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DCPAS Message 2021073

FOR: CIVILIAN PERSONNEL POLICY COUNCIL MEMBERS

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Date: 2021.08.31 17:04:41 -0400'

FROM: Defense Civilian Personnel Advisory Service Director, Mr. Daniel J. Hester

SUBJECT: New Department of Defense Coding Requirements for Supervisory and Managerial Personnel in the Defense Civilian Personnel Data System and the Defense Civilian Human Resources Management System

AUDIENCE: Nonappropriated Fund and Appropriated Fund

ACTION: Disseminate to DoD Human Resources (HR) Personnel and HR Information Systems Personnel

REFERENCE(S):

- a. Section 9902 of Title 5, United States Code
- b. Section 412.202 of Title 5, Code of Federal Regulations
- c. 2019 Updated DoD Managerial and Supervisory Learning and Evaluation Framework

BACKGROUND/INTENT: All DoD Component, Agencies and Field Activities (Components) must provide and report on training and development for supervisors, managers, and executive level (and equivalent) supervisory personnel within one year of initial appointment to a supervisory position, and at least once every three years thereafter. This applies to all civilian and military personnel with supervisory authority over DoD civilian employees, regardless of position type, personnel system or Title (e.g., Title 5, 10, or 32). Components must ensure accurate data reporting requirements are met, which enables timely notifications and employee development, and improves workforce/succession planning, leader development, and performance and accountability initiatives.

Effective immediately, the attached Implementing Guidance and Instruction Guide provides new coding standards, which must be used when classifying and coding civilian and military supervisor and manager records for personnel having authority over DoD civilian employees. To ensure personnel are accurately coded within DCPDS, changes to business rules are tentatively scheduled for delivery December 20, 2021, as well as changes that will need to be made to DCHRMS prior to Initial Operational Capability.

DCPAS' Enterprise Solutions and Integration Office (ESI) will need a point of contact (POC) representing your Component in order to coordinate updates needed to be made to DCPDS, to include a spreadsheet containing personnel records that currently do not meet the requirements outlined in the attached Implementing Guidance. Once the spreadsheet has been received, please review and update the appropriate data fields, as needed, and return to ESI by December 1, 2021, for inclusion into the Change Request process. Please provide your POC name and contact

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information to Ms. Kathleen Cranford, Kathleen.a.cranford.civ@mail.mil by September 10, 2021. Your support is appreciated and essential to ensuring the Department can identify, track, support and report on this critical population.

POINT OF CONTACT: Ms. Pamela Boteler, Program Manager, DoD Managerial & Supervisory Training Program, pamelal.boteler.civ@mail.mil.

Attachment:
As stated



Defense Civilian Personnel Advisory Service

**SUPERVISOR AND MANAGER
POSITION/PERSON DATA CODING:
IMPLEMENTING
GUIDANCE/INSTRUCTION GUIDE**

Defense Civilian Personnel Data System and the
Defense Civilian Human Resources Management System
December 20, 2021

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1.0 PURPOSE AND BACKGROUND

This guide provides information and instructions for coding supervisor and manager position and person data related to Supervisory Status (SS), Responsibility Level (RL), Position Type, Type Employee Supervised and Supervisor/Manager Probationary Periods in the Defense Civilian Personnel Data System (DCPDS) and the Defense Civilian Human Resources Management System (DC HRMS) in support of legislatively mandated training requirements.

To support the Department of Defense's (DoD) continuing efforts to employ and sustain a high-performing and professional supervisory and managerial workforce, and in accordance with section 9902 of Title 5 United States Code (USC), which codified section 1113 of the National Defense Authorization Act of 2010 (NDAA 2010), and section 412.202 of Title 5, Code of Federal Regulations (CFR), on March 5, 2019, the 2019 Updated DoD Managerial and Supervisory Learning and Evaluation Framework (Reference o) was published. This training and reporting policy directed DoD Components, Agencies, and Field Activities (Components) to provide training for supervisory and managerial personnel within 1 year of initial appointment to these supervisory and managerial positions, and at least once every 3 years thereafter.

- **The training requirement applies to all civilian (competitive, excepted service, and Senior Executive Service/equivalents) and military personnel with supervisory authority over DoD civilian employees, regardless of position type, personnel system or Title (e.g., Title 5, 10, 32) and affects an estimated 165,000 Appropriated Fund (including National Guard Technician), Nonappropriated Fund, and Local National personnel with supervisory authority over 900,000+ civilian employees.**

Personnel entrusted in supervisory and managerial positions play a vital role in the culture of an organization and in the effectiveness of employee performance, productivity and total force readiness. The Department must be able to consistently, simply and timely identify, distinguish between, and report on basic data points for civilian and military supervisors and managers of DoD civilian employees, notably through the DoD Human Capital Operating Plan (HCOP) and the Annual Defense Chief Learning Officer Council Data Management Report. Data integrity in DCPDS and DCHRMS is critical to success.

- Precise and timely identification of this population allows for appropriate notifications for training, education, professional development, and continuing support, and enables more precise data analytics, reporting and program evaluation, which aligns with DoD business reform efforts and initiatives to maximize employee performance;
- Accurate identification also benefits and improves business initiatives affecting workforce/succession planning; leader development; performance and accountability; and,
- It also strengthens and provides more confidence in decision-making based on data.

Information outlined in this guide is effective December 20, 2021 and will be updated as needed to accommodate new information.

Information outlined in this guide is effective December 20, 2021
and will be updated as needed.

2.0 REFERENCES

- a. 5 USC 3321;
<https://www.gpo.gov/fdsys/pkg/USCODE-2011-title5/html/USCODE-2011-title5-partIII-subpartB-chap33-subchapI-sec3321.htm>
- b. 5 USC 9902;
<https://www.govinfo.gov/content/pkg/USCODE-2010-title5/html/USCODE-2010-title5-partIII-subpartI-chap99-sec9902.htm>
- c. 5 CFR 412.202;
<https://www.govinfo.gov/content/pkg/CFR-2012-title5-vol1/xml/CFR-2012-title5-vol1-sec412-202.xml>
- d. 5 CFR 315.901-909;
<https://www.govinfo.gov/content/pkg/CFR-2016-title5-vol1/xml/CFR-2016-title5-vol1-part315-subpartI.xml>
- e. The Guide to Processing Personnel Actions (GPPA), Chapter 9, Table 9-I, Rule 11;
<https://www.opm.gov/policy-data-oversight/data-analysis-documentation/personnel-documentation/processing-personnel-actions/gppa09.pdf>
- f. GPPA, Chapter 14, Table 14-L, Rule 6;
<https://www.opm.gov/policy-data-oversight/data-analysis-documentation/personnel-documentation/processing-personnel-actions/gppa14.pdf>
- g. The Guide to Data Standards, Part A: Human Resources, November 15, 2014; see “Remarks” and “Supervisory Status”;
<https://www.opm.gov/policy-data-oversight/data-analysis-documentation/data-policy-guidance/reporting-guidance/part-a-human-resources.pdf>
- h. General Schedule Supervisory Guide, HRCD-5 June 1998, April 1998. See Appendix A definitions of supervisor and manager;
<https://www.opm.gov/policy-data-oversight/classification-qualifications/classifying-general-schedule-positions/functional-guides/gssg.pdf>
- i. General Schedule Leader Grade Evaluation Guide, HRCD-5 June 1998;
<https://www.opm.gov/policy-data-oversight/classification-qualifications/classifying-general-schedule-positions/functional-guides/gslead.pdf>
- j. OPM, Federal Wage System Job Grading Standard for Supervisors, TS-66 December 1992;
<https://www.opm.gov/policy-data-oversight/classification-qualifications/classifying-federal-wage-system-positions/functional-guides/fwssupv.pdf>
- k. DoD Instruction (DoDI) 1400.25, Volume 1403, “DoD Civilian Personnel Management System: Nonappropriated Fund (NAF) Employment,” March 20, 2015;
https://www.esd.whs.mil/Portals/54/Documents/DD/issuances/140025/140025_vol1403.pdf
- l. DoDI 1400.25, Volume 1407, “DoD Civilian Personnel Management System: Nonappropriated Fund Classification,” January 6, 2012. See classification of nonappropriated fund positions, Appendix 1;
<https://www.esd.whs.mil/Portals/54/Documents/DD/issuances/140025/1400.25-V1407.pdf>
- m. DoDI 1400.25, Volume 2005, “DoD Civilian Personnel Management System: Defense Civilian Intelligence Personnel System (DCIPS) Employment and Placement,” March 3, 2012;
<https://www.esd.whs.mil/Portals/54/Documents/DD/issuances/140025/1400.25-V2005.pdf?ver=2017-08-28-090523-910>
- n. DoDI 1400.25, Volume 3005, “DoD Civilian Personnel Management System: Cyber Excepted Service (CES) Employment and Placement, August 15, 2017;
https://www.esd.whs.mil/Portals/54/Documents/DD/issuances/140025/140025v3005_dodi_2017.pdf?ver=2017-08-15-121335-967
- o. 2019 Updated DoD Managerial and Supervisory Learning and Evaluation Framework;
<https://www.dcpas.osd.mil/Content/documents/CTD/UPR000579-19signedWEB.PDF>
- p. Fiscal Year 2020-2021 DoD HCOP
https://www.dcpas.osd.mil/Content/documents/PA/FY20_21_HumanCapitalOperatingPlan_1119.pdf

