

**GUIDE TO
POSITION CLASSIFICATION
For Managers and Supervisors**

Department of Commerce Alternative Personnel System



**Published by: The Office of Human Resources Management
(OHRM)**

**Office of Policy and Programs
(OPP)**

September 2018



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GUIDE TO POSITION CLASSIFICATION For Managers and Supervisors

1. **PURPOSE.** This reference guide provides information about the principles, processes and practices of position classification under the Department of Commerce Alternative Personnel System (CAPS). It offers a brief and ready reference to assist managers and supervisors in effectively carrying out position classification responsibilities as delegated through their Operating Unit's (OU) Operating Personnel Management Board (OPMB). Supplemental information regarding CAPS position classification may be found in the [CAPS Operating Procedures Manual](#).

2. **COVERAGE.** This guidance pertains to the classification of all CAPS positions covered under the following Career Paths:

-  ZP – Scientific and Engineering
-  ZT – Scientific and Engineering Technician
-  ZA – Administrative
-  ZS – Support

3. ROLES, RESPONSIBILITIES and AUTHORITIES.

a. **CAPS Board.** The CAPS Board exercises overall classification authority, as authorized through the CAPS plan ([62 FR 67434](#)) and the CAPS Board Charter, including, but limited to, establishing classification policy, approving automated classification systems, developing classification standards, monitoring and revising classification practices, and reviewing and issuing final determinations on classification appeals. The CAPS Board delegates classification authority to the OPMBs.

b. **OPMBs.** OPMBs establish OU classification guidelines within CAPS Board policies, establish career ladders of positions, ensure proper classification of positions within the OU, resolve OU classification issues and appeals, recommend approval of Automated Classification System (ACS) specialty descriptors to the Department's CAPS Program Manager, and delegate OU classification authority to managers and supervisors.

c. **Managers and Supervisors.** Managers/supervisors create position descriptions (PDs). Those with delegated classification authority, classify positions in accordance with the CAPS classification narrative standards incorporated into the ACS, based on the general duties and responsibilities of the position and the knowledge, skills, and abilities required to perform the work.






d. **Human Resources (HR) Advisors.** HR Advisors serve as consultants to managers, supervisors, and OPMB members on position management and classification principles and policies, and provide training in these areas to their serviced clients. They review classification actions for completeness; certify that all required classification decisions are made within

prescribed CAPS policies, procedures, and OPMB guidelines; ensure the position classification action contains the required fields for entry into the automated payroll/personnel system (i.e., HRConnect); and validate PDs within the ACS.

e. Classification Review Panels (CRP). CRPs are ad hoc advisory panels established by OPMBs to review classification actions referred by the servicing HR Manager (HRM). The CRP is responsible for reviewing classification actions in which, on rare circumstances, the HRM and the manager/supervisor cannot reach agreement on the proper classification of the position (i.e., career path, occupational series, and/or pay band level of the position). The CRP develops solutions and/or recommendations for resolving classification issues and forwards them to the HRM and the manager/supervisor for resolution. If resolution still cannot be met, the CRP forwards the classification recommendation to the OU OPMB Chair, or designee, for a classification decision.

4. CLASSIFICATION PRINCIPLES.

a. Theory. Classification under CAPS simplifies and expedites the classification process, makes the process more serviceable and understandable, and improves the effectiveness of classification decision-making and accountability. This is accomplished through:

-  Replacing occupational groups by career paths;
-  Replacing grades with broad pay bands;
-  Replacing Office of Personnel Management (OPM) classification standards with Department broad pay band standards;
-  Delegating classification authority to managers and supervisors; and
-  Automating classification through the use of the ACS.

b. Career Paths. Career paths were designed by grouping comparable occupations together based on parallel career patterns and similar staffing, classification, pay, and other personnel functions.

Career Path	Description
ZP	Scientific and Engineering – Covers two-graded interval professional technical positions in the physical, engineering, biological, mathematical, computer, and social science occupations.
ZT	Scientific and Engineering Technician – Covers one-grade interval positions supporting scientific and engineering activities through the application of various skills and techniques in the electrical, mechanical, physical science, biological, mathematics, and computer fields.
ZA	Administrative – Covers two-graded interval positions in such administrative and management fields as finance, procurement, human resources, librarianship, public information, and program and management analysis.
ZS	Support – Covers one-grade interval positions that provide administrative support through the application of typing, clerical, secretarial, assistant, and similar knowledge and skills; positions that provide specialized facilities support, such as guards and firefighters.

c. **Pay Bands.** Career paths are divided into five pay bands that replace General Schedule (GS) grades as outlined below.

CAPS Pay Band Framework						
Career Path		Pay Bands				
(ZP) Scientific & Engineering	ZP	I	II	III	IV	V
GS Equivalent	GS	1–6	7–10	11–12	13–14	15
(ZT) Scientific & Engineering Technician	ZT	I	II	III	IV	V
GS Equivalent	GS	1–4	5–8	9–10	11–12	13
(ZA) Administrative	ZA	I	II	III	IV	V
GS Equivalent	GS	1–6	7–10	11–12	13–14	15
(ZS) Support	ZS	I	II	III	IV	V
GS Equivalent	GS	1–2	3–4	5–6	7–8	9–10

d. Classification Standards. CAPS uses broad Department-wide classification standards. The following two narrative factors are used together to determine the pay band level and may not be separated when classifying a position:

1. *General Duties and Responsibilities; and*
2. *Knowledge, Skills, and Abilities (KSAs)*

e. Application of Classification Standards. Positions must be classified based on regular and recurring major duties. Major duties are those that represent the primary reason for the position's existence, typically occupy the majority of the employee's time, and govern qualification requirements. Minor duties occupy a small portion of time, and are not the primary reason or objective of the position. Regular and recurring duties are performed in a continuous, uninterrupted manner, or in recurring intervals. One-time-only or temporary duties are not taken into consideration when classifying a position.

At each successively higher pay band, the *General Duties and Responsibilities* factor describes a higher level of work performed under greater freedom from supervision. Simultaneously, at each successively higher pay band, the *Knowledge, Skills, and Abilities* factor describes a higher level KSAs that an incumbent must possess to successfully perform the level of work described in the *General Duties and Responsibilities* factor. Pay band classification standards are inclusive: each pay band standard builds on and subsumes the criteria of the lower pay band standards in the same career path.

The duties of the position AND the KSAs required by the position must **fully meet** the description for the pay band level. If they do not fully meet the definition of the pay band, the position must be classified at a lower band level. As stated previously, the two classification factors work together and cannot be separated; therefore, the position must **fully meet both** the *General Duties and Responsibilities* and the *Knowledge, Skills, and Abilities* factor descriptors of the selected pay band. Fully meeting one and not the other is not acceptable for establishing the position at that pay band level.





5. POSITION MANAGEMENT PRINCIPLES.

a. Theory. Position management is the systematic process that managers/supervisors apply when designing an efficient and economical organization. Through this process they determine how many positions are needed, how jobs should be designed, and the organizational structure needed to accomplish the mission and functional assignments of the OU.

Since managers/supervisors play a major role in the management and classification of subordinate positions, they are responsible for assuring that a sound position structure exists in the organization they lead. Managers/supervisors assign specific duties to each position within their organization(s) and how they distribute the duties among the different positions ultimately determines the career path, title, series, and pay band level of a position.

Pay bands should be commensurate with the work performed to accomplish the OUs mission and should not exceed the band levels required to perform the work. A carefully designed position structure will result in reasonable and supportable pay band levels.

b. Application of Position Management Principles. The following principles should be considered when designing an organization and establishing, revising, and classifying positions:

-  Avoid overlap in duties and functions, unnecessary positions, or fragmentation of the work process.
-  Align positions to be consistent with the organization's mission.
-  Allocate positions to be consistent with approved staffing patterns and established OPMB career ladders.
-  Design positions to be consistent with the duties and level of work to be performed.

c. Position Management Obstacles, Impacts, and Considerations. A number of common obstacles exist in position management, which can impact an organization. [Appendix A](#) describes common obstacles, their impacts, and considerations to contemplate when designing the OU's position structure and classification of positions.

d. Applying Position Management Results. Once managers/supervisors have designed an efficient and economical organization, they must create PDs for new positions, and revise existing PDs, as necessary, to include information about the job that is significant to the classification of the position.

6. POSITION DESCRIPTIONS.

a. Developing and/or Revising Existing PDs. Managers/supervisors are the intended users of the ACS system. Whether or not they have been delegated classification authority from the OPMB, they are responsible for maintaining up-to-date accurate PDs for subordinate employees based on the current duties and responsibilities of the position.

Managers/supervisors who create and/or revise PDs must sign Part A of form [CD-516, Classification and Performance Management Record, Position Certification.](#)

Managers/supervisors who are delegated classification authority, which may be a higher-level official than the one who created the PD, must complete and sign Part A, of form [CD-516, Classification Certification.](#)

When revising existing PDs, managers/supervisors should consult with HR Advisors, as changes in duties performed by employees may affect the final classification and band level of a position(s).

