

# General Schedule Supervisory Guide

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## INTRODUCTION

This guide provides evaluation criteria for determining the General Schedule (GS or GM) grade level of supervisory positions in grades GS-5 through GS-15. It also contains criteria for evaluating managerial responsibilities that may accompany supervisory responsibilities in this range of grades. However, the guide is not appropriate for evaluating managerial positions that do not include the accomplishment of work through the supervision of others or that do not require technical competence related to the work directed.

This guide employs a factor-point evaluation method that assesses:

- Program Scope and Effect
- Organizational Setting
- Supervisory and Managerial Authority Exercised
- Personal Contacts
- Difficulty of Typical Work Directed
- Other Conditions

General classification concepts, principles, and policies, such as those in the Introduction to the Position Classification Standards, apply to the classification of supervisory positions.

This guide supersedes the General Schedule Supervisory Guide (GSSG), issued in April 1993, TS-123.

## STATEMENT OF COVERAGE

Use this guide to grade GS/GM supervisory work and related managerial responsibilities that:

- require accomplishment of work through combined technical and administrative direction of others; and
- constitute a major duty occupying at least 25 percent of the position's time; and
- meet at least the lowest level of Factor 3 in this guide, based on supervising Federal civilian employees, Federal military or uniformed service employees, volunteers, or other noncontractor personnel. (Work performed by contractors is considered in applying the grading criteria within each factor of this guide, provided the position first meets the coverage requirements above based on supervision of noncontractor personnel.)

## EXCLUSIONS

The following kinds of positions are excluded from the coverage of this Guide:

1. Positions with less than the minimum supervisory authority described at Level 3-2 of Factor 3 in this Guide. The work of such positions (e.g., leaders over one-grade interval clerical or technical work or two-grade interval administrative or professional work) is graded through reference to other guides or standards, such as the [General Schedule Leader Grade-Evaluation Guide](#).
2. Supervisory positions that have, as their paramount requirement, experience in and knowledge of trades and crafts to perform their primary duties. Such positions are covered by the Federal Wage System (FWS), and are evaluated by application of the [FWS Job Grading Standard for Supervisors](#).

NOTE: A supervisory position over 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.

3. Positions with project or program management responsibility (e.g., matrix management, financial management, or team leader duties) that do not directly supervise the work of a recognizable work force on a regular and recurring basis. Evaluate such positions through reference to appropriate standards for the occupation involved or guides such as the [Equipment Development Grade Evaluation Guide](#). (Similar positions with continuing supervisory responsibilities that meet the minimum requirements for coverage by this guide may be graded using this guide provided due care is taken to avoid crediting direction of the same work to supervisors in different chains of command.)
4. Positions with oversight responsibilities over only the work of private sector contractors. Evaluate such positions using the appropriate nonsupervisory standards or guides for the occupations involved.
5. Positions in which supervisory work is carried out only in the absence of another employee or is temporary, short term, and nonrecurring.
6. Positions requiring management skills alone, that is, positions which do not require either technical supervision of employees in specific occupations or competence in a specialized subject matter or functional area.

## SERIES DETERMINATION

Positions graded by this guide will continue to be classified in the most appropriate occupational series in accordance with instructions in OPM's [Introduction to the Position Classification Standards](#), occupational definitions in the [Handbook of Occupational Groups and Families](#), and amplifying material in published classification standards.

### DEFINITIONS

The following definitions are included solely for the purpose of applying the criteria in this guide. For ease of use they are grouped into two sections: Organizational Definitions and Other Definitions.

#### ORGANIZATIONAL DEFINITIONS

**AGENCY** - An Executive or military department as specified by 5 U.S.C. 101, 102, and 5102, which has primary authority and responsibility for the administration of substantive national programs enacted by Congress; a comparable independent agency; or a large agency next below the Department of Defense with worldwide missions and field activities, multibillion dollar programs or resources to manage, and major mission(s) directly affecting the national security. The head of an agency is usually appointed by the President with the advice and consent of the Senate. For example, the Departments of Labor, Health and Human Services, Agriculture, Army, Navy, Air Force, the General Services Administration, the National Aeronautics and Space Administration, the Office of Personnel Management, and the Defense Logistics Agency are Agencies for purposes of this guide.

