsibilities and the manner in which they are carried out.

Series, title and standard determination

The appellant, in his appeal to OPM, identified his position as being in the General Facilities and Equipment Series, GS-1601. The agency has classified his position in the General Business and Industry Series, GS-1101.

- The Equipment, Facilities, and Services Group GS-1600 includes positions the duties of which are to advise on, manage, or provide instructions and information concerning the operation, maintenance, and use of equipment, shops, buildings, laundries, printing plants, power plants, cemeteries, or other Government facilities, or other work involving services provided predominantly by persons in trades, crafts, or manual labor operations. Positions in this group require technical or managerial knowledge and ability, plus a practical knowledge of trades, crafts, or manual labor operations.

The General Facilities and Equipment Series, GS-1601, covers positions involving (1) a combination of work characteristic of two or more series in the Equipment, Facilities, and Services Group when no other series is appropriate for the paramount knowledge and abilities required for the position, or (2) other equipment, facilities, or services work properly classified in this group for which no other series has been established.

- The Business and Industry Group, GS-1100, includes all classes of positions the duties of which are to advise on, administer, supervise, or perform work pertaining to and requiring a knowledge of business and trade practices, characteristics and use of equipment, products, or property, or industrial production methods and processes, including the conduct of investigations and studies; the collection, analysis, and dissemination of information; the establishment and maintenance of contacts with industry and commerce; the provision of

advisory services; the examination and appraisal of merchandise or property; and the administration of regulatory provisions and controls.

The General Business and Industry Series, GS-1101, includes all classes of positions the duties of which are to administer, supervise, or perform (1) any combination of work characteristic of two or more series in this group where no one type of work is series controlling and where the combination is not specifically included in another series; or (2) other work properly classified in this group for which no other series has been provided.

The paramount purpose of the appellant's position is to direct the Pneudraulic Product Lines through multiple subordinate supervisors and support staff. While he is concerned with the facilities and equipment (i.e., GS-1600 work) used by his subordinates to accomplish the work, his primary concern is work comparable to GS-1100 work such as running the product line to meet business and customer support objectives; directing studies and determining product line effectiveness through review and analysis of production trends, cost reports, and budget data; reviewing industry developments for adoption in the product lines; and anticipating program changes and direction and devising long range work plans to accomplish objectives. The appellant's position is best placed in the general GS-1101 series. OPM has prescribed no titles for positions in that series. Therefore, according to section III.H.2 of the Introduction to the Position Classification Standards, the appellant's agency may choose the official title for his position. In doing so, the agency should follow the titling guidance in that section.

There is no GS-1101 classification standard. Since the appellant spends all of his work time serving as a third-level supervisor, his position is best evaluated by reference to the General Schedule Supervisory Guide (dated January 1999, HRCD-6) which is used to determine the grade level of supervisory positions in grades GS-5 through GS-15. It also contains criteria for evaluating managerial responsibilities that may accompany supervisory responsibilities in this range of grades.

Grade determination

The GSSG employs a factor-point evaluation method that assesses six factors common to all supervisory positions. To grade a position, each factor is evaluated by comparing the position to the factor level definitions for that factor and crediting the points designated for the highest factor level which is met in accordance with the instructions specified to the factor being evaluated. If one level of a factor is exceeded, but the next higher level is not met, credit the lower level involved. The total points accumulated under all factors are then converted to a grade by using the point-to-grade conversion chart in the GSSG. Each factor is evaluated as follows for the appellant's position.

Factor 1, Program Scope and Effect -- Level 1-3 -- 550 points

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. The agency evaluated this factor at Level 1-3 and the appellant agrees.

a. Scope - This element addresses the general complexity and breadth of (1) the program or program segment directed; and (2) 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 to be addressed under Scope.

The appellant directs [the appellant's organization] which repairs and overhauls pneudraulic components. This is a complex technical operation with multiple product lines. The customers include Tinker AFB, Kelly AFB, Hill AFB, and Robins AFB; major commands; and Foreign Military Sales.

The scope of the program segment directed by the appellant exceeds Level 1-2 where the activities have limited geographic coverage and support most of the activities comprising a typical small to medium military installation.

The program segment directed by the appellant's position is most comparable to Level 1-3 where the supervisor directs a program segment that performs technical work which typically covers a major metropolitan area, a State, or a small region of several States; or where the technical or professional services directly affect a large or complex multimission military installation.