Common factors requiring PDs to be revised are outlined below.

b. Revising PD Factors.

Factors that are significant changes that may cause an existing PDs to be revised include:

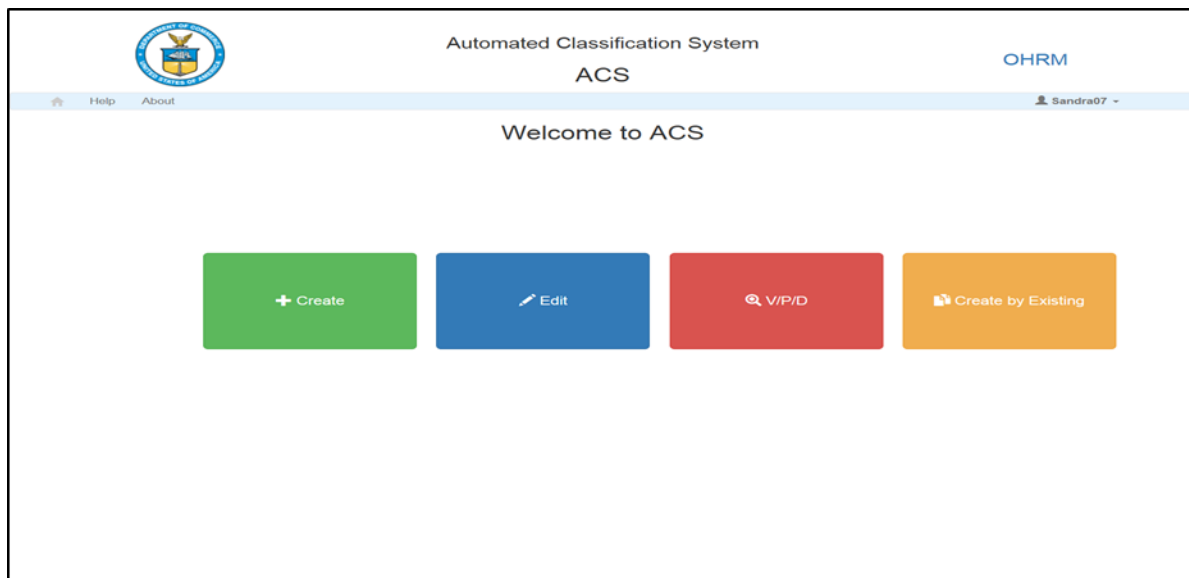
- ☒ Increase or decrease in the level of general duties and responsibilities.
- ☒ Increase or decrease in the knowledge, skills, and abilities required to perform the duties of the position.
- ☒ Addition or deletion of major duties.
- ☒ Change in degree of supervision received.

Factors that are not significant changes for revising existing PDs may include:

- ☒ Quantity of work produced.
- ☒ Quality of work produced.
- ☒ Temporary change in assignments for training or to meet an emergency situation.
- ☒ Work performed in the temporary absence of another employee.
- ☒ Change in methods/procedures.

c. Creating a New PD within ACS. Managers/supervisors use the [ACS](#) to classify positions and produce PDs. Access to the ACS is granted in accordance with OU OPMB guidelines.

The screenshot shows the 'Log into ACS Portal' page. At the top, there is a header with the Department of Commerce logo on the left, 'Automated Classification System' and 'ACS' in the center, and 'OHRM' on the right. Below the header is a navigation bar with 'About' and 'Login' links. The main content area is titled 'Log into ACS Portal' and contains a login form with fields for 'User Name' and 'Password', a 'Log in' button, and a 'Forgot your password?' link. At the bottom, there is a footer with a disclaimer: 'This is a U.S. Department of Commerce computer system. Commerce computer systems are provided for the processing of official U.S. Government information only. All data contained on Commerce computer systems is owned by the Department of Commerce and use may be monitored, intercepted, recorded, read, copied, or captured in any manner and disclosed in any manner, by authorized personnel. THERE IS NO RIGHT OF PRIVACY IN THIS SYSTEM. System personnel may give to law enforcement officials any potential evidence of crime found on Commerce computer systems. USE OF THIS SYSTEM BY ANY USER, AUTHORIZED OR UNAUTHORIZED, CONSTITUTES CONSENT TO THIS MONITORING, INTERCEPTION, RECORDING, READING, COPYING, OR CAPTURING and DISCLOSURE.'



At the Main Menu screen, select the “Create” button to develop a new PD.

PD Number	Career Path	Series
510020020007	ZP	0401
510020030013	ZA	0201
510020030028	ZB	0303
510020030110	ZP	2210
510020030121	ZP	2210
510020030122	ZA	0341
510020030133	ZA	0301
510020030134	ZA	0301
510020030150	ZA	0301
510020030151	ZP	0110

Upon selecting “Create,” the “Add New PD” box appears.



Organization. This field will populate based on the organization the ACS user has been granted access to.



Line Office. This field will populate based on the organization and the Line Office the ACS user has been granted access to. If the user has been granted access to multiple Line Offices, he or she must select the appropriate organization code and associated Line Office code to develop the PD within the specific Line Office.



Incumbent Name. This field must be populated **only** upon an employee being assigned to the PD. For recruitment action purposes, this field will be left blank until an employee enters-on-duty. The HR Advisor will populate the Incumbent Name field on recruitment actions upon assigning an employee to the PD and validating the PD in ACS.



Career Path. This field must be populated with one of the following:

- (ZP) Scientific and Engineering
- (ZT) Scientific and Engineering Technician
- (ZA) Administrative
- (ZS) Support

Appendix B contains a listing of approved CAPS occupational series by Career Path.



Series Definition.¹ This field must be populated by selecting one of the approved occupational series in the Series Definition drop-down. The series listed are based on the appropriate career path they are aligned to, and the descriptive language cannot be modified by the ACS user. In cases where a series is not listed, the user should ensure they have selected the appropriate career path. If the user cannot locate a series in the database, they should contact their HR Advisor for consultation on possible inclusion of the series in ACS through the appropriate approval processes.



Band. This field must be populated by selecting the appropriate pay band level based on the duties of the position and the defined CAPS narrative classification factors of *General Duties and Responsibilities* and the *Knowledge, Skills, and Abilities* required for the pay band. Pay band level descriptions cannot be modified by the ACS user. If the pay band does not reflect the duties and responsibilities required by the position, and the KSAs do not represent the

¹ An interdisciplinary professional position is a position involving duties and responsibilities closely related to more than one professional occupation. As a result, the position could be classifiable to two or more professional occupational series. The PD should show clearly that the position is interdisciplinary and indicate the various series in which the position may be classified. The final classification of the position is determined by the qualifications of the person selected to fill it. Managers and supervisors should consult with their HR Advisor when developing an interdisciplinary PD in the ACS.

knowledge, skills, and abilities one must possess to successfully perform the level of work described in the *General Duties and Responsibilities*, a higher or lower pay band must be selected. ***Reminder: The two classification factors work together to define the pay band; they cannot be separated and both classification factors must be fully met to classify the position at the selected pay band level.***



Title. This field must be populated by selecting one of the approved CAPS official titles linked to an approved CAPS occupational series. Official title descriptions cannot be modified by the ACS user. For series that have more than one official title, the ACS user is prompted to make a selection from the drop-down title box. The “Research” prefix is an option on many of the title screens in the ZP career path and is used to distinguish research positions from non-research positions. If the user cannot locate an official title in the database, they should contact their HR Advisor for consultation on possible inclusion of the official title in ACS through the appropriate approval processes.



Function. This field will **only** appear, and must be populated, if the occupational series resides under the ZP career path. This field represents the “Function” that occupies the largest proportion of the employee’s time or which best reflects a combination of functions in terms of the paramount requirements of the job. The Function description will populate based on the Function code selected and cannot be modified by the ACS user.

Appendix C: Function codes and descriptions used within the ZP career path.



Principal Objective. This field must be populated by the ACS user and is used to define the objective or reason for the establishment of the position. The Principal Objective should align with the narrative classification standards definitions of the pay band level selected. Below is an example of a Principal Objective for a Secretary (OA), ZS-0318-III position.

- *Serves as a Secretary to the Director of the Program Management Office responsible for a variety of office automation and administrative duties in support of management and functions within the office.*

Note: At the Band III level, the *General Duties and Responsibilities* classification factor states: “Serves as secretary to a group leader, office director or program/office chief, or equivalent position; or serves as a developmental secretary to a higher level; or performs complex office automation functions using several types of office automation software...” and the *Knowledge, Skills, and Abilities* classification factor states: “Knowledge of secretarial functions and ability to manage the immediate office, or knowledge of the varied functions of several types of office automation software...”



