

EVALUATION GUIDE FOR FIRST- AND SECOND-LEVEL SUPERVISORY POSITIONS

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INTRODUCTION

The Evaluation Guide for First- and Second-Level Supervisory Positions defines and provides grading criteria for first- and second-level supervisory positions covered by the General Schedule (GS) and other “white collar” pay plans.

For many years, the term “General Schedule” or “GS” denoted the major position classification system and pay structure for white collar work in the Federal Government. Agencies no longer subject to chapter 51 of title 5, United States Code, have replaced the GS pay plan indicator with agency-unique pay plan indicators.

This guide is divided into three parts. Part I contains general information applicable to first- and second level supervisory positions without regard to pay plan or classification system. Part II provides the grading criteria for covered GS positions. Part III will include explanatory material about the development of this guide and will be added after this draft is finalized.

PART I – OCCUPATIONAL INFORMATION

Coverage

This guide covers first- and second-level supervisors who have responsibility for directing, on a regular and continuous basis, other employees in the accomplishment of work where experience in, or knowledge of, trades and crafts is not the paramount requirement. To be covered by this guide, positions must serve as first- or second-level supervisors and provide both technical and administrative direction of others.

This guide applies to a position if it meets the following criteria:

- is a first- or second-level supervisor;
- accomplishes work through both technical and administrative direction of employees accounting for at least 25 percent of the position's time; and
- exercises, at a minimum, the authorities and responsibilities of a first-level supervisor.

First-level supervisors plan, direct, and monitor the work performed by a group of employees. Second-level supervisors direct work through subordinate supervisors and/or leaders.

Both first- and second-level supervisors must have competence in a specialized subject matter, functional area, or occupation sufficient to review work for technical accuracy. In addition, they must provide administrative supervision, including such activities as assigning work, recommending or taking personnel actions, and advising on various administrative matters.

In some instances a supervisor may have oversight of a contractor or contractor workforce. Because of the limited administrative supervision exercised, managing only contract personnel does not meet the above criteria. However, when a position meets the coverage requirements and has responsibility for supervising a contractor workforce, consideration of the contractor workforce is given in evaluating the grade level of the position.

Series Determination

Positions covered by this guide are to be classified in the most appropriate occupational series in accordance with instructions in the U.S. Office of Personnel Management's (OPM) [Introduction to the Position Classification Standards](#), occupational definitions in the [Handbook of Occupational Groups and Families](#), and classification standards.

Official Titling Provisions

Title 5, United States Code, requires OPM to establish authorized official position titles. These include a basic title that may be appended with one or more prefixes and/or suffixes. Agencies must use the official position titles for human resources management, budget, and fiscal purposes.

Official Position Title

In almost all instances, add the prefix "Supervisory" to the basic title of positions covered by this guide. The basic title (e.g., Contract Specialist) is determined through reference to the classification standard, classification guide, and/or series guidance used to identify the occupational series of the position. In the absence of specific titling criteria in a classification standard or guide, apply the instructions on titling contained in the [Introduction to the Position Classification Standards](#). In some instances, the term "Supervisor" is best suited as a suffix to the basic title (e.g., Support Services Supervisor). In some occupations, certain titles (e.g., "Budget Officer") may denote supervision, and in such instances the supervisory prefix and/or suffix is not used.

A position meeting the minimum criteria requirements for coverage in this guide should be titled as "Supervisory" even when the position's grade level is based on the performance of nonsupervisory work.

Organizational Titles

Organizational and functional titles do not replace, but rather complement, official position titles. Agencies may establish organizational and functional titles for internal administration, public convenience, program management, or similar purposes. Examples of organizational titles are Branch Chief and Division Chief. Examples of functional titles are Chief of Operations and Chief of Policy Development.

