



DEPARTMENT OF DEFENSE

WASHINGTON HEADQUARTERS SERVICES  
1155 DEFENSE PENTAGON  
WASHINGTON, DC 20301-1155

October 24, 2002  
Incorporating Change 1, April 2, 2003

ADMINISTRATIVE INSTRUCTION NO. 104

SUBJECT: Defense Civilian Intelligence Personnel System (DCIPS) Policies in the Office of the Secretary of Defense (OSD) and Organizations Receiving Personnel Support from the Washington Headquarters Services (WHS)

- References:
- (a) Title 10, United States Code
  - (b) DoD Directive 1400.35, "Defense Civilian Intelligence Personnel System (DCIPS)," March 18, 2002
  - (c) Deputy Secretary of Defense Memorandum, "Defense Civilian Intelligence Personnel System Hiring Authority," July 8, 2002
  - (d) DoD Directive 5110.4, "Washington Headquarters Services," October 19, 2001
  - (e) through (r), see enclosure 1

1. PURPOSE

This Administrative Instruction (AI) implements policy, assigns responsibilities, and prescribes procedures under references (a), (b), and (c) for the Defense Civilian Intelligence Personnel System (DCIPS) in the Office of Secretary of Defense (OSD) and other DoD organizations receiving personnel and administrative support from Washington Headquarters Services (WHS) under reference (d).

2. APPLICABILITY

This Administrative Instruction applies to the OSD, the Defense Agencies, the DoD Field Activities, and other organizational entities of the Department of Defense that receive personnel and administrative support services from WHS under reference (d) (hereafter collectively referred to as "the OSD and WHS Components" or "OSD/WHS Components").

### 3. DEFINITIONS

Terms used in this Administrative Instruction are defined in enclosure 2.

### 4. POLICY

It is DoD policy that:

4.1. Positions in OSD/WHS having a primary intelligence mission and positions in OSD/WHS engaged in intelligence and intelligence-related work requiring a significant degree of specialized skills shall be designated as DCIPS positions, and that positions in OSD/WHS that directly support intelligence functions shall be considered for inclusion in the DCIPS.

4.2. Pursuant to reference (b), the DCIPS shall be the civilian personnel architecture for intelligence positions in OSD/WHS.

4.3. Personnel management under this Administrative Instruction shall be based on, and embody, the merit principles in reference (e).

### 5. RESPONSIBILITIES

Pursuant to the authority of reference (c):

5.1. The Director, Washington Headquarters Services shall delegate the Director, Personnel and Security the authority to:

5.1.1. Administer the DCIPS within OSD/WHS, in accordance with this Administrative Instruction.

5.1.2. Take any action necessary to ensure that personnel management subject to this Administrative Instruction is based on, and embodies, merit systems principles pursuant to reference (b) and section 2301(c)(2) of reference (e).

5.1.3. Direct the development of a DCIPS program evaluation system in OSD/WHS in coordination with the Assistant Secretary of Defense (Command, Control, Communications, and Intelligence (ASD(C3I))), including program indicators, reporting formats, and frequency of reporting. (See enclosure 10.)

5.1.4. Reissue, in coordination with the ASD(C3I), this Administrative Instruction as needed to keep it current.

5.2. The Assistant Secretary of Defense for Command, Control, Communications, and Intelligence shall:

5.2.1. Oversee the implementation and administration of DCIPS policies, procedures, and informational guidance in the OSD/WHS Components.

5.2.2. Designate, with the concurrence of the Head of the affected OSD/WHS Component, those positions covered under the DCIPS.

5.2.3. Make recommendations to the Secretary of Defense (SecDef) to terminate employment of any civilian intelligence officer or employee of OSD/WHS pursuant to section 1609 of reference (a). (See enclosure 9.)

5.2.4. Promptly notify the Permanent Select Committee on Intelligence of the House of Representatives and the Select Committee on Intelligence of the Senate, as required by section 1609 of reference (a), whenever the Secretary of Defense exercises this authority.

5.3. The Heads of the Office of the Secretary of Defense and Directors, Washington Headquarters Services with designated intelligence or intelligence-related positions shall:

5.3.1. Administer the DCIPS policies and procedures in this Administrative Instruction.

5.3.2. Make recommendations through the ASD(C3I) to the Secretary of Defense to terminate employment under section 1609 of reference (a). (See enclosure 9.)

## 6. PROCEDURES

6.1. The DCIPS for the OSD/WHS Components adopts:

6.1.1. Those personnel regulations and procedures established for the excepted service pursuant to reference (e), except as specifically provided in reference (a);

6.1.2. This Administrative Instruction;

6.1.3. Reference (b) and any other governing DoD Regulations; and

6.1.4. Any applicable policies and procedures established by the ASD(C3I) in consultation with the Director, WHS.

6.2. Specific rules and procedures proposed by an OSD/WHS Component shall be approved by the ASD(C3I) in consultation with the Director, WHS.

7. EFFECTIVE DATE

This Administrative Instruction is effective immediately.



**Raymond F. DuBois**  
**Director,**  
**Washington Headquarters Services**

Enclosures - 15

- E1. References, continued
- E2. Definitions
- E3. Position Management and Classification
- E4. Employment and Placement
- E5. Career Development and Training
- E6. Compensation
- E7. Performance Management and Recognition
- E8. DoD Administrative Grievance System
- E9. Special Termination Authority Under 10 U.S.C. §1609
- E10. Program Evaluation
- E11. DCIPS Grading Standard for Assigning Grade or Grade Bands
- E12. Conditions of Employment
- E13. Criteria for Designating Organizations and Positions as DCIPS
- E14. Defense Intelligence Senior Executive Service (DISES)
- E15. Defense Intelligence Senior Level (DISL) Program

E1. ENCLOSURE 1

REFERENCES, continued

- (e) Title 5, United States Code
- (f) Title 5, Code of Federal Regulations, "Administrative Personnel," current edition
- (g) Title 29, Code of Federal Regulations, Part 1607
- (h) DoD 1400.25-M, "DoD Civilian Personnel Manual (CPM), Subchapter 1800, December 3, 1996
- (i) DoD 1400.20-1-M, "DoD Program for Stability of Civilian Employment Policies, Procedures, and Programs Manual," September 1990
- (j) DoD 7000.14-R, "DoD Financial Management Regulation," current edition
- (k) Joint Travel Regulation, Volume 2, current edition
- (l) Administrative Instruction No. 63, "Performance Appraisal Program for General Schedule, Federal Wage System, and Certain Other Employees," July 1, 1999
- (m) DoD 1402.3-H, "Chapter 4, Senior Executive Service Planning and Evaluation," April 1989
- (n) Administrative Instruction No. 29, "Incentive and Honorary Awards Program," July 1, 1999
- (o) Administrative Instruction No. 37, "Employee Grievances," February 24, 1989
- (p) Administrative Instruction No. 8, "Disciplinary and Adverse Actions," August 17, 1981
- (q) Deputy Secretary of Defense Memorandum, "Delegation of Authority Regarding Specified Defense Intelligence Designations," May 17, 2002
- (r) Standard Operating Procedures for "Administration of the Senior Executive Service or Equivalent Positions in the Defense Legal Services Agency," May 21, 2002<sup>1</sup>

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<sup>1</sup> Copies of this document may be obtained from the Washington Headquarters Services, Directorate for Personnel and Security, Executive and Political Personnel Division, 1777 North Kent Street, Suite 12063, Arlington, VA 22209-2164.

E2. ENCLOSURE 2

DEFINITIONS

E2.1.1. Administrative Disqualification. Action taken upon finding that an applicant for employment in Defense Civilian Intelligence Personnel System (DCIPS) lacks fitness indicated by his or her character, conduct, and/or reputation.

E2.1.2. Administrative Career Path. Levels within occupations involving work in which decisions and courses of action require analytical ability, judgment, discretion, personal responsibility, and substantial knowledge of the underlying concepts, theories, and principles applicable to the field. While these positions do not require specialized academic fields of study, they do involve skills (for example, analytical, research, writing, and judgment skills) typically gained through college-level education or through progressively responsible experience. (See enclosures 5 and 11.)

E2.1.3. Career Ladder. A range of grades within an occupation or specialty that allows for a progressive increase of responsibility and employee competency. A career ladder may range from a single-grade band to multiple-grade bands. Progressing through a career ladder from one grade level to another, as well as from one grade band to another, depends on the:

E2.1.3.1. Discretion of management.

E2.1.3.2. Availability of funds and position management approvals.

E2.1.3.3. Difficulty and responsibility of the work.

E2.1.3.4. Employee's:

E2.1.3.4.1. Mobility.

E2.1.3.4.2. Ability to become more competent.

E2.1.3.4.3. Job performance.

E2.1.4. Career Path. A model reflecting the common career pattern of related groups of series or specialties. A career path reflects the normal combination of grades into successive grade bands for the series or specialties associated with that path. Professional, Administrative, Technician, and Clerical career paths have been established. (See enclosures 4 and 11.)

E2.1.5. Clerical Career Path. Levels within occupations involving work, including processing and maintaining records and materials that represent the transactions or business of the organization that supports an office or program. The work is generally performed within a structured framework of instructions, procedures, and/or working knowledge related to the tasks. (See enclosures 4 and 11.)

E2.1.6. Condition of Employment. A mandatory requirement or precondition for holding a position, not including knowledge, skills, abilities, and/or educational qualification requirements. (See enclosure 12.)

E2.1.7. DCIPS Grading Standard. A document prescribing the method for evaluating all positions in grade levels 1-15 (or equivalent grade bands). The DCIPS Primary Grading Standard provides the principal guidance for grading DCIPS positions in grade levels 1-15 (or equivalent grade bands), and for evaluating work appropriate for Defense Intelligence Senior Level (DISL) positions. Office of Personnel Management Classification Standards and Guides may be used in place of the DCIPS Primary Grading Standard under some conditions. (See enclosures 4 and 11.)

E2.1.8. Defense Intelligence Senior Executive Service (DISES). A managerial position above GS-15 established pursuant to reference (a) that meets the definition of the Senior Executive Service. (See enclosures 4 and 14.)

E2.1.9. Defense Intelligence Senior Level (DISL). A non-managerial position above GS-15 established pursuant to reference (a) that does not meet the definition of DISES. (See enclosures 11 and 15.)

E2.1.10. DoD Intelligence Components. Those organizations identified as such in Section 1614 of reference (a) and pursuant to reference (b).

E2.1.11. DoD Intelligence Positions. Those positions designated as such according to reference (b).

E2.1.12. Dual Career Track. Progression for supervisory and/or managerial and non-supervisory positions in the occupational specialties. (See enclosure 3.)

E2.1.13. Exemplary Performance Award (EPA). An increase, equal to two within-grade increases, in basic pay in a given grade level for exceeding the performance standards for an extended period of time. (See enclosure 7.)

E2.1.14. Factor Degree Description. It is the lowest point of a degree that describes the criteria a position shall fully meet to be assigned that degree. (See enclosure 11.)

E2.1.15. Grade Band. Consists of two or more grades denoting a common level of difficulty, responsibility, and qualification requirements of the work or common level of

knowledge, skills, and abilities required to perform the work (e.g., Entry Level, Full Performance Level, Expert Level, etc.). (See enclosure 11.)

E2.1.16. Intelligence Community. Has the same meaning as in reference (b).

E2.1.17. Intelligence Function. Has the same meaning as in reference (b).

E2.1.18. National Capital Region (NCR). As defined in 10 U.S.C. 2674 (reference (a)).

E2.1.19. Occupational Guides. A set of documents that supplements the DCIPS Grading Standard (or other approved Grading Standard, such as for Wage Grade positions) for specific occupations or specialties. (See enclosure 3.)

E2.1.20. Performance Recognition. Monetary or honorary awards or other appropriate recognition of an employee's performance that management grants at its discretion. (See enclosure 7.)

E2.1.21. Position Management. The process whereby managers assign duties and responsibilities to positions and structure these positions to form an organization that (see enclosure 3):

E2.1.21.1. Effectively and economically accomplishes its missions.

E2.1.21.2. Enhances the organization.

E2.1.21.3. Develops careers.

E2.1.21.4. Provides for mobility and flexibility in assignments throughout the DoD Intelligence Components and improves the acquisition, diversity, skill mix, professional development, and long-term retention of high-quality civilian workforce.

E2.1.21.5. Otherwise fulfills management goals. (See enclosure 4.)