Incumbent Supervisor Responsibilities. This field must be populated and is used to designate the position either as non-supervisory, supervisory, or as a Lead position. There are three radio buttons that an ACS user must choose from:

- Greater Than or Equal to 25 percent – Employee performs full range of supervision at least 25 percent of the time. **(Supervisory prefix is added to the Title.)**

To classify the position as Supervisory, the incumbent must spend 25 percent or more of their time performing supervisory duties, and perform the minimum duties for classification as a supervisor, including evaluating performance. The minimum duties are described in the “Supervisor Responsibilities Agreement” screen of ACS.

Appendix D: Supervisor Responsibilities Agreement screen.

- Less than 25 percent – Employee does not meet supervisor titling criteria. **(Title remains unchanged.)**
- Employee performs full range of team lead or work lead responsibility. **(Lead prefix is added to the Title.)**

In order to classify the position as Lead, the incumbent must, as a regular and recurring part of their assignment, lead three or more employees in:

- ZS (Support) career path in Pay Bands I–IV and/or
- ZT (Scientific and Engineering Technician) career path in Pay Bands I and II; OR

On a regular and recurring part of their assignment and for at least 25 percent of their duty time, lead a team of employees in at least one or more combinations of the following:

- ZP (Scientific and Engineering) career path
- ZA (Administrative) career path
- ZS (Support) career path in Pay Band V
- ZT (Scientific and Engineering Technician) career path in Pay Bands III–V.

The Lead Responsibilities Agreement screen of ACS describes the minimum authorities and responsibilities required to be considered a Lead position, and differs based on the career path and pay band levels the position will lead (as described above).

Appendix E: Lead Responsibilities Agreement for leading employees in one or more combinations of careers paths ZP, ZA, ZS Pay Band V, and ZT Pay Bands III–V.

Appendix F: Lead Responsibilities Agreement for leading three or more employees in the ZS career path Pay Bands I–IV and/or the ZT career path Pay Bands I and II.



Specialty Descriptions. This field is optional and is used to further distinguish a specific type of work in an occupation. ACS users can select up to three Specialty Descriptions and they should only be used if the description is appropriate to the work to be performed. ACS users may prepare and recommend new Specialty Descriptions and should consult with their HR Advisor on inclusion of a new description through the appropriate approval process.



Position Specific Key Phrases. This field must be populated and must contain specific information about the position not already addressed by the Principal Objective or the Specialty Descriptions. The recommended approach is to express the key phrases in terms of the two narrative CAPS classification factors and define the major duties of the position. The information entered should be consistent with the classification of the position and should be compared with the Principal Objective, Series Definition, and Pay Band as validation for the proper classification of the position.



Position Requirements. This field must **only** be populated if the position requires at least one of the following:

- Operation of a Federal motor vehicle;
- Submission of form OGE 450, Confidential Financial Disclosure Report; and/or
- Physical requirements.



Position Sensitivity. This field must be populated and is used to document the position designation level (i.e., critical sensitive, moderate risk, low risk). ACS users must use OPM's [Position Designation Tool](#), which guides the user through an examination of the position's duties and responsibilities, to determine the proper designation of a position and its required corresponding level of investigation. ACS users should retain the Position Designation Record produced from OPM's position designation system to support the position sensitivity level designation.



Save Draft. Upon completing the required PD fields, the ACS user must click on the "Save Draft" button. This will save the PD and assign a PD #. The PD will remain in draft mode, and can be subsequently edited for content, up until the time that the PD is validated by an HR Advisor.

Draft PD Created through ACS



ACS

Position Description

AC# 510020170573 **Preparation Date:** 7/12/2017

Validated: NO

Org: OFFICE OF THE SECRETARY

Div:

Incumbent Name: VACANT

Career Path: ZS **Series:** 0318 **Band:** 3

Title: Secretary (OA)

Function:

No specific function defined for this position.

Principle Objective:

Serves as a Secretary to the Director of the Program Management Office responsible for a variety of office automation and administrative duties in support of management and functions within the office.

Series Definition:

Assists one individual, and in some cases the subordinate staff of the individual, by performing general office work auxiliary to the work of the organization; must be the principal office clerical or administrative support position in the office, operating independently of any other such position in the office. Requires a knowledge of clerical and administrative procedures and requirements, various office skills, and the ability to apply such skill in a way that increases the effectiveness of others.

General Duties and Responsibilities:

Serves as secretary to a group leader, office director or program/office chief, or equiv. position; or serves as a developmental secretary to a higher level; or performs complex office automation functions using several types of office automation software, such as word processing, database, and spreadsheet; or records and transcribes complex stenographic notes involving technical terminology. May independently carry out general secretarial, clerical, and other office support transactions.

Knowledge, Skills, and Abilities:

Knowledge of secretarial functions and ability to manage the immediate office, or knowledge of the varied functions of several types of office automation software, such as word processing, database, and spreadsheet, or the ability to record and transcribe verbatim dictated material involving scientific or engineering terminology; knowledge of an extensive body of administrative rules and procedures related to office support work; ability to analyze issues and interrelationships and select from many alternative courses of action.

Incumbent's Supervisory Responsibilities:

Position does not meet supervisory titling criteria.

Specialty Description:

No specialty descriptors for this position.

Position-Specific Key Phrases:

Performs and coordinates a variety of clerical, office automation, and administrative support activities within the Office of Program Management. Receives telephone calls and visitors. Determines nature of calls or business of visitors and refers to the Director or staff members only those contacts needing their attention or action. When the Director or staff members are unavailable, takes messages for their attention or makes later appointments for visitors.

Keeps the Director's calendar and schedules appointments and meetings. Reminds Director of appointments and briefs on those matters to be considered prior to the scheduled meeting. When apparent that the Director will not be able to meet previous schedules, reschedules appointments on own initiative.

Reviews documents prepared for signature of or requiring coordination by the Director for grammar, spelling, clarity, and proper clearances. Makes corrections as appropriate or refers the correspondence back to the originator for correction when not in conformance with known policies, or when correspondence regulations have not been followed.

Maintains control records on incoming correspondence and action documents and follows up on work in process to ensure timely reply or action.

Responds to requests for information concerning office functions. Composes and prepares responses to requests such as letters, memorandums, emails from records on file. Assembles data for periodic or special reports on matters of the office.

Serves as records management coordinator for the office responsible for establishing and maintaining a variety of files and records. Revises files when necessary, deciding when material should be discarded or moved to appropriate records holding area in accordance with regulatory guidelines.

Makes necessary travel arrangements for the Director and office staff including arranging schedules of visits, making reservations, notifying officials to be visited, and submitting travel vouchers and reports.

Utilizes a wide range of office automation software, prepares reports, correspondence, and various other materials from rough draft, verbal instructions, notes, or printed matter.

Position Requirements:

There are no special requirements for this position.

Position Sensitivity:

This is a Low Risk position.

FLSA Criteria:

FLSA Basis:



FLSA Criteria. This field is mandatory and is populated by the HR Advisor when the PD is validated in the ACS system. Managers/supervisors are responsible for making Fair Labor Standards Act (FLSA) determinations based on regulations contained in Title 5, Code of Federal Regulations (CFR) § 551, and recording the FLSA designation (Exempt or non-Exempt) on form CD-516, Classification and Performance Management Record, Block C (Individual Position) 1. (FLSA).



FLSA Basis. This field is mandatory and is populated by the HR Advisor when the PD is validated in the ACS system. Managers/supervisors are responsible for documenting their basis for designating the positions as either Exempt or non-Exempt on form CD-516, Classification and Performance Management Record, Block C (Individual Position) 32. (Remarks). Below is sample language for documenting the basis that a position is FLSA Exempt.

- This position is determined as FLSA Exempt under the provisions of Title 5, CFR § 551.206 (Administrative Exemption Criteria) as the primary duty of the position is to formulate and interpret Human Resources Management policies and carry out major staffing, recruitment, and placement activities affecting organizational operations.

d. Certifying the PD. [Part A of form CD-516, Classification and Performance Management Record, Position and Classification Certification](#) must be completed and attached to the ACS PD. The “Position Certification” blocks are completed by the manager/supervisor who created the PD. The “Classification Certification” blocks are completed by the manager/supervisor with delegated classification authority from their OPMB.

7. ACCRETION OF DUTIES.

a. Definition. Accretion of duties is defined as a non-competitive promotion of an employee whose position is reclassified to a higher band level because of the addition of substantive new and higher level duties and responsibilities requiring a higher level of knowledge, skills, and abilities. *A promotion based on accretion of duties should be very rare and cannot be used to circumvent the competitive process.*

b. Requirements. Promotions based on accretion of duties will be utilized only in those circumstances where *all* of the following criteria are met:



The level of difficulty in the permanent duties and responsibilities have increased; the new duties comprise at least 25 percent of the employee’s time on a regular basis; the new duties are based on recurring responsibilities that require a higher level of knowledge, skills, and abilities; and the additional duties are considered major and band-controlling, not merely new or different work.



The employee continues to perform the same basic functions of the former position; the major duties of the employee’s former position are absorbed into the new position; and the employee’s PD is redescribed (incorporating the additional duties and responsibilities); and the former position is abolished.



The new position has no known promotion potential.