In addition, where 5 or more of the following conditions apply, an activity next below departmental level may be considered as equivalent to this definition for purposes of applying this guide: (1) the activity comprises or manages more than half of a cabinet level department's resources; (2) the activity has an international mission, and/or numerous Nationwide and worldwide field offices; (3) the activity manages multibillion dollar funds accounts typically separate from normal, departmental budgets (e.g., Social Security trust funds, IRS collections); (4) the activity deals directly with Congress on major budgetary, program, or legislative matters affecting large segments of the population or the Nation's businesses, or both; (5) the activity head is appointed by the President with the advice and consent of the Senate; (6) the activity exercises special statutory powers such as a Nationwide, quasi-judicial function affecting major industries or large segments of the population; (7) the activity manages directly delegated or statutorily assigned programs that have an impact which is Governmentwide or economywide and that receive frequent, intensive, congressional and media scrutiny.

**BUREAU** - An organizational unit next below the agency level (as defined above) which is normally headed by an official of Executive Level IV or V, or Senior Executive Service (SES) rank, or the equivalent. It is a component of a civilian agency directed by an appointed executive who reports to the Agency Director or the Director's immediate staff. Examples of

bureaus include the Department of Labor's Bureau of Labor Statistics and the Department of Agriculture's Forest Service.

**MAJOR MILITARY COMMAND** - A military organization next below the Departments of Army, Air Force, or Navy and headed by a flag or general officer who reports directly to the agency headquarters. It is the bureau equivalent in a military department. For example, Air Force's Air Training Command, Army's Army Material Command, and Navy's Naval Sea Systems Command.

**MULTIMISSION MILITARY INSTALLATION** - A large complex multimission military installation is one which is comparable to one of the two following situations:

(1) A large military installation (including a military base with only one or a few major missions) or group of activities with a total serviced or supported employee-equivalent population exceeding 4000 personnel, and with a variety of serviced technical functions. These personnel are directly affected by, but not supervised by, the position under evaluation. Federal civilian and military employees, estimated contractor personnel, volunteers, and similar personnel may be used to derive the population total; nonemployed personnel such as dependents are significant only if directly impacted by the program segment and work directed.

(2) A complex, multimission installation or a group of several organizations (directly supported by the position under evaluation) that includes four or more of the following: a garrison; a medical center or large hospital and medical laboratory complex; multimillion dollar (annual) construction, civil works, or environmental cleanup projects; a test and evaluation center or research laboratory of moderate size; an equipment or product development center; a service school; a major command higher than that in which the servicing position is located or a comparable tenant activity of moderate size; a supply or maintenance depot; or equivalent activities. These activities are individually smaller than the large installation described in the preceding paragraph.

**MAJOR ORGANIZATION** - An organizational unit located next below bureau or major military command level and headed by an official of SES rank, GM-15, or GM-14, or the civilian or military equivalent. For example, a line, staff, or program office next below bureau level, the head of which reports directly to the Bureau Director; or a comparable office or directorate which is next below a major military command, the director of which reports directly to the Commander or Director of the major command. At agency headquarters, major organizations include the offices of the heads of major staff functions at the agency level (e.g., Agency Personnel Directorate, Agency Budget Directorate, Agency Logistics Directorate, and Agency Directorate of Administrative Services), and major line organizations, the heads of which report directly to an Assistant Secretary or other office next below the Secretary of the Agency.

**ORGANIZATIONAL UNIT** - This is a generic term for purposes of this guide and refers to any component, subdivision, or group of employees that is directed by a supervisory position.

## OTHER DEFINITIONS

**PROGRAM** - The mission, functions, projects, activities, laws, rules, and regulations which an agency is authorized and funded by statute to administer and enforce. Exercise of delegated authority to carry out program functions and services constitutes the essential purpose for the establishment and continuing existence of an agency. The focus of a program may be on providing products and services to the public, State and local government, private industry, foreign countries, or Federal agencies. Most programs have an impact or effect which is external to the administering agency. In addition, comparable agencywide line or staff programs essential to the operation of an agency are considered programs in applying this guide; the impact of these programs may be limited to activities within one or a few Federal agencies.

A program may be professional, scientific, technical, administrative, or fiscal in nature. Typically, programs involve broad objectives such as: national defense; law enforcement; public health, safety, and well-being; collection of revenue; regulation of trade; collection and dissemination of information; and the delivery of benefits or services. However, specialized or staff programs may be considerably narrower in scope (e.g., merit systems protection; nuclear safety; and agencywide personnel or budget programs). Programs are usually of such magnitude that they must be carried out through a combination of line and staff functions.