E2.1.22. Promotion. Movement to a higher Grade or Grade Band. (See enclosures 5 and 11.)

E2.1.23. Professional Career Path

E2.1.23.1. Levels within occupations involving work in which decisions and actions require discretion, judgment, and personal responsibility to apply an organized body of knowledge that is constantly studied to:

E2.1.23.1.1. Make new discoveries and interpretations.

E2.1.23.1.2. Improve the data, materials, methods, and means.

E2.1.23.2. These positions require any of the following:

E2.1.23.2.1. Knowledge in a field of science.

E2.1.23.2.2. Education or training equivalent to a college degree with major study directly in or pertinent to the specialized field.

E2.1.23.2.3. Professional experience in the field. (See enclosures 5 and 11.)

E2.1.24. Program. Long-term objective with many related projects and dedicated resources. (See enclosure 11.)

E2.1.25. Project. A short-term endeavor that supports a program. (See enclosure 11.)

E2.1.26. Qualification Standard. A set of documents that prescribes the amount and type of experience, education, training, or other qualification criteria or requirements to measure an individual's ability to perform the duties of a specific position.

E2.1.27. Rank-in-Person Promotion. A promotion that is one grade above the proper classification of a given position, when the relative worth of the individual to the organization (e.g., Office of the Assistant Secretary of Defense (Command, Control, Communications, and Intelligence)) is significant and is not measurable through the normal classification process. (See enclosure 6.)

E2.1.28. Scarce Skills. Necessary skills that are not readily available within a reasonable and customary recruitment area. (See enclosure 6.)

E2.1.29. Special Salary Rates. An approved set of pay rates, through either the Office of Personnel Management (OPM) or DCIPS, that exceeds rates of pay for grades or pay bands up to the equivalent of GS-15 or Federal Wage System rates that would otherwise apply. Special DCIPS salary rates may be established only upon a finding that competing sectors are paid substantially more than the Intelligence Functions of OSD and that the salary gap significantly handicaps the Intelligence Functions' ability to recruit and retain well-qualified applicants in a specified occupation and recruitment area. (See enclosure 6.)

E2.1.30. Technician Career Path. Levels within occupations involving non-routine technical work typically associated with and supportive of a professional or administrative field, including responsibility for direct "program" decisions, but less than full competence in the field involved. The work is generally performed by applying clearly appropriate guidelines or knowledge of precedent action to a corresponding

situation and it requires extensive practical knowledge, gained through on-the-job experience and/or specific training less than that represented by an academic degree. (See enclosures 4 and 11.)

E2.1.31. Workforce Reshaping. Adjustment of the size, quality, and skill mix of the workforce by Adjustment in Force or Reduction in Force.

### E3. ENCLOSURE 3

#### POSITION MANAGEMENT AND CLASSIFICATION

##### E3.1. POSITION MANAGEMENT

Executive, managerial, and supervisory personnel at all levels of OSD/WHS shall organize work efficiently and economically to optimize their personnel and fiscal resources. Managers shall directly relate the tasks of managing personnel to managing performance goals and/or planning and budget or payroll costs at the lowest practicable management levels.

##### E3.2. POSITION CLASSIFICATION

The Defense Civilian Intelligence Personnel System (DCIPS) classification system covered by this Administrative Instruction shall provide an equal grade or grade band level for substantially equal work. Grade or grade band levels shall have a direct relationship between the level of difficulty and responsibility of the work and the qualification requirements for the position.

##### E3.3. STRUCTURE OF THE SYSTEM

E3.3.1. Basic Structure. DCIPS in OSD/WHS uses the basic structure of the classification systems established under reference (e), for employees in grade levels 1-15 and prevailing rate employees in the Federal Wage System (FWS), but it permits the use of grade bands instead of grade levels 1-15.

E3.3.2. Career Paths, Grade Bands, and Career Ladders. The DCIPS uses career paths, grade bands, and career ladders for DISL positions and the equivalent of grade levels 1-15.

E3.3.2.1. A career path reflects the common career progression pattern of related groups of series or specialties. It provides a model and reflects the normal combination of grades in successive grade bands for the series or specialties associated with that path. Suggested career paths are at table E11.T4.

E3.3.2.2. A grade band encompasses two or more consecutive grades that denote either a common level of difficulty, responsibility, and qualification requirements of work required or a common level of knowledge, skills, and abilities required to perform the work. Pre-professional, Entry or Development, Full Performance, Expert,

and Senior Expert grade bands are reflected in one or more of the four career paths. (See table E11.T4.)

E3.3.2.3. A career ladder depicts progression through a range of grade bands for a specific occupation or specialty. Career ladders are specialized versions of career paths and may differ somewhat from the career path depicted in enclosure 11.

#### E3.4. GRADE DETERMINATIONS

E3.4.1. Grade Level Determinations. Positions shall be placed in the appropriate grade band or grade level 1-15 by applying the DCIPS Grading Standard. (See enclosure 11.)

E3.4.1.1. Additional guidance in section E3.5. supplements the DCIPS Grading Standard.

E3.4.1.2. The OSD/WHS Components serviced by WHS may implement the DCIPS Grading Standard before developing an Occupational Guide in conjunction with WHS. OPM classification standards and guides shall be applied to determine grade levels or grade bands until development of supplemental Occupational Guides and/or application of the DCIPS Grading Standard.

E3.4.2. FWS Grade Determinations. Existing grading tools to grade FWS positions established under reference (e) shall be used unless a separate DCIPS standard or Guide replaces them.

E3.4.3. Defense Intelligence Senior Level (DISL) Determinations. The DCIPS Grading Standard shall be used to determine whether a position exceeds the equivalent of GS-15. (See section E11.2.)

#### E3.5. OCCUPATIONAL GUIDES

If implemented, Occupational Guides supplement the DCIPS Grading Standard by defining and describing covered occupational series or specialties, or by establishing titles or career ladders for the specialties. Occupational Guides may describe specific occupational series, such as GS-132 and GS-343, or specialties and functions crossing multiple series, such as intelligence production, information security, and information support. The guides shall be published separately in two parts with Part I mandatory for all grade levels 1-15 or equivalent grade band positions and Part II mandatory to determine DISL positions.

E3.5.1. Part I

E3.5.1.1. Part I shall:

E3.5.1.1.1. Define the series and/or coverage of the guide.

E3.5.1.1.2. Prescribe official titles.

E3.5.1.1.3. Establish the career path common to the covered occupation(s).

E3.5.1.1.4. Provide guidance, if required, on how to apply the DCIPS Grading Standard.

E3.5.1.2. The OSD/WHS Components serviced by WHS shall use the OPM definitions of series and titling practices for both GS and FWS positions unless new or revised definitions and titles are developed.

E3.5.2. Part II

E3.5.2.1. Part II shall:

E3.5.2.1.1. Describe functions and/or functional titles common to the occupation(s) and the typical assignment and skill levels of the occupation(s) by grade band within a career ladder.

E3.5.2.1.2. Include coding instructions to automate classification decisions, model or standardized factor degree descriptions, standardized job descriptions, or other classification and position management guidance.

E3.6. DEFENSE INTELLIGENCE SENIOR EXECUTIVE SERVICE (DISES) POSITIONS

Guidance for senior managerial grade level determinations and the basic outline of the DISES program for DCIPS is enclosure 14 of this Administrative Instruction.

E3.7. DUAL TRACK

The DCIPS Primary Grading Standard and supplementary Occupational Guides, if used, allows employees to progress on parallel tracks to the highest-grade levels or grade bands for supervisory/managerial and non-supervisory positions. This practice is commonly referred to as a "dual track" career ladder. DUAL TRACK DOES NOT APPLY TO DISES POSITIONS.

E3.8. POSITION DESCRIPTIONS

A position description for a position, or group of positions, is officially established when a position description has been written and an appropriate classification authority has determined pay plan, title, series, and grade. Position descriptions, at a minimum, must include major duties and responsibilities and sufficient information on each of the classification factors to classify the position.

E3.9. CLASSIFICATION APPEALS

An employee in a DCIPS position may appeal the classification of his/her position (grade level and series), under procedures established by the Director, Personnel and Security (P&S). The decision on any appeal is final and is not reviewable outside of the Department of Defense.

E4. ENCLOSURE 4

EMPLOYMENT AND PLACEMENT

Except as otherwise stated, the Heads of the OSD/WHS Components may establish procedures, consistent with this enclosure, to implement the provisions of this enclosure.

E4.1. RECRUITMENT AND PLACEMENT

The Director, P&S, shall develop policies, standards and administrative procedures to establish and implement recruitment and internal placement programs for Defense Civilian Intelligence Personnel System (DCIPS) positions covered by this Administrative Instruction (reference (c)). Parts 213, "Excepted Service Appointments," and 302, "Employment in the Excepted Service," of 5 CFR (reference (f)) relating to appointments shall not apply to such positions.

E4.1.1. Positions for the DCIPS shall be staffed by WHS, consistent with merit systems principles, and without regard to political, religious, labor organization affiliation, marital status, race, color, sex, age, national origin, non-disqualifying disability, age, sexual orientation, or other non-merit factors. Reasonable accommodation shall be considered as required by law in cases involving mentally or physically disabled individuals.

E4.1.2. When staffing from external sources, preference eligibles (as defined by section 2108 of reference (e)) shall be given preference for positions as far as administratively feasible.

E4.2. QUALIFICATION REQUIREMENTS

E4.2.1. Qualification Standards

E4.2.1.1. Determinations regarding whether an applicant meets the minimum qualification standards for a position covered by this Administrative Instruction shall be made using the Office of Personnel Management (OPM), Operating Manual for Qualifications Standards for General Schedule Positions or the Job Qualification System for Trades and Labor Organizations unless superseded by a DCIPS standard.

E4.2.1.2. If established, the DCIPS Qualification Guide shall be used to fill both grade levels 1-15 (or equivalent grade band) and trades and labor occupation positions. OPM operating manuals for Qualification Standards or the FWS with the DCIPS Qualification Guide are used for information on the knowledge, skills, and abilities required for successful job performance.

E4.2.2. Suitability. DCIPS employees must meet OSD/WHS security, suitability, and conduct requirements pursuant to chapter 73 of reference (e). In addition to legally required disqualifications, an applicant may be determined to be unsuitable under part 731 of reference (f) for such reasons as misconduct, criminal conduct, intentional false statements or misrepresentation in the application process, or reasonable doubt of the individual's loyalty to the United States.

E4.2.3. Citizenship. DCIPS appointees must meet all citizenship restrictions applicable to DoD positions, as well as the security clearance and access requirements of the position.

E4.2.4. Formal Education. Minimum education requirements beyond those prescribed by statute and the OPM qualifications handbook shall be developed in accordance with title 29, Code of Federal Regulations, Part 1607 (reference (g)) and require Director, P&S, approval.

E4.2.5. Age. Minimum or maximum age requirements must be specifically authorized by statute or approved by the Equal Employment Opportunity Commission before they are established. The Director, P&S, may approve age requirements only after determining that age is a bona fide occupational qualification reasonably necessary to the performance of the duties of the position.

E4.2.6. Physical Qualifications. Applicants shall meet established physical qualifications that are essential to the duties of the position, or a medical authority must find them physically able to perform the duties of the position. The Head of the OSD/WHS Component concerned and the Director, P&S, shall determine competent authority who shall approve disqualification determinations for preference eligibles having a compensable Service-connected disability of at least 30 percent.

### E4.3. RECRUITMENT AND SELECTION

Recruitment and selection procedures shall include the following:

E4.3.1. Merit Promotion Plans. Procedures shall take full advantage of all DCIPS and applicable excepted service authorities. Merit promotion plans may allow for concurrent consideration of all applicants.

E4.3.2. Statutory and Regulatory Limits on Appointing Officer's Authority. Before filling a position by other means, an appointing officer must satisfy the rights of any employee or former employee who is:

E4.3.2.1. Entitled to restoration following Military duty under specific circumstances (e.g., provisions of the Uniformed Service Employment and Reemployment and/or Return from Leave without Pay due to certain military service); a

recovery from compensable injury or disability; or a successful grievance or appeal, or equal employment opportunity case.

E4.3.2.2. Entitled to reemployment under law or regulation.

E4.3.2.3. Entitled to move with his or her position during a transfer of function.

E4.3.2.4. Entitled to mandatory placement through the Department of Defense Priority Placement Program, if applicable. (See section E4.6.)