Additional Occupational Considerations	
Some positions may include work requiring knowledge and skills typically associated with the direction of employees, but not at the first or second levels of supervision as required by this guide. In some cases, a closer look at the work may reveal evaluating the position by reference to other guides or standards may be more appropriate. The following table provides examples of such work.	
If Work Involves...	See This Standard or Series Definition:
Supervision, but is not a first- or second-level supervisor.	<u>General Schedule Supervisory Guide</u>
Directing the work of others without being accountable as a supervisor for planning, scheduling, and directing work operations; administering supervisory personnel functions; evaluating work performance; and taking required action to assure the work of subordinate employees meets the standards of quantity and quality. The work of such positions is graded through reference to other guides or standards.	<u>General Schedule Leader Grade-Evaluation Guide</u>
Supervisory positions with a paramount requirement of experience in, and knowledge of, trades and crafts to perform their primary duties. NOTE: A supervisory position over Federal Wage System (FWS) employees, including some at production, maintenance, and overhaul facilities, may be properly classified to a GS series if its primary supervisory duties do not require experience in, and knowledge of, trades and crafts.	<u>Federal Wage System Job Grading Standard for Supervisors</u>
Project or program management responsibility (e.g., leading a cross-organizational matrix team) without meeting the criteria for coverage by this guide. NOTE: In a matrix management environment the work of an employee cannot be credited to more than one supervisor. Credit is given to the supervisor of record.	Appropriate occupational standards (e.g., 0343) or functional guides (e.g., <u>Guide for the Evaluation of Program Specialist Positions</u>)
Supervisory duties carried out only in the absence of another employee or which are temporary, short-term, and nonrecurring.	Appropriate occupational standards for the permanently assigned work
Positions with oversight responsibility over only the work of private sector contractors.	Appropriate occupational or functional guides

Crosswalk to the Standard Occupational Classification System

The Office of Management and Budget requires all Federal agencies to use the Standard Occupational Classification (SOC) system for statistical data reporting purposes. The Bureau of Labor Statistics uses SOC codes for the National Compensation Survey and other statistical reporting. OPM and other Federal agencies maintain a “crosswalk” between OPM authorized occupational series and the SOC codes to serve this need. The SOC codes and this requirement have no effect on the administration of any Federal human resources management system. For SOC codes for first-line supervisor positions, refer to the appropriate occupational standard. Refer to the SOC at <http://stat.bls.gov/soc> for codes of second-level and higher supervisory positions.

PART II – EVALUATING SUPERVISORY POSITIONS

Part II provides grading information to determine the appropriate grade of first- and second-level supervisory positions classified under chapter 51 of title 5, United States Code. It may also be used as appropriate to determine work levels for other Federal pay plans.

Deputy and “Assistant Chief” Supervisory Positions

The evaluation criteria in this guide are not designed to be applied directly to a deputy or “assistant chief” supervisory position. A chief position to which a deputy reports is typically in charge of a staff of substantial size, and often, multiple subordinate units. The grade of a deputy or “assistant chief” position which shares *fully* in the duties, responsibilities, and authorities of the “chief” is set one grade lower than the “chief” position.

Deputy positions evaluated using this method must meet the following criteria:

- the deputy must serve as a full assistant to the chief;
- the deputy must share in and assist the chief with all phases of the unit’s work; and
- the deputy acts on behalf of the chief in his/her absence, or as delegated by the chief, to make decisions, supervise subordinate employees, and produce results.

The grade level of a full deputy to a Senior Executive Service (SES) or other equivalent position would not normally be graded below the GS-15 level.

Directing a Contractor Workforce

Supervisors are responsible for the accomplishment of certain work, whether personally performed by the supervisor or accomplished by Federal employees, contractors, volunteers, or others. When a position meets the coverage requirements *and* has responsibility for supervising a contractor workforce, consideration of the contractor workforce is given in evaluating the grade level of the position. As such, users should consider the full range of work (including scope, breadth, and complexity) for which the supervisor is responsible.