**MAJOR MILITARY FUNCTION** - The military equivalent of a civilian program, e.g., development of a major weapons system such as the Trident submarine, or an ongoing function such as defense intelligence, when such long range or continuing functions are otherwise comparable to a program, as defined above.

**PROGRAM SEGMENT** - This is a generic term for purposes of this guide and refers to any subdivision of a program or major military function.

**DEPUTY** - A position that serves as an alter ego to a manager of high rank or level and either fully shares with the manager the direction of all phases of the organization's program and work, or is assigned continuing responsibility for managing a major part of the manager's program when the total authority and responsibility for the organization is equally divided between the manager and the deputy. A deputy's opinion or direction is treated as if given by the chief.

This definition excludes some positions, informally referred to as "deputy" by agencies, which require expertise in management subjects but do not include responsibility for directing either the full organization or an equal half of the total organization. For example, the definition specifically excludes administrative, personal, or general staff assistants to managers, and positions at lower organizational or program segment levels that primarily involve performing supervisory duties.

**FLAG OR GENERAL OFFICER** - Any of the various ranks of Admiral or General, e.g., Brigadier General and Rear Admiral.

**SUPERVISOR** - A position or employee that accomplishes work through the direction of other people and meets at least the minimum requirements for coverage under this Guide. Those

directed may be subordinate Federal civil service employees, whether full-time, part-time, intermittent, or temporary; assigned military employees; non-Federal workers; unpaid volunteers; student trainees, or others. Supervisors exercise delegated authorities such as those described in this guide under Factor 3, Supervisory and Managerial Authority Exercised. A first level supervisor personally directs subordinates without the use of other, subordinate supervisors. A second level supervisor directs work through one layer of subordinate supervisors. A "full assistant" shares fully with a higher level supervisor in all phases of work direction, contractor oversight, and delegated authority over the subordinate staff.

NOTE: In some circumstances, technical planning and oversight of work ultimately accomplished through contractors, by State and local government employees, or by similar personnel will be encompassed in a supervisor's position. Provision is made for considering this work in most factors in this guide. However, many of the supervisor's responsibilities over the work of Federal subordinates do not apply to oversight of contract work.

When work for which the supervisor has technical oversight responsibilities is contracted out, or considered for contracting in lieu of accomplishment by subordinates, the supervisor's responsibilities may include: analyzing, justifying, comparing cost, and recommending whether work should be contracted; providing technical requirements and descriptions of the work to be accomplished; planning the work schedules, deadlines, and standards for acceptable work; arranging for subordinates to inspect quality or progress of work; coordinating and integrating contractor work schedules and processes with work of subordinates and others; deciding on the acceptance, rejection, or correction of work products or services, and similar matters which may affect payment to the contractor.

MANAGERIAL - The authority vested in some positions under the General Schedule which direct the work of an organizational unit, are held accountable for the success of specific line or staff functions, monitor and evaluate the progress of the organization toward meeting goals, and make adjustments in objectives, work plans, schedules, and commitment of resources. As described in 5 U.S.C. 5104, such positions may serve as head or assistant head of a major organization within a bureau; or direct a specialized program of marked difficulty, responsibility, and national significance.

## TITLING INSTRUCTIONS

Determine the title for a position covered by this guide through reference to the classification standard, classification guide, and/or series guidance used to determine the occupational series of the position. In most instances these guidelines require use of the word "Supervisory" as a prefix to the appropriate occupational title. However, in some occupations, certain titles (e.g., "Budget Officer") denote supervision and the supervisory prefix is not used.

In the absence of specific titling criteria in a classification standard, apply the instructions on titling contained in the Introduction to the Position Classification Standards in conjunction with the Handbook of Occupational Groups and Series. Positions which meet the minimum

requirements for coverage by this guide should be titled as supervisory even if nonsupervisory work in the position is grade controlling.

Although agencies may independently construct titles for informal or internal purposes, it is not permissible to use the words "Supervisory" or "Supervisor" in the official title of a position unless the position meets the minimum criteria for classification by this guide.

## INSTRUCTIONS FOR APPLICATION

This guide uses a point-factor evaluation approach with six evaluation factors designed specifically for supervisory positions. Under each factor there are several factor level definitions which are assigned specific point values. The points for all levels are fixed and no interpolation or extrapolation of them is permitted. Work of positions at different organizational levels often will be properly credited at the same level of a factor.