E4.3.2.5. Entitled to special consideration for promotion according to the existing merit promotion plan.

E4.3.3. Conditions of Employment. Enclosure 12 outlines examples of pertinent and job-related conditions of employment.

E4.3.4. Movement of an Employee from the Competitive Service. Employees currently serving under non-temporary appointments in a competitive service position converted to the DCIPS shall be informed that the position is in the excepted service and accepting the position shall take the employee out of the competitive service. The Director, P&S, shall obtain a written statement from an individual selected for a DCIPS position (or whose position has been converted to the DCIPS) that the individual accepts the DCIPS position and understands that it is in the excepted service.

#### E4.4. NON-COMPETITIVE PROMOTION

E4.4.1. All exceptions to competitive promotion procedures provided under reference (f) apply to the DCIPS.

E4.4.2. The Head of the affected OSD/WHS Component may authorize an employee's non-competitive promotion to succeeding grade levels within the current grade bands of his or her present line of work. (See enclosure 11 for further information on grade bands.)

#### E4.5. WORKFORCE RESHAPING

Workforce reshaping procedures shall be consistent with section 1610 of reference (a), which provides that, among other factors, an individual's performance may be a factor in selecting an individual for separation when the force is being reduced or adjusted.

E4.6. OUT-PLACEMENT PROGRAMS

Selecting officials shall comply with the requirements of DoD 1400.25-M (reference (h)) and provisions of DoD 1400.20-1-M (reference (i)).

E4.7. RECORDS MAINTENANCE

The Director, P&S, shall develop a records maintenance system, ensuring access to all documentation on staffing actions for at least 2 years from the effective date of the action.

E4.8. DIVERSITY

The Assistant Secretary of Defense (Command, Control, Communications, and Intelligence), consulting with the Director, P&S, shall analyze attitudinal, structural, or personnel barriers to women, minorities, and disabled individuals in the DCIPS and shall develop policies to remove such barriers to the extent consistent with law.

E5. ENCLOSURE 5

CAREER DEVELOPMENT AND TRAINING

Career development and training develops and sustains a Defense Civilian Intelligence Personnel System (DCIPS) work force capable of meeting mission requirements. All DCIPS career development and training objectives shall be administered fairly and equitably, consistent with merit systems principles. Developmental assignments are encouraged and facilitated between the DoD Intelligence Community and other elements of the Intelligence Community (e.g., Intelligence Community Officer Programs). The OSD DCIPS career development and training shall take advantage of existing DoD and Intelligence Community career enhancement opportunities and the OSD/WHIS Components shall program sufficient resources to meet Department career development requirements and participate in ongoing Intelligence Community programs.

E6. ENCLOSURE 6  
COMPENSATION

E6.1. RATES OF BASIC PAY

Consistent with section 1602 of reference (a):

E6.1.1. Grade Levels 1-15 or Equivalent Grade Bands. The rates of basic pay are fixed in relation to rates for grade levels 1-15 positions under references (b) and (e), which have corresponding levels of duties and responsibilities.

E6.1.2. Prevailing Rate Systems. The Federal Wage System (FWS) wage schedules shall use the basic pay schedules for employees in trade, craft, and laboring occupations, including leaders and supervisors established under reference (e), unless specifically modified.

E6.1.3. Defense Intelligence Senior Executive Service (DISES). The rates of pay are between the maximum rate and the minimum rate of basic pay established for the Senior Executive Service (SES) under section 5382 of reference (e).

E6.1.4. Defense Intelligence Senior Level (DISL). The rates of pay shall not be less than 120 percent of the minimum rate of basic payable for grade level 15 of the General Schedule or greater than the maximum rate of basic pay established for the Senior Executive Service under section 5382 of reference (e).

E6.2. WITHIN-GRADE PAY INCREASES

Except as provided in this Administrative Instruction (paragraph E6.4.4. and subparagraph E7.2.1.4.), the DCIPS shall retain the Federal within-grade increase policies and procedures established pursuant to reference (e), as implemented within OSD/WHS, unless separate provisions for DCIPS employees are developed and approved.

E6.3. DCIPS SPECIAL SALARY RATES

E6.3.1. Special salary rates approved by OPM apply equally to DCIPS employees, unless specifically superseded by a DCIPS special salary rate or approved by prior administrative action. The OSD/WHS Components may propose DCIPS special salary rates through the Director, P&S, for approval by the Secretary of Defense, or designee, in response to market conditions that do, or are likely to, adversely impact the ability to

recruit and retain highly qualified employees in a specified occupation, specialty, or recruitment area. Approved special salary rates may be applied within the DCIPS wherever specified criteria are met.

E6.3.2. OPM-approved special salary schedules apply unless a DCIPS schedule, band, or rate specifically supersedes them.

#### E6.4. RECRUITMENT COMPENSATION

The Director, P&S, may develop programs to supplement the compensation in the provisions above in addition to existing programs available under reference (e). These supplemental programs shall provide management with tools to attract and retain quality or scarce skill (shortage category) employees. The following list includes options that may be used alone or in combination, as appropriate. The list is not intended to be all inclusive.

E6.4.1. Recruitment Bonus. A recruitment bonus may be authorized for an individuals new to the Federal civilian service or individuals who have not been employed in any Federal civilian position within the last 90-calendar days, who accepts a shortage category and/or hard-to-fill position, or possesses scarce skills. It may not be used when converting employees in their existing positions to the DCIPS.

E6.4.1.1. A bonus payment shall be calculated as a percentage of the employee's annual rate of basic pay (not to exceed 25 percent). It shall not be considered part of an employee's rate of basic pay for any purpose.

E6.4.1.2. A payment may not be made to an individual unless such individual has entered into a service agreement with the Head of the OSD/WHS Component that provides that:

E6.4.1.2.1. He or she shall continue in a DCIPS position in the service of OSD or the affected OSD/WHS Component for a period of time not less than 1 year.

E6.4.1.2.2. If he or she voluntarily accepts a change of position to a non-DCIPS position, resigns from the Federal service, or is voluntarily separated from the DCIPS in OSD/WHS before the end of the period agreed to, he or she shall repay the Government on a pro rata basis any part of the bonus already paid. (See analogous provisions in part 575.107(a) of reference (f).)

E6.4.1.3. If an individual fails to repay any amount required under subparagraph E6.4.1.2.2., the Government may recover pursuant to debt collection procedures established in DoD 7000.14-R, "DoD Financial Management Regulation" (reference (j)).

E6.4.1.4. The Head of the OSD/WHS Component shall pay the full amount of a bonus under this section, whether in a lump sum or in the form of periodic payments, before the end of the period of service agreed to under subparagraph E6.4.1.2.1. The method of payment shall be documented in the service agreement.

E6.4.1.5. The Head of the OSD/WHS Component shall document each use of this authority, including the reason for its use, the amount granted, and the required length of continued service for post audit and for program evaluation purposes.

E6.4.1.6. A payment under this paragraph is not part of the basic pay of an individual and is not subject to retirement contributions.

E6.4.2. Advanced Hiring Salary. This allows management to set starting basic pay above the first step of the applicable GS or FWS pay scale for a new DCIPS employee. However, the procedures and rules that govern the advanced in-hire rate under OPM regulation, including any limitation on grade level or series for application, shall not apply to the DCIPS. This compensation tool may not be used when converting employees in their existing positions to the DCIPS. The Head of the OSD/WHS Component, coordinating with the Director, P&S, shall:

E6.4.2.1. Limit the use of this authority to individuals new to the Federal civilian service or individuals who have not been employed in any Federal civilian position within the last 90-calendar days.

E6.4.2.2. Limit the number of pay steps or salary range, at a minimum, to meet base salary, bona fide offers, or current compensation (comparing basic pay and fringe benefit packages other employers offer with the total compensation otherwise possible for the DCIPS position).

E6.4.2.3. Document the basis for each use of this authority and each step granted, for post-audit and program evaluation purposes.

E6.4.3. Payment of Travel and Transportation Expenses to an Interview and/or to the First Duty Station. The Head of the OSD/WHS Component may pay for travel expenses to an interview or first duty station according to the provisions of the Joint Travel Regulations, Volume 2 (reference (k)). Use of this authority shall be documented for post-audit and program evaluation purposes.

E6.4.4. Pay Setting and Step Increase on Reassignment. Pay setting rules shall be consistent with those established by OPM for GS and other comparable positions, for promotions, and other actions, except that Director, P&S, may provide for pay setting rules or pay increases covering the movement of Federal employees to shortage category and/or hard-to-fill positions, or to attract high-quality skills.

E6.4.4.1. Such pay increases may not be used for DCIPS employees who are transferring or being reassigned within the same geographic commuting area.

E6.4.4.2. Such pay increases also may not exceed the equivalent of two steps up from the employee's current grade in the applicable GS or FWS salary schedule, and may not exceed the equivalent of step 12.

E6.4.4.3. The Director, P&S, shall document the basis for each use of this authority for audit and program evaluation purposes.

#### E6.5. PREMIUM PAY

The Head of the OSD/WHS Component may provide for administratively uncontrollable work pay, consistent with procedures established by OPM for GS and FWS positions. Approval authority may be delegated. The Head of the OSD/WHS Component shall document use of this option for post-audit and later program evaluation.

#### E6.6. ALLOWANCES IN FOREIGN AND OVERSEAS AREAS

If applicable, present allowances shall remain in effect until additional DCIPS allowances are developed.

#### E6.7. PAY FOR PERFORMANCE

Policy and guidance on monetary performance awards are in enclosure 7.

#### E6.8. RANK-IN-PERSON (RIP) PROMOTION

The Head of the OSD/WHS Component may promote an employee one grade (or grade band) level above the otherwise approved classification of the position, when he or she has a significant value that goes beyond the classifiable duties of the position. RIP promotions do not apply to the DISES.

E6.8.1. The OSD/WHS Component Head is the approval authority. This authority may be delegated only to the Principal Deputy.

E6.8.2. Only employees who have a minimum of 1 year in the position and 2 years in the DCIPS shall be considered for a RIP promotion.

E6.8.3. Failure to receive a RIP promotion is not a grievable matter under the grievance system.

E6.8.4. RIP determinations shall be fully documented and be made part of the program evaluation system.

## E7. ENCLOSURE 7

### PERFORMANCE MANAGEMENT AND RECOGNITION

#### E7.1. PERFORMANCE MANAGEMENT

E7.1.1. The Heads of OSD/WHS Components shall convert GM employees to grade levels 13-15 (or equivalent grade band) upon their entry into the DCIPS, applying OPM and DoD procedures for determining pay adjustments. After converting DCIPS employees to GS equivalent, WHS shall notify affected employees and determine initial waiting periods for within-grade increases.

E7.1.2. Administrative Instruction 63 and DoD 1402.3-H, chapter 4 (references (l) and (m)) shall apply for performance planning and appraisal for covered DCIPS personnel. However, budget constraints shall not drive ratings. The Director, P&S shall approve any modifications of existing systems and/or the development of a new system for DCIPS employees.

#### E7.2. PERFORMANCE RECOGNITION

E7.2.1. Except as specifically provided in this Administrative Instruction, the procedures established in Administrative Instruction 29 (reference (n)) apply. The Director, P&S, may develop and implement regulations for administering either a separate performance recognition program for the DCIPS or supplementing existing systems. Provisions contained in Section 4501 of reference (e), reference (m), or other existing regulations for employees subject to reference (e) shall not apply to DCIPS employees covered when they conflict with:

E7.2.1.1. Linkage to Retention. Use of monetary performance awards to retain superior performers, as well as for recognition and motivation.

E7.2.1.2. Performance Recognition Criteria. Established performance recognition criteria based on overall performance and management considerations rather than solely on technical rules or tables. The following criteria may be considered when determining monetary performance awards: the employee's most recent performance appraisal; prior rating and recognition history; present compensation; type of position; level of responsibility; and organizational accomplishments that demonstrate the value of the contributions.

E7.2.1.3. Forms of Performance and Incentive Recognition. Various forms of performance recognition must be available to motivate individuals and groups. Management may use the following forms of recognition with basic pay to create

compensation packages appropriate to each employee's contributions and value to the organization:

E7.2.1.3.1. Performance Award (e.g., Quality Step Increase (QSI) or Performance Award).

E7.2.1.3.2. Supervisor cash awards.

E7.2.1.3.3. Special Act Awards.

E7.2.1.3.4. Honorary Awards (for example, established Intelligence Community and DoD awards).