3.0 CODING OF SUPERVISORY AND MANAGERIAL POSITIONS

There are two data tables in the Defense Civilian Personnel Data System (DCPDS) which enable coding of supervisory and managerial positions: “Supervisory Status” (SS) and “Responsibility Level” (RL). The SS table is found in the OPM’s Guide to Data Standards (Reference g) and is a required data field for reporting to OPM via the Enterprise Human Resources Integration (EHRI) system, however, it does not allow for distinction between supervisors and managers; the RL table does.

These two fields will migrate to DCHRMS and both SS and RL will be mandatory for data entry. While maintaining these two fields will increase the likelihood of human error between the two (e.g., if SS = 2 RL cannot = 8) the initial phase for DCHRMS usage will maintain the integrity of connection with internal and external downstream systems and other activities.

3.1 **Effective immediately, the RL table is a required field in DCPDS along with SS:**

- RL coding in DCPDS must align with the modified table shown below (Table 1), which will be reflected in DCHRMS upon implementation.
 - See Figures A, B, C and D for DCPDS screenshots of the SS and RL tables.
 - RL definitions are found in Appendix A and must be used when coding RL in DCPDS.

3.2 **The RL table will also be a required field in DCHRMS:**

- RL coding in DCHRMS will align with the table shown below (Table 1), which shows a comparison between the DCPDS SS and RL tables and the primary RL table for human entry in DCHRMS.
- RL definitions are found in Appendix A and must be used when coding RL in DCHRMS.
- The RL data field must be completed during the position build process to ensure supervisors and managers receive required accesses and can be identified for other purposes.
- RL must be updated, as necessary, and applies to both civilian and military supervisory and managerial positions.

Table 1: SS and RL Crosswalk

DCPDS SS Mandatory for EHRI reporting	DCPDS RL Effective Immediately Mandatory Field Source for all other non- EHRI reporting	→	DCHRMS RL Mandatory Field Source for all other non-EHRI reporting	Cross-walk check between RL and SS (e.g., if RL = 1, 2,3 or 9, SS = 2)
	1 – Supervisor	→	1 – 1st Level Supervisor	2
2– Supervisor or Manager	2 – Supervisor or Manager	→	2 – Mid–Level Supervisor	2
	3 – Manager	→	3 – Manager	2
4 – Supervisor (CSRA)	4 – Supervisor (CSRA)	→	4 – Supervisor	4
5 – Management Official (CSRA)	5 – Management Official (CSRA)	→	5 – Management Official (CSRA)	5
6 – Leader	6 – Leader	→	6 – Leader	6
7 – Team Leader	7 – Team Leader	→	7 –Team Leader	7
8 – Non–Supervisory	8 – Non–Supervisory	→	8 – Non–Supervisory	8
	9 – Program Responsibility	→	9 – Senior Executive & equivalent Supervisory	2

- Key modifications in DCHRMS:
 - DCPDS RL codes 1 and 2 renamed to distinguish between 1st level and mid-level supervisors, per Definitions found in Appendix A;
 - DCPDS RL code 9 (“Program Responsibility”) renamed to “Supervisory Senior Executive and equivalent”. Must be used for all supervisory positions in pay plans ES, EX, SL, ST, IE, IP NF-6 and equivalent, using definitions found in Appendix A. Non-supervisory senior executive and equivalent positions must use code 5;
 - DCHRMS RL codes must also be used for MIL and EXT positions for appropriate level of supervision (i.e., 1st level, mid-level, etc.).

3.3 Business Rules, effective immediately. Figures A - D show the DCPDS location for Supervisory Status, under “Position”, “Extra Position Information”, Type = “US Federal Position Group 1” and the SS drop down menu. Coding here does not change in DCPDS.

Figure A – DCPDS “Position”, “Position Details,” “Extra Information”

The screenshot shows the DCPDS 'Position' form with the following details:

- Name:** P2015A.INTERDISCIPLINARY.680911.DD01.APPR
- Start Date:** 06-NOV-2019
- Date Effective Name:** P2015A.INTERDISCIPLINARY.680911.DD01.APPR
- Type:** Single Incumbent
- Organization & Job:** DIR OPR TEST & EVL (DD01DDAAZ), Job: 0801.General Engineering (0801)
- Hiring Status:** Status: Active, Start Date: 06-NOV-2019
- Location:** 511906013, Status: Valid
- Effective Dates:** From: 06-NOV-2019
- Buttons:** Validate(Z), Occupancy, Extra Information, Reporting To, Others...

**Figure B - Supervisory Status in DCPDS – “Position”, “Position Details,” “Extra Information”
“US Federal Position Group 1”**