Method for Evaluating Positions

Evaluate positions using this three-step process:

- Step 1 – identify the supervisory level (i.e., first- or second-level supervisor);
- Step 2 – determine the highest level of work supervised; and
- Step 3 – convert the information to determine the supervisory grade using the grade level conversion charts.

Step 1 – Supervisory Level

This first step is to determine if a supervisory position is first- or second-level. If a position exceeds the second-level, this guide may not be used to evaluate its grade.

First-level supervisors provide technical and administrative direction of employees without the use of subordinate supervisors or leaders. They typically:

- plan work to be accomplished by subordinates, set and adjust short-term priorities, and prepare schedules for completion of work;
- assign work to subordinates based on priorities, consideration of the difficulty and requirements of assignments, and the capabilities of employees;
- set performance standards and evaluate work performance of subordinates;
- recommend awards or bonuses for employees;
- make personnel changes including, but not limited to, selecting, removing, advancing in pay, or promoting subordinate employees; or recommend such actions;
- give advice, counsel, or instruction to employees on both technical and administrative matters;
- identify developmental and training needs of employees and provide or arrange for needed development and training;
- provide a safe workplace; and
- ensure workforce diversity.

Second-level supervisors exercise authority through subordinate supervisors and/or leaders. The workforce is of such size that multiple supervisors and/or leaders are required to oversee program operations. Second level supervisors perform all of the duties of a first level supervisor. In addition, they typically:

- deal with officials of other units or organizations;
- advise higher-level management officials;
- evaluate subordinate supervisors or leaders and serve as the reviewing official on evaluations of nonsupervisory employees rated by subordinate supervisors;
- hold subordinate organizational units responsible for achieving their objectives;
- set long-range goals and objectives;
- negotiate with internal or external groups to facilitate goal accomplishment;
- determine the best approaches for resolving budget shortages; and
- plan for long-range staffing needs.

Step 2 – Highest Level of Work Supervised

This step considers the difficulty and complexity of the work led by the supervisor, as measured by the highest grade comprising at least 25% of the non-supervisory positions in the organizational unit (i.e., one or more components, subdivisions, or groups of employees directed by the supervisor).

Identify the grade level of each position supervised, then divide the number of positions at each grade level by the total number of positions. For example, if 5 positions are at GS-07, and there are 15 total positions, 33% are at GS-07. [Sample organizational structures](#) are provided in this guide as a frame of reference to illustrate Step 2.

Consider all non-supervisory positions in the organizational unit, regardless of the level of direction provided, because the supervisor is responsible for the overall program directed. Credit career ladder positions at the full performance level, regardless of the grade of the current incumbent.

Consider the level of work for which the supervisor is responsible but which is performed by individuals (e.g., contractors, military personnel) who are not Federal civilian employees. In assessing such work use relevant occupational classification standards to derive an equivalent appropriate grade level.

NOTE: For this purpose, GS occupational standards must be used to establish the GS-equivalent level of trades, crafts, and labor work performed by subordinates.

Exclude from consideration:

- lower-level positions primarily providing administrative support to facilitate the work of the unit;
- subordinate supervisors and leaders; and
- temporary positions which may be seasonal or intermittent.

Once the level of work supervised has been determined, use the appropriate Grade Level Conversion Chart below to determine the grade of the supervisory position.

Step 3 – Grade Level Conversion

To determine the grade level of supervisors over one- and two-grade interval work, refer to the grade level conversion charts below. (See Appendix 1 of the [Introduction to the Position Classification Standards](#) for a description of one- and two-grade interval work.)

NOTE: If the position includes considerable nonsupervisory duties, evaluate them using other appropriate standards and guides. If the nonsupervisory duties evaluate to a higher grade than the supervisory duties, the grade for the higher-level duties will serve as the basis for the final grade of the position.