The appellant's program segment does not meet Level 1-4 where the program segments involve the development of major aspects of the agency's scientific, medical, legal, administrative, regulatory, policy development, or comparable, highly technical programs; or that includes major, highly technical operations at a one of the Government's largest, most complex industrial installations.

This element is evaluated at Level 1-3.

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.

The [appellant's organization] accomplishes maintenance, repair, overhaul, modification, technical order compliance, test, and troubleshooting of hydraulic components and electro-hydraulic and mechanical servo flight control components which impact the operations and objectives of the agency, Department of Defense, and Foreign Military Sales elements.

This exceeds Level 1-2 where the products support and significantly affect installation level operations and objectives.

The impact of [the appellant's organization] meets the intent of Level 1-3 where the activities, functions, or services accomplished directly and significantly impact a wide range of agency activities; or at the field activity level (involving large, complex, multimission organizations) the work directly involves or substantially impacts the provision of essential support operations to numerous, varied, and complex technical functions.

The position falls short of Level 1-4 where the program segment directed impacts an agency's headquarters operations, several bureauwide programs, or facilitates the agency's accomplishment of its primary mission or programs of national significance.

This element is evaluated at Level 1-3.

Both Scope and Effect are evaluated at Level 1-3; therefore, this factor is evaluated at Level 1-3 and 550 points are credited.

Factor 2, Organizational Setting -- Level 2-2 -- 250 points

This factor considers the organizational situation of the supervisory position in relation to higher levels of management. A position reporting to a deputy or full assistant position is credited as if reporting to the chief. The appellant reports to the full deputy to the Director of the [higher level unit]. The Director reports to a general officer. This meets Level 2-2 where 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.

Level 2-3 is not met. The GS-15 full deputy position that the appellant reports to is not SES level, flag or general officer military rank, or the equivalent; it does not direct a substantial GS/GM-15 level or equivalent level workload; and it does not direct work through GS/GM-15 or equivalent level subordinate supervisors, officers, contractors, or others.

This position is evaluated at Level 2-2 and 250 points are credited.

Factor 3, Supervisory and Managerial Authority Exercised -- Level 3-3 -- 775 points

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. The local personnel office (PO) and the agency credited Level 3-3b, but the appellant believes that he exercises authority meeting Level 3-4. To meet Level 3-4, both paragraphs a and b at Level 3-3 must be met first.

The appellant's position fully meets Level 3-3b as he exercises nearly all of the 15 supervisory authorities described. The local and DOD classification decisions also credited the appellant's position with Level 3-3b.

The local PO did not award Level 3-3a because they believe base closure and downsizing severely limited supervisory and managerial authority exercised in regard to long range planning, long range staffing, and matters such as whether to contract out work. The local PO also found that the securing of legal opinions, preparation of position papers or legislative proposals or other comparable managerial responsibilities associated with a continuing program were diminished with base closure. The DOD decision did not address whether Level 3-3a was met or not. In contrast, our interviews reflected that the work of [the appellant's organization] is ongoing and that long term planning continued, although it will be handed off to the Ogden Air Logistics Center at Hill AFB in Utah which won the contract for the work.

At Level 3-3a, the manager exercises 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.

Information garnered from interviews, PD's, and the appellant's performance standard reflects that the appellant's position does not fully meet Level 3-3a.

- The appellant's division is run on a company concept. The appellant is responsible for setting annual production plans and 5-year plans. The branch supervisors are responsible for developing long range plans, including materials, labor, developing specifications, budget, etc. They develop 1-year production plans and 5-year plans for multi-million dollar equipment acquisitions. Equipment needs contained in the 5-year plans are prioritized and implemented on an annual basis. The [appellant's organization] 5-year plan is submitted to the Program Control Division which is responsible for the Directorate's budget. The annual production plan is negotiated on a quarterly basis with the customers such as the Production Management Directorate, Air Logistics Command, at Tinker Air Force Base in Oklahoma, which manages 75 percent of the components that the [appellant's organization] overhauls and repairs. Negotiations cover the type and number of components to be repaired, timeliness, and price based on an analysis of manpower, labor standards, material needs, etc.