E7.2.1.4. Exemplary Performance Award. An Exemplary Performance Award (EPA) is an increase in basic pay equivalent to two within-grade increases. It recognizes employees at grade levels 1-15 (or equivalent bands) whose continued exemplary performance far exceeds the standards expected for their grade level and whose documented performance is consistently at the highest adjectival performance rating level. To receive an EPA, employees shall have been at the same grade level for the last 3 years and been officially rated at the highest level for the last three performance ratings, including their current rating. EPAs may result in pay at a rate equivalent to the eleventh or twelfth step of the employee's grade, but not higher. EPAs shall be documented with an SF-50, which shall be placed in the employee's Official Personnel Folder. EPAs shall be a part of the program evaluation system.

E7.2.1.5. Management to Budget. Managers shall be able to determine the frequency and amount of awards based on overall budget constraints.

E7.2.1.6. Limitation on Delegation of Approval Authority. Individual monetary performance awards shall not exceed \$10,000 without prior review and approval by the Director, P&S. The OSD/WHS Component Heads may approve monetary awards up to and including \$10,000. This authority may be further delegated to the lowest practical level consistent with the delegation of other similar personnel authorities.

E7.2.1.7. Retention of Management Discretion. Monetary awards based on performance shall not be mandatory for any assigned performance rating, grade level, or type of position.

E7.2.1.8. Limitation on Right to Grieve. Not receiving an award for performance and the amount or type of an award is not grievable under the Department's grievance procedures for DCIPS employees.

E8. ENCLOSURE 8

DoD ADMINISTRATIVE GRIEVANCE SYSTEM

E8.1. GENERAL PROVISIONS

The OSD/WHS Components covered by this Administrative Instruction shall follow Administrative Instruction 37 (reference (o)) for processing grievances of DCIPS employees with their organizations. DCIPS policies and procedures, including those set forth in this Administrative Instruction, shall be fully considered and applied in making decisions on such grievances.

E8.2. GRIEVANCES

E8.2.1. Grievance Coverage. Matters covered by the grievance procedures shall include, in addition to the matters identified in reference (o), decisions on adverse actions not appealable to the Merit Systems Protection Board, except decisions made pursuant to section 1609 of reference (a) (see enclosure 9), and the identification and conversion of an employee's position to the DCIPS when the decision to include or exclude results from the application of OSD policy on coverage and coverage is not otherwise mandated by this Administrative Instruction.

E8.2.2. Matters Excluded. In addition to matters excluded from Subchapter 771 of reference (h) and reference (o), matters excluded from coverage of the grievance procedures shall include:

E8.2.2.1. The content of DoD-approved classification and qualification standards.

E8.2.2.2. Failure to receive a RIP promotion.

E8.2.2.3. The SES exclusions in reference (o) for the DISES.

E8.2.3. Adverse Actions and Appeals. Adverse actions as defined in reference (e), taken against DCIPS personnel shall comply with the provisions of reference (e) and Administrative Instruction 8 (reference (p)), as amended. Except as provided in enclosure 9 of this Administrative Instruction, other adverse actions and appeals shall be covered by regulations of such actions under references (a) and (e).

E8.2.4. Disciplinary Actions. Disciplinary actions as defined in reference (e), taken against DCIPS personnel, shall comply with the provisions of references (e) and (p), as amended.

E9. ENCLOSURE 9

SPECIAL TERMINATION AUTHORITY UNDER 10 U.S.C. §1609

E9.1. GENERAL PROVISIONS

E9.1.1. Section 1609 of reference (a) provides that the Secretary of Defense may terminate the employment of any civilian intelligence officer or employee of OSD/WHIS whenever the Secretary both:

E9.1.1.1. Considers the action to be in the interests of the United States; and

E9.1.1.2. Determines that following the procedures in other provisions of law that authorize the termination of the employment of such an officer or employee is not consistent with national security considerations.

E9.1.2. Termination of employment under this authority does not affect the right of the person involved to seek or accept employment with any other Department or Agency of the United States if the Office of Personnel Management declares him or her eligible.

E9.2. PROCEDURES

E9.2.1. Basic Procedures. The employee shall be provided:

E9.2.1.1. Written notification from the Assistant Secretary of Defense (Command, Control, Communications, and Intelligence (ASD(C3I)) listing the charge(s) or other cause(s) of action, stated as specifically as national security and Privacy Act provisions permit.

E9.2.1.2. An opportunity to answer charges to the Secretary of Defense or an individual assigned by the Secretary to receive such reply, normally within 30 days of receiving the proposal, consistent with national security requirements. Any reply must be in writing and may include affidavits, and be addressed to the ASD(C3I), Room 3E172, Pentagon, Washington DC 20301-6000. It shall contain, at a minimum, the following information:

E9.2.1.2.1. Name and current mailing address of the employee.

E9.2.1.2.2. Copy of the ASD(C3I)'s notification and the employee's written response.

E9.2.1.2.3. Statements, affidavits, or other information that show why the Secretary of Defense should not accept the ASD(C3I)'s recommendation.

E9.2.1.3. The Secretary's decision is final and may not be appealed or reviewed outside the Department of Defense.

E9.2.2. Right to Representation. An attorney or other representative of his/her choice may represent the employee. The employee must name the representative in writing. Representatives shall be restricted from access to classified information unless they have or are able to obtain required clearance and access within a reasonable period. The ASD(C3I) may not allow the following people to represent an employee:

E9.2.2.1. An individual whose activities as a representative would cause a conflict of interest or position.

E9.2.2.2. An individual who cannot be released from official duties because of priority needs of the Government.

E9.2.2.3. An employee whose release would create unreasonable costs to the Government.

E9.3.3. Employee Status. Subject to national security considerations, the OSD/WHS Component Head may retain an employee in duty status, including detail, through the final decision stage of the termination action. The OSD/WHS Component Head may also place the employee in a non-duty status with pay if national security considerations so warrant.

E9.3.4. Relationship to Security Clearance. Withdrawal of security access shall not necessarily be a prerequisite for exercising this special termination authority nor shall it be required that withdrawal of access be fully adjudicated prior to proposing termination under this provision.

E10. ENCLOSURE 10  
PROGRAM EVALUATION

The Director, Personnel and Security, in coordination with the Assistant Secretary of Defense for Command, Control, Communications, and Intelligence, shall ensure the comparability of position classification standards, compensation, and other major Defense Civilian Intelligence Personnel System provisions across organizational lines consistent with the distinct missions and functions of each component covered by this Administrative Instruction.

## E11. ENCLOSURE 11

### DCIPS GRADING STANDARD FOR ASSIGNING GRADES OR GRADE BANDS

#### E11.1. INTRODUCTION

The DCIPS Grading Standard is a standard for assigning grades or grade bands to classify all positions, grade levels 1-15 and DISL (or equivalent bands).

E11.1.1. The non-supervisory grading standard in section E11.2. uses five factors to grade positions by measuring the position's worth in the following areas:

E11.1.1.1. FACTOR A. Essential Knowledge. The kind or nature of knowledge, experience, and education necessary to accomplish the assigned work.

E11.1.1.2. FACTOR B. Guidelines. The references used for performing the work, and the judgment and originality necessary to apply the references or develop new guidelines.

E11.1.1.3. FACTOR C. Scope of Authority and Effect of Decisions. The purposes, scope, and effect of the work.

E11.1.1.4. FACTOR D. Work Relationships. The people, conditions, and reasons for which contacts are made as well as the skill necessary to accomplish work through person-to-person activities.

E11.1.1.5. FACTOR E. Supervision Received. The manner in which the work is assigned, carried out, and reviewed by the supervisor.

E11.1.2. The supervisory standard in section E11.3. is the method for assigning grade levels to both supervisory and managerial positions. This standard also uses five factors to grade positions by measuring the position's worth in the following areas:

E11.1.2.1. FACTOR A. Guidelines. The references used for performing the work, and the judgment and originality necessary to apply the references or develop new guidelines.

E11.1.2.2. FACTOR B. Scope and Variety of Operations. Workload and variety of work supervised.

E11.1.2.3. FACTOR C. Work Relationships. The people, conditions, and reasons for which contacts are made, as well as the skill necessary to accomplish work through person-to-person activities.

E11.1.2.4. **FACTOR D. Supervision Exercised.** The degree of both technical and administrative supervision over the subordinate staff.

E11.1.2.5. **FACTOR E. Complexity of Work Supervised.** Grade level of highest non-supervisory work both technically and administratively supervised.

E11.1.3. **General Guidelines**

E11.1.3.1. Each factor degree description serves as a reference point with corresponding point values for each degree.

E11.1.3.2. The classification official may adjust the point values for any factor based on his or her sound management and position classification judgment. The classification official translates the total point score to each grade from 1 through 15 and DISL by using the applicable Grade Conversion Table (E11.T1. or E11.T3.). This method encourages uniformity of approach and allows the greatest management flexibility.

E11.1.3.3. Supplementing Occupational Guides define coverage, titles, grade bands for the covered career ladders, and the skill areas and performance levels typically found in those grade bands. They may also contain specific classification guidance such as benchmark job descriptions or specific factor degree descriptions. DCIPS Guides may not supersede the DCIPS Grading Standard.

E11.1.3.4. Typically, grade bands differ by the type of work and qualification requirements of the various occupations or specialties. Each band consists of two or more grades commonly found within the career ladder for any occupation or specialty. Grade bands do not establish targets for all positions. Rather, they represent occupational grade levels that may be appropriate, based on the work assigned to the position, the needs of that organization, and established position management requirements. The grade bands for DCIPS-wide career paths are shown on the applicable Grade Conversion Tables (E11.T1. or E11.T3.) and shown in Table E11.T4. They represent a tool to check consistency between series and occupations, and are also listed below.

E11.1.3.4.1. **Clerical Specialties** (e.g., Clerk-Typists, Lower Level Secretaries, Work Processors, Voucher Examiners, File Clerks).

E11.1.3.4.1.1. Band 1 (equivalent to grade levels 1 through 4): Entry Level.

E11.1.3.4.1.2. Band 2 (equivalent to grade levels 5 through 9): Full Performance Level.

E11.1.3.4.2. Technician and Assistant Specialties (e.g., Engineering and Science Technicians, Computer Technicians, Intelligence or Security Assistants, Personnel and Budget Assistants, Computer Operators).

E11.1.3.4.2.1. Band 1 (equivalent to grade levels 1 through 4): Entry Level.

E11.1.3.4.2.2. Band 2 (equivalent to grade levels 5 through 9): Full Performance Level.

E11.1.3.4.2.3. Band 3 (equivalent to grade levels 10 through 13): Expert Level.

E11.1.3.4.3. Professional and/or Administrative Specialties (e.g., Engineers, Scientists, Budget, Supply, other analysts and/or specialists).

E11.1.3.4.3.1. Band 2 (equivalent to grade levels 5 through 9): Entry or Developmental Level.

E11.1.3.4.3.2. Band 3 (equivalent to grade levels 10 through 13): Full Performance Level.

E11.1.3.4.3.3. Band 4 (equivalent to grade levels 14 through 15): Expert Level.

E11.1.3.4.3.4. Band 5: DISL.

E11.1.3.5. Terminology used throughout all classification guides is sometimes misinterpreted. The terms "program" and "project" are defined in enclosure 2.

## E11.2. NON-SUPERVISORY POSITIONS

The following are the Factor and Degree Descriptions for Non-supervisory DCIPS Positions.

E11.2.1. FACTOR A. Essential Knowledge. This factor measures the nature and extent of information or facts that employees must understand to do acceptable work (e.g., steps, procedures, practices, rules, policies, theories, principles, and concepts) and the nature and extent of the skills necessary to apply their knowledge.

E11.2.1.1. Degree A-1 - 5 Points. Knowledge of simple, routine, or repetitive tasks or operations that typically includes following step-by-step instructions, and skills to operate simple equipment that both require little or no previous training or experience to acquire.

E11.2.1.2. Degree A-2 - 15 Points. Knowledge of basic or commonly used rules, procedures, or operations, and basic skills to operate equipment, such as keyboard equipment and reproduction equipment, that both typically require some previous training or experience to acquire.

E11.2.1.3. Degree A-3 - 20 Points. Knowledge of a body of standardized rules, procedures, or operations requiring considerable training and experience to apply to the full range of standard clerical and non-clerical assignments and resolve recurring problems; and the skill, acquired through considerable training and experience, to operate and adjust varied equipment to, for example, perform numerous standardized tests or operations.