GRADE LEVEL CONVERSION CHARTS

First-Level Supervisors		
IF	AND	
Highest level of work supervised is:	Work supervised is predominantly one-grade interval	Work supervised is predominantly two-grade interval
05 or below	06	*
06	07	*
07	08	*
08	09	*
09	11**	11
10	11	*
11	12	12
12	13	13
13	*	14
14	+	15
15	+	+

Second-Level Supervisors		
IF	AND	
Highest level of work supervised is:	Work supervised is predominantly one-grade interval	Work supervised is predominantly two-grade interval
05 or below	07	*
06	08	*
07	09	*
08	10	*
09	12**	12
10	12	*
11	13	13
12	14	14
13	*	15
14	+	15
15	+	+

* This combination is unlikely.

** Although the work supervised at this level is technical, supervision of such work is considered to be comparable to two-grade interval work.

+ Inappropriate combination.

Summary Worksheet

ORGANIZATION: _____

POSITION TITLE AND SERIES: _____

POSITION NUMBER: _____

STEP 1	<p>Identify the Supervisory Level: Determine if the position being evaluated is a first- or second-level supervisor.</p> <p>Comments:</p>	<p>Supervisory Level: (Check one)</p> <p>___ 1st Level Supervisor ___ 2nd Level Supervisor</p>																								
STEP 2	<p>Determine the Highest Level of Work Supervised: Record the percentage of positions supervised at each grade level.</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 20%;">Grade</th> <th style="width: 20%;">Number of Positions</th> <th style="width: 60%;">% (Number of Positions/Total Positions)</th> </tr> </thead> <tbody> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> </tbody> </table>	Grade	Number of Positions	% (Number of Positions/Total Positions)																						<p>Highest Level of Work Supervised: Record the grade level representing the highest level of work supervised: _____</p> <p>Comments:</p>
Grade	Number of Positions	% (Number of Positions/Total Positions)																								
STEP 3	<p>Grade Level Conversion: Refer to the appropriate grade level conversion chart to determine the supervisor’s grade.</p> <p>Comments:</p>	<p>Grade Assigned: (Check one)</p> <p>___ 06 ___ 07 ___ 08 ___ 09 ___ 11 ___ 12 ___ 13 ___ 14 ___ 15</p>																								

Additional Remarks:

Prepared by: _____

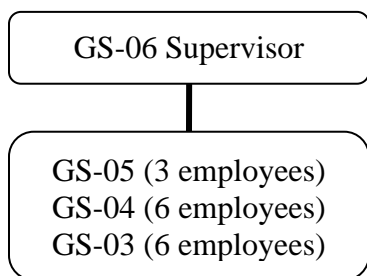
Date: _____

Sample Organizational Structures

Consider these sample organizational structures in conjunction with the guidance provided for the [level of work supervised](#). These samples reflect positions in the General Schedule (GS) pay plan. Do not rely solely on these examples in evaluating positions.

SAMPLE ORGANIZATIONAL STRUCTURE #1

First level supervisor over one-grade interval work:



Step 1: Supervisory Level – First-level, because there are no subordinate supervisory positions.

Step 2: Level of Work Supervised –

15 Total Positions:

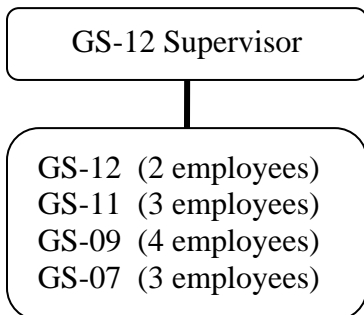
- 3/15 or 20% at GS-05
- 6/15 or 40% at GS-04
- 6/15 or 40% at GS-03

The highest grade comprising at least 25% of the positions is GS-04.

Step 3: Grade Level Conversion – According to the [Grade Level Conversion Chart](#) for First-Level Supervisors, if the work supervised is one-grade interval, and the highest grade level supervised is GS-05 or below, the grade of the supervisory position is GS-06.

SAMPLE ORGANIZATIONAL STRUCTURE #2

First level supervisor over two-grade interval work:



Step 1: Supervisory Level – First-level, because there are no subordinate supervisory positions.