- The interviews reflect that the appellant's position has the responsibility for assuring implementation of the goals and objectives for the division. This is also reflected in the performance plan for the appealed position.
- The division's workload and manpower is managed in response to resource allocation decisions made at higher echelons. For instance, when HQ allocates less to the customers, the appellant's position is responsible for adjusting the workload and manpower accordingly. When less is allocated to the customer, there are fewer components to be repaired, and the appellant manages human resources by loaning employees to other organizations or letting temporary employees go. Conversely, when there was a surge in the need for components, the appellant hired employees.
- The appellant also made decisions to contract out work. For example, he decided to contract for critical items to satisfy the customers needs, and he has the authority to approve premium pay to the manufacturer to get an item quicker. He also decided to contract out the manufacture of an integrated servo-actuator test stand for B1 and B2 aircraft components. The specifications for the test stand were developed by his staff and they worked with procurement staff to develop a contract proposal. The appellant's staff monitors the contractor's progress. In all, there are about 20 different contractors.
- The appellant maintains production efficiency and effectiveness data which is used to continually negotiate and adjust the Industrial Fund cost to each agency customer. He also attends directorate staff meetings and conferences with representatives from other organizations, AFLC, other agency commands, and contractors to discuss problems or changes in policies, procedures, and methods. However, this does not meet Level 3-3a where the incumbent is *closely involved* with high level program officials in the execution of activities which support development of goals and objectives related to high levels of program management and development or formulation (e.g., preparation of position papers or legislative proposals).

Before considering Level 3-4, a position must meet both Level 3-3a and 3-3b. As discussed above, the appellant's position does not fully meet Level 3-3a, and only meets Level 3-3b. However, to address the appellant's concerns, we have compared his position to Level 3-4 criteria. Even if the appellant's position met both paragraphs under Level 3-3, we find that the appellant's position does not meet Level 3-4.

Level 3-4a:

At Level 3-4a, delegated authority is exercised 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.

We found that the appellant's position does not meet Level 3-4a for the following reasons:

- The appellant does not manage the development of policy changes in response to changes in levels of appropriations or other legislated changes.
- He also does not manage organizational changes *throughout* the organization directed, or major change to the structure and content of the program segment directed. Managing organizational change meeting Level 3-4a would involve, for example, merging two or more regional offices and the attendant field structures into one. This would involve changing reporting relationships, functions, work processes, deciding which positions to retain and which to abolish, etc. In comparison to Level 3-4a, the changes managed by the appellant were not as far reaching. For instance, eleven material planners and schedulers were transferred to a branch section in the [appellant's organization] from another division for budgetary purposes (i.e., direct labor cost to overhead cost), but little else changed with regard to the work performed. Other changes were made to improve work flow in various branch sections which also affected material and labor standards. However, work flow improvement changes are not comparable to organizational changes throughout the organization. In addition, there was no major change to the structure and content of the pneudraulics program directed by the appellant.

Level 3-4b:

At Level 3-4b, the position being evaluated exercises 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.

This level is met when a position exercises final authority, with one or two exceptions, for all of the following personnel actions affecting supervisory *and* nonsupervisory subordinate employees: selections, performance ratings, promotions, high-cost awards and bonuses, resolution of serious group grievances (including those of subordinate supervisors), suspensions, removals, high-cost training and travel, classification, and other actions representing the full range of final authorities affecting human resources and pay management. In addition, the position must have final authority to approve organization design recommendations submitted by subordinate supervisors.

- The appellant selects subordinate supervisors and informs the Deputy Director as a courtesy.
- He is the second level reviewer for all performance ratings in order to assure equity across the division. He is, however, the signatory authority for all GS-11 positions. The appellant serves as the rater for the subordinate branch chiefs and the Deputy Director signs off on these as the reviewing official.
- The appellant is the selecting official for promotions to the subordinate supervisory positions; however, the Deputy Director signs off as the reviewing official.
- At the first step of the grievance process, the appellant is the deciding official. At the second step, it goes to the Command level.
- He is the recommending and issuing official for suspensions and removals for all positions, including subordinate supervisors. These actions go through the Directorate and the legal office for review before they are issued. The Deputy Director is the first appeal level for suspensions.
- The appellant is the deciding official for allocation of the division's award budget. He is authorized to approve awards up to 5 percent of an employee's salary; however, he decided to award lower amounts. He made awards of up to \$1,800.
- With respect to training, [the Branch chief interviewed] estimated that it costs about \$30,000 to train each mechanic over a 10-12 year period. The division has its own two-person training staff and classroom. The subordinate supervisors develop their training budgets, which are submitted to the Program Control Division for inclusion in the Directorate's budget.
- The appellant signs all travel orders and vouchers. Staff members may travel to military bases in the United States or abroad. As part of the foreign military sales program, staff may travel to other countries such as Saudi Arabia, Turkey, or Australia to help set up depot repair centers.
- The appellant does not have classification authority.
- In 1995, the appellant approved the Planning/Engineering Section's proposal to assign weapon systems to the planners instead of assigning the planners to shop(s). This involved changing the customers' contacts, addressing customer satisfaction, workload distribution, etc. Since then organization design proposals recommended by subordinate supervisors have centered on ways to streamline operations such as redesigning the shop layout.