The promotion is not based on project duties.



The additional duties and responsibilities do not adversely affect another encumbered position, such as abolishing the position, eroding its current band, or reducing its known promotion potential.

- ☒ The employee is the only one in the division to whom the additional duties and responsibilities could be assigned. Consequently, a promotion based on an accretion of duties involving one incumbent is prohibited when multiple incumbency (“identical-additional”) positions exist within the same division. In this case, “division” is defined as an immediate organizational entity, component, or group of employees that are directed by a supervisory position.
- ☒ The new position does not involve the addition of supervisory or leader responsibilities (i.e., the position does not change from non-supervisory to supervisor or leader position).
- ☒ The new position does not involve reclassification across career paths or occupational series; and
- ☒ The employee meets all qualifications and eligibility requirements for the position.

c. Requests. Written requests for accretion-of-duties promotions must be submitted by the employee’s immediate supervisor to the Servicing Human Resources Office (SHRO) for regulatory compliance with non-competitive promotion requirements. If regulatory requirements are met, the SHRO will forward the request and documentation to the OPMB Chair or designee for approval.

8. CLASSIFICATION APPEALS

a. Eligibility. Employees covered under CAPS may appeal the classification of their current position at any time. However, if the result of a classification decision results in the loss in band or pay (and the employee is not entitled to grade or pay retention) and the employee desires retroactive adjustment (if the next level of appeal results in a higher band), they must file their appeal with their OU OPMB Chair no later than 15 calendar days after the effective date of the reclassification action that resulted in the loss in band or pay.

b. Appealable Items. Employees may seek a change in their pay band, occupational series, FLSA determination, and sometimes the title of their position. Employees may not appeal the content or accuracy of their official PD, including the appropriateness of specialty descriptors; the accuracy, consistency, or applicability of pay band standards; an assignment or detail outside the scope of normally performed duties as outlined in the official PD, or an agency’s proposed classification decision. Employees should be directed to the [CAPS Operating Procedures Manual](#) for information on how to file an appeal and the required information that must be submitted. In addition, they may also contact their SHRO for questions relating to the CAPS appeal policies and processes.

c. Appeal Levels. Employees wishing to formally appeal the classification of their position must follow the below described appeal levels.

- ☒ Employees appeal first to the OU OPMB Chair. The OPMB Chair or designee may request the classification appeal be conducted by member(s) of the OPMB, individual(s) outside of the OPMB, or the OPMB Chair or designee may render a classification decision independently. Classification decisions must be rendered by

individual(s) with delegated classification authority and must have concurrence from the OPMB Chair or designee, prior to notifying the employee of the results of the decision.

☒ Employees dissatisfied with the OPMB Chair or designee's decision, may appeal further to the CAPS Board Chair. The appeal must be filed no later than 15 calendar days after receipt of the OPMB Chair or designee's appeal decision.

☒ The CAPS Board Chair or designee may request the classification appeal be conducted by member(s) of the CAPS Board, by individual(s) outside of the CAPS Board, or the CAPS Board Chair or designee may render a classification decision independently. Classification decisions must be rendered by individual(s) with delegated classification authority and must have concurrence from the CAPS Board Chair or designee, prior to notifying the employee of the results of the decision.

d. Notification. The employee will be notified of the decision of their classification appeal. The OPMB Chair or designee must render a written position evaluation statement approximately between 60 to 90 calendar days from the date of receipt of the appeal from the employee explaining the basis for the classification of the position. If the employee further appeals to the CAPS Board Chair, the CAPS Board Chair will render a final written classification decision approximately between 60 to 90 calendar days from the date of receipt of the appeal from the employee. Classification decisions should be provided to the employee, his/her supervisor, his/her Principle Human Resources Manager, and to the OPMB Chair or designee, as applicable.

9. DEVELOPING POSITION EVALUATION STATEMENTS.

a. Definition. Position Evaluation Statements document the basis of a classification appeal decision and must be signed and dated by a Federal employee with delegated classification authority.

b. Format. Position Evaluation Statements should include the following information:

- ☒ References
- ☒ Background
- ☒ Occupational Series and Title Determination
- ☒ Pay Band Level Determination
- ☒ Conclusion

A brief description on the information that must be contained in each section of the Position Evaluation Statement follows on the next page.

Position Evaluation Statement

(Prepared for the purpose of documenting the basis of a classification appeal decision.)

References

Identify the CAPS classification standard(s) used. The classifier may also include organizational charts and/or manuals such as the [CAPS Operating Procedures Manual](#) used in the classification of the position.

Background

This section introduces the reader to the position. It should provide any necessary history, including the reason for the evaluation, and any additional information the classifier deems pertinent.

Occupational Series and Title Determination

This section explains the reasons for the selection of a series, the title and any specialization required for the title. At a minimum, the evaluation should include a statement describing the work performed, which should be linked to sufficient language from the series definition to justify the series selected.

Once the series is selected, the next step is to properly title the position. CAPS official titles are linked to occupational series. The [CAPS Operating Procedures Manual](#) provides instructions on selecting official titles. The evaluation statement should summarize these instructions and document the proper title.

Band-Level Determination

This section explains the reasons for selecting one pay band level description over another. This means explaining how the position exceeds the pay band factor level below the pay band selected, how it fully meets the pay band level selected, and how it does not fully meet the next higher pay band factor level.

Conclusion

This section should be succinct. It should state the career path, occupational series, title, and pay band level that resulted from the analysis. *The position evaluation statement must be signed and dated by a federal employee with delegated classification authority.*

Appendix G contains a *Sample* Position Evaluation Statement for a ZS-318-III Secretary position. The position information contained in the evaluation is fictional and serves only as a tool to assist the OPMBs or the CAPS Board in preparing an evaluation when responding to a classification appeal.

Appendix A

Position Management Obstacles, Impacts, and Considerations

Obstacle	Description	Impact	Considerations
Fragmentation	Organization split into many small segments	<ul style="list-style-type: none"> • Requires more supervisory positions • Restricts employee development • Interferes with communication • Over-specialization 	<ul style="list-style-type: none"> • Are all functional areas needed? • Can functions be reasonably combined? • Can employee skill sets be broadened? • Is specialization required?
Layering	Too many levels existing in the chain of command	<ul style="list-style-type: none"> • Interferes with communication • Restricts lower-level management and employee responsibility 	<ul style="list-style-type: none"> • What is the supervisor-to-worker ratio? • Are there more supervisors than needed to direct and plan work?
Unnecessary positions	Extra positions not needed to support the organization's current structure. May be carryovers from previous organization structure, or duplicate positions	<ul style="list-style-type: none"> • Leads to redundancy in work • Expensive to the organization 	<ul style="list-style-type: none"> • How many supervisory positions are needed? • Are the staff assistant functions needed or can they be shifted to another line position?
Narrow span of control	More supervisors than necessary	<ul style="list-style-type: none"> • Limits initiative and responsibility • Is very expensive 	<ul style="list-style-type: none"> • Does the workload call for the number of supervisors employed? • Would team lead positions be more efficient versus supervisory positions?
Job dilution	Lower level work performed by higher graded employees	<ul style="list-style-type: none"> • Results in low employee morale • Is inefficient • Is expensive 	<ul style="list-style-type: none"> • Are employees working at grade level 50% or more of the time? • Are positions established at appropriate grade/band levels?
Mismatched strengths and workload	Skill sets of employees not matched with the work needed to be performed	<ul style="list-style-type: none"> • Skill set not aligned with employees • Is expensive • Is inefficient 	<ul style="list-style-type: none"> • Can work be consolidated and positions abolished?

Appendix B
Approved CAPS Occupational Series by Career Path

Occupational Series	Description	Career Path
0018	Safety and Occupational Health Management	ZA
0028	Environmental Protection Specialist	ZA
0029	Environmental Protection Assistant	ZS
0080	Security Administration	ZA
0083	Police	ZS
0085	Security Guard	ZS
0086	Security Clerical and Assistance	ZS
0089	Emergency Management	ZP
0101	Social Science	ZP
0110	Economist	ZP
0119	Economics Assistant	ZS
0130	Foreign Affairs	ZA
0131	International Relations	ZA
0132	Intelligence	ZA
0150	Geography	ZP
0170	History	ZP
0184	Sociology	ZP
0190	Anthropology	ZP
0199	Social Science Student Trainee	ZP
0201	Human Resources Management	ZA
0203	Human Resources Assistance	ZS
0260	Equal Employment Opportunity	ZA
0299	Human Resources Management Student Trainee	ZA
0301	Miscellaneous Administration and Program	ZA
0303	Miscellaneous Clerk and Assistant	ZS
0305	Mail and File	ZS
0306	Government Information	ZA
0309	Correspondence Clerk	ZS
0318	Secretary	ZS
0322	Clerk-Typist	ZS
0326	Office Automation Clerical and Assistance	ZS
0332	Computer Operator	ZT
0335	Computer Clerk and Assistant	ZS
0340	Program Management	ZA
0341	Administrative Officer	ZA
0342	Support Services Administration	ZA
0343	Management and Program Analysis	ZA
0344	Management and Program Clerical and Assistance	ZS
0346	Logistic Management	ZA
0350	Equipment Operator	ZS
0351	Printing Clerical	ZS