Step 2: Level of Work Supervised –

12 Total Positions:

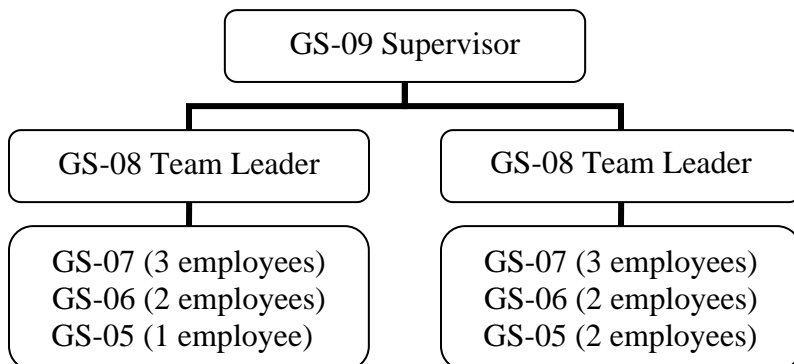
- 2/12 or 17% at GS-12
- 3/12 or 25% at GS-11
- 4/12 or 33% at GS-09
- 3/12 or 25% at GS-07

The highest grade comprising at least 25% of the positions is GS-11.

Step 3: Grade Level Conversion – According to the [Grade Level Conversion Chart](#) for First-Level Supervisors, if the work supervised is two-grade interval, and the highest grade supervised comprising at least 25% of the time is GS-11, the grade of the supervisory position is GS-12.

SAMPLE ORGANIZATIONAL STRUCTURE #3

Second level supervisor over one-grade interval work:



Step 1: Supervisory Level – Second-level, because there are subordinate leader positions.

Step 2: Level of Work Supervised –

13 Total Positions (exclusive of leader positions):

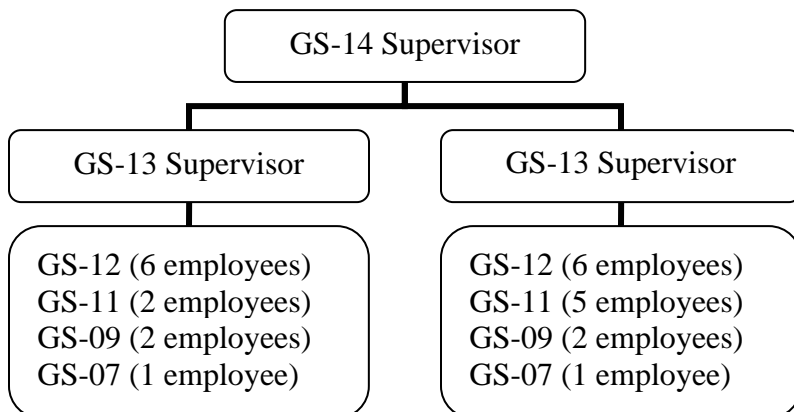
- 6/13 or 46% at GS-07
- 4/13 or 31% at GS-06
- 3/13 or 23% at GS-05

The highest grade comprising at least 25% of the positions is GS-07.

Step 3: Grade Level Conversion – According to the [Grade Level Conversion Chart](#) for Second-Level Supervisors, if the work supervised is one-grade interval, and the highest grade level of the non-supervisory/non-leader positions supervised comprising at least 25% of the time is GS-07, the grade of the supervisory position is GS-09.

SAMPLE ORGANIZATIONAL STRUCTURE #4

Second level supervisor over two-grade interval work:



Step 1: Supervisory Level – Second-level, because there are subordinate supervisory positions.

Step 2: Level of Work Supervised –

25 Total Positions (exclusive of supervisory positions):

- 12/25 or 48% at GS-12
- 7/25 or 28% at GS-11
- 4/25 or 16% at GS-09
- 2/25 or 8% at GS-07

The highest grade comprising at least 25% of the positions is GS-12.