Evaluate supervisory duties by comparing them with each factor. Credit the points designated for the highest factor level which is met according to the instructions specific to each factor and level. If two or more levels of a factor are met, credit the points for the highest level met. However, if one level of a factor is exceeded, but the next higher level is not met, credit the lower level involved.

Add the total points accumulated under all factors. Use the [point-to-grade conversion table](#) at the end of this guide to convert the point total to a grade.

If the supervisory work does not fall at least one grade above the base level of work supervised (as determined by factor 5 in this guide), apply the adjustment provision following the grade conversion table.

(If the position includes major nonsupervisory duties, evaluate them using appropriate other standards and guides. If they evaluate to a different grade than the position's supervisory duties, the grade for the higher level duties will be the final grade of the position.)

Users are cautioned to read carefully all instructions and all levels for each factor before assigning a level; instructions differ for each factor. Individual positions may score low points on some factors and high points on others. As a final check, users should particularly examine the factor level definitions next above and below those initially credited to assure that the highest level that is met is credited.



## **DEPUTY AND "ASSISTANT CHIEF" SUPERVISORY POSITIONS**

The evaluation criteria in this guide are not designed to be applied directly to deputy or "assistant chief" supervisory positions. The grade of a full deputy (as defined in the introduction to this guide) or full "assistant chief" supervisory position which shares fully in the duties, responsibilities, and authorities of the "chief" should normally be set one grade lower than the grade of the supervisory duties of the position to which it reports. Since the criteria in this guide are designed to evaluate only GS/GM grades 5 through 15, the grade of a full deputy to an SES or Executive Level position or other position which exceeds grade 15 is determined through the application of policies and criteria beyond the scope and coverage of this guide. However a full deputy to such a position would normally not be graded below GS/GM-15.

Assignment of SES rank to a position is subject to the requirements of the Executive Personnel Management System, and therefore outside the scope of this guide.

### **GRADE EVALUATION FACTORS**

#### **FACTOR 1 - PROGRAM SCOPE AND EFFECT**

This factor assesses the general complexity, breadth, and impact of the program areas and work directed, including its organizational and geographic coverage. It also assesses the impact of the work both within and outside the immediate organization.

In applying this factor, consider all program areas, projects, and work assignments which the supervisor technically and administratively directs, including those accomplished through subordinate General Schedule employees, FWS employees, military personnel, contractors, volunteers, and others. To assign a factor level, the criteria dealing with both scope and effect, as defined below, must be met.

a. **SCOPE.** This addresses the general complexity and breadth of:

- the program (or program segment) directed;
- the work directed, the products produced, or the services delivered.

The geographic and organizational coverage of the program (or program segment) within the agency structure is included under Scope.

b. **EFFECT.** This addresses the impact of the work, the products, and/or the programs described under "Scope" on the mission and programs of the customer(s), the activity, other activities in or out of government, the agency, other agencies, the general public, or others.

## Factor Level 1-1 -- 175 points

- a. SCOPE. Work directed is procedural, routine, and typically provides services or products to specific persons or small, local organizations.
- b. EFFECT. Work directed facilitates the work of others in the immediate organizational unit, responds to specific requests or needs of individuals, or affects only localized functions.

## Illustration:

- Directs messenger, guard, clerical, or laboratory support work below grade GS-5, or equivalent. Provides local services to an organizational unit, small field office, or comparable activity.

## Factor Level 1-2 -- 350 points

- a. SCOPE. The program segment or work directed is administrative, technical, complex clerical, or comparable in nature. The functions, activities, or services provided have limited geographic coverage and support most of the activities comprising a typical agency field office, an area office, a small to medium military installation, or comparable activities within agency program segments.
- b. EFFECT. The services or products support and significantly affect installation level, area office level, or field office operations and objectives, or comparable program segments; or provide services to a moderate, local or limited population of clients or users comparable to a major portion of a small city or rural county.