0356	Data Transcriber	ZS
0361	Equal Opportunity Assistance	ZS
0391	Telecommunications	ZA
0392	General Telecommunications	ZS
0399	Administration and Office Support Student Trainee	ZA
0401	Natural Resources Management and Biological Sciences	ZP
0403	Microbiology	ZP
0404	Biological Science Technician	ZT
0408	Ecology	ZP
0410	Zoology	ZP
0413	Physiology	ZP
0415	Toxicology	ZP
0440	Genetics	ZP
0480	Fish and Wildlife Administration	ZP
0482	Fish Biology	ZP
0486	Wildlife Biology	ZP
0499	Biological Science Student Trainee	ZP
0501	Financial Administration and Program	ZA
0503	Financial Clerical and Assistance Program	ZS
0505	Financial Management	ZA
0510	Accounting	ZA
0511	Auditing	ZA
0525	Accounting Technician	ZS
0544	Civilian Pay	ZS
0560	Budget Analysis	ZA
0561	Budget Clerical and Technician	ZS
0599	Financial Management Student Trainee	ZA
0610	Nursing	ZA
0690	Industrial Hygiene	ZP
0696	Consumer Safety	ZP
0701	Veterinary Health Science	ZP
0801	General Engineering	ZP
0802	Engineering Technician	ZT
0808	Architecture	ZP
0810	Civil Engineering	ZP
0817	Survey Technical	ZT
0819	Environmental Engineering	ZP
0828	Construction Analyst	ZA
0830	Mechanical Engineering	ZP
0850	Electrical Engineering	ZP
0854	Computer Engineering	ZP
0855	Electronics Engineering	ZP
0856	Electronics Technical	ZT
0861	Aerospace Engineering	ZP

0871	Naval Architecture	ZP
0896	Industrial Engineering	ZP
0899	Engineering and Architectural Student Trainee	ZP
0905	General Attorney (Authorized use by FirstNet only)	ZA
0930	Hearing and Appeals	ZA
0963	Legal Instruments Examiner	ZS
1001	General Arts and Information	ZA
1008	Interior Design	ZA
1015	Museum Curator	ZA
1016	Museum Specialist and Technician	ZA
1020	Illustrating	ZA
1035	Public Affairs	ZA
1060	Photography	ZA
1071	Audiovisual Production	ZA
1082	Writing and Editing	ZA
1083	Technical Writing and Editing	ZA
1084	Visual Information	ZA
1087	Editorial Assistance	ZS
1099	Information and Arts Student Trainee	ZA
1101	General Business and Industry (two-grade interval positions)	ZA
1101	General Business and Industry (one-grade interval positions)	ZS
1102	Contracting	ZA
1104	Property Disposal	ZA
1105	Purchasing	ZS
1106	Procurement Clerical and Technician	ZS
1109	Grants Management	ZA
1140	Trade Specialist	ZA
1152	Production Control	ZA
1165	Loan Specialist	ZA
1170	Realty	ZA
1176	Building Management	ZA
1199	Business and Industry Student Trainee	ZA
1301	General Physical Science	ZP
1310	Physics	ZP
1311	Physical Science Technician	ZT
1313	Geophysics	ZP
1315	Hydrology	ZP
1320	Chemistry	ZP
1330	Astronomy and Space Science	ZP
1340	Meteorology	ZP
1341	Meteorological Technician	ZT
1350	Geology	ZP
1360	Oceanography	ZP
1361	Navigational Information	ZA

1370	Cartography	ZP
1371	Cartographic Technician	ZT
1372	Geodesy	ZP
1374	Geodetic Technician	ZT
1382	Food Technology	ZP
1399	Physical Science Student Trainee	ZP
1410	Librarian	ZA
1411	Library Technician	ZS
1412	Technical Information	ZA
1421	Archives Technician	ZS
1499	Library and Archives Student Trainee	ZA
1515	Operations Research	ZP
1520	Mathematics	ZP
1529	Mathematical Statistics	ZP
1530	Statistics	ZP
1531	Statistical Assistant	ZT
1550	Computer Science	ZP
1601	Equipment, Facilities, and Services	ZA
1603	Equipment, Facilities, and Services Assistance	ZS
1640	Facility Operations Services	ZA
1654	Printing Services	ZA
1670	Equipment Services	ZA
1699	Equipment, Facilities, and Services Student Trainee	ZA
1701	General Education and Training	ZA
1710	Education and Vocational Training	ZA
1712	Training Instruction	ZA
1750	Instructional Systems	ZA
1801	General Inspection, Investigation, Enforcement and Compliance	ZA
1802	Compliance Inspection and Support	ZS
1811	Criminal Investigation	ZA
1862	Consumer Safety Inspection	ZT
1899	Investigation Student Trainee	ZA
2001	General Supply	ZA
2003	Supply Program Management	ZA
2005	Supply Clerical and Technician	ZS
2010	Inventory Management	ZA
2030	Distribution Facilities and Storage	ZA
2099	Supply Student Trainee	ZA
2101	Transportation Specialist	ZA
2102	Transportation Clerk and Assistant	ZS
2130	Traffic Management	ZA
2199	Transportation Student Trainee	ZA
2210	Information Technology Management	ZP
2299	Information Technology Management Student Trainee	ZP

Appendix C

Function Code Titles and Description

Code	Function Title	Description
11	Research	Systematic, critical, intensive investigation directed toward the development of new or fuller scientific knowledge of the subject studied with or without reference to a specific application. The work involves theoretical, taxonomic, and experimental investigations or simulation of experiments and conditions to develop principles, criteria, methods, and a body of data of general applicability for use by others.
12	Research Contract and Grant Administration	The administration and monitoring of research contracts and research grants
13	Development	Systematic application of scientific knowledge directed toward the creation of new or substantially improved equipment, materials, instrumentation, devices, systems, mathematical models, processes, techniques, and procedures which will perform a useful function or be suitable for a particular duty. The work includes developing standards and test plans to assure reliability.
14	Testing and Evaluation	The testing of equipment, materials, devices, components, systems, and methodologies under controlled conditions and the systematic evaluation of test data to determine the degree of compliance of the test item with predetermined criteria and requirements. This work is characterized by the development and application of test plans utilizing physical measurement techniques; controlled laboratory, shop, and field (demonstration) trials; or simulated environmental techniques.
21	Design	The planning, synthesis, and portrayal for purposes of fabrication or construction of structures, equipment, materials, facilities, devices and processes which will perform a useful function or be suitable for a certain duty. In a research situation, design is the application of the known state of the art in the form of standard guidelines and references to prepare the detailed working plans and data required for fabrication, assembly, and production.
22	Construction	The original erection, repair, and improvement of structures that provide shelter for people and activities, support transportation systems, and control natural resources. The work involves surveillance and control of construction operations carried out in-house or under Federal grants or contracts.
23	Production	The fabrication and manufacture of structures, equipment, materials, machines and devices. The work involves surveillance and control of production operations carried out in house or under contract through such activities as: (1) Planning, directing, controlling, inspecting and, evaluating production facilities; (2) Refining designs to adapt them to production facilities and processes; and (3) Devising, applying, and monitoring procedures to measure and assure quality.
24	Installation, Operations, and Maintenance	The installing, assembling, integrating, and assuring of the proper technical operation and functioning of systems, facilities, machinery, and equipment.
31	Data Collection, Processing, and Analysis	The collection, processing, and analysis of general scientific data describing natural and social phenomena. General purpose scientific data include newly gathered statistics, observations, instrument readings, measurements or specimens for use by others. The work involves providing analytic services such as chemical analyses. Excluded are collection and analysis of data only for research and development projects, and internal operating or administrative purposes.
32	Scientific and Technical Information	The processing and dissemination of published and unpublished technical documents and information on work in progress and completed work to facilitate their use. The work involves developing and implementing information systems through such activities as selecting, compiling, exchanging, storing, cataloging, abstracting, indexing, interpreting, and evaluating scientific and technical information.