E11.2.1.4. Degree A-4 - 30 Points. Knowledge of an extensive body of rules, procedures, or operations requiring extended training and experience to apply to a wide variety of interrelated or non-standard procedural assignments and resolve a wide range of problems; and practical knowledge of standard procedures in a technical field requiring extended training or experience to perform such work as:

E11.2.1.4.1. Adapting equipment by considering the functioning characteristics of that equipment.

E11.2.1.4.2. Interpreting the results of tests based on previous experience and observations (rather than directly reading instruments or other measures).

E11.2.1.4.3. Extracting information from various sources by considering the applicability of information and the characteristics and quality of the sources.

E11.2.1.5. Degree A-5 - 40 Points. Knowledge of the basic principles, concepts, and methodology of a professional or administrative occupation that requires a pertinent baccalaureate educational program or its equivalent in experience, training, or independent study to acquire. And skill in applying this knowledge to elementary assignments, operations, or procedures; and/or in addition to the practical knowledge of standard procedures in Degree A-4 above, practical knowledge of technical methods to perform assignments such as carrying out limited projects that involve specialized, complicated techniques.

E11.2.1.6. Degree A-6 - 60 Points. Knowledge of the principles, concepts, and methodology of a professional or administrative occupation as previously described in degree A-5 that is supplemented either by:

E11.2.1.6.1. Skills gained through job experience to independently perform recurring assignments.

E11.2.1.6.2. Expanded professional or administrative knowledge gained through relevant graduate study or experience, which has provided skill in carrying out

assignments, operations, and procedures that are significantly more difficult and complex than those in degree A-5.

E11.2.1.6.3. Practical knowledge of a wide range of technical methods, principles, and practices similar to a narrow area of a professional field and skill in applying this knowledge to such assignments as the design and planning of difficult projects with a lot of precedence.

E11.2.1.7. Degree A-7 - 80 Points. Knowledge of a wide range of concepts, principles, and practices in a professional or administrative occupation, such as would be gained through extended graduate study or experience and skill in applying this knowledge to difficult and complex work assignments; and/or a comprehensive, intensive, practical knowledge of a technical field and skill in applying this knowledge to the development of new methods, approaches, or procedures.

E11.2.1.8. Degree A-8 - 95 Points. Assignments require a mastery of one or more professional or administrative fields. The expert applies experimental theories and new developments to problems not susceptible to treatment by accepted methods; makes decisions or recommendations significantly changing, interpreting, or developing important policies and programs.

E11.2.1.9. Degree A-9 - 115 Points. Assignments at this level require a mastery of a professional or administrative field in order to generate and develop new hypotheses and theories. The expert is a leading authority in the specialty not only within OSD, but also throughout the Defense establishment and the Intelligence Community.

E11.2.2. FACTOR B. Guidelines. This factor measures the nature of the guidelines used (e.g., regulations, procedures, precedents, methods, techniques and other guidelines that govern the work) and the degree of interpretation required of these references, including elements of judgment and originality.

E11.2.2.1. Degree B-1 - 10 Points. Specific, detailed guidelines covering all important aspects of the assignment are provided to the employee. The employee works in strict adherence to the guidelines; the supervisor must authorize any deviations.

E11.2.2.2. Degree B-2 - 25 Points. Procedures for performing the work are established and a number of specific guidelines are available. The number and similarity of guidelines and work situations require the employee to use judgment in locating, selecting, and applying the most appropriate guidelines, references, and procedures and in making minor deviations to adapt the guidelines in specific cases.

E11.2.2.3. Degree B-3 - 50 Points. Guidelines are available, but are not completely applicable to the work or have gaps in specificity. The employee uses judgment in interpreting and adapting guidelines such as the Activity policies,

regulations, precedents and work directions to specific cases or problems. The employee analyzes results and recommends changes.

E11.2.2.4. Degree B-4 - 70 Points. Administrative policies and precedents are applicable, but are stated only in very general terms. Guidelines for performing the work are scarce or of limited use. The employee uses initiative and resourcefulness in deviating from traditional methods or researching trends and patterns to develop new methods, criteria, or policies.

E11.2.2.5. Degree B-5 - 95 Points. Guidelines are broadly stated and nonspecific (e.g., broad policy statements and basic legislation that require extensive interpretation). The employee must use judgment and ingenuity in interpreting the intent of guides that do exist and in developing applications to specific areas of work. Frequently, the employee is recognized as an authority in the development and interpretation of guidelines.

E11.2.2.6. Degree B-6 - 115 Points. Guidelines are virtually non-existent. Precedents are obscure or not available. Originality, creativity, and/or long-term experience are required to deal with or to plan theoretical, experimental, or complex programs of such advanced and novel character that the employee must develop new concepts and methodology. The employee develops definitive plans and heads pioneering efforts to solve problems that extend current theory.

E11.2.3. FACTOR C. Scope of Authority and Effect of Decisions. This factor covers the relationship between the nature of the work (e.g., purpose, breadth, and depth of assignments) and the effect of the work, products, or services both within and outside the organizational element. Effect also measures such things as whether the work output facilitates the work of others, provides timely service of a personal nature, or impacts the adequacy of research conclusions.

E11.2.3.1. Degree C-1 - 15 Points. Employee takes or recommends actions on routine assignments or portions of special assignments where errors in decisions or commitments can be readily detected and corrected. The primary consequence of the employee's errors is localized loss of time.

E11.2.3.2. Degree C-2 - 30 Points. Employee makes decisions on how to apply established procedures, and initiates actions that affect various organizational units. Errors that he or she makes in decisions or commitments are not immediately apparent but reveal themselves in subsequent operations. An error may result in loss of time in other organizational units.

E11.2.3.3. Degree C-3 - 50 Points. Employee makes decisions based on his or her interpretation of regulations and practices, and initiates actions that affect various organizational units. His or her commitments that do not involve interpretation of policy

or the setting of precedents may have an adverse effect upon the activities of the assigned element. Errors may cause delays and waste time and resources within the element.

E11.2.3.4. Degree C-4 - 70 Points. Employee interprets policy or sets precedents. He or she also makes authoritative determinations and advises on technical problems. His or her decisions and commitments often involve large expenditures of resources and have a strong impact on important programs.

E11.2.3.5. Degree C-5 - 90 Points. Employee makes recommendations and decisions that materially affect the scope and direction of large and complex programs of significance, or technical and scientific activities of crucial importance to the mission. His or her commitments may initiate major programs, or cancel or modify existing major programs.

E11.2.3.6. Degree C-6 - 110 Points. Employee makes recommendations and decisions that directly affect whether the overall mission is achieved and may result in major policy changes that affect not only the DoD Component or major subdivision of the Component, but others as well. Employee has the authority, limited only by governing policy and precedents, to commit a major subdivision of a DoD Component to a course of action that is directly related to its overall mission.

E11.2.4. FACTOR D. Work Relationships. This factor includes contacts with persons not in the supervisory chain, and is based on what is required to take the initial contact, the difficulty of communicating with those contacted, and the degree to which the employee and those contacted recognize their relative roles and authorities. The purpose of the contacts ranges from factual exchanges of information to situations involving significant or controversial issues and differing viewpoints, goals, or objectives.

E11.2.4.1. Degree D-1 - 15 Points. Person-to-person work relationships are a regular and necessary part of the job and are for the purpose of giving or obtaining factual information that is easy to convey and simple to understand.

E11.2.4.2. Degree D-2 - 35 Points. Person-to-person work relationships are for the purpose of giving or obtaining information on problems where some explanation or interpretation of facts is required in order to render service, implement regulations and policies, or maintain coordination.

E11.2.4.3. Degree D-3 - 55 Points. Person-to-person work relationships are for the purpose of giving or obtaining information on non-routine problems requiring not only explanation or interpretation of facts, but also discussion of implications and inferences in order to gain concurrence or persuade to action.

E11.2.4.4. Degree D-4 - 75 Points. Person-to-person work relationships are for the purpose of discussing policy matters and major changes in program emphasis in

order to provide authoritative advice on their effect and feasibility, to gain necessary cooperation and support, or to persuade to action.

E11.2.4.5. Degree D-5 - 95 Points. Person to-person work relationships are for the purpose of securing acceptance or indispensable support of, or explaining and defending, policies and programs that represent the most controversial or crucial phases of the programs. Personal contacts are typically with high-ranking officials at national or international levels, with executives of large industrial firms, or with policy makers and senior staff of other DoD organizations or the Intelligence Community.

E11.2.5. FACTOR E. Supervision Received. This factor covers the nature and extent of the controls that the supervisor directly or indirectly exercises; the employee's responsibility; and the methodology for reviewing completed work.

E11.2.5.1. Degree E-1 - 5 Points. The supervisor makes specific assignments that are accomplished by clear, detailed, and specific instructions. As the employee gains familiarity with the work, instructions are not detailed for repetitive tasks, but the employee's responsibilities remain clearly defined. The employee works as instructed and consults with the supervisor as required on matters that are not in the original instructions. The supervisor reviews the work for such things as accuracy, adequacy, and adherence to instructions and established procedures.

E11.2.5.2. Degree E-2 - 20 Points. The supervisor maintains control over work through checking for accuracy, adequacy, and adherence to instructions. Instructions given to the employee are well defined, but the employee may recommend modifications to these instructions if the assignment is new, difficult, or unusual. The employee carries out routine assignments, but may refer unforeseen problems and unusual situations to the supervisor for help or decisions.

E11.2.5.3. Degree E-3 - 35 Points. The supervisor directs the work of the employee by defining objectives, priorities, and deadlines, and assists the employee with unusual situations that do not have clear precedents. The employee plans and carries out successive steps and handles problems and deviations in the work assignment according to instructions, previous training, or accepted practices in the occupation. Finished work is reviewed for accuracy, quality, and compliance with more complex instructions and guidelines.

E11.2.5.4. Degree E-4 - 55 Points. The supervisor sets the overall objectives and resources available. The employee and supervisor, while consulting with one another, develop the deadlines and projects. The employee is responsible for planning and carrying out the assignment, resolving most of the conflicts that arise, and interpreting policy in terms of established objectives. The supervisor is kept informed of progress and any controversial matters. The supervisor reviews the finished work and methods for accuracy, effectiveness, and compliance with complex instructions and guidelines.

E11.2.5.5. Degree E-5 - 75 Points. The supervisor generally only provides administrative direction with assignments in terms of broadly defined missions or functions. The employee has responsibility for planning, designing, and carrying out programs, projects, studies, or other work independently. The supervisor is kept informed of significant developments. The supervisor reviews the completed work only from an overall standpoint of feasibility, compatibility, effectiveness, or expected results and for its contribution to the overall project or program.

E11.2.5.6. Degree E-6 - 95 Points. The supervisor provides direction in terms of overall activity missions and policies. The employee selects objectives, plans, and methods independently of any review. Authority delegated by the supervisory to the employee is complete. The employee resolves broad policy questions or major problems of coordination with advisors and/or personnel of other OSD elements. Recommendations by the employee for new projects and alterations of objectives are usually evaluated for the availability of funds and other resources, broad program goals, or national priorities. Results of the employee's completed work are technically authoritative and are normally accepted within the Department and/or joint organizations without significant change.

E11.2.5.7. Degree E-7 - 115 Points. The employee is often the most authoritative professional in a particular field within the Department and/or joint organization. The employee's work is generally considered to be pioneering in a particular specialty. Supervision is minimal. The independence of his or her action inherent at this level is limited only by the availability of funds and other resources and/or major program goals and national priorities.

Table E11.T1. Grade Conversions for Non-supervisory Positions

This table converts total points values from the standard to all non-supervisory positions from grades GS-1 through Defense Intelligence Senior Level (DISL).

| <u>TOTAL POINTS</u> | <u>GRADE LEVEL</u> | <u>BAND DESCRIPTION</u>   |
|---------------------|--------------------|---|
| 0 - 19              | 1                  | Entry Level for Technician and Clerical Bands   |
| 20 - 29             | 2                  |   |
| 30 - 44             | 3                  |   |
| 45 - 79             | 4                  |   |
| 80 - 104            | 5                  | Full Performance Level for Technician and Clerical Bands and Entry Level for Professional and Administrative Band |
| 105 - 129           | 6                  |   |
| 130 - 159           | 7                  |   |
| 160 - 179           | 8                  |   |
| 180 - 204           | 9                  |   |
| 205 - 224           | 10                 | Expert Level for Technician Band and Full Performance Level for Professional and Administrative Band              |
| 225 - 244           | 11                 |   |
| 245 - 294           | 12                 |   |
| 295 - 339           | 13                 |   |
| 340 - 379           | 14                 | Expert Level for Professional and Administrative Band   |
| 380 - 424           | 15                 |   |
| 425+                |                    | Defense Intelligence Senior Level (DISL)  |

E11.3. SUPERVISORY POSITIONS

The following are the Factor Degree Descriptions for Supervisory DCIPS Positions.