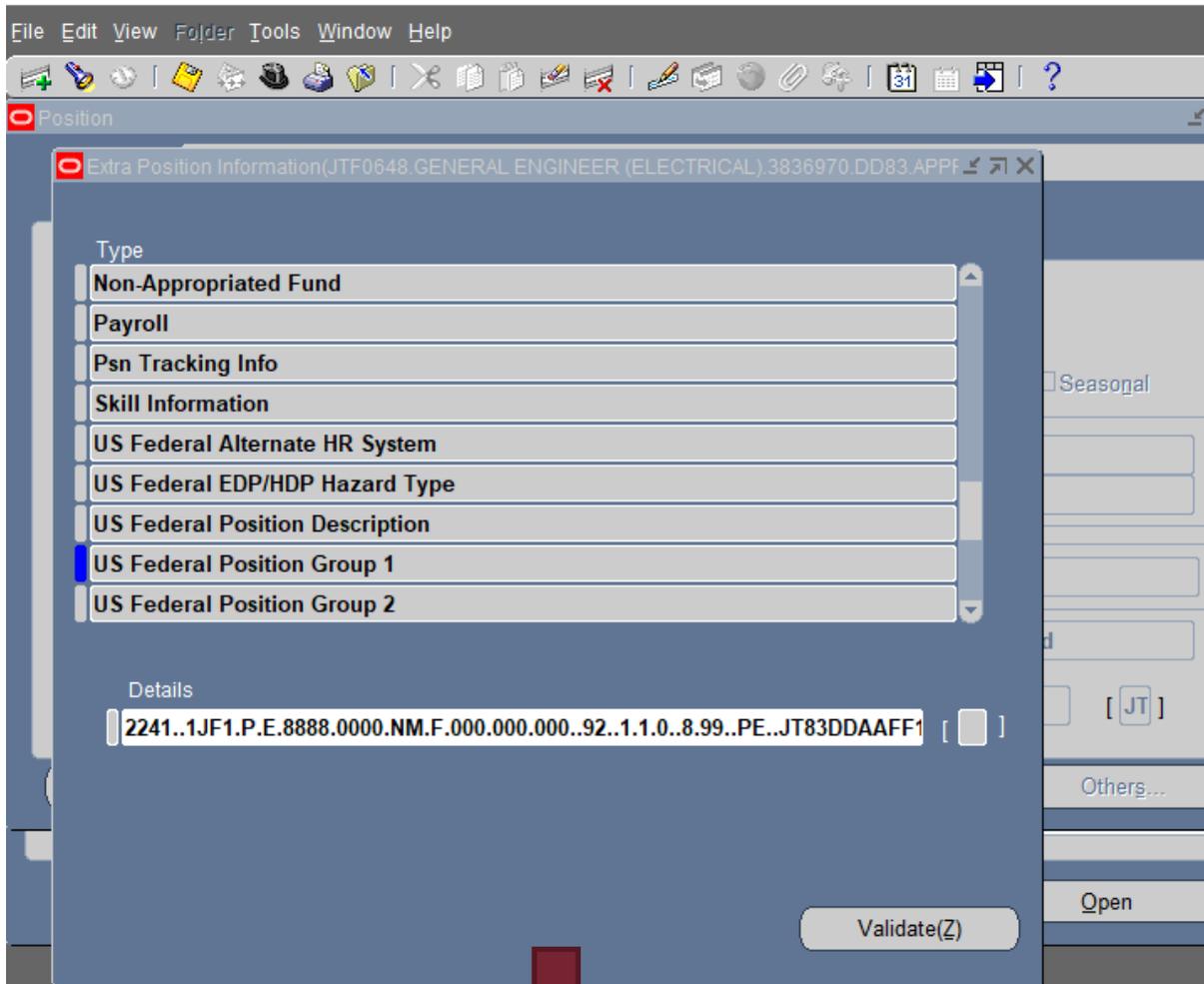
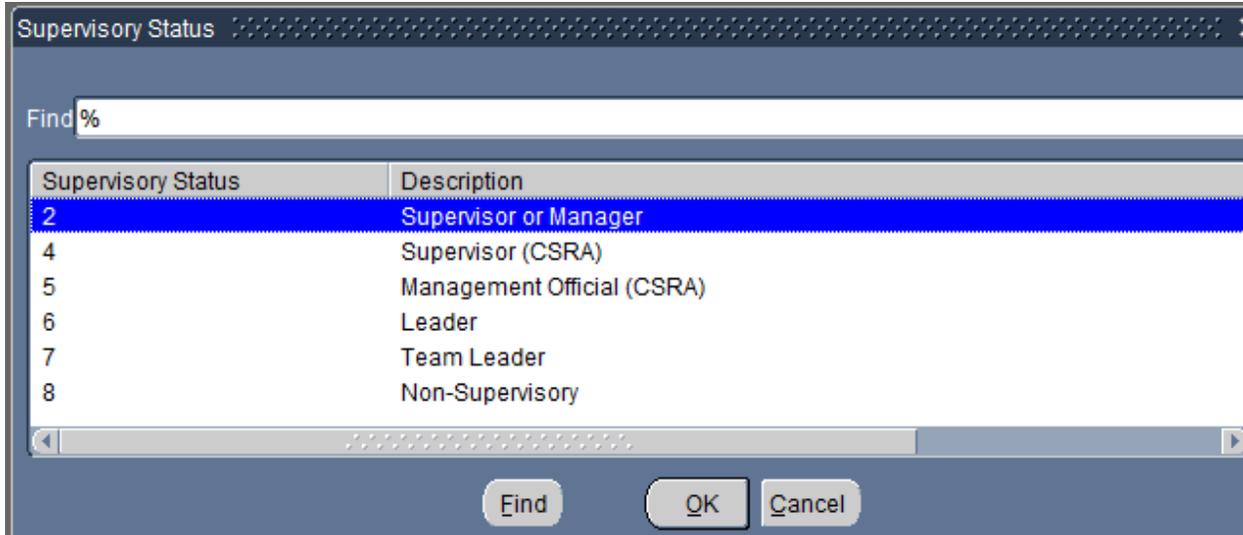


Figure C - Supervisory Status in DCPDS – “Position”, “Position Details,” “Extra Information”
“US Federal Position Group 1”

Cybersecurity Category & Specialty Area Code 2	000	Not Applicable
Cybersecurity Category & Specialty Area Code 3	000	Not Applicable
Part-Time Hours Biweekly		
Functional Class	14	Test and Evaluation
Position Working Title		
Position Designation	5	Tier 5: Spec'l Sens, Critcl Sens, Noncritcl Sens, High Risk
Position Sensitivity	4	Special Sensitive (SS) National Security Risk
Security Access	S	Top Secret SCI Required
PRP/SCI		
Supervisory Status	2	Supervisor or Manager
Type Employee Supervised	06	CIV/NAF
Supervisory Diff Eligibility		...
Payroll Office ID	PE	DOD Payroll Office Indianapolis (DD Agcy) (PE)
Timekeeper		
Position's Organization	DGDDAAZA228000	
Payroll Office Number		

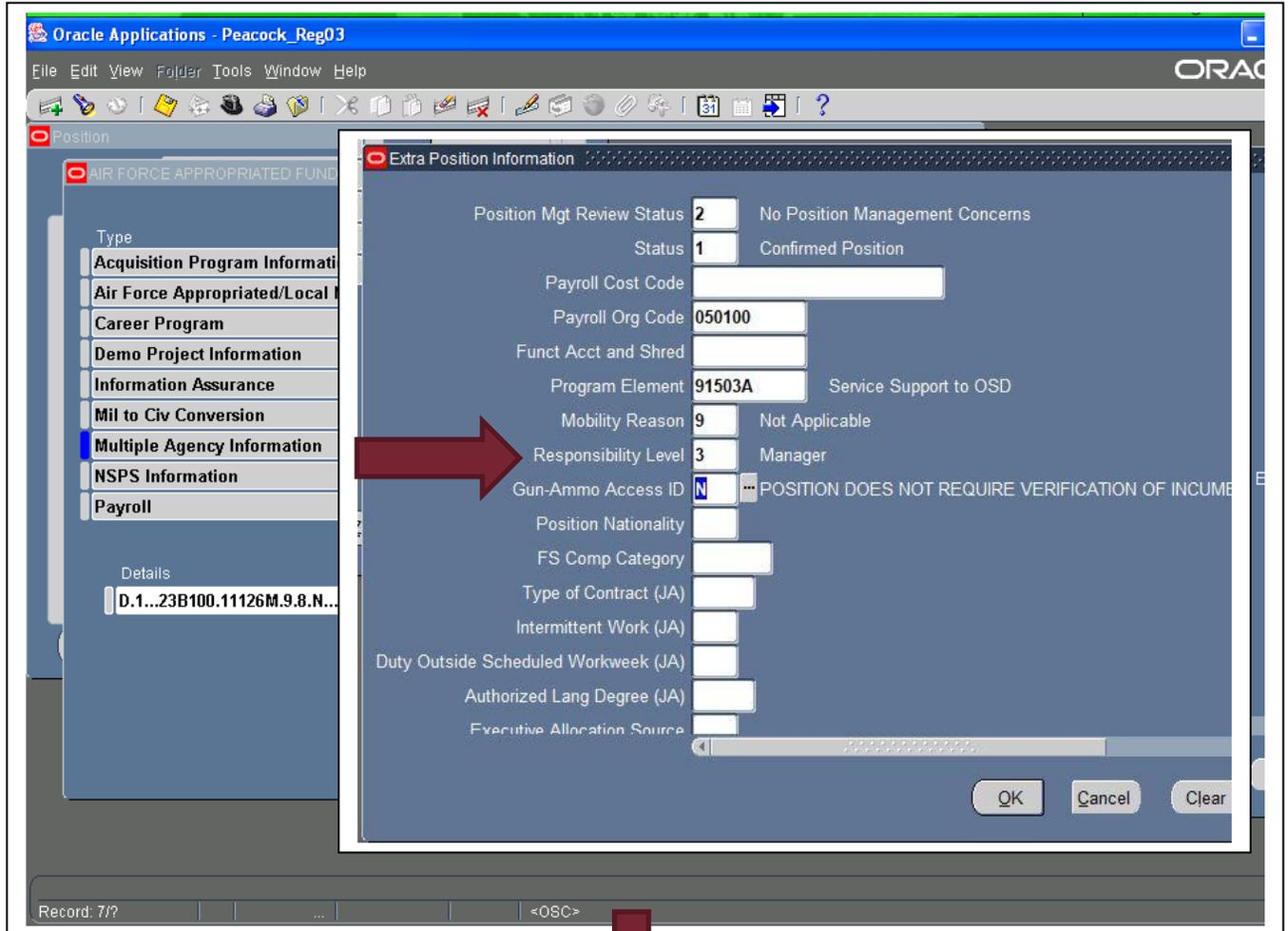
OK Cancel Clear Help

**Figure D - Supervisory Status in DCPDS – “Position”, “Position Details,” “Extra Information”
“US Federal Position Group 1”. SS table drop down menu.**