## Illustrations:

- Directs budget, management, staffing, supply, maintenance, protective, library, payroll, or similar services which support a small Army, Navy, or Air Force base with no extensive research, development, testing, or comparable missions, a typical national park, a hospital, or a nondefense agency field office of moderate size and limited complexity. The services provided directly or significantly impact other functions and activities throughout the organizations supported and/or a small population of visitors or users.
- In a field office providing services to the general public, furnishes a portion of such services, often on a case basis, to a small population of clients. The size of the population serviced by the field office is the equivalent of all citizens or businesses in a portion of a small city. Depending on the nature of the service provided, however, the serviced population may be concentrated in one city or spread over a wider geographic area.
- Directs operating program segment activities comparable to those above but found at higher organizational levels in the agency, for example, the section or branch level of a bureau.

## Factor Level 1-3 -- 550 points

a. **SCOPE.** Directs a program segment that performs technical, administrative, protective, investigative, or professional work. The program segment and work directed typically have coverage which encompasses a major metropolitan area, a State, or a small region of several States; or, when most of an area's taxpayers or businesses are covered, coverage comparable to a small city. Providing complex administrative or technical or professional services directly affecting a large or complex multimission military installation also falls at this level.

b. **EFFECT.** Activities, functions, or services accomplished directly and significantly impact a wide range of agency activities, the work of other agencies, or the operations of outside interests (e.g., a segment of a regulated industry), or the general public. At the field activity level (involving large, complex, multimission organizations and/or very large serviced populations comparable to the examples below) the work directly involves or substantially impacts the provision of essential support operations to numerous, varied, and complex technical, professional, and administrative functions.

## Illustrations:

- Directs design, oversight, and related services for the construction of complex facilities for one or more agencies at multiple sites. The facilities are essential to the field operations of one or more agencies throughout several States.
- In providing services directly to the general public, furnishes a significant portion of the agency's line program to a moderate-sized population of clients. The size of the population serviced by the position is the equivalent of a group of citizens and/or businesses in several rural counties, a small city, or a portion of a larger metropolitan area. Depending on total population serviced by the agency and the complexity and intensity of the service itself, however, the serviced population may be concentrated in one specific geographic area, or involve a significant portion of a multistate population, or be composed of a comparable group.
- Directs administrative services (personnel, supply management, budget, facilities management, or similar) which support and directly affect the operations of a bureau or a major military command headquarters; a large or complex multimission military installation; an organization of similar magnitude, or a group of organizations which, as a whole, are comparable.

## Factor Level 1-4 -- 775 points

a. SCOPE. Directs a segment of a professional, highly technical, or complex administrative program which involves the development of major aspects of key agency scientific, medical, legal, administrative, regulatory, policy development or comparable, highly technical programs; or that includes major, highly technical operations at the Government's largest, most complex industrial installations.

b. EFFECT. Impacts an agency's headquarters operations, several bureauwide programs, or most of an agency's entire field establishment; or facilitates the agency's accomplishment of its primary mission or programs of national significance; or impacts large segments of the Nation's population or segments of one or a few large industries; or receives frequent or continuing congressional or media attention.

## Illustrations:

- Directs mission-essential, major operating programs or program segments at:
  - a large, complex, aerospace, undersea, or multimission research and development center;
  - the production department of one of the largest Navy shipyards or the aircraft management directorate at an Air Logistics Center;
  - major medical centers which include research programs or other medical programs of national interest and standing.

The program segments directed affect segments of large industries, or receive frequent congressional or media attention, or are essential to major defense, space exploration, or public health programs.

- Directs a program segment which includes major aspects of a regulatory, social service, or major revenue producing program covering a major segment of the Nation or numerous States. The program segments directed directly affect large segments of the Nation's population or businesses.
- Directs administrative activities (such as budget, management analysis, or personnel) conducted throughout, or covering the operations of, the agency's headquarters or most of its field establishment. The program segments directed materially shape or improve the structure, effectiveness, efficiency, or productivity of major portions of the agency's primary missions, multiregion programs, headquarterswide operations, or projects of national interest.

Factor Level 1-5 -- 900 points

SCOPE AND EFFECT combined. Directs a program for which both the scope and impact of the program or organization directed are one or more of the following: Nationwide; agencywide; industrywide; Governmentwide; directly involve the national interest or the agency's national mission; are subject to continual or intense congressional and media scrutiny or controversy; or have pervasive impact on the general public.

- OR -

Directs critical program segments, major scientific projects, or key high level organizations with comparable scope and impact.