Step 3: Grade Level Conversion – According to the [Grade Level Conversion Chart](#) for Second-Level Supervisors, if the work supervised is two-grade interval, and the highest grade level of the non-supervisory positions supervised comprising at least 25% of the time is GS-12, the grade of the supervisory position is GS-14.

Related Leadership Competencies

Supervisory roles encompass a number of tasks, each of which requires one or more leadership competencies. These competencies support the Supervisory Qualification Guide and are provided for use in position descriptions and job opportunity announcements.	
DIRECTION OF EMPLOYEES	
Tasks	Related Leadership Competencies
Assigns and prioritizes work.	Accountability
Delegates authority and discretion to carry out work.	Accountability, Developing Others
Keeps abreast of latest information in field of expertise.	Continual Learning, External Awareness, Technical Credibility
Reviews work products.	Accountability, Technical Credibility
Sets employees' performance goals.	Developing Others, Human Capital Management
Evaluates and provides feedback on employees' performance.	Accountability, Developing Others, Integrity/Honesty, Interpersonal Skills, Oral Communication, Written Communication
Rewards and recognizes individual or team performance.	Developing Others, Human Capital Management, Team Building
Recruits personnel.	Human Capital Management, Influencing/Negotiating
Makes decisions on personnel actions (e.g., making selections, promotions, reassignments).	Decisiveness, Human Capital Management, Integrity/Honesty
Provides employees with coaching, training, regular guidance, and career development opportunities.	Developing Others, Human Capital Management
Identifies problems in employee behavior and takes appropriate action.	Conflict Management, Developing Others, Human Capital Management, Problem Solving
Takes steps to prevent and resolve conflicts, concerns, or grievances.	Conflict Management, Interpersonal Skills, Problem Solving
Solves problems and handles conflicts between individuals.	Conflict Management, Interpersonal Skills, Problem Solving
Listens to employees' ideas on work-related issues (e.g., organizational changes, quality of worklife).	Interpersonal Skills, Oral Communication
Keeps in touch with, and understands, the employees' viewpoints.	Interpersonal Skills
Communicates to employees how their work supports the organizations' mission, vision, and strategic goals.	Oral Communication, Vision
Ensures workforce diversity.	Human Capital Management, Leveraging Diversity

(continued)

Related Leadership Competencies (continued)

STRATEGIC MANAGEMENT	
Tasks	Related Leadership Competencies
Coordinates activities across organizations.	Partnering
Justifies program objectives and required allocations to top management.	Financial Management, Influencing/Negotiating, Interpersonal Skills, Strategic Thinking
Allocates resources (e.g., time, money, staff).	Financial Management, Human Capital Management, Strategic Thinking
Sets and prioritizes strategic goals and objectives.	Strategic Thinking, Vision
Aligns activities, services, or products with strategic goals.	Strategic Thinking, Vision
Identifies issues or opportunities and determines whether action is needed.	Decisiveness, Problem Solving, Strategic Thinking
Monitors programs, projects, or operations and makes adjustments as needed.	Accountability, Flexibility, Problem Solving
Identifies and implements technology to meet program and organizational goals.	Problem Solving, Technology Management
Explains or justifies decisions, conclusions, findings, or recommendations.	Decisiveness, Oral Communication
Evaluates options by considering implications and consequences.	Decisiveness, Problem Solving
Ensures compliance with rules, regulations, or laws affecting programs.	Accountability, Integrity/Honesty
Keeps abreast of external trends and events (e.g., changes in clients' organizations, in local and global business, or in technology).	Continual Learning, External Awareness, Strategic Thinking
Negotiates with internal or external groups to facilitate goal accomplishment.	Conflict Management, External Awareness, Influencing/Negotiating, Interpersonal Skills, Oral Communication, Partnering
Evaluates the political implications of different courses of action.	External Awareness, Political Savvy, Problem Solving, Strategic Thinking
Develops and articulates vision.	Oral Communication, Vision