This document has been
Rescinded and is located
in our Archive files.

For Active files, visit
http://www.osmre.gov/directiv.htm

	U·S·DEPARTMENT OF THE INTERIOR **OFFICE OF SURFACE MINING** **RECLAMATION AND ENFORCEMENT** **DIRECTIVES SYSTEM**	**Subject Number:** PER-26 **Transmittal Number:** 409 **Date:** 1/06/88

Subject: Position Ceiling Control

Approval: Jed D. Christensen **Title:** Director, Office of Surface Mining Reclamation and Enforcement

1. PURPOSE.

The purpose of this directive is to establish the policies, procedures, and responsibilities for managing position allocations and employment levels of the Office of Surface Mining Reclamation and Enforcement (OSMRE) consistent with decentralized management authority.

2. DEFINITIONS.

a. Position. For the purposes of this directive, a position shall mean an authorized job. "Positions" are not synonymous with full-time equivalent (FTE) work hours.

b. Co-op Students. College students employed through a cooperative work-study program with a College or University. Such student employees are employed using special hiring authority (Schedule B authority - Excepted Service). Under these special arrangements students usually work for six months and attend classes for the second six month period. Co-op students count against OSMRE's position ceiling. Two half-time co-ops may be used to fill one position.

c. Full-Time Equivalent (FTE). Full-time equivalent (FTE) employment is defined as being the total number of hours (worked or to be worked) divided by the number of compensable hours applicable to each fiscal year. For a year of 260 compensable days, the divisor is 2,080; for 261 days, 2,088; and for 262 days, 2096. This calculation standardizes the FTE work year for purposes of FTE ceiling setting and control.

d. Part-Time Employment. This category of employee is expected to work 32 hours or less per week; i.e., four days per week or less. Such an employee counts as a full time position against the internal position ceilings.

e. Student Aides. Student Aide employment is a special category for the "Needy Youth" program. Student employees in this category do not count against any ceiling. Student Aide positions are authorized by the Office of Personnel Management (OPM) at the beginning of each fiscal year. The Department of Interior Personnel Office controls and allocates the slots to each Bureau. These slots vary each year depending on the number of slots given to the agency by OPM. OSMRE offices are canvassed by Headquarters Personnel at the beginning of each fiscal year to determine needs. Requests generally are for more student aide positions than are allocated to the agency. Slots are then allocated to Headquarters, WFO, EFO and Field Offices based on priority of need by the Deputy Director, Administration and Finance.

f. Summer Interns/Summer Employees. This is also a formally sponsored program by the Federal Government and includes both college and high school students who are employed for the summer. These employees count against the ceiling and it is up to an individual manager based on available money and ceiling to hire a student. He/she may be employed only between certain specified dates. Program to be coordinated with Headquarters Personnel.

g. Temporary/Term Employees. Employees in this category are usually full time; working 40 hours per week, but are appointed for a specific period of time of up to one year. The one year appointment limitation may be extended four times. Temporary employees count against the ceiling.

h. Permanent. A position which has been established in the operating budget and is for an indefinite period of time.

i. Mandated. A position or positions which have been specified by a Congressional subcommittee or the Director of OSMRE for a specific purpose. For example: Inspectors for Two-Acre Program.

j. Transitional. Positions which have been identified by an Assistant Director for transfer, change or abolishment.

k. Allocation of Positions. The assignment of a specific number of positions to accomplish a mission or task. An allocation of positions authorizes a manager to hire, through normal personnel hiring procedures, persons to accomplish work load requirements described in the approved budget. The total number of positions allocated agency-wide by OSMRE will exceed the authorized agency FTE ceiling. This is to take full advantage of less than full time employment categories and anticipated lapsed employment rates.

l. Position Ceiling Control Numbers. Numbers assigned to authorized positions to identify the organizational unit and geographic location of each, and to number each position within an organizational unit in consecutive order. Every position will have a separately numbered position description which will be the position ceiling control number. The officially approved organizational code numbering system, which is utilized in the Pay/Pers and accounting systems, forms the first four digits of the position ceiling control numbering system. The next two digits are utilized to number each position consecutively (01 through 99).

3. POLICY/RESPONSIBILITIES.

a. Policy. It is the policy of OSMRE to manage employment resources by allocating positions to managers of organizational units rather than man-hours. This process is intended to ensure maximum efficiency of use and strict observance of FTE targets authorized by the Office of Management and Budget (OMB) and/or by the Department of the Interior.

b. Responsibilities.