Illustrations:

- Directs an agencywide regulatory effort affecting the Nation's general public or one or more large industries. The position heads a major organization one or two levels below the bureau level tasked with developing, issuing, and implementing policies, regulations, and other guidance which have agencywide usage, or affect major activities of large industries, or affect the general public.
- Directs the development of the most critical and complex subsystem(s) in a major aerospace or weapons system development program. The work (whether accomplished at or below headquarters and bureau levels or locations) has significant direct impact one or a few major industries, the agency's national mission, or the national defense.

## **FACTOR 2 - ORGANIZATIONAL SETTING**

This factor considers the organizational situation of the supervisory position in relation to higher levels of management.

For purposes of determining reporting levels under this factor:

- A position reporting to a deputy or full assistant chief position is credited as reporting to the chief. For example, a position reporting to the deputy of an SES position should be credited as if reporting directly to the SES level position. (However, an assistant chief position which does not share fully in the authorities and responsibilities of the chief constitutes a separate, intervening, reporting level under this guide. A supervisory position reporting to such a position would be treated as if reporting to a position one level below the chief.)
- The appropriate full performance level or rank of the position reported to is used when that position is occupied by officials of lower or different rank, e.g., for career development, budgetary, or similar purposes.

- A single factor level definition may cover positions at more than one organizational level in an agency or activity.
- If the position reports to two positions, select the factor level associated with the position which has responsibility for performance appraisal.
- SES equivalents include military officers at, equivalent to, or above the ranks of Rear Admiral and Brigadier General and also include commanding officers of the very largest military installations, regardless of rank.

#### Factor Level 2-1 -- 100 points

The position is accountable to a position that is two or more levels below the first (i.e., lowest in the chain of command) SES, flag or general officer, equivalent or higher level position in the direct supervisory chain.

#### Factor Level 2-2 -- 250 points

The position is accountable to a position that is one reporting level below the first SES, flag or general officer, or equivalent or higher level position in the direct supervisory chain.

#### Factor Level 2-3 -- 350 points

The position is accountable to a position that is SES level, flag or general officer military rank, or equivalent or higher level; or to a position which directs a substantial GS/GM-15 or equivalent level workload; or to a position which directs work through GS/GM-15 or equivalent level subordinate supervisors, officers, contractors, or others.

### **FACTOR 3 - SUPERVISORY AND MANAGERIAL AUTHORITY EXERCISED**

This factor covers the delegated supervisory and managerial authorities which are exercised on a recurring basis. To be credited with a level under this factor, a position must meet the authorities and responsibilities to the extent described for the specific level. Levels under this factor apply equally to the direction of specialized program management organizations, line functions, staff functions, and operating and support activities. Where authority is duplicated or not significantly differentiated among several organizational levels, a factor level may apply to positions at more than one organizational level.

## Factor Level 3-2 -- 450 points

Positions at this level meet a or b or c below:

a. Plan and schedule ongoing production-oriented work on a quarterly and annual basis, or direct assignments of similar duration. Adjust staffing levels or work procedures within their organizational unit(s) to accommodate resource allocation decisions made at higher echelons. Justify the purchase of new equipment. Improve work methods and procedures used to produce work products. Oversee the development of technical data, estimates, statistics, suggestions, and other information useful to higher level managers in determining which goals and objectives to emphasize. Decide the methodologies to use in achieving work goals and objectives, and in determining other management strategies.

b. Where work is contracted out, perform a wide range of technical input and oversight tasks comparable to all or nearly all of the following:

1. Analyze benefits and costs of accomplishing work in-house versus contracting; recommend whether to contract;
2. Provide technical requirements and descriptions of the work to be accomplished;
3. Plan and establish the work schedules, deadlines, and standards for acceptable work; coordinate and integrate contractor work schedules and processes with work of subordinates or others;
4. Track progress and quality of performance; arrange for subordinates to conduct any required inspections;
5. Decide on the acceptability, rejection, or correction of work products or services, and similar matters which may affect payment to the contractor.

c. Carry out at least three of the first four, and a total of six or more of the following 10 authorities and responsibilities:

1. Plan work to be accomplished by subordinates, set and adjust short-term priorities, and prepare schedules for completion of work;
2. Assign work to subordinates based on priorities, selective consideration of the difficulty and requirements of assignments, and the capabilities of employees;
3. Evaluate work performance of subordinates;
4. Give advice, counsel, or instruction to employees on both work and administrative matters;
5. Interview candidates for positions in the unit; recommend appointment, promotion, or reassignment to such positions;

6. Hear and resolve complaints from employees, referring group grievances and more serious unresolved complaints to a higher level supervisor or manager;
7. Effect minor disciplinary measures, such as warnings and reprimands, recommending other action in more serious cases;
8. Identify developmental and training needs of employees, providing or arranging for needed development and training;
9. Find ways to improve production or increase the quality of the work directed;
10. Develop performance standards.