E11.3.1. FACTOR A. Guidelines. This factor measures the degree to which judgment and originality play a role in the supervisor's assignment. It is the availability and strict adherence to guidelines that gauges the level of independent judgment and initiative in a supervisory position. The supervisor:

E11.3.1.1. Degree A-1 - 15 Points. Works in strict adherence to guidelines; and his or her immediate supervisor must authorize deviations.

E11.3.1.2. Degree A-2 - 35 Points. Works in adherence to guidelines but may utilize some independent discretion in locating and selecting the most appropriate guidelines or reference.

E11.3.1.3. Degree A-3 - 55 Points. Utilizes judgment, resourcefulness, and initiative in adapting and applying guidelines. Is responsible for analyzing results and recommending changes to deal with the more difficult or unusual assignments.

E11.3.1.4. Degree A-4 - 75 Points. Uses judgment and ingenuity to interpret existing guidelines. May have to make major or novel adaptations to existing guidelines to accomplish the mission.

E11.3.1.5. Degree A-5 - 95 Points. Exercises a very high degree of originality and sound judgment in formulating, evaluating, and monitoring the organization's programs. Guidelines at this level have only limited application in the most significant areas of work. When new concepts or technologies are developed, he or she has no precedents and/or guidelines to predict expected results and develop appropriate criteria, methods, procedures, and techniques. Also uses judgment and ingenuity to guide personnel in the analysis of these unique problems and develop new and improved techniques and methods for the organization's mission.

E11.3.1.6. Degree A-6 - 115 Points. Develops plans and programs that sometimes are involved in pioneering efforts, which require a great deal of ingenuity and originality to apply in specific areas of the organization's mission. The only available guidelines are broad statements of policy. Precedents are obscure or non-existent. A supervisor at this level has full and final technical responsibility for the work of the organization.

E11.3.2. FACTOR B. Scope and Variety of Operations. This factor is intended to measure the extent to which size, workload, and a variety of functions of the organization that the supervisor supervises contribute to the difficulty of the supervisor's position. The supervisor is:

E11.3.2.1. Degree B-1 - 25 Points. Responsible for supervising the day-to-day work in which the operations are well defined and the work methods are firmly established. Only one kind of work is normally represented. Supervisor directs work-flow, guides employees in applying established procedures, assigns new or additional work when required, trains new employees, and initiates personnel actions. Reviews work in progress or once it is complete for its overall quality and to ensure that it complies with instructions.

E11.3.2.2. Degree B-2 - 65 Points. Responsible for planning and supervising the work of an element or work center for which the programs and objectives are clearly defined and the organizational structure is fully established. More than one kind of work may be present, requiring an additional body of knowledge. The supervisor's workload

may vary moderately due to cyclic fluctuations. The incumbent plans workflow and directs the work by adjusting workloads and adapting or modifying procedures to alleviate backlogs or delays. He or she also reviews completed work for technical adequacy and to see if it complies with instructions, and is responsible for its quality and quantity.

E11.3.2.3. Degree B-3 - 95 Points. Responsible, directly or through subordinate supervisors, for organizing, planning, and directing the work program of an element for which program objectives and limitations are established. This level of supervision has a greater variety of work and activities requiring frequently shifting work assignments and diversified occupational specialties. The supervisor may need to alter the organizational structure of the element and work methods to meet changes in requirements and shifts in workload. He or she assigns personnel and consults with superiors on major technical and administrative problems, and is responsible for the effective use of assigned personnel and for the quality and quantity of work produced.

E11.3.2.4. Degree B-4 - 125 Points. Responsible for directing and coordinating diverse work programs through intermediate levels of supervision, and efficiently and economically managing personnel and material resources. Within the framework of policy, he or she determines organizational structure and approves work plans and methods. Work at this level requires the supervisor to be constantly adjusting to the unpredictable consequences of added pressure. Additional supervisory problems may exist because he or she supervises:

E11.3.2.4.1. Subordinates that are located in widely separated locales.

E11.3.2.4.2. Assignments, deadlines, and goals that constantly change.

E11.3.2.4.3. A wide variety of distinct occupations.

E11.3.2.4.4. Shift operations, or activities that are carried out through two or more shifts.

E11.3.2.5. Degree B-5 - 150 Points. Responsible for executing a primary mission by managing and administering a group of major work programs. He or she is fully accountable for the economy and efficiency of operations, compliance with policy, and program goals and objectives. The variety and nature of the work that he or she supervises is often at the technical frontiers of not only OSD but also throughout the Department of Defense and the Intelligence Community.

E11.3.3. FACTOR C. Work Relationships. This factor deals with the difficulty of attaining work goals and objectives through personal contacts both within and outside the Activity and the nature, frequency, and purpose of person-to-person work relationships that the position requires.

E11.3.3.1. Degree C-1 - 15 Points. The supervisor has highly structured contact with personnel in his or her immediate element of an incidental nature that does not play any role in overall performance.

E11.3.3.2. Degree C-2 - 35 Points. Person-to-person work relationships are required, but are not essential in the supervisor's overall daily performance. Contacts at this level would normally be within the supervisor's organization to explain changes in work patterns or to explain deviations in work processes or methods. The supervisor occasionally coordinates with other organizations that have a similar mission; relationships may develop if guidelines or instructions require the supervisor and other organizations to coordinate to avoid backlogs or delays.

E11.3.3.3. Degree C-3 - 55 Points. Contact is a regular and necessary part of the supervisor's function and is generally to clarify or give facts or information for subject matter that requires some interpretation. At this level, most contacts are within the supervisor's own assigned organization; however, occasional contacts may be with external organizations whose missions differ considerably from the supervisor's element.

E11.3.3.4. Degree C-4 - 75 Points. The supervisor must have daily contact with personnel in a wide variety of Activity elements having mission-related activities and occasionally with operating personnel within the Department of Defense and the Intelligence Community. Purpose of contacts is to resolve non-routine problems affecting the overall activities of the element. At this level, he or she must be able to persuade or influence others to concur on major issues that affect the supervisor's element.

E11.3.3.5. Degree C-5 - 95 Points. The supervisor has person-to-person work relationships to justify, demand, negotiate, or settle matters involving significant or controversial issues. Contacts are generally with high-ranking officials both within and outside the DoD Component. He or she is expected to provide authoritative advice and guidance, be a spokesman for the organization, and be able to win support for the organization's programs.

E11.3.3.6. Degree C-6 - 115 Points. The supervisor has person-to-person work relationships to negotiate or solve issues relating to the most significant programs of OSD or the DoD Component. He or she must defend extremely controversial or critical long-range plans of the Activity. These contacts would be at the highest levels of OSD or the DoD Component, with ranking officials of other Government Agencies, or with executives of corporations having dealings with OSD or the DoD Component.

E11.3.4. FACTOR D. Supervision Exercised. The factor measures are the degree to which the supervisor is responsible for the various facets of technical and administrative supervision, including having a substantive knowledge of the work performed by subordinates; his or her involvement in such things as planning and organization, work assignment, and review; and the exercise of supervisory personnel

functions. This is, in effect, an expression of the extent of supervision received from higher levels and the extent of the supervisor's responsibility for the work.

E11.3.4.1. Degree D-1 - 25 Points. At this level, the supervisor performs only basic supervision, such as ensuring that work schedules are met, the work force is adequate to accomplish assigned tasks, and that adequate equipment and supplies are available for employees. He or she reviews work in progress or once it is complete, explains any special instruction, and ensures that new employees receive proper training to perform the work. Oversees attendance and leave, approves sick and annual leave and vacation schedules, and evaluates the performance of subordinates through the performance appraisal system. The supervisor must refer any controversial or disciplinary measures to higher-level supervisors for adjudication.

E11.3.4.2. Degree D-2 - 65 Points. At this level, the supervisor performs the following supervisory functions in an addition to those in Degree D-1:

E11.3.4.2.1. Plans work schedules and the sequence of operations for subordinates on a regular basis for his or her assigned element, ensuring that deadlines are met and that there is an even flow of work.

E11.3.4.2.2. Revises work schedules, including overtime when appropriate, to meet changes in workload.

E11.3.4.2.3. Gives special instructions on difficult or unusual operations, answering technical questions about the work.

E11.3.4.2.4. Informs higher-level supervisors of anticipated vacancies, increases in workload, or other circumstances requiring replacements or additional staff.

E11.3.4.2.5. Informally recommends promotions, reassignments, and recognition of outstanding performance by recommending awards.

E11.3.4.2.6. Resolves the informal complaints of employees that are within their jurisdiction, contacting higher levels of supervision for information and to correct unsatisfactory conditions.

E11.3.4.2.7. Directs on-the-job training for employees and provides back-up skills by cross training.

E11.3.4.2.8. Advise employees of their performance requirements and informs them individually on their progress toward meeting requirements.

E11.3.4.2.9. Holds corrective interviews with employees and refers disciplinary problems to higher-level supervision.

E11.3.4.2.10. Prepares formal evaluations of employee performance.

E11.3.4.2.11. Explains to employees the main features and general procedures of promotion plans, training programs, and opportunities; and seeks answer to more technical questions from higher-level supervisors or staff specialists.

E11.3.4.2.12. Informs employees about the policies, procedures, and goals of management as they relate to the work of the element.

E11.3.4.2.13. Informs superiors of employee participation, suggestions, and reactions.

E11.3.4.3. Degree D-3 - 95 Points. In addition to the functions in D-2, a supervisor at this level has the authority to organize work to achieve efficient and economical operations within allowable costs, staffing levels, and policies that higher levels of supervision established. He or she also has the authority to define the standards for the work and prepare and issue internal instructions and procedures to accomplish it. In addition to responsibilities for keeping employees and higher-level supervisors informed of personnel matters that affect them, supervisors at this level can prepare formal and follow-up actions for most supervisory personnel functions. Also, at this level the supervisor shall have a substantial measure of responsibility for how technically sound the work is that he/she supervises. He or she:

E11.3.4.3.1. Seeks advice and assistance from other available sources on particularly difficult and out-of-the-ordinary technical problems.

E11.3.4.3.2. Provides input to supervisors on the element's budgeting requirements based on anticipated workload and production capability.

E11.3.4.3.3. Provides for all of the normal personnel and administrative functions for the element and is usually the supervisory level that provides the primary input for promotions and award recommendations within an organization.

E11.3.4.4. Degree D-4 - 125 Points. At this level, in addition to the functions in D-3, the incumbent is responsible for supervising an organization through one or more levels of subordinate supervisors. In addition to the authority to make changes in the organization of work within allowable costs and established policies, he or she has the authority to develop plans and schedules that guide subordinate supervisors to meet program goals, objectives, and broad priorities established by higher levels of management. The incumbent has full technical and/or administrative responsibility for the work of the organization.

E11.3.4.5. Degree D-5 - 150 Points. At this level, the incumbent has full and final technical responsibility for the work of the organization and its programs. He or she:

E11.3.4.5.1. Directs, through subordinate supervisors, the work of a major component of the Activity.

E11.3.4.5.2. Develops program goals and plans for the organization independently or jointly with senior managers or their equivalent in the DoD Component; and is held responsible for the success or failure of programs that have a direct bearing on major activities of the Department of Defense or the Intelligence Community.

E11.3.4.5.3. Determines resources needs and allocates resources and accounts for their effective use and the need of organizational changes that have considerable impact on OSD (e.g., operating costs, key positions, etc.).

E11.3.4.5.4. Sets policy for the organization, such as determining program emphasis and operating guidelines, and coordinating program efforts with other key elements or with the activities of other agencies.

E11.3.4.5.5. Delegates authority to subordinate supervisors and holds them responsible for the performance of their organizational elements.