Code	Function Title	Description
41	Standards and Specifications	The preparation and determination of mandatory and/or voluntary standards including rules, regulations, and codes. The development of performance criteria, test and inspection methods, and data for the application of the standards. These standards are for purposes of government regulation or assuring the acceptability, quality, and/or standardization of products, materials, and parts.
42	Regulatory Enforcement and Licensing	The application and enforcement of laws, rules, regulations, orders, and governmental agreements through inspection, investigation, surveillance, licensing, certification, and similar. The work includes such activities as: (1) Licensing power plants and radio stations; (2) Enforcing plant or animal disease eradication programs; (3) Examining applications for patents; (4) Inspecting operations for compliance with requirements; (5) Approving utility rates and services; (6) Investigating aircraft accidents; (7) Allocating radio frequencies; and (8) Determining compliance with engineering aspects of Federal tax laws.
51	Natural Resource Operation	The development and utilization of Federally-owned trust lands and natural resources for the operational purposes of bringing current use into balance with natural processes of renewal to assure sustained yields to meet present and future public needs. Natural resources include land, air, and water and their related products or uses, such as soil, mineral, forage, wildlife's power and recreation. The work involves implementing programs and projects to inventory, classify, utilize, improve, conserve, regulate, protect, sell, lease, exchange, or market natural resources. Resource operations as defined here are concerned with managing and conserving the land and resources in a specified geographic area.
81	Clinical Practice, Counseling & Ancillary Medical Services.	The provision of direct clinical and related services to patients and clients including examining, testing, diagnosis, treatment, therapy, casework, counseling, and disability evaluation-related patient care.
91	Planning	The study and projection of present and future needs and the formulation of alternative policies and ways of meeting those needs for the utilization of land, material, social, industrial, material, and manpower resources; physical facilities; and social and economic services and programs. Areas include those affected by mission, policy, and program planning.
92	Management	The direction and control of scientific and engineering programs in any one or combination of functions in a line or staff capacity with responsibilities that have a direct and substantial effect on the organizations and programs managed. The work involves decisions, actions, and recommendations that establish the basic content and character of the programs directed in terms of program objectives and priorities; program initiation and content; funding; and allocation of organizational resources.
93	Teaching and Training	The teaching of scientific and technical subjects; the education and training of scientific and technical personnel in-house and through programs consisting of fellowships, traineeships, and training grants; and the development of curricula and training materials and aids.
94	Technical Assistance and Consulting	The provision of scientific and technical expert assistance, consultation, and advice to other scientific personnel; foreign governments; government agencies at the Federal, State, or local level; private industry; organized groups, and individuals. The work involves advising upon and promoting application of the results of research and specialized program knowledge.
99	Other – Not Elsewhere Classifiable	This category is to be used for: 1. Positions with highly specialized activities that are not covered in any of the categories. 2. Position of such generalized nature that a primary function cannot be identified; and 3. Trainee positions for which functional assignments have not been made.

Appendix D

Supervisor Responsibilities Agreement

Supervisor Responsibilities Agreement

1. Assigns and reviews work daily, weekly, or monthly.

2. Assures production and accuracy requirements are met.

3. Approves leave.

4. Evaluates work performance of subordinates.

5. Exercises four or five of the following:

- Plans work to be accomplished by subordinates, sets and adjusts short-term priorities, and prepares schedules for completion of work.
- Assigns work to subordinates based on priorities, and prepares schedules for completion of work.
- Gives advice, counsel, or instruction to employees on both work and administrative matters.
- Interviews candidates for positions in the unit; recommends appointment, promotion, or reassignment to such positions.
- Hears and resolves complaints from employees, referring group grievances, and more serious unresolved complaints to higher level supervisor or manager.
- Effects minor disciplinary measures, such as warnings and reprimands, recommending other action in more serious cases.
- Identifies developmental and training needs of employees, providing or arranging for needed development and training.
- Finds ways to improve production or increase the quality of the work directed.
- Develops performance standards.

☒ Employee perform technical and administrative supervision that includes, as a minimum, all of the following

Agree

Disagree

Showing 1 to 1 of 1 entries

Validated by

Validated on

Appendix E

Lead Responsibilities Agreement

(For leading employees in at least one or more combination: ZP, ZA, ZS in Pay Band V or ZT Pay Band III -V)

Lead Responsibilities Agreement

The employee will lead employees in at least one or more combination:

- ☐ ZP (Scientific and Engineering) Career Path
- ☐ ZA (Administrative) Career Path
- ☐ ZS (Support) Career Path in Pay Band V
- ☐ ZT (Scientific and Engineering Technician) in Career Path III, IV, and V

The employee will lead three or more employees in:

- ☐ ZS (Support) Career Path in Pay Bands I through IV
- ☐ ZT (Scientific and Engineering Technician) Career Path I and II

By selecting radio button(s) under the category **“The employee will lead employees in at least one or more combination:”** (ZP, ZA, ZS (Pay Band V), and ZT (Pay Band III, IV, and V)), the following language will populate on the Lead Responsibilities Agreement:

Team leads are responsible to their supervisors or managers for assuring that the work of their assigned team is carried out by performing a range of coordinating and supportive duties and responsibilities. Team leads utilize a variety of coordinating, coaching, facilitating, consensus building, and planning techniques. These kinds of work methods and knowledge, skills, and abilities (KSAs) are alternatives to traditional supervision that enable the team as a whole to deliver improved quality, quantity, and timely services and/or work products to their customers. Team lead positions must exercise the minimum authorities and responsibilities required for coverage. At a minimum, team leads perform all of the first 7 coaching, facilitating, and mentoring duties and a total of 14 of the 20 duties listed below.

1. Ensure that the organization’s strategic plan, mission, vision, and values are communicated to the team and integrated into the team’s strategies, goals, objectives, work plans, and work products and services.
2. Articulate and communicate to the team the assignment, project, problem to be solved, actionable events, milestones, and/or program issues under review, and deadlines and time frames for completion;
3. Coach the team in the selection and application of appropriate problem solving methods and techniques, provide advice on work methods, practices and procedures, and assist the team and/or individual members in identifying the parameters of a viable solution.
4. Lead the team in: identifying, distributing, and balancing workload and tasks among employees in accordance with established work flow, skill level, and/or occupational specialization; making adjustments to accomplish the workload in accordance with established priorities to ensure timely accomplishment of assigned team tasks; and ensuring that each employee has an integral role in developing the final team product.

5. Train or arrange for the training of team members in methods and techniques of team building and working in teams to accomplish tasks or projects, and provide or arrange for specific administrative or technical training necessary for accomplishment of individual and team tasks.
6. Monitor and report on the status and progress of work, checking on work in progress, and reviewing completed work to see that the supervisor's instructions on work priorities, methods, deadlines, and quality have been met;
7. Serve as coach, facilitator, and/or negotiator in coordinating team initiatives and in consensus building activities among team members;
8. Maintain program and administrative reference materials' project files and relevant background documents, and make available policies, procedures, and written instructions from the supervisor; maintain current knowledge to answer questions from team members on procedures, policies, directives, etc.
9. Prepare reports and maintain records of work accomplishments and administrative information, as required, and coordinate the preparation, presentation, and communication of work-related information to the supervisor.
10. Represent the team in dealings with the supervisor or manager for the purpose of obtaining resources (e.g., computer hardware and software, use of overtime or compensatory time), and securing needed information or decisions from the supervisor on major work problems and issues that arise.
11. Report to the supervisor periodically on team and individual work accomplishments, problems, progress in mastering tasks and work processes, and individual and team training needs.
12. Represent the team consensus and convey the team's findings and recommendations in meetings and dealings with other team leads, program officials, the public, and other customers on issues related to or that have an impact on the team's objectives, work products, and/or tasks.
13. Estimate and report to the team on progress in meeting established milestones and deadlines for completion of assignments, projects and tasks, and ensure that all team members are aware of and participate in planning for achievement of team goals and objectives.
14. Research, learn, and apply a wide range of qualitative and/or quantitative methods to identify, assess, analyze, and improve team effectiveness, efficiency, and work products;
15. Lead the team in assessing its strengths and weaknesses and provide leadership to the team in exploring alternatives and determining what improvements can be made (e.g., in methods, processes, and procedures).
16. Approve emergency leave for up to 3 days; 8 hours or less for medical appointments; and/or other types of leaves as delegated by management.
17. Resolve simple, informal complaints of employees and refer others, such as formal grievances and appeals, to the supervisor or an appropriate management official.
18. Communicate team consensus and recommendations to the supervisor on actions affecting team and individual awards, rewards, and recognition.
19. Inform employees of available employee benefits, services, and work-related activities.
20. Intercede with the supervisor on behalf of the team to inform the supervisor of performance management issues/problems and to recommend/request related actions, such as: assignments, reassignments, promotions, tour of duty changes, peer reviews, and performance appraisals.

Relationship to Bargaining Unit Status of Team Lead Positions

Due to important and significant differences between the position classification and labor relations' definitions of "supervisor," this guidance should not be used to determine the bargaining unit status of team lead positions. There is a wide range of duties and responsibilities associated with team leadership, some of which may overlap typical supervisory functions. The bargaining unit status (BUS) of each position, i.e., the determination as to whether or not a particular position is included or excluded must be made separately through reference to labor relation's criteria, not position classification standards. For additional information on determining the BUS of team lead positions classified using this guide, the user is referred to guidance and definitions in Title 5, United States Code, Part III, Subpart F, Chapter 71.