Factor Level 3-3 -- 775 points

To meet this level, positions must meet paragraph a or b below:

- a. Exercise delegated managerial authority to set a series of annual, multiyear, or similar types of long-range work plans and schedules for in-service or contracted work. Assure implementation (by lower and subordinate organizational units or others) of the goals and objectives for the program segment(s) or function(s) they oversee. Determine goals and objectives that need additional emphasis; determine the best approach or solution for resolving budget shortages; and plan for long range staffing needs, including such matters as whether to contract out work. These positions are closely involved with high level program officials (or comparable agency level staff personnel) in the development of overall goals and objectives for assigned staff function(s), program(s), or program segment(s). For example, they direct development of data; provision of expertise and insights; securing of legal opinions; preparation of position papers or legislative proposals; and execution of comparable activities which support development of goals and objectives related to high levels of program management and development or formulation.
- b. Exercise all or nearly all of the delegated supervisory authorities and responsibilities described at Level 3-2c of this factor and, in addition, at least 8 of the following:
  1. Using any of the following to direct, coordinate, or oversee work: supervisors, leaders, team chiefs, group coordinators, committee chairs, or comparable personnel; and/or providing similar oversight of contractors;
  2. Exercising significant responsibilities in dealing with officials of other units or organizations, or in advising management officials of higher rank;
  3. Assuring reasonable equity (among units, groups, teams, projects, etc.) of performance standards and rating techniques developed by subordinates or assuring comparable equity in the assessment by subordinates of the adequacy of contractor capabilities or of contractor completed work;



4. Direction of a program or major program segment with significant resources (e.g., one at a multimillion dollar level of annual resources);
5. Making decisions on work problems presented by subordinate supervisors, team leaders, or similar personnel, or by contractors;
6. Evaluating subordinate supervisors or leaders and serving as the reviewing official on evaluations of nonsupervisory employees rated by subordinate supervisors;
7. Making or approving selections for subordinate nonsupervisory positions;
8. Recommending selections for subordinate supervisory positions and for work leader, group leader, or project director positions responsible for coordinating the work of others, and similar positions;
9. Hearing and resolving group grievances or serious employee complaints;
10. Reviewing and approving serious disciplinary actions (e.g., suspensions) involving nonsupervisory subordinates;
11. Making decisions on nonroutine, costly, or controversial training needs and training requests related to employees of the unit;
12. Determining whether contractor performed work meets standards of adequacy necessary for authorization of payment;
13. Approving expenses comparable to within-grade increases, extensive overtime, and employee travel;
14. Recommending awards or bonuses for nonsupervisory personnel and changes in position classification, subject to approval by higher level officials, supervisors, or others;
15. Finding and implementing ways to eliminate or reduce significant bottlenecks and barriers to production, promote team building, or improve business practices.

Factor Level 3-4 -- 900 points

In addition to delegated managerial and supervisory authorities included at lower levels of this factor, positions at this level meet the criteria in paragraph a or b below:

- a. Exercise delegated authority to oversee the overall planning, direction, and timely execution of a program, several program segments (each of which is managed through separate subordinate organizational units), or comparable staff functions, including development, assignment, and higher level clearance of goals and objectives for supervisors or managers of subordinate

organizational units or lower organizational levels. Approve multiyear and longer range work plans developed by the supervisors or managers of subordinate organizational units and subsequently manage the overall work to enhance achievement of the goals and objectives. Oversee the revision of long range plans, goals and objectives for the work directed. Manage the development of policy changes in response to changes in levels of appropriations or other legislated changes. Manage organizational changes throughout the organization directed, or major change to the structure and content of the program or program segments directed. Exercise discretionary authority to approve the allocation and distribution of funds in the organization's budget.

- b. Exercise final authority for the full range of personnel actions and organization design proposals recommended by subordinate supervisors. This level may be credited even if formal clearance is required for a few actions, such as removals and incentive awards above set dollar levels.