The appellant's position does not have *final* authority for performance ratings, promotions, suspensions and removals, grievances, or classification actions affecting both supervisory *and* nonsupervisory subordinate employees. The classification authority is held at the Command level

and the appellant's decisions on the other actions are subject to review at the Directorate or Command level.

The appellant's position fully meets Level 3-3 and 775 points are credited.

Factor 4, Personal Contacts -- Level 4A-2/4B-3 -- 50/100 points

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.

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. The agency evaluated the appellant's contacts at Level 4A-2.

The appellant's contacts include managers, supervisors, program staff, and contractors or other activities within or outside the agency. These contacts may take place in scheduled meetings or conferences or informally. This is most comparable to Level 4A-2 where contacts may be with 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. The contacts may be informal, occur in conferences and meetings, or take place through telephone contact, and sometimes requires nonroutine or special preparation.

The appellant does not have contacts comparable to Level 4A-3 where there are frequent contacts 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. The 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.

This subfactor is evaluated at Level 4A-2 and 50 points are credited.

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. The agency evaluated this subfactor at Level 4B-3.

At Level 4B-3, the purpose of contacts is to justify, defend, or negotiate (1) in representing the project, program segment(s), or organizational unit(s) directed, (2) in obtaining or committing resources, *and* (3) 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.

The purpose of the appellant's contacts are comparable to Level 4B-3. The appellant maintains production efficiency and effectiveness data which is used to continually negotiate and adjust the Industrial Fund cost to each agency customer. He also attends directorate staff meetings and conferences with representatives from other organizations, AFLC, other agency commands and contractors to discuss problems or changes in policies, procedures, and methods. Contacts with contractors also cover compliance with contract specifications.

We did not find that the purpose of the appellant's contacts meet Level 4B-4 where the purpose is to influence, motivate, or persuade persons who are sufficiently fearful, skeptical, or uncooperative to accept opinions or take actions related to advancing the fundamental goals of the program 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.

This subfactor is evaluated at Level 4B-3 and 100 points are credited.

This factor is evaluated at Levels 4A-2 and 4B-3 and a total of 150 points is credited.

Factor 5, Difficulty of Typical Work Directed -- Level 5-4 -- 505 points

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. The local personnel office found that the typical work directed was equivalent to GS-9 and evaluated this factor as Level 5-5. In the DOD appeal decision, the typical work directed was evaluated as equivalent to the GS-8 level and Level 5-4 was credited.

Both the local personnel office and DOD used the First Level Supervisors method to determine the level of the typical work directed. The first method considers most nonsupervisory or nonleader subordinate employees performing substantive work. In his appeal to OPM, the appellant indicated that the base level would be GS-11 if the Second (and Higher) Level Supervisors method is used. Under the GSSG, the first method should be applied first, and 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 the base level may be present. For these positions, the second method described below is used.

First Level Supervisors Method

The base level is 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 of the organization. Excluded from consideration is the work of lower level position that primarily support or facilitate the basic work; subordinate work that is graded based on supervisory or leader work; work that is graded based on an extraordinary degree of independence from supervision, and work for which the supervisor does not have the responsibilities defined under Factor 3.

Based on the organization chart and position descriptions provided by the servicing personnel office, the workload is broken down as follows:

Number	Grade	% of Workload
1	GS-12	0.4
12	GS-11	5
19	GS-9	7
1	WG-13 \geq GS-9	0.4
1	WG-12 \geq GS-9	0.4
26	WG-11 = GS-9	10
107	WG-10 = GS-8	41
76	WG-9 = GS-7	29
17	WG-7 = GS-5	7
Total 260		100.2

Work classified at GS-9 or equivalent to GS-9 and above accounts for 23.2 percent of the workload, not enough to meet the 25 percent minimum workload. The base level under this method is GS-8.