Differences Between Team Leads and Supervisors

For a position to be classified as supervisory, the requisite supervisor (and related managerial) responsibilities involve the accomplishment of work through combined technical and administrative direction of others, which must constitute a major duty occupying at least 25 percent of the supervisor's time. For quick reference, the chart below lists examples of some of the more significant differences between team leads and supervisors. These examples are not intended to be all-inclusive:

Team Lead

- Explain team goals and objectives to assigned team members and assist team in organizing to accomplish work.
- Coach, facilitate, solve work problems, and participate in the work of the team.
- Provide information to the supervisor on performance of the team and individuals.
- Communicate assignments, milestones, and deadlines to the team and individuals based on the supervisor's instructions.
- Observe training needs and relay training needs and requests to supervisor.
- Inform supervisor of attendance and behavioral problems.
- Relay requests for resources and supplies.

Supervisor

- Set team goals, select team leads, assign team members, and administratively and technically direct the work of subordinates.
- Plan, assign, review and accept, amend or reject work done by teams and subordinates.
- Assign performance ratings, approve awards, and take performance-based corrective actions.
- Make work assignments, set or negotiate deadlines and completion dates
- Schedule and approve funding for team and individual training.
- Counsel employees on behavior, and initiate disciplinary actions if required.
- Allocate resources to teams.

☐ The PD meets all of the requirements stated above to be a team lead.

Appendix F

Lead Responsibilities Agreement

(For leading three or more employees in the ZS career path (Pay Band I–IV) and/or the ZT career path (Pay Bands I and II))

By selecting radio button(s) under the category **“The employee will lead three or more employees in”** (ZS pay bands I through IV and/or ZT pay bands I and II), the following language will populate on the Lead Responsibilities Agreement:

This guidance is used to classify positions of work leads who, as a regular and recurring part of their assignment, lead three or more employees in Pay Bands I through IV of the ZS (Support) Career Path and in Pay Bands I and II of the ZT (Scientific and Engineering Technician) Career Path. These positions would be classified as one-grade intervals under the General Schedule. Work leads also perform work that is usually of the same kind and level as that done by team leads. This guidance is extrapolated from Part I of OPM’s “General Schedule Lead Grade Evaluation Guide” (June 1998).

Leads are responsible to their supervisors for ensuring that the work assignments of the other employees of the team are carried out by performing a range of duties such as:

1. Distribute and balance the workload among employees in accordance with established work flow or job specialization, assure timely accomplishment of the assigned workload, and assure that each employee has enough work to keep busy.
2. Keep in touch with the status and progress of work, and make day-to-day adjustments in accordance with established priorities, obtaining assistance from the supervisor on problems that may arise, such as backlogs that cannot be disposed of promptly.
3. Estimate and report on expected time of completion of work, maintain records of work accomplishments and time expended, and prepare production reports as requested.
4. Instruct employees in specific tasks and job techniques and make available written instructions, reference materials, and supplies.
5. Give on-the-job training to new employees in accordance with established procedures and practices.

6. Maintain current knowledge, and answer questions of other employees on procedures, policies, directives, etc., and obtain needed information or decisions from supervisor on problems that come up.
7. Check on work in progress or spot-check work not requiring review (e.g., filing or direct services) and review completed work to see that supervisor's instruction on work sequence, procedures, methods, and deadlines have been met.
8. Amend or reject work not meeting established standards, refer to supervisor questions or matters not covered by standards and problems in meeting performance standards.
9. Monitor working conditions such as seating, ventilation, lighting, safety, etc.
10. Approve lead for a few hours or for emergencies.
11. Inform employees of available services and employee activities.
12. Resolve simple, informal complaints of employees, and refer others to supervisor.
13. Report to supervisor on performance, progress, and training needs of employees, and on behavior problems.
14. Provide information to supervisor as requested on promotions, reassignment, recognition of outstanding performance, and personnel needs.

Exclusions

1. Employees who are accountable as supervisors for planning, scheduling, and directing work operations; administering supervisory personnel functions; evaluating work performance; and taking necessary action to assure that the work of subordinate employees meets standards of quantity and quality. (See "General Schedule Supervisory Guide," the "Introduction to the Position Classification Standards," and Part II of the "General Schedule Leader Grade Evaluation Guide.")
2. Employees who have "project" responsibility but do not lead other workers. In some work situations, employees are responsible for projects where some of the work needed to complete the projects is done ("farmed-out") by other employees. Where the other employees do such work under the immediate direction of their regular supervisors, the position of the employee with "project" responsibility is considered to be nonsupervisory in nature.
3. Employees who are responsible for work assignments requiring only one or two other workers. The positions of such employees have as their primary responsibility personal work accomplishment. Responsibility for work assignments involving one or two other persons is not sufficient to warrant being classified as a lead. Such positions are classified under appropriate nonsupervisory classification standards.
4. Employees who are in the Scientific and Engineer (ZP) Career Path and Administrative (ZA) Career Path (in the General Schedule, they would be two-grade interval occupations) or work accomplished by Band V in the Support (ZS) Career Path or by Band III in the Scientific and Engineering Technician (ZT) Career Path. Such positions are to be classified through application of grade level criteria in Part II of the OPM "General Schedule Leader Grade Evaluation Guide."

Note to Users

It is the nature of responsibility that the work of others, rather than the number of employees involved, distinguishes between lead and supervisory jobs. However, where the number of workers is more than 12, the position should be carefully reviewed to determine whether it is really that of a lead rather than that of a supervisor, and therefore covered by this guide for leads of clerical and Pay Band I–IV of the Support Career Path or Pay Band III in the Scientific and Engineer Technician (ZT) Career Path.

Titling Instructions

Positions covered by this guidance are identified by prefixing the word "Lead" to the title of the position in which the lead is qualified, and which reflects the work being performed by those led. For example,

- LEAD SUPPLY CLERK
- LEAD VOUCHER EXAMINER
- LEAD MECHANICAL ENGINEERING TECHNICIAN
- ☐ The PD meets all of the requirements stated above to be a work lead.

Appendix G
Sample Position Evaluation Statement
(Based on a Fictional Secretary (OA), ZS-318-III)

I. REFERENCES

The “Department of Commerce Alternative Personnel System (CAPS) Operating Procedures Manual,” dated May 28, 2010; The Commerce Alternative Personnel System Automated Classification System narrative classification standards. **[Insert any other references and/or supporting documentation used to support the classification decision.]**

II. BACKGROUND

On November 23, 2016, the Operating Personnel Management Board (OPMB) Board Chair, **[Insert Chair’s name]** accepted a classification appeal from **[Insert employee’s name]** (appellant). The appellant is currently employed as a Secretary (OA), ZS-318-III in the **[Insert Bureau]**, **[Insert Operating Unit]**, **[Insert Division]**, **[Insert Branch/Office]**, Department of Commerce in **[Insert location, city, and state]**. The appellant requested that the position be classified as Secretary (OA), ZS-318-IV.

In adjudicating this appeal, the OPMB Chair must make an independent decision on the proper classification of the position based on the duties and responsibilities currently performed and assigned to the appellant by management. A fact-finding interview was held **[insert via telephone and/or via on-site]** with the appellant on **[Insert date]**. A fact-finding interview was also conducted via telephone with the appellant’s first-line supervisor **[Insert supervisor’s name and title]**, on **[Insert date]**.

The title, career path, occupational series, pay band determination by the OPMB Chair is based on the comparison of the appellant’s current duties and responsibilities as described during the fact-finding interviews against the CAPS narrative classification standards contained in the Automated Classification System (ACS), classification guidelines contained in the *CAPS Operating Procedures Manual*, and other supporting documentation submitted by the appellant, including the appellant’s official position description **[Insert ACS Position Description Number]**.

III. OCCUPATIONAL SERIES and TITLE DETERMINATION

The appellant performs a wide range of clerical and administrative duties to support the operations of the office, including but not limited to: receiving telephone calls and visitors to the office; reviewing outgoing correspondence for grammar, spelling, clarity, and proper clearances, and making corrections as appropriate or referring the correspondence back to the originator; receiving and distributing incoming correspondence; keeping the supervisor’s calendar and scheduling appointments based on workload, current issues of importance or priority of requests; making travel arrangements and preparing travel orders; establishing and maintaining a variety of files and records for the office and discarding or

moving records to appropriate holding areas in accordance with regulatory guidance; responding to requests for information concerning office functions by composing and preparing informational responses to requests such as letters, memorandums, and emails; and, assembling data for periodic or special reports on matters of the office.

The appellant's position is properly assigned to the Secretary series, ZS-318, which covers positions that assist one individual, or in some cases, supporting staff of the individual, by performing general office work auxiliary to the work of the organization. The appellant provides principal administrative and clerical support to the office and operates independently of any other such positions in the office.²

The prescribed title for positions in this series is Secretary. The parenthetical addition of (OA) to the title is appropriate, as the position requires knowledge of office automation systems and full typing qualifications.