- Figures E and F show the current DCPDS location for “Responsibility Level”, located under “Extra Position Information”, Type = “Multiple Agency Information”. Figure E shows the RL drop-down menu and cross-walk to the modified table.

Figure E: RL Table found in “Position”, “Position Details,” “Extra Information,” Type = “Multiple Agency Information”

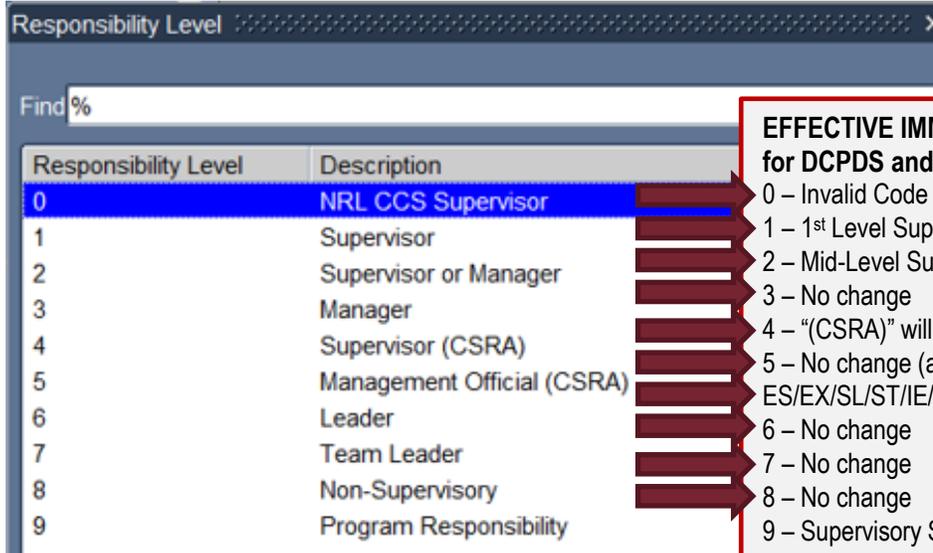


The screenshot displays the Oracle Applications interface for 'Peacock_Reg03'. The 'Extra Position Information' dialog box is open, showing various fields for position management. A red arrow points to the 'Responsibility Level' field, which is currently set to '3' (Manager). The 'Gun-Ammo Access ID' field is set to 'N', with a tooltip indicating 'POSITION DOES NOT REQUIRE VERIFICATION OF INCOME'. The 'Details' section shows the record ID 'D.1...23B100.11126M.9.8.N...'. The status is 'Confirmed Position' (1) and the position management review status is 'No Position Management Concerns' (2). The 'Program Element' is '91503A' (Service Support to OSD). Other fields include 'Payroll Org Code' (050100), 'Mobility Reason' (9 - Not Applicable), and various contract and workweek options.

Field	Value	Description
Position Mgt Review Status	2	No Position Management Concerns
Status	1	Confirmed Position
Payroll Cost Code		
Payroll Org Code	050100	
Funct Acct and Shred		
Program Element	91503A	Service Support to OSD
Mobility Reason	9	Not Applicable
Responsibility Level	3	Manager
Gun-Ammo Access ID	N	POSITION DOES NOT REQUIRE VERIFICATION OF INCOME
Position Nationality		
FS Comp Category		
Type of Contract (JA)		
Intermittent Work (JA)		
Duty Outside Scheduled Workweek (JA)		
Authorized Lang Degree (JA)		
Executive Allocation Source		

Figure F – Below is a DCPDS RL table drop-down menu with cross-walk to the modified definitions to be used in DCPDS and DCHRMS (Table 1, page 4). The modified table will be displayed in DCHRMS and is a mandatory field. See Definitions Appendix A.

Figure F: DCPDS RL Table with cross-walk to DCHRMS definitions.



Responsibility Level	Description
0	NRL CCS Supervisor
1	Supervisor
2	Supervisor or Manager
3	Manager
4	Supervisor (CSRA)
5	Management Official (CSRA)
6	Leader
7	Team Leader
8	Non-Supervisory
9	Program Responsibility

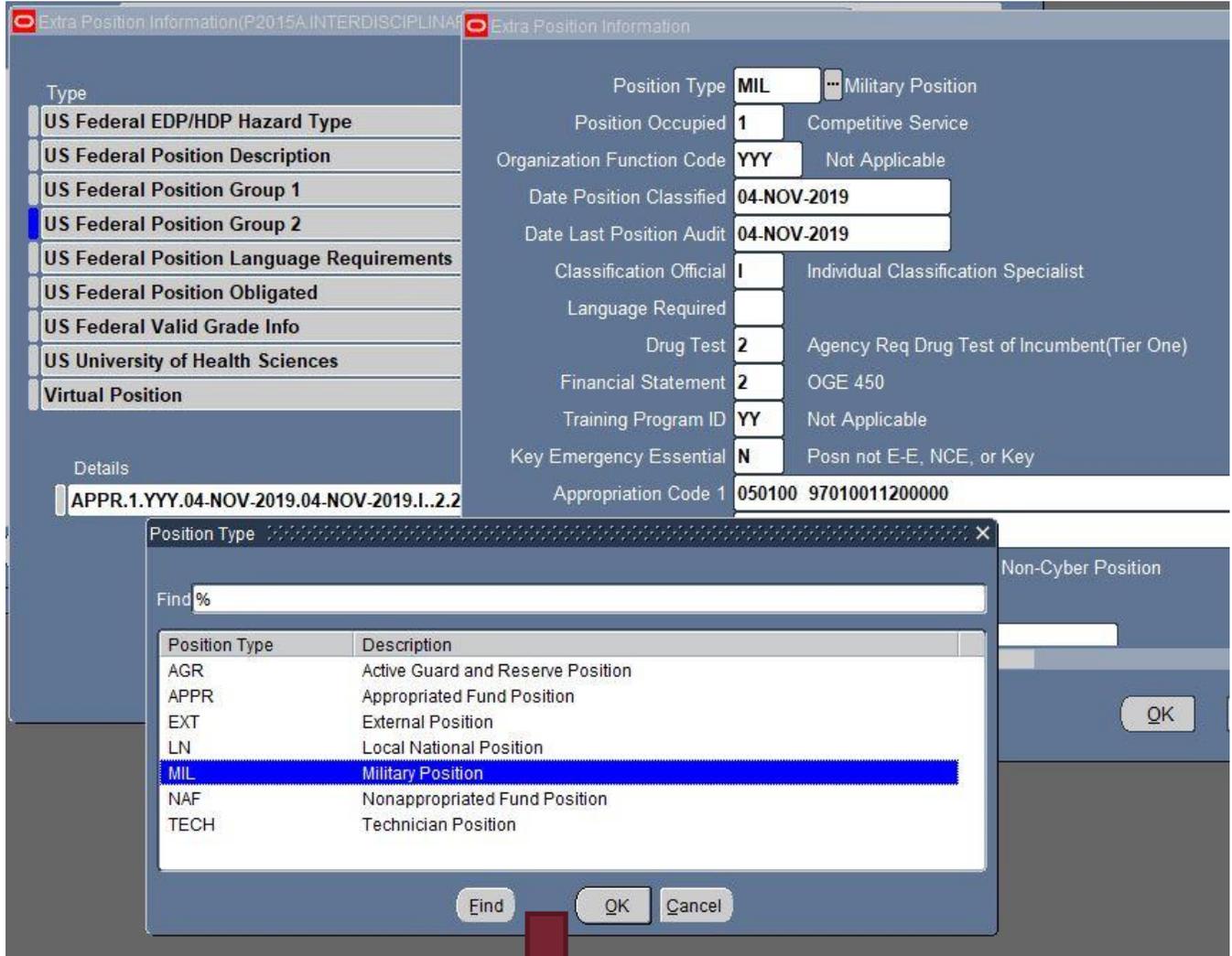
EFFECTIVE IMMEDIATELY – RL modified names and definitions for DCPDS and DCHRMS