(1) Director. Delegates staffing resource utilization authority to the Deputy Director, Administration and Finance.

(2) Deputy Director, Administration and Finance. As delegated by the Director, the Deputy Director, Administration and Finance is responsible for allocating positions to all directorates and operating units in OSMRE. The Deputy Director, Administration and Finance is also responsible for approving transfers of positions among directorates and operating units including transfers to or from OSMRE.

(3) Deputy Director, Operations and Technical Services. Responsible for concurring in and assuring implementation of position allocations for his respective program directorates and for recommending adjustments among them.

(4) Assistant Directors. Responsible for developing and submitting human resource plan requirements with operating budgets and for determining the allocation of positions among divisions and offices within their respective directorates. Responsible for ensuring that the total number of positions filled for the directorate in total do not exceed the assigned ceiling.

(5) Division of Budget, Planning and Management Analysis. Responsible for ensuring that positions are assigned to programs and activities consistent with Appropriation law and legislative committee reports; for managing the total FTE targets imposed on OSMRE; for recommending position allocations and amendments; for assigning blocks of position ceiling control numbers to organizational units along with ceiling allocations; for monitoring agency staffing levels and position allocations, and for preparing periodic reports on FTE usage.

(6) Chief, Division of Personnel. Responsible for administering a system to manage the positions allocated to Headquarters Assistant Directors.

(a) The Chief, Division of Personnel is responsible for assigning individual numbers to positions at Headquarters, in accordance with paragraph 2h of this directive, in the Pay/Pers system and for maintaining the system current on the Pay/Pers system at all times.

(b) The Chief, Division of Personnel is responsible for providing a monthly report, five work days after the end of each month, that indicates new hires or accessions, transfers, or separations, current commitments, and existing vacancies within each organizational unit, Branch/Division utilizing the format in Appendix 2, attached, to the Division of Budget, Planning and Management Analysis.

(7) Chief, Administrative Service Center, East and West. Responsible for administering a system to manage the positions allocated to their respective service areas.

(a) The Chiefs, Administrative Service Centers are responsible for assigning individualnumbers to positions, in accordance with paragraph 2h of this directive, in the Pay/Pers system and for maintainingthe system current on the Pay/Pers system at all times.

(b) The Chiefs, Administrative Service Centers are responsible for providing a monthly report, five work days after the end of each month, that indicates new hires or accessions, transfers, or separations, current commitments, and existing vacancies within each organizational unit, Field Office and Branch/Division of Field Operations,utilizing the format in Appendix 2, attached, to the Division of Budget, Planning and Management Analysis.

4. PROCEDURES.

a. The Deputy Director, Administration and Finance, will provide position allocations to operating offices concurrent with operating budget allocations. These ceiling allocations will be issued in the format specified in Appendix 1, "Position Allocation Advice". The Position Allocation Advice Form will specify ceilings by Assistant Director, including any Congressionally mandated or other key positions which must maintained or tracked separately. Any changes in total position allocation during the year, and any shifts in allocation between Assistant Directorates, will be documented by the Division of Budget, Planning and Management Analysis and approved by the Deputy Director, Administration and Finance.

b. At the beginning of each fiscal year and by November 1st, all existing authorized positions must be renumbered consistent with this directive. Subsequently, with changes to the ceiling allocations between fiscal years for example, each PSO, i.e., Headquarters, East and West, will assign an individual position ceiling control number to each authorized position in its service area (See page 2, definition i, for explanation of the new position numbering system). The total individual numbers assigned to a particular organizational unit and for the total directorate will always equal the total ceiling for that unit or directorate as documented on the most recent position allocation advice(s). 1/ All Requests for Personnel Action forms (SF-52) shall include the appropriate position control number in boxes 20 and 27.

1/ Non-ceiling stay-in-school positions are not to be numbered from this series. Each PSO is to assign its own numbers followed by the alpha designator "5".

c. Within the total number of positions provided on the Position Allocation Advice and subject to any Congressionally mandated or agency specified key position constraints on that advice, the Director and Assistant Directors are authorized to shift positions from one unit to another within their jurisdiction (from one Division or Branch to another or from one staff office to another for example). Any such shifts which create the necessity for a revision of operating budget fund allocation totals at the budget activity level for a directorate or staff office must be concurred on in advance by the Deputy Director, Administration and Finance and the Budget Officer.