E11.3.5. FACTOR E. Complexity of Work Force Supervised. This factor indicates the nature, level, and difficulty of the work supervised or managed. The level for this factor that applies to the employee must be the highest full-performance level of non-supervisory work found in the subordinate work unit, as shown in table E11.T2., below.

Table E11.T2. Levels of Non-supervisory Work Supervised

| <u>POINTS</u> | <u>GRADE LEVEL (S)</u> |
|---------------|------------------------|
| 35            | 1 through 4            |
| 40            | 5 through 6            |
| 45            | 7 through 8            |
| 50            | 9 through 10           |
| 55            | 11                     |
| 60            | 12                     |
| 65            | 13                     |
| 70            | 14                     |
| 75            | 15                     |
| 80            | Over 15                |

Table E11.T3. Grade Conversions for Supervisory Positions

| <u>POINTS</u> | <u>GRADE LEVEL (S)</u> |
|---------------|------------------------|
| 120 - 139     | 6                      |
| 140 - 164     | 7                      |
| 165 - 184     | 8                      |
| 185 - 204     | 9                      |
| 205 - 227     | 10                     |
| 228 - 249     | 11                     |
| 250 - 289     | 12                     |
| 290 - 344     | 13                     |
| 345 - 394     | 14                     |
| 395 - 444     | 15                     |
| 445+          | Over 15                |

Table E11.T4. Grade Bands

|   | <u>BAND 1</u> | <u>BAND 2</u>         | <u>BAND 3</u>      | <u>BAND 4</u> | <u>BAND 5</u>   |
|---|---------------|-----------------------|--------------------|---------------|-----------------|
| <u>Grade Levels</u>                       | 1 2 3 4       | 5 6 7 8 9             | 10 11 12 13        | 14 15         | Above 15        |
| <u>Professional &amp; Administrative*</u> | N/A           | Entry Development     | Full Performance** | Expert**      | Senior Expert** |
| <u>Technician</u>                         | Entry         | Full Performance**    | Expert **/**       |               |                 |
| <u>Clerical</u>                           | Entry         | Full Performance**/** |                    |               |                 |

\* The grade bands for both Professional and Administrative career paths are identical and depicted together.

\*\* Depicted grade bands for these career paths are not meant to preclude the "dual track" concept. Supervisory and managerial jobs may also be found in these grade bands. First and second line supervisory positions are most frequently equated with the Full Performance band, managerial positions with the Expert band, and executive positions with the Senior Level band.

\*\*\* Clerical employees nearing or reaching the limit of the top grade band for their career path may, in some cases, be considered for progression by promotion, reassignment, or change to lower grade, after on-the-job development or other training and education, to the Technician or Administrative career paths. Technicians may be considered for similar progression to jobs in the Administrative or Professional career paths.

E12. ENCLOSURE 12

CONDITIONS OF EMPLOYMENT

E12.1.1. Before employment in a DCIPS position, each individual shall sign a statement of understanding to document any employment conditions.

E12.1.1.1. Failing to document or retain the employee's statement accepting all the conditions of employment shall not release the employee from any of the conditions if he or she knew or should have known about them.

E12.1.1.2. The Head of the OSD/WHS Component, as applicable, shall determine the conditions of employment for DCIPS personnel in his/her organization, incorporating all relevant statutory requirements, Executive Branch policies, and DoD Directives into the decision. The OSD/WHS Component shall comply with controlling regulations, if any, for each condition of employment.

E12.1.2. The Head of the OSD/WHS Component, as applicable, shall impose the conditions of employment when doing so is in the best interests of the DCIPS, the national security, or to otherwise comply with law or a controlling Directive. Examples of possible conditions of employment are the requirements to obtain and maintain access to the level of classified information required for a position, to undergo a periodic polygraph examination, to be mobile, or to obtain and maintain professional certification or license.

E12.1.3. Applicants failing or refusing to meet applicable conditions of employment may not be appointed. Employees failing or refusing to maintain a condition of employment shall be removed from a position requiring that condition of employment by reassignment, demotion, or removal from the Federal service per part 752 of reference (f) and/or enclosure 8.

E13. ENCLOSURE 13

CRITERIA FOR DESIGNATING ORGANIZATIONS & POSITIONS AS DCIPS

E13.1. ORGANIZATIONAL

All positions in organizations that have a primary intelligence mission may be designated as intelligence organizations, pursuant to reference (b) and this Administrative Instruction.

E13.2. OCCUPATIONAL

Positions in DoD organizations that are not DoD Intelligence Components may be designated as DCIPS when the functions of the positions require engagement in intelligence and related work requiring a significant degree of specialized intelligence skills (references (b) and (q)), including specifically:

E13.2.1. Positions in the GS-132 (Intelligence) or GS-134 (Intelligence Aid and Clerk) series.

E13.2.2. Positions in GS-080 (Security Administration) or GS-086 (Security Clerical and Technician) series, the duties of which are predominately intelligence-related. Intelligence-related GS-080 positions involve directing, planning, developing, implementing, coordinating, controlling, inspecting, or conducting specific programs. These programs are designed primarily to protect information, materiel, operations, and/or facilities from such national security threats as compromise unauthorized disclosure or espionage. These positions generally perform one or more of the following security specialties:

- E13.2.2.1. Personnel.
- E13.2.2.2. Information.
- E13.2.2.3. Industrial.
- E13.2.2.4. Technology.
- E13.2.2.5. Foreign Disclosure.
- E13.2.2.6. Communications.
- E13.2.2.7. Electronic.

E13.2.2.8. Operations.

E13.2.2.9. Automation.

E13.2.3. Scientific and technical positions engaged in targeting and/or engineering, physical, or technical sciences that are in an intelligence function (e.g., General Military Intelligence Analyst). These positions are classified in two-grade interval series such as the GS-800 (Engineering & Architecture) and GS-1300 (Physical Sciences) occupational groups.

E13.2.4. Other non-clerical positions under the excepted service appointment authority of Schedule A, section 213.3106(d)(1).

### E13.3. DISCRETIONARY

Other positions that directly support intelligence functions within non-intelligence organizations in the Department of Defense at the discretion of the ASD(C3I) and the Head of the OSD/WHS Component concerned pursuant to references (b) and (q).

E14. ENCLOSURE 14

DEFENSE INTELLIGENCE SENIOR EXECUTIVE SERVICE (DISES)

E14.1. INTRODUCTION

This enclosure prescribes authorities and assigns responsibilities for the administration of Defense Intelligence Senior Executive Service (DISES) positions.

E14.2. RESPONSIBILITIES

E14.2.1. The Assistant Secretary of Defense for Command, Control, Communications, and Intelligence (ASD(C3I)) shall:

E14.2.1.1. Oversee and direct policy for implementing and administering DISES *covered by this Administrative Instruction.*

E14.2.1.2. Review DISES allocations ensuring consistency with function and mission priorities and forward approval to the Director, Administration and Management.

E14.2.1.3. Designate positions as DISES with the concurrence of the Head of the OSD Component or Defense Agency to which the position reports.

E14.2.2. The Director, Administration and Management (DA&M)/Director, Washington Headquarters Services (WHS), shall:

E14.2.2.1. Ensure that DISES allocations do not exceed the number of positions *authorized by 10 U.S.C. §1606.*

E14.2.2.2. Provide personnel servicing for DISES positions pursuant to Deputy Secretary of Defense Memorandum, dated May 17, 2002 (reference(c)).

E14.2.2.3. *Execute other applicable executive priorities and guidance issued by the Secretary and the Deputy Secretary of Defense.*

E14.2.3. The General Counsel, Department of Defense/Director, Defense Legal Services Agency (DLSA) shall:

E14.2.3.1. Approve selection, promotion, and assignment of individuals to DISES positions for the DLSA.

E14.2.3.2. Approve details, rotation assignments, and reassignment of DISES members in the DLSA.

E14.2.3.3. Approve an increase or decrease in pay for personnel in DLSA DISES positions.

E14.2.4. The Heads of the OSD Components and Agencies with DISES positions receiving personnel services from the Director, P&S, shall, within their respective Components/Agencies:

E14.2.4.1. Select individuals for competitive appointment and noncompetitive assignment (e.g., reassignment, transfer, reinstatement, detail) to the DISES.

E14.2.4.2. Identify DISES members to serve on Boards and Panels, as necessary.

E14.2.4.3. Approve pay adjustments of eligible DISES members up to Level 4.

E14.2.4.4. Appraise the performance of DISES members in accordance with established performance plans (e.g., critical elements and standards).

E14.2.4.5. Recommend performance awards (bonuses) for DISES members.

E14.2.4.6. Recommend DISES members for Presidential Rank Awards.

E14.2.4.7. Upon classification of position by the Director, P&S, and identification of executive allocation, establish positions in the DISES.

E14.2.4.8. Request removals or suspensions for more than 14 days of DISES members. (See subparagraph E14.3.9.1.)

### E14.3. PROCEDURES

E14.3.1. Classification. *In accordance with §1606 of reference (a)*, the Director, P&S, shall classify DISES positions consistent with *the requirements set forth in 5 U.S.C. §3132(a)(2)* (reference (e)).

E14.3.2. Establish and Set Pay. Upon classification, the Director, P&S, shall establish DISES positions and set pay according to provisions outlined herein and reference (c).

E14.3.3. Boards and Panels. The Director, P&S, shall establish, as necessary, boards or panels to determine candidate qualifications, evaluate performance, and provide opportunities for executive development, among other executive management matters.

E14.3.4. Selection, Appointment, Promotion, and Assignment

E14.3.4.1. The Director, P&S, shall appoint, adjust pay and assign individuals to DISES positions consistent with the law, regulation, and this enclosure, and subject to the provisions of reference (r) for positions in the DLSA.

E14.3.4.2. The Director, P&S, shall detail, effect rotation assignments, transfers, and reassignment of DISES members within the OSD Components or to external DISES or equivalent positions, with the concurrence of the receiving DoD Component and consistent with reference (b).

E14.3.4.3. The Director, P&S, shall effect increases and decreases in pay according to law, *applicable DoD policies and regulations*, and this enclosure.

E14.3.4.4. The Director, P&S, shall notify employees occupying positions in non-DCIPS personnel systems, such as the SES or equivalent, according to each system's applicable laws and regulations before conversion to DISES. If an employee refuses to convert to DISES and the SES or equivalent position is abolished, he or she may be subject to removal or other procedures according to the laws and regulations that apply to their system. Once he or she has converted to a DISES position, an appointee must serve a 1-year trial period unless he or she has already successfully completed a probationary period of at least 1-year in an SES or equivalent position.

E14.3.5. Performance Appraisal and Awards System

E14.3.5.1. The Director, P&S, shall establish a single system for appraising how its personnel perform in DISES positions, consistent with *the requirements set forth in* subchapter II, Chapter 43 of 5 U.S.C. (reference (e)) by:

E14.3.5.1.1. Providing an appraisal methodology permitting the evaluating official to sufficiently measure and objectively evaluate how an incumbent performs in any position and any critical element of the position.

E14.3.5.1.2. Enabling the evaluating official to systematically appraise how executives perform.

E14.3.5.1.3. Complying with reference (r) to appraise how personnel in DLSA positions perform and grant awards. The General Counsel, Department of Defense/Director, DLSA, approves all performance evaluations and awards for DLSA personnel.

E14.3.5.1.4. The awards shall be consistent with amounts reference (e) authorizes.

E14.3.6. Rank Awards

E14.3.6.1. Rank awards recognize DISES members overall high-level exceptional performance over a period of years and are comparable to awards for members of the SES in 5 U.S.C. 4507 (reference (e)). The two levels of rank awards in the DISES are:

E14.3.6.1.1. Distinguished Executive - for "sustained extraordinary accomplishment."

E14.3.6.1.2. Meritorious Executive - for "sustained accomplishment."

E14.3.6.2. The OSD Component Heads may submit recommendations of DISES members for rank awards annually through the DA&M to the Secretary of Defense, according to established OSD Component procedures and a schedule that the DA&M determines. Awards for DLSA DISES members must be approved by the General Counsel, Department of Defense/Director, DLSA, according to reference (r) and procedures established by the DA&M.

E14.3.6.3. The Secretary of Defense reviews, approves, and submits the nominations to the President. A DISES member awarded either a Distinguished or Meritorious Rank Award may not receive the same award during the 4-fiscal years following the one for which the award was given. This includes Presidential Rank Awards that the President may have awarded to the DISES member as a Career SES member.