- 0 – Invalid Code – do not use
- 1 – 1st Level Supervisor
- 2 – Mid-Level Supervisor
- 3 – No change
- 4 – “(CSRA)” will be removed from DCHRMS definition
- 5 – No change (applies to non-supervisory ES/EX/SL/ST/IE/IP/equivalent)
- 6 – No change
- 7 – No change
- 8 – No change
- 9 – Supervisory Senior Executive/Equivalent)
(e.g., *Supv Pay Plan ES EX SL ST IE IP, NF-6, etc.*)

3.3 (continued) Business Rules, effective immediately

- RL code descriptions shown as modified above in Figure F must be used when coding ***civilian*** supervisory and managerial positions in DCPDS. See Appendix A for DCHRMS Definitions; Align DCPDS SS and RL coding where codes are identical (i.e., SS 4 = RL 4, SS 5 = RL 5, SS 6 = RL 6, SS 7 = RL 7, SS 8 = RL 8).
- DCPDS RL code 0 (zero) is an invalid code. Do not use. Code 0 will be removed from the DCHRMS RL table;
- If SS = 2, then RL options are only = 1, 2, 3 or 9;
- If SS = 2 and pay plan = Senior Executive/Equivalent, then RL must = 9;
- If Pay Plan = SL, ST, IP, and position is supervisory, then SS and RL must = 9;
- If Pay Plan = Senior Executive/Equivalent and position is non-supervisory, then SS and RL must = 5;
- If SS = 2 and position is classified as “Managerial”, then RL must = 3;
- ✓ *Components must ensure the appropriate Position Type is selected. See Figures G and H.*
 - The Position Type table will migrate to DCHRMS as it exists in DCPDS.
 - Components are required to report MIL and EXT civilian supervisory personnel separately.
- ✓ *Components must ensure the appropriate “Type Employee Supervised” code is selected if SS = 2 or 4 and RL = 1, 2, 3, or 9.*

Figure G – Position Type field in DCPDS



The screenshot displays the 'Extra Position Information' window in DCPDS. On the left, a 'Type' list includes 'US Federal EDP/HDP Hazard Type', 'US Federal Position Description', 'US Federal Position Group 1', 'US Federal Position Group 2', 'US Federal Position Language Requirements', 'US Federal Position Obligated', 'US Federal Valid Grade Info', 'US University of Health Sciences', and 'Virtual Position'. The 'Details' section shows 'APPR.1.YYY.04-NOV-2019.04-NOV-2019.I..2.2'. The main form fields are:

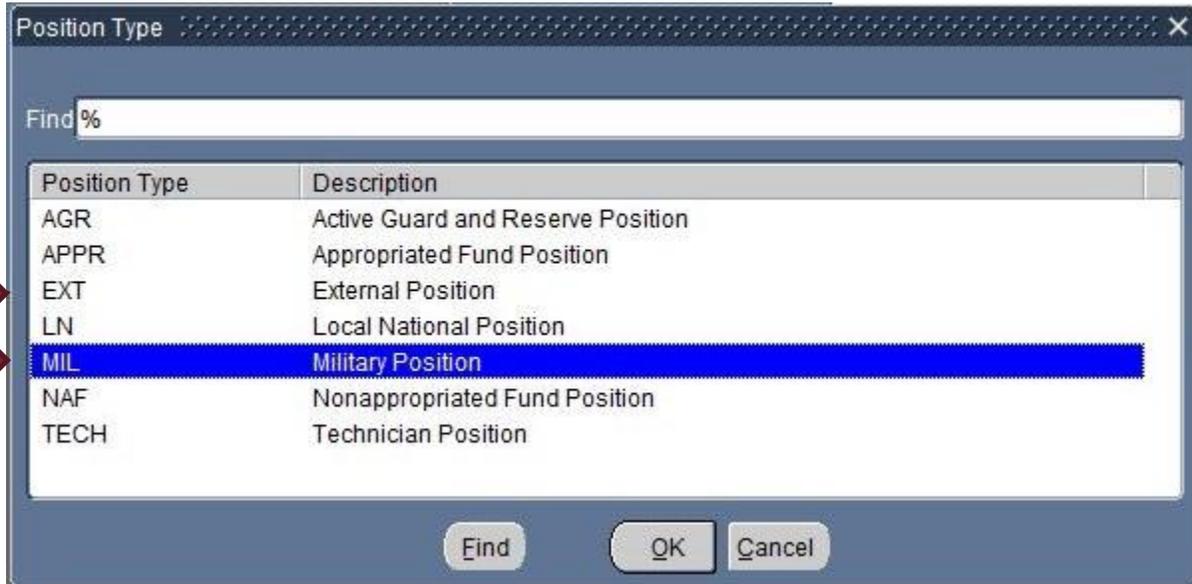
- Position Type: MIL (Military Position)
- Position Occupied: 1 (Competitive Service)
- Organization Function Code: YYY (Not Applicable)
- Date Position Classified: 04-NOV-2019
- Date Last Position Audit: 04-NOV-2019
- Classification Official: I (Individual Classification Specialist)
- Language Required: (empty)
- Drug Test: 2 (Agency Req Drug Test of Incumbent(Tier One))
- Financial Statement: 2 (OGE 450)
- Training Program ID: YY (Not Applicable)
- Key Emergency Essential: N (Posn not E-E, NCE, or Key)
- Appropriation Code 1: 050100 97010011200000

A 'Position Type' dialog box is open, showing a search field and a table of options:

Position Type	Description
AGR	Active Guard and Reserve Position
APPR	Appropriated Fund Position
EXT	External Position
LN	Local National Position
MIL	Military Position
NAF	Nonappropriated Fund Position
TECH	Technician Position

The dialog box has 'Find', 'OK', and 'Cancel' buttons. A large red arrow points from the 'Find' button to the 'MIL' row in the table.

Figure G – Position Type field (cont.) drop down menu in DCPDS.



3.4 DCPDS Virtual Positions for External Users and Tracking Civilian and Military Supervisors of DoD Civilian Employees

- DCPDS provides for building “virtual positions” for military and civilian external users to have access to the database to perform their duties (e.g., supervisory performance management and HR servicing). Virtual positions are required to be built for three types of external users:
 1. Military (Position Type MIL) supervisors of DoD civilian employees;
 2. Civilian (Position Type EXT) supervisors of DoD civilian employees who are not assigned to the organization within which they supervise employees (within DoD); and,
 3. Civilian HR Personnelists (Position Type EXT) performing servicing duties for a region other than the one to which assigned as an employee.
- Figure G shows the DCPDS Position Type field and the drop-down menu options. The two Position Types for external users are MIL and EXT. “MIL” is used for MIL supervisors and EXT is used for two types of civilian external users. “MIL” and “EXT” Position Type options will carry over into DCHRMS as distinct Position Types.
- In DCPDS, there are two types of civilian (CIV) external users with Position Type EXT:
 - Civilian supervisors, and
 - HR Personnelists, as defined above.