d. Allocations made to Field Offices shall contain three types of positions: mandated positions which can be refilled upon vacation without further approval; permanent positions which can be refilled without approval at the discretion of the Assistant Director-WFO/EFO; and transitional positions which require prior approval by the Deputy Director, Administration and Finance. Allocations made to Field Offices will identify each position as permanent, mandatory or transitional by indicating a "P", "M", or "T" on the Position Allocation Advice Form. At the beginning of each fiscal year the Deputy Director, Administration and Finance will notify the Assistant Director-EFO/WFO of positions which are considered transitional.

e. Five work days after the end of each month, each Personnel Servicing Office will prepare and submit to the Division of Budget, Planning and Management Analysis a current Ceiling Authorization and Organizational Roster Change report in the format specified by Appendix 2. The report will show previous position allocations to subordinate units serviced by the PSO (to Division level), changes to those allocations since the last report, and the following additional information needed to monitor office-wide position changes:

(1) actual accessions and separations since the last report with effective dates; and

(2) commitments with established or estimated effective date(s) since the last report.

f. Revisions of the Personnel Ceiling and Staffing Report will be issued periodically by the Division of Budget, Planning and Management Analysis.

g. The Pay/Pers Organizational Roster report will be the official source of information on employment levels by category and type of employment in each established organizational component. These reports, which are issued biweekly, will be furnished through the Division of Financial Management to each PSO and may be supplemented with information provided by PSOs as required.

h. A designated individual within each PSO will be responsible for the review of each Pay/Pers Organizational Roster report to identify any corrections or modifications necessary, and to initiate the necessary documents to effect the change in the official Pay/Pers system.

5. REPORTING REQUIREMENTS. Five work days after the end of each month PSO's must submit a current Ceiling Authorization and Organizational Roster Change Report.

6. STATUTORY REQUIREMENTS AND REFERENCES.

a. OMB Circular A-11. Appendix C, Full-Time Equivalent Employment Ceilings.

(1) "Consistent with the general policy of ensuring the most effective use of Government resources, each agency head will ensure strict observance of employment ceilings."

(2) "It is the responsibility of each agency head to insure that employment is kept within the approved ceilings. Whenever the number of work-years used exceeds the approved ceiling, the agency head will be responsible for the preparation of a report containing:

(a) an explanation of the factors that caused the excess;

(b) a statement describing the specific weaknesses in the agency's employment control system that permitted the violation to occur and the action taken to prevent recurrence of such violations; and

(c) a schedule showing by bureau or comparable organizational unit the agency's distribution of the established ceiling.

b. OSMRE's Directive PER-5; Position and Pay Management Program.

"The Budget Officer . . . will ensure that:

(1) Proposed positions are compatible with agency-wide employment ceilings assigned to OSMRE.

(2) Proposed positions are compatible with existing and anticipated performance budgets, i.e., that number and associated costs of positions for a particular program area are consistent with appropriations for that function."

7. EFFECT ON OTHER DOCUMENTS. Supercedes PER-26, dated 11/27/85

8. CONTACTS.

Any questions relating to the content or interpretation of this directive should be directed to the Chief, Division of Budget, Planning and Management Analysis, in room 262, Interior South, or on 343-4926.

Appendix 1

POSITION ALLOCATION ADVICE

Responsible Official:_____ Office:_____
(Name) (Directorate/Staff)

Date:_____ Advice No._____ Approved _____
Deputy Director,
Admin. & Finance

==========

The following is your official allocation of positions based on your approved budget for Fiscal Year 19_____ listed by office and by budget activity. Transfers between offices and activities may be made with your approval, however, such changes must be reported to the Division of Budget, Planning and Management Analysis five work days after the end of each month.

==========

LAST ADVICE NO._____ DATE _____ THIS ADVICE_____

ORGANIZATION	NO. POSITIONS	CHANGE THIS ADVICE	NEW CEILING
TOTAL	_____		_____

_____
Budget Officer's Signature

CEILING AUTHORIZATION AND ORGANIZATIONAL ROSTER REPORT

REPORT NO. _____
TO PP NO. _____
DATE REPT. _____

CEILING AUTHORIZATION CHANGES

ORGAN CODE	CURRENT CEILING	CHANGES	NEW CEILING

ORGANIZATIONAL ROSTER CHANGES

	ORGAN CODE	EMPLOYEE NAME	POSITION	DATE
A. Accessions: (actual)				
B. Accessions: (pending)				
C. Separation (actual)				
E. Separation (pending)				