Second (and Higher) Level Supervisors Method

For many second (and higher) level supervisors, the base level described above for first level supervisors 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.

OPM has used the second (and higher level) supervisors method to establish base level for other supervisory positions. To illustrate:

The situation involved a manager over a medium-sized field activity with 370 staff years of operating and program and policy development work performed for both internal and external purposes. The manager functioned as the third level supervisor over three operating divisions and as the second level supervisor over the program and policy development division assigned 70 staff years of work. The operating divisions performed a mixture of two-grade interval, high level technician, and clerical work. The heavy technician workload resulted in a GS-8 base level. Much of the work was routine, and the division heads were delegated broad authorities in managing their assigned workload. In contrast, the program and policy development division consisted of two branches, each of which used three team leaders to help guide the work. The program and policy development work produced a GS-11 base level. Many projects required coordination with other organizations and used cross-activity matrix managed work teams. Those teams drew personnel from within the activity and from related field activities of the agency.

OPM found the medium-size field activity had two separate and distinct missions. Each was managed differently. The delegation of responsibility and accountability to the operating division chiefs limited the activity head's day-to-day involvement in all but the most contentious operating program issues. Although the program and policy development work constituted a smaller portion of the activity workload, its externally oriented nature required continuous involvement by the activity head. The team-based work structure and limited subordinate supervisory workforce in that division provided a setting in which substantial ongoing managerial involvement by the activity head was likely and credible. Thus, OPM found that the activity head's position was evaluated properly under the alternative method for determining the difficulty of work directed.

According to the appellant, the majority of his time is spent working with his planning department. Such work includes, but is not limited to: ensuring that contractors are meeting specifications for equipment acquisitions, modifications, and upgrades; determining specifications for a new piece of electronic testing equipment; accomplishing critical item reviews weekly and ensuring the customer receives the critical components by contracting to manufacture the items if they are in short supply; implementing lean logistics (i.e., improving the turn-around time for repairing components so less inventory is needed); working with Ogden to establish depot capability for Foreign Military allies by establishing a planning document and labor and material standards and rewriting specifications for older planes stripped of sophisticated electronic equipment, etc.; working with the Industrial Engineering Technicians, GS-895's to ensure that any system changes are reflected in the budget; etc.

Each of the GS-895-11's is responsible for complete weapon systems. The GS-11's are the customers' contacts for questions or problems related to the pneudraulics or hydraulics of a weapon system. The GS-11's are responsible for responding to the customer, including contacting the appropriate Production Branch. The appellant found that he was losing too much information through the reporting chain so he instituted Integrated Production Teams (IPT's). The IPT's include the appellant, the cognizant Production Branch Chief, the LIHOE supervisory GS-895-12, and the responsible LIHOE GS-895's. The teams deal with issues such as contract technical specification problems, developing labor standards for a product surge, and process improvement. The appellant states that he meets daily with an IPT.

The division has about 200 staff years of production work and about 12 staff years of engineering/planning work performed by Industrial Engineering Technicians. The GS-895-11 workload accounts for 8 staff years. The GS-895-11's have first-level and second-level supervisors. The first-level supervisor is a member of the IPT's and the second-level supervisor indicates that he spends 30-40 percent of his time supervising the GS-895-11's. According to PD #23699 for the Supervisory Industrial Engineering Technician GS-895-12, the first-level supervisor plans and assigns work; provides direction; reviews work; establishes performance standards and evaluates employees; effects minor disciplinary action; recommends assignment, reassignment, promotion, or other personnel actions; and hears and resolves employee complaints. PD #LI328 for the Supervisory Production Management Specialist GS-1101-13, the second-level supervisor, reflects that the incumbent plans and directs activities through subordinate supervisors; resolves production and management problems presented by subordinate supervisors and their subordinates; serves as reviewer for nonsupervisory employees' performance appraisals; recommends appointment, promotions, or reassignments; hears and resolves group complaints; and ensures subordinates' training.