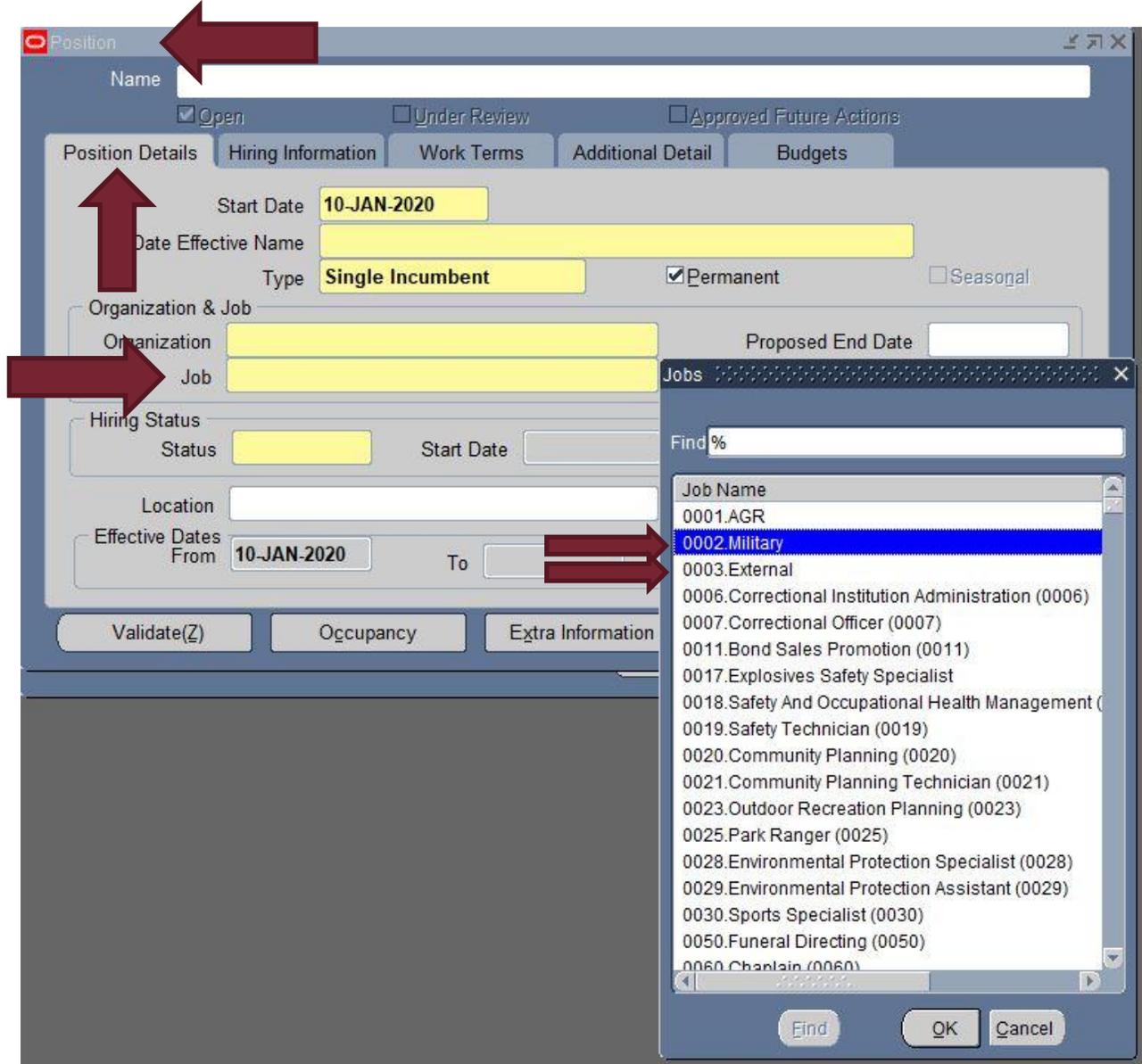
Examples of a CIV supervisor external user is an Army civilian supervisor supervising Air Force civilian employees and a Navy supervisor supervising Defense Logistics Agency employees in a joint environment; or a supervisor from another Federal Agency supervising a DoD employee.

- For MIL supervisor external users, the virtual position must be built using, at a minimum:
 - Position Type EXT;
 - Person Type: External User;
 - **Occupational (Occ) or Job Series: 0002;**
 - **Supervisory Status code 2 and appropriate RL code (1, 2, 3 or 9);**
 - Effective dates “From” and “To”;
 - There should be no non-supervisory MIL personnel with virtual positions in DCPDS;

- For the **CIV EXT supervisor**, a virtual position to allow for access to the database must be built in DCPDS using, at a minimum:
 - Position Type EXT;
 - Person Type: External User;
 - **Occupational (Occ) or Job Series: 0003;**
 - **Supervisory Status code 2 and appropriate RL code (1, 2, 3 or 9);**
 - Effective dates “From” and “To”;
 - Note that non-supervisory CIV EXT users should *not* have a virtual position using Supervisory Status code 2 – use SS code 8.

- For the **CIV EXT HR Personnelist (performing HR servicing duties)**, the virtual position must be built in DCPDS using, at a minimum:
 - Position Type EXT;
 - Person Type: External User;
 - **Occupational (Occ) or Job Series: 0003;**
 - **Supervisory Status code 8 and RL code 8** (non-supervisory); and,
 - Effective dates “From” and “To”.

Figure H: DCPDS “Position”, “Position Details,” “Job” - select appropriate occupational series (“0002” or “0003”)



The screenshot shows the 'Position' form in the DCPDS system. The 'Position Details' tab is selected. The 'Job' field is highlighted in yellow, and a dropdown menu is open showing a list of occupational series. The '0002.Military' option is highlighted in blue. Red arrows indicate the following elements:

- An arrow pointing to the 'Name' field at the top.
- An arrow pointing to the 'Position Details' tab.
- An arrow pointing to the 'Job' field.
- An arrow pointing to the '0002.Military' option in the dropdown menu.

- Position Type is a required data field to distinguish between Appropriated Fund, including National Guard Technician, Nonappropriated Fund, Local National, Military supervisors of DoD civilian employees and non-DoD (external) civilian supervisors DoD civilian employees.
 - Military and external supervisors must have access to DCHRMS to perform their duties (e.g., supervisory performance management and HR servicing).
 - Military supervisor positions must use Occupational or Job series code 0002. External (non-DoD) civilian supervisor positions must use code 0003.
 - Reporting for all supervisory and managerial personnel by Position Type is required in the DoD HCOP (Reference p.) and the DoD Defense Chief Learning Officer Council Annual Data Management Report.

4.0 CODING FOR SUPERVISORY AND/OR MANAGERIAL PROBATION

Section 3321 of Title 5, United State Code (U.S.C.) (Reference “d”), provides for “a period of probation ... before initial appointment as a supervisor or manager becomes final.” [Subpart I of Title 5, Part 315 \(5 CFR 315.901-909\)](#) (Reference “d”) implements requirements found in [5 U.S.C. Section 3321](#). In this subpart supervisory position and managerial position have the meaning given them by the General Schedule Supervisory Guide.¹ [Section 315.904](#) outlines the basic requirement.² This excludes Senior Executive and Equivalent personnel.

The OPM GPPA (References “e” and “f”), requires that all NOAs in the 100, 500 and 700 series (e.g., promotions, reassignments, transfers related to supervisory and managerial personnel) include a “Remarks” code related to supervisory and/or managerial probation. A Remark should be displayed on the Standard Form (SF) 52 and SF 50, per the GPPA. Supv/Mgr Probation Completion coding must align with Remarks.

- 4.1** Effective immediately, in DCPDS, Supervisor/Manager Probation Completion is a mandatory data field for supervisory and managerial (non-executive level) positions using RL codes 1, 2, and 3 only.³ Coding must align with the Table 2 below;

¹ SS and RL code 4 supervisory positions are not covered by the GSSG, and, therefore, are not subject to a supervisory or managerial probationary period. Code 4 supervisory personnel are subject to the mandatory M&S training requirement per Reference c.