E14.3.6.4. An individual who receives either the Distinguished Executive or Meritorious Executive-level award is entitled to a lump-sum payment consistent with amounts that the SES receives. The respective DoD Intelligence and Non-Intelligence Component pays this lump sum in addition to the basic pay and any other award payment using funds from the fiscal year in which the individual receives the award.

E14.3.7. Compensation

E14.3.7.1. Rates of pay shall be equal to one of the six rates of basic pay that 5 U.S.C. 5382 (reference (e)) establishes for the SES. The appointing official may adjust pay at the same time and to the same extent as the Executive order adjusts the basic rates for the SES.

E14.3.7.2. The appointing official shall use management assessments of individuals to determine individual pay-settings when establishing initial pay rates or adjusting existing pay rates. When the appointing official assigns the basic rate of pay for any new position assignment, he or she shall consider the level of responsibility of the position, the qualifications of the appointee, availability of other qualified personnel, and geographic and organizational location. The General Counsel, Department of

Defense/Director, DLSA, coordinates on the recommended rate of basic pay for DLSA DISES positions.

E14.3.7.3. Initial pay-level adjustment must be after completing 12 months at a previous lower level. Thereafter, once in any 12-month period, the appointing official may increase a DISES member's rate of basic pay to any higher rate of the SES schedule based on his or her performance and the supervisory chain-of-command endorsement.

E14.3.7.4. The appointing official may only reduce a DISES member's rate of basic pay one pay level when he or she adjusts the pay. The appointing official shall issue written notice with reason(s) (e.g., performance) for reducing pay at least 15 days before the effective date. Reductions in rates of basic pay for DLSA DISES positions are determined by the General Counsel, Department of Defense/Director, DLSA, in consultation with the Head of the Intelligence Component/Defense Agency concerned.

E14.3.7.5. The appointing official authorizes additional compensation to recruit, relocate, and retain DISES members consistent with limitations in reference (e). For DLSA DISES positions, the General Counsel, Department of Defense/Director, DLSA, is the approving official (reference (r)).

E14.3.7.6. The aggregate amount paid to a DISES member during any calendar year (e.g., rate of basic pay, performance awards, and rank award) may not exceed the annual pay rate for Level I positions at that year's Executive schedule according to 5 U.S.C. §5384 (reference (e)). Any excess pay carries over as a lump sum at the beginning of the next calendar year and shall be applied toward the Level I limitation (5 U.S.C. §5307 (reference (e))).

E14.3.7.7. When DISES members involuntarily separate from the Federal service, not for reasons of cause, 5 U.S.C. §5595(a)(2)(i) (reference (e)) covers severance pay.

E14.3.7.8. The ASD(C3I), or designee, may grant DISES members sabbaticals consistent with 5 U.S.C. §3396(c) (reference (e)).

E14.3.7.9. 5 U.S.C. §6304 (reference (e)) limits the amount of annual leave DISES members may accumulate.

#### E14.3.8. Workforce Reshaping

E14.3.8.1. The Director, P&S, shall conduct a Reduction in Force (RIF) or Adjustment in Force (AIF) consistent with SC1004 of reference (h).

E14.3.8.2. The General Counsel, Department of Defense/Director, DLSA, shall, in consultation with the Head of the Intelligence Component affected, conduct RIF and AIF for DISES members in the DLSA.

E14.3.9. Adverse Actions

E14.3.9.1. *The approving official may take action against DISES members for removal or suspension for more than 14 days. Such actions shall be taken consistent with the requirement established in 5 U.S.C. §3592 and 5 U.S.C. §7543(a), (b), and (c) (reference (e)), and established WHS procedures. Any hearing or appeal shall be decided within the Department of Defense and is not reviewable outside the Department.*

E14.3.9.2. Adverse actions taken against DISES members in the DLSA are conducted under procedures established by the General Counsel, Department of Defense/Director, DLSA, consistent with 5 U.S.C. 3592 and 5 U.S.C. 7543(a), (b), and (c) (reference (e)).

E15. ENCLOSURE 15

DEFENSE INTELLIGENCE SENIOR LEVEL (DISL)

E15.1. INTRODUCTION

This enclosure prescribes authorities and assigns responsibilities for the administration of Defense Intelligence Senior Level (DISL) positions *covered by this Administration Instruction.*

E15.2. RESPONSIBILITIES

E15.2.1. The Assistant Secretary of Defense for Command, Control, Communications, and Intelligence (ASD(C3I)) shall:

E15.2.1.1. Oversee and direct policy for implementing and administering DISL *positions.*

E15.2.1.2. Review DISL allocations ensuring consistency with function and mission priorities and forward approval to the Director, Administration and Management (DA&M).

E15.2.1.3. Designate positions as DISL with the concurrence of the Head of the OSD Component or Defense Agency to which the position reports.

E15.2.2. The Director, Administration and Management (DA&M)/Director, Washington Headquarters Services (D, WHS) shall:

E15.2.2.1. Authorize the allocation of DISL resources.

E15.2.2.2. Provide personnel servicing for DISL positions.

E15.2.3. The General Counsel, Department of Defense (GC, DoD)/Director, Defense Legal Service Agency (D, DLSA) shall:

E15.2.3.1. Approve selection, promotion, and assignment of individuals to DISL positions for the Defense Legal Service Agency.

E15.2.3.2. Approve details, rotation assignments, and reassignment of DISL employees in the Defense Legal Services Agency.

E15.2.3.3. Approve an increase or decrease in pay for Defense Legal Services Agency personnel in DISL positions.

E15.2.4. The Heads of the OSD Components and Agencies with DISL positions receiving personnel services from the Director, P&S, shall, within their respective Components and/or Agencies:

E15.2.4.1. Select individuals for competitive appointment and noncompetitive assignment (e.g., reassignment, transfer, reinstatement, detail) to the DISL.

E15.2.4.2. Identify DISL employees to serve on Boards and Panels, as necessary.

E15.2.4.3. *Approve pay adjustments of eligible DISL members up to Level 4 of the DISL pay scale.*

E15.2.4.4. *Establish performance plans (critical elements and performance standards) in accordance with the performance system established pursuant to this Administration Instruction.*

E15.2.4.5. *Communicate critical elements and standards to the DISL member at the beginning of the rating period, where practicable, but not less than 90 days prior to the end of the rating period.*

E15.2.4.6. *Appraise the performance of DISL members in accordance with established performance plans.*

E15.2.4.7. *Recommend awards for DISL members.*

E15.2.4.8. *Upon classification of position by the Director, P&S, and identification of allocation, establish positions in the DISL.*

E15.2.4.9. *Request removals of DISL members or suspensions of more than 14 days. (See subparagraph E15.3.9.1.)*

### E15.3. PROCEDURES

E15.3.1. Classification. The Director, P&S, shall classify DISL positions consistent with 10 U.S.C. 1607(a) (reference (a)).

E15.3.2. Establish Positions and Set Pay. Upon classification, the Director, P&S, shall establish DISL positions and set pay according to provisions outlined herein and reference (c).

E15.3.3. Boards and Panels. The Director, P&S, shall establish, as necessary, boards or panels to determine candidate qualifications, evaluate performance and provide opportunities for senior-level employees, among other DISL matters.

E15.3.4. Selection, Appointment, Promotion, and Assignment

E15.3.4.1. The Director, P&S, shall appoint, promote, and assign individuals to DISL positions consistent with the law, regulation, and this enclosure, and subject to *reference (r)* for positions in the DLSA.

E15.3.4.2. The Director, P&S, shall notify employees in non-DCIPS personnel systems positions -- such as senior-level, scientific and professional, or equivalent -- according to each system's laws and regulations before conversion to DISL. If an employee refuses to convert to DISL and the position is abolished, he or she may be subject to removal or other procedures according to the applicable laws and regulations that apply to their system.

E15.3.5. Performance Appraisal and Awards System

E15.3.5.1. The Director, P&S, shall establish a single system for appraising how personnel perform by:

E15.3.5.1.1. Providing an appraisal methodology permitting the evaluating official to sufficiently measure and objectively evaluate how a DISL member performs in the position as well as any critical element of the position.

E15.3.5.1.2. Complying with reference (r) to appraise how personnel in DLSA positions perform and granting awards.

E15.3.5.1.3. *Ensuring the evaluating officials comply with reference (r) regarding performance appraisals and performance awards for personnel in DLSA positions. The General Counsel, Department of Defense, DLSA, is the approval authority for all performance evaluations and awards for DLSA personnel.*

E15.3.5.1.4. *Reviewing awards for DISL personnel for consistency with the criteria and limitations established by 5 U.S.C. §5384 (reference (e)) for members of the Senior Executive Service and with this enclosure.*

E15.3.6. Special DISL Awards

E15.3.6.1. The Director, P&S, may approve annual special awards for DISL members consistent with reference (e) by considering their contributions as DISL appointees over at least 3 years. The General Counsel, Department of Defense/*Director*, DLSA, shall approve all such special awards for DISL members who are in DLSA positions (reference (r)).

E15.3.6.2. An individual may receive a non-monetary or monetary award, where he or she is entitled to a lump-sum payment in addition to the basic pay or any other award payment, consistent with reference (e).

E15.3.7. Compensation

E15.3.7.1. *Rates of pay shall not be less than 120 percent of the minimum rate of basic pay payable for GS-15 of the General Schedule or greater than the maximum rate of basic pay established for the SES under 5 U.S.C. §5382 (reference (e)). The appointing official may adjust pay at the same time and to the same extent as the annual cost of living increase for senior level positions in the Department of Defense. Pay for the DISL System will consist of six ranges, each having a minimum and maximum dollar amount. The minimum for each range will exceed the next lower corresponding DISES level by \$1. The maximum for each range will be equivalent to the corresponding existing DISES pay level. (Example: If DISES Level 1 is \$116,500 and Level 2 is \$122,000, the DISL Level 1 range is \$116,501 - \$122,000). Pay may be set at any dollar amount within the range.*

E15.3.7.2. When the appointing official establishes initial pay rates or adjusts existing pay rates, he or she shall decide individual pay-setting based on a management assessment of the level of responsibility of the position, the qualifications of the appointee, availability of other qualified personnel, and geographic and organizational location. The General Counsel, Department of Defense/Director, DLSA, shall coordinate on the recommended rate of basic pay for each DLSA DISL position.

E15.3.7.3. Initial pay level adjustment must be after completing 12 months at a previous lower level. However, once in any 12-month period, the appointing official may increase a DISL member's rate of basic pay to any higher rate of schedule, based on the DISL member's performance and the supervisory chain-of-command endorsement.

E15.3.7.4. The appointing official may reduce a DISL member's rate of basic pay according to OSD/WHS Component procedures, subject to the approval of the General Counsel, Department of Defense/Director, DLSA, for personnel in DLSA positions (reference (r)).

E15.3.7.5. The aggregate amount paid to a DISL member during any calendar year (e.g., rate of basic pay, performance awards, or other awards) may not exceed the annual pay rate for Level I positions of that year's Executive Schedule. Any excess pay carries over as a lump sum at the beginning of the next calendar year and shall be applied toward the Level I limitation (5 U.S.C. 5307 (reference (e))).

E15.3.7.6. When DISL members are involuntarily separated from the Federal service, not involving reasons for cause, they shall be eligible for severance pay consistent with 5 U.S.C. 5595(a)(2)(i) (reference (e)).

E15.3.7.7. A member of the SES, or equivalent, permanently appointed to a DISL position, shall retain all accumulated annual leave. Any annual leave exceeding 240 hours remains to the DISL member's credit. Subsequently, if a DISL member uses more annual leave than they earned in a leave year and it is greater than 240 hours then the reduced balance carries forward.

E15.3.8. Workforce Reshaping

E15.3.8.1. The Director, P&S, shall conduct a RIF and AIF consistent with reference (h).

E15.3.8.2. The General Counsel/Department of Defense/Director, DLSA, shall in consultation with the ASD(C3I), conduct RIF and AIF for DLSA DISL members.

E15.3.9. Adverse Actions

E15.3.9.1. The approving official may take action against DISL members for removal or suspension for more than 14 days according to 5 U.S.C. 7513 (reference (d)) and DoD Intelligence Component procedures. The exception is that non-preference eligible members may not appeal an action to the Merit Systems Protection Board.

E15.3.9.2. Adverse Actions taken against DISL members covered by reference (c) are conducted under procedures established by the General Counsel, Department of Defense/Director DLSA, consistent with applicable provisions of reference (d).