The presence of a first- and second-level supervisor over 8 staff years of work (3 percent of the total workload noted in the chart on page 12 of this decision) makes it difficult to support the argument that the appellant spends 50 percent of his time directing the GS-895-11 workload. The first-level supervisor is a member of each IPT and the second-level supervisor states that he spends 30-40 percent of his time supervising the same eight GS-895-11 employees. A review of the second-level supervisor's PD reflects that he is managing the same GS-895 workload that the appellant states he spends 50 percent of his time managing. For instance, the second-level supervisor's PD states that the position serves as the focal point for acquisition and development of new agency hydraulic workloads. Further, the second-level supervisor plans and directs product line activities; manages workload negotiations; preproduction planning; development of work standard and materiel requirements; resolves production capacity problems, provides engineering support for product line development, assesses total resource capabilities versus current and future customer requirements, analyzes total cost data and production reports for the division; determines product line effectiveness through production trends, cost data, and budget data; serves as focal point for establishing hydraulic depot facilities in allied countries; etc.

In contrast to the GSSG criteria and the illustration, the presence of the first- and second-level supervisors reflects that the planning work does not impose a *heavy supervisory or managerial workload* as envisaged by the GSSG. Further, the GS-895-11 workload, which occupies only 3 percent of the total workload managed, is not a *large workload* as required by the criteria. Thus establishment of a base level using the method for second level (or higher) supervisors is not warranted for the appellant's position.

The base level is determined to be GS-8 and Level 5-4 and 505 points are credited.

Factor 6, Other Conditions -- Level 6-4 -- 1120 points

This factor measures the extent to which various conditions contribute to the difficulty and complexity of carrying out supervisory duties, authorities, and responsibilities. To evaluate Factor 6, two steps are used. First the highest level that a position fully meets is initially credited. Then, if the level selected is either 6-1, 6-2, or 6-3, the Special Situations listed after the factor level definitions are considered. If a position meets three or more of the situations, then a single level is to be added to the level selected in Step 1. If the level selected under Step 1 is either 6-4, 6-5, or 6-6, the Special Situations cannot be considered in determining whether a higher factor level is creditable.

Step 1

The appellant's position meets Level 6-3b as the position directs subordinate supervisors over positions equivalent to GS-8, requiring coordination similar to that described at Factor Level 6-2a among subordinate units. His position does not meet Level 6-4a where the supervisor coordinates and integrates a number of work assignments of technical or administrative work comparable in difficulty to the GS-11 level or Level 6-4b where the position directs subordinate supervisors who each direct substantial workloads comparable to the GS-9 or GS-10 level.

Step 2

A level can be added if 3 or more of the special situations described under Factor 6 are applicable to the appellant's position. The appellant's supervisory and oversight work is complicated by special situations #1, 2, and 8.

1. **Variety of Work:** This situation is credited 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. More than one kind of work is present in the work of the division, e.g., WG-8255, GS-895, GS-1152. This situation is credited.
2. **Shift Operations:** The division has two fully staffed shifts, therefore, this situation is credited.

8. **Special Hazard and Safety Conditions:** The appellant's position manages an industrial operation where the majority of the employees are subject to the hazardous conditions typical of industrial operations in performing their work. The employees must comply with all applicable safety and hazardous material directives and are required to share in the responsibility for a sound industrial safety and hazardous material program.

We did not find that the appellant's position was subject to any other special situation. For instance, credit may be given for physical dispersion 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, under conditions which make day-to-day supervision difficult to administer. In the appellant's situation, the machine shop is located 200 yards from the main unit. However, there are only 24 employees in the shop which does not constitute a *substantial* portion of the workload and there is no indication that day-to-day supervision is more difficult because the machine shop is separate from the main unit.

This factor is evaluated at Level 6-4 and 1120 points are credited.

Summary

In summary, we have evaluated the appellant's position as follows:

Factor	Level	Points
1. Program Scope & Effect	1-3	550
2. Organizational Setting	2-2	250
3. Supervisory & Managerial Authority Exercised	3-3	775
4. Personal contacts		
4A-Nature of Contacts	4A-2	50
4B-Purpose of Contacts	4B-3	100
5. Difficulty of Typical Work Directed	5-4	505
	6-4	<u>1120</u>
6. Other conditions		
Total points:		3350

By application of the Point-to-Grade Conversion Chart in the GSSG, a total of 3350 points falls into the GS-13 range (3155-3600). Thus the appellant's position is evaluated at the GS-13 level.

Decision

The appellant's position is properly classified to the General Business and Industry Series, GS-1101, at the GS-13 level. The position may be titled at the agency's discretion.