² Some Personnel Systems within DoD have extended this Title 5 requirement to their population, e.g., Cyber (per DoDI 1400.25-V3005 (Reference n.), supervisory and managerial probationary periods required by 5 USC 3321, are applicable to Cyber) and NAF (see DoDI 1400.25-V1403, Reference k.). Supervisory and managerial probationary periods required by section 3321 are not applicable to the Defense Intelligence Personnel System (Reference m.). OPM delegates to Federal Agencies the ability to establish the supervisory and/or managerial probationary period timeframe. DoD’s general practice is one year.

³ § 315.902 Definitions. “In this subpart *supervisory position* and *managerial position* have the meaning given them by the General Schedule Supervisory Guide.” DoD does not have a policy that expands this legal requirement for a supervisory and/or managerial probationary period to supervisory personnel not covered by the GSSG (i.e., SS and RL code 4). However, the managerial/supervisory training requirement under 5 U.S.C. 9902 and 5 CFR 412.202 does apply to code 4.

Table 2: “Supervisor and Manager Probation Completion” Table.⁴

DCPDS Codes	DCPDS Code Description Effective Immediately: Mandatory Field	Modified DCHRMS Code Description “Supv/Mgr Prob Completion Desc” Mandatory Field	DCHRMS Code Description Text Modification?
0	Not determined / Not required	Not required	Yes (delete “Not determined”)
1	Currently on Supervisory/Managerial probation	Currently on Supervisory Probation	Yes (delete “/Managerial”)
2	Supervisory Probation Completed	Supervisory Probation-in Completed	No change
3	Managerial Probation Completed	Managerial Probation Completed	No change
4	Supervisory/Managerial Probation completed	Currently on Managerial Probation	Yes (delete Supervisory/Managerial Probation Completed. There are distinct completion codes for supervisors and managers in 2 and 3 above)
5	Required	N/A - DO NOT USE	Inactivate
6	Waived ⁵	Waived	No Change

4.2 This data field must be completed in order to finalize applicable appointment actions.

4.3 Remarks and coding for recognizing and tracking Supervisory and/or Managerial Probationary Periods are also required in DCHRMS. For personnel systems for which data are not in DCHRMS (e.g., Nonappropriated Fund, Intelligence), reporting on supervisory and managerial probationary personnel is still required.

- The GPPA requires that NOAs in the 100, 500 and 700 series include “Remarks” codes on the SF-50 related to supervisory or managerial probation (codes E44, E45, E46). Components must ensure one of these Remarks are reflected on the SF-50 or equivalent hiring action, as appropriate.
- Date fields entitled “Date Spvr/Mgr Probation Begins” and “Date Spvr/Mgr Probation Ends” are mandatory.

⁴ This data field table applies to all personnel systems and titles in Appropriated Fund, Nonappropriated Fund and Local National positions, unless excepted by law, policy, etc.

⁵ Per § 315.904 “an agency may by regulation provide for exceptions to the probationary period for managers who have satisfactorily completed a probationary period for supervisors when justified on the basis of performance and experience.”

4.4 Business Rules for Supervisor/Manager Probation for Natures of Action (NOAs) in the 100 (1xx), 500 (5xx), and 700 (7xx) and equivalent series for RL Codes 1, 2 and 3.

COPY OF Table 2 page 7: “Supervisor and Manager Probation Completion” Table.⁶

DCPDS Codes	DCPDS Code Description Effective Immediately: Mandatory Field	Modified DCHRMS Code Description “Supv/Mgr Prob Completion Desc” Mandatory Field	Is there a text modification in DCHRMS for code descriptions??
0	Not determined / Not required	Not required	Yes (delete “Not determined”)
1	Currently on Supervisory/Managerial probation	Currently on Supervisory Probation	Yes (delete “/Managerial”)
2	Supervisory Probation Completed	Supervisory Probation Completed	No change
3	Managerial Probation Completed	Managerial Probation Completed	No change
4	Supervisory/Managerial Probation completed	Currently on Managerial Probation	Yes (delete Supervisory/Managerial Probation Completed. There are distinct completion codes for supervisors and managers)
5	Required	N/A - DO NOT USE	Inactivate
6	Waived ⁷	Waived	No Change

- Refer to Appendix A for RL definitions, noting distinction between supervisors and managers.
- If NOA = 1xx, 5xx, or 7xx and RL = 1 or 2 (1st level or mid-level supervisor), then either Remarks code E44 (supv/mgr probation not required), E45 (supv/mgr probation completed) or E46 (subject to supv/mgr probation) must be selected and incorporated on the SF-50, per the GPPA, or equivalent action.
- If NOA = 1xx, 5xx, or 7xx and RL = 1 or 2, and Remarks = E44 (“not required”), then Supv/Mgr Probation Completion code must = 0 (“not required”);
- If NOA = 1xx, 5xx, or 7xx and RL = 1 or 2, and Remarks = E45 (“completed”), then Supv/Mgr Probation Completion code must = 2 (“supervisory probation completed”);
- If NOA = 1xx, 5xx, or 7xx and RL = 3 (“manager”), and Remarks = E45 (“completed”), then Supv/Mgr Probation Completion code must = 3 (“managerial probation completed”);
- If NOA = 1xx, 5xx, or 7xx, and RL = 4 (Supervisor Civil Service Reform Act CSRA), then Supv/Mgr Probation Completion must = 0 (“not required”), unless Component policy has expanded the requirements in § 315.902 title 5 CFR. Personnel covered by Title 5 and receive

⁶ This data field table applies to all personnel systems and titles in Appropriated Fund, Nonappropriated Fund and Local National positions, unless excepted by law, policy, etc.

⁷ Per § 315.904 “an agency may by regulation provide for exceptions to the probationary period for managers who have satisfactorily completed a probationary period for supervisors when justified on the basis of performance and experience.” This is the only use of “waived”.

RL code 4 are not required to serve a supervisory/managerial probationary period (but they are required to complete supervisory and/or managerial training per Reference b.);

- If NOA = 1xx, 5xx, or 7xx and RL = 1, 2, 3 or 4, and Pay Plan = exempt from Title 5 requirements, then Supv/Mgr Probation Completion code must = 0 (“not required”), unless Component/Functional Community policy expands application of the legal requirement under 5 CFR 315.901;
- If NOA = 1xx, 5xx, or 7xx and RL = 1 or 2, and Remarks = E46 (“subject to...”), then Supv/Mgr Probation Completion must = 1 (“Currently on Supervisory Probation”);
- If NOA = 1xx, 5xx, or 7xx, and RL = 3 (manager), and Remarks = E46, then Supv/Mgr Probation Completion must = 4 (“Currently on Managerial Probation”);
- If RL = 9 (supervisory pay plans ES, EX, SL, ST, IE, IP, NF-6 and equivalent), then Supv/Mgr Probation Completion must = 0 (“not required”).

Table 3: Business Rules

IF	RL Code	Pay Plan or Other comment	Remarks Code	THEN	Spvr/Mgr Probation Completion Code
NOA = 1xx or 5xx or 7xx	1,2 or 3	n/a	E44		0
	1 or 2	n/a	E44		0
	4	n/a	Must = E44		0
	1, 2, 3 or 4	Exempt from Title 5	Must = E44		0
					Unless Component/Functional Community policy expands application of the legal requirement under 5 CFR 315.901.
	1 or 2	n/a	E45		2
	3	n/a	E45		3
	1 or 2	n/a	E46		1
	3	n/a	E46		4
	9	ES, EX, SL, ST, IE, IP, NF-6, equivalent	n/a		0
	3	Managerial probation waived, per 5 CFR 315.904	No Remark offered in GPPA.	6 (5 CFR 315.904 provides for exception to the probationary period for managers who completed a supervisory probationary period – i.e., this is the only time it can be “waived.”)	