IV. PAY BAND DETERMINATION

The CAPS classification system is based on two narrative standard factors (1) *Duties and Responsibilities*, and (2) *Knowledge, Skills, and Abilities* (KSAs). At each successively higher band, the *Duties and Responsibilities* factor describes a higher level of work performed under greater freedom from supervision. At each successively higher band, the *Knowledge, Skills, and Abilities* factor describes a higher level of KSAs that an incumbent must have to successfully perform the level of work described in the *Duties and Responsibilities* factor. The classification factor of *Knowledge, Skills, and Abilities* describes a level of accomplishment in concise terms as a means of distinguishing that level from lower and higher levels. **The two classification factors of a pay band standard work together to define the band. They cannot be separated.** Pay band classification standards are inclusive; each standard builds on and subsumes the criteria of the lower pay band standards in the same career path.

When evaluating the band level of a position, the position must fully meet both classification factors within a pay band (i.e., Duties and Responsibilities and KSAs). It is possible for a position to meet one classification factor within a pay band but not fully meet the other classification factor. In this case, the lower band level must be assigned. It is required that the position fully meet the intent of both classification factors within the band in order to be classified at that band.

*Narrative Standard of the General Duties and Responsibilities at the ZS-318-Band II level*³

Provides standard office automation, typing, data transcribing, or stenographic support under general instructions on priorities, limitations, and deadlines. Uses word processing or other office automation software to create, edit, store, and print a variety of documents; types letters, memoranda, reports, etc., in final form; transcribes data into data processing form; or records and transcribes stenographic notes of routine nonspecialized conversations, meetings, or conferences. Functions may include routine clerical work or trainee secretarial work.

² The ZS-318 series description is copied from ACS.

³ The Narrative Standards are copied directly from ACS for the applicable pay bands that the position is being evaluated against.

Narrative Standard of the Knowledge, Skills, and Abilities at the ZS-318-Band II level –

Fully qualified skill to operate a typewriter-style keyboard with acceptable speed and accuracy; ability to use typewriters or office automation software to type a variety of material accurately from written sources or voice recordings; ability to apply machine-operating and data transcribing procedures, or ability of a fully qualified stenographer to take nonspecialized dictation; knowledge of grammar, spelling, capitalization, standard formats, forms, keyboarding policies and practices, technical terminology, and office work flow and procedures.

Analysis

The duties and responsibilities carried out by the appellant and the KSAs required to perform the position fully exceed the Pay Band II level. The appellant participates actively in the management of the office by performing non-routine administrative and clerical assistance such as: noting and following up on commitments made at meetings and conferences by staff members; maintaining the office Director's calendar and scheduling appointments based on nature of importance and priority of matters; responding to requests for information concerning office functions; serving as a records management coordinator for the office responsible for establishing and maintaining a variety of chronological files and records, and locating and summarizing information from files requiring recognizing which information is relevant. The appellant is a fully qualified typist and utilizes a wide range of office automation software to prepare reports, correspondence, and various other material from rough draft, applying significant knowledge of office automation systems and knowledge of the procedures governing proper correspondence formats.

Narrative Standard of the General Duties and Responsibilities at the ZS-318-Band III level –

Serves as secretary to a group leader, office director, or program/office chief, or equivalent position; or serves as a developmental secretary to a higher level; or performs complex office automation functions using several types of office automation software, such as word processing, database, and spreadsheet; or records and transcribes complex stenographic notes involving technical terminology. May independently carry out general secretarial, clerical, and other office support transactions.

Narrative Standard of the Knowledge, Skills, and Abilities at the ZS-318-Band III level –

Knowledge of secretarial functions and ability to manage the immediate office, or knowledge of the varied functions of several types of office automation software, such as word processing, database, and spreadsheet, or the ability to record and transcribe verbatim dictated material involving scientific or engineering terminology; knowledge of an extensive body of administrative rules and procedures related to office support work; ability to analyze issues and interrelationships, and select from many alternative courses of action.

Analysis

The duties and responsibilities carried out by the appellant and the KSAs required to perform the position fully meet the Pay Band III level. The appellant serves as a secretary to the **[Insert office name]** Director responsible for providing principal clerical, office automation, and administrative support to the office. The appellant must know and apply the policies and priorities of the office director in order to perform such assignments as reviewing correspondence for the supervisor's

signature, not only for such aspects as grammar and clarity, but also for conformance with previous decisions on administrative issues; organizing work to ensure that priority matters are dealt with expeditiously and deadlines met; maintaining control records on incoming correspondence and action documents and following up on work in process to ensure timely reply or action; and making necessary arrangements for travel including arranging schedules of visits, making reservations, notifying officials to be visited, and submitting travel vouchers and reports. In support of the above tasks, the appellant applies knowledge of office automation software (such as word processing, database management, spreadsheets, electronic mail, calendars, etc.) and knowledge of the duties, priorities, commitments, policies, and program goals of the office. The supervisor defines the overall objectives and priorities of the work in the office, and relies on the appellant to plan for and accomplish duties and responsibilities with considerable independence and judgement. Where duties exist that are not of an established nature and where specific instructions are necessary concerning a situation or problem, the supervisor will furnish initial guidance to the appellant.

Narrative Standard of the General Duties and Responsibilities at the ZS-318-Band IV level –

Serves as secretary to a division chief, deputy OU director, division-level office/program director, executive officer, or equivalent position, or serves as a developmental secretary to a higher level, with full secretarial responsibility, independently carrying out the full range of secretarial transactions under general guidance on objectives and priorities. Functions may include independently drafting correspondence and reports, arranging conferences, acquiring services, maintaining appointment calendars, arranging travel, and timekeeping.

Narrative Standard of the Knowledge, Skills, and Abilities at the ZS-318-Band IV level –

Knowledge of secretarial functions, ability to manage the immediate office, and ability to guide and coordinate the work of subordinate secretaries in the larger organization under the office; knowledge of the structure and functions of the larger organization; ability to carry out exceptionally difficult assignments involving unrelated areas of subject matter; and ability to analyze unusual circumstances, variations in approach, and incomplete or conflicting information in deciding what needs to be done.

Analysis

The duties and responsibilities carried out by the appellant and the KSAs required to perform the position fail to meet the full intent of the Pay Band IV. The duties and responsibilities described at the Pay Band IV level involve serving as a secretary to a division chief, deputy OU director, division-level office/program director, executive officer, or equivalent position, or serving as a developmental secretary to a higher level, with full secretarial responsibility. The appellant serves as a Secretary (OA) to the **[for fictional purposes, this position serves as a secretary to the director of the Program Management Office, Line Office Level]**, which is accurately characteristic at the ZS Band III level. The appellant's position is currently at the full-performance level, thus the appellant is not serving in the capacity of a developmental secretary to a higher level official, with full secretarial responsibility.

The intent of the *General Duties and Responsibilities* narrative factor describing the levels of officials with whom secretarial positions perform services is to define the boundaries of the secretary's administrative responsibility as well as the complexity of the organization served by the secretary. The complexity of the organization served affects the extent of office rules, procedures, operations, and priorities the secretary must apply to maintain a proper and smooth flow of work within the organization and between organizations.

The Program Management Office includes 17 specialists providing staffing and recruiting services to internal clients. The supervisor defines the overall objectives and priorities of the work of the office, and the appellant plans and carries out the work and handles problems and deviations in accordance with established instructions, priorities, and policies. The appellant's work affects the ability of the office staff to accomplish their work through the provision of essential support services.

The appellant performs such functions as drafting correspondence and reports, arranging conferences, maintaining appointment calendars, and arranging travel, as reflective in the Band IV *General Duties and Responsibilities* narrative factor; however, the appellant's position is located at the line office level, thus the complexity of the work is significantly less than intended at the Band IV level. The incumbent is not responsible for coordinating the Program Management Office's work with that of other offices, nor does the work performed by subordinate employees in the Program Management Office differ in such aspects as subject matter, functions, relationships with other organizations, and administrative requirements, as is typical for secretarial positions supporting division chiefs, deputy OU directors, division-level office/program directors, executive officers, or equivalent positions where extensive responsibility for coordinating work outside the office is sufficiently complex – requiring continuous attention and application of complex formal internal procedures.

The *Knowledge, Skills, and Abilities* described at the Band IV level include the ability to carry out exceptionally difficult assignments involving unrelated areas of subject matter, and ability to analyze unusual circumstances, variations in approach, and incomplete or conflicting information in deciding what needs to be done. The purpose of the appellant's work is to carry out procedural processes of the office. The appellant performs a wide variety of assignments, but they are largely recurring. The assignments involve related areas of subject matter and the appellant provided no examples of carrying out exceptionally difficult assignments where the appellant had to analyze unusual circumstances, deviate from established guidelines, processes, or procedures, and incomplete or conflicting information in deciding what needs to be done.

This is not meant to imply that the appellant does not exercise discretion in the work performed. The appellant must know, for example, which matters the supervisor wants to handle personally and which can be referred to subordinate staff, and the supervisor's preferred style in composing or revising correspondence for his/her signature. However, most of the work is of a recurring nature, and general priorities and time frames are associated with the various tasks.

V. CONCLUSION

The position is properly classified as Secretary (OA), ZS-318-III.

/s/

Name of Classifier
and Title

Date