APPENDIX A: DEFINITIONS

DCPDS SS TABLE	DCPDS RL TABLE	DCHRMS RL TABLE (merged SS & RL)	RL DEFINITIONS FOR DCPDS AND DCHRMS This includes additional clarifying information above the OPM Guide to Data Standards
2	1	1	<p>First Level Supervisor: A position requiring the exercise of supervisory responsibility that meets, at least, the minimum requirements for application of the General Schedule Supervisory Guide (GSSG), the FWS Job Grading Standard for Supervisors, or similar standards of minimum supervisory responsibility specified by position classification standards or other directives of the applicable pay system.</p> <ul style="list-style-type: none"> • This code can apply to Military and External Civilian Supervisors. • This code cannot apply to pay plans ES, EX, SL, ST, IE, IP or NF-6. Pay plans that, by definition, are not supervisory, cannot be code 1. • This code does not exist in the OPM SS table.
2	2	2	<p>Mid-level Supervisor: A position that meets the criteria defined under code 1 above and, in addition, directs work through at least two or more subordinate supervisors who meet the definition of code 1 above. Mid-level supervisors do not exercise managerial authority as defined under code 3 below. If the supervisor directs work through only one subordinate supervisor, the position must use code 1.</p> <ul style="list-style-type: none"> • This code can apply to Military and External Civilian Supervisors. • This code cannot apply to pay plans ES, EX, SL, ST, IE, IP, NF-6 or other senior executive or equivalent pay plans. Pay plans that, by definition, are not supervisory, cannot be code 2. • This is a modification to OPM SS table code 2 “Supervisor or Manager”. • NOTE: In DCPDS, SS code 2 applies to military (MIL with Occ Series 0002) and civilian (CIV with Occ Series 0003) supervisory external user positions (“virtual” positions). RL is not available in DCPDS for virtual positions.” • NOTE: In DCHRMS, RL code 2 can apply to MIL and CIV external user supervisory positions but only if they meet the definition of a “Mid-Level Supervisor.” CIV external supervisory positions are internal to DoD but external to your component, e.g., Army CIV supervisor supervising Air Force employees).

DCPDS & DCHRMS SS TABLE	DCPDS RL TABLE	DCHRMS RL TABLE (merged SS & RL)	<p style="text-align: center;">RL DEFINITIONS FOR DCPDS AND DCHRMS</p> <p style="text-align: center;">This includes additional clarifying information above the OPM Guide to Data Standards</p>
2	3	3	<p>Manager: [In addition to meeting the criteria defined under code 2 above and minimum requirements for coverage of the GSSG, positions in the General Schedule or other white collar pay plans], the authority vested in some positions under the General Schedule which direct the work of an organizational unit, are held accountable for the success of specific line or staff functions, monitor and evaluate the progress of the organization toward meeting goals, and make adjustments in objectives, work plans, schedules, and commitment of resources. As described in 5 U.S.C. 5104, such positions may serve as head or assistant head of a major organization within a bureau; or direct a specialized program of marked difficulty, responsibility, and national significance.</p> <ul style="list-style-type: none"> • This code can apply to Military and External Civilian Supervisors. • This code does not include positions in the Federal Wage System. • This code does not apply to pay plans ES, EX, SL, ST, IE, IP, NF-6, or other senior executive equivalent positions. • This code can apply to Pay Plan NF-5. • This code does not apply to NF-1, NF-2, or NF-3 positions. • Pay plans that, by definition, are not supervisory, cannot be code 3. • This code is not grade-restricted. • This code does not exist in the OPM SS table.
4	4	4	<p>Supervisor: A position (General Schedule, Federal Wage System, or other category) requiring the exercise of supervisory responsibility, but which does not meet the minimum requirements for application of the Statement of Coverage of the GSSG or other position or job grading standards for supervisors.</p> <p>NOTE the following regarding this DoD definition for code 4:</p> <ul style="list-style-type: none"> • It augments OPM’s SS definition found in the Guide to Data Standards with: “(General Schedule, Federal Wage System, or other category)” and “... or with job grading standard for Supervisors;” • It rephrases: “This code does not apply to Senior Executive Service (SES) positions”, to, “This code does not apply to pay plans ES, EX, SL, ST, IE, IP, NF-6 or other senior executive equivalent positions;” • It removes reference to the Civil Service Reform Act (CSRA) and 5 USC 7103 as definitions of supervisors and employees in this law exclude foreign (or local) nationals and military from the definition of “employee”. This DoD definition enables the Department to properly code and report on all true supervisory personnel. • Code 4 does not apply to positions classified as “Leader;” • Code 4 does not apply to pay plans ES, EX, SL, ST, IE, IP, NF-6 or other senior executive equivalent pay plans; • Code 4 also applies to civilian supervisory positions which supervise ONLY Local Nationals and/or Military personnel regardless of the number of such personnel; • Code 4 must also apply to Wage Grade supervisors who supervise a small number of employees (e.g., “small shop” supervisors).

DCPDS & DCHRMS SS TABLE	DCPDS RL TABLE	DCHRMS RL TABLE (merged SS & RL)	<p style="text-align: center;">RL DEFINITIONS FOR DCPDS AND DCHRMS</p> <p style="text-align: center;">This includes additional clarifying information above the OPM Guide to Data Standards</p>
5	5	5	<p>Management Official (CSRA): Position meets the definition of Management Official in 5 U.S.C. 7103(a)(11), but does not meet the General Schedule Supervisory Guide definition of Supervisor/Manager or the definition of Supervisor in 5 U.S.C. 7103(a)(10). A position the duties and responsibilities of which require or authorize the individual to formulate, determine, or influence the policies of the agency, but does not meet the definition of Codes 1 through 4 above.</p> <p>This is a non-supervisory position. In addition to the General Schedule, this code also applies to <i>non-supervisory</i> ES EX SL ST IE IP and other senior executive and equivalent pay plans, and any other appropriately classified position. This is a modification to OPM's SS table definition and eliminates the statement: "This code does not apply to Senior Executive Service (SES) positions."</p>
6	6	6	<p>Leader: Position meets the minimum requirements of the General Schedule Leader Grade Evaluation Guide Part 1 (covering one grade level interval occupations in the General Schedule) or position meets the minimum requirements of the FWS Job Grading Standard for Leader.</p> <p>This is a non-supervisory position. This code does not apply to pay plans ES, EX, SL, ST, IE, IP, NF-6 or other senior executive and equivalents.</p>
7	7	7	<p>Team Leader: Position meets the minimum requirements of the General Schedule Leader Grade Evaluation Guide Part 2 (covering General Schedule employees in accomplishing two grade interval work).</p> <p>This is a non-supervisory position. This code does not apply to pay plans ES, EX, SL, ST, IE, IP, NF-6 or other senior executive and equivalents.</p>
8	8	8	<p>All Other Positions: Non-supervisory positions and those positions that do not meet the definition for any other supervisory code.</p> <p>This code does not apply to pay plans ES, EX, SL, ST, IE, IP, NF-6 or other senior executive and equivalents.</p> <p>This is a modification to OPM's SS table definition which states: "This code also would be used for those few Senior Executive (SES) positions that do not include supervisory or managerial responsibilities."</p> <ul style="list-style-type: none"> • In DCPDS, SS code 8 applies to non-supervisory civilian external user positions (CIV, Job/Occ Series 0003) that are built for HR personnelists performing HR servicing functions. • In DCHRMS, RL code 8 must be used for non-supervisory civ external users (Job/Occ Series 0003) who are HR personnelists performing HR servicing functions.
	9	9	<p>Supervisory Senior Executive and Equivalent. This code applies <u>only</u> to supervisory positions in pay plans ES, EX, SL, ST, IE, IP, NF-6 and other senior executive and equivalents.</p> <p>This code does not exist in OPM's SS table.</p>

RL definitions 1, 2, and 3 typically correspond to the following factor levels under Factor 3 of the GSSG:

- If factor 3-2 a, b, or c is assigned, RL is 1
- If factor 3-3 a or b is assigned, RL is 2
- If factor 3-4 is assigned, RL is 3
- If more than one supervisory level code applies to a position, the higher level RL definition determines the code. For example, if the supervisor is both a 1st and 2nd level supervisor, RL code 2 applies. If the supervisor is classified as a manager and is also a 1st level supervisor to employees, RL code 3 applies.

For questions regarding this implementing
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