## **FACTOR 4 - PERSONAL CONTACTS**

This is a two part factor which assesses the nature and the purpose of personal contacts related to supervisory and managerial responsibilities. The nature of the contacts, credited under Subfactor 4A, and the purpose of those contacts, credited under Subfactor 4B, must be based on the same contacts.

### **SUBFACTOR 4A - NATURE OF CONTACTS**

This subfactor covers the organizational relationships, authority or influence level, setting, and difficulty of preparation associated with making personal contacts involved in supervisory and managerial work. To be credited, the level of contacts must contribute to the successful performance of the work, be a recurring requirement, have a demonstrable impact on the difficulty and responsibility of the position, and require direct contact.

#### **Subfactor Level 4A-1 -- 25 points**

Contacts are with subordinates within the organizational unit(s) supervised, with peers who supervise comparable units within the larger organization, with union shop stewards, and/or with the staff of administrative and other support activities when the persons contacted are within the same organization as the supervisor. Contacts are typically informal and occur in person at the work place of those contacted, in routine meetings, or by telephone.

## Subfactor Level 4A-2 -- 50 points

Frequent contacts comparable to any of those below meet this level. Contacts are with:

- members of the business community or the general public;
- higher ranking managers, supervisors, and staff of program, administrative, and other work units and activities throughout the field activity, installation, command (below major command level) or major organization level of the agency;
- representatives of local public interest groups;
- case workers in congressional district offices;
- technical or operating level employees of State and local governments;
- reporters for local and other limited media outlets reaching a small, general population.

Contacts may be informal, occur in conferences and meetings, or take place through telephone, televised, radio, or similar contact, and sometimes require nonroutine or special preparation.

## Subfactor Level 4A-3 -- 75 points

Frequent contacts comparable to any of those below meet this level. Contacts are with:

- high ranking military or civilian managers, supervisors, and technical staff at bureau and major organization levels of the agency; with agency headquarters administrative support staff; or with comparable personnel in other Federal agencies;
- key staff of public interest groups (usually in formal briefings) with significant political influence or media coverage;
- journalists representing influential city or county newspapers or comparable radio or television coverage;
- congressional committee and subcommittee staff assistants below staff director or chief counsel levels;
- contracting officials and high level technical staff of large industrial firms;
- local officers of regional or national trade associations, public action groups, or professional organizations; and/or State and local government managers doing business with the agency.

Contacts include those which take place in meetings and conferences and unplanned contacts for which the employee is designated as a contact point by higher management. They often require

extensive preparation of briefing materials or up-to-date technical familiarity with complex subject matter.

Subfactor Level 4A-4 -- 100 points

Frequent contacts comparable to any of those below meet this level. Contacts are with:

- influential individuals or organized groups from outside the employing agency, such as executive level contracting and other officials of major defense contractors or national officers of employee organizations;
- regional or national officers or comparable representatives of trade associations, public action groups, or professional organizations of national stature;
- key staff of congressional committees, and principal assistants to senators and representatives. For example: majority and minority staff directors, chief counsels, and directors of field operations;
- elected or appointed representatives of State and local governments;
- journalists of major metropolitan, regional, or national newspapers, magazines, television, or radio media;
- SES, flag or general officer, or Executive Level heads of bureaus and higher level organizations in other Federal agencies;

Contacts may take place in meetings, conferences, briefings, speeches, presentations, or oversight hearings and may require extemporaneous response to unexpected or hostile questioning. Preparation typically includes briefing packages or similar presentation materials, requires extensive analytical input by the employee and subordinates, and/or involves the assistance of a support staff.

#### SUBFACTOR 4B - PURPOSE OF CONTACTS

This subfactor covers the purpose of the personal contacts credited in Subfactor 4A, including the advisory, representational, negotiating, and commitment making responsibilities related to supervision and management.

Subfactor Level 4B-1 -- 30 points

The purpose of contacts is to discuss work efforts for providing or receiving services; to exchange factual information about work operations and personnel management matters; and to provide training, advice, and guidance to subordinates.

**Subfactor Level 4B-2 -- 75 points**

The purpose of contacts is to ensure that information provided to outside parties is accurate and consistent; to plan and coordinate the work directed with that of others outside the subordinate organization; and/or to resolve differences of opinion among managers, supervisors, employees, contractors or others.

**Subfactor Level 4B-3 -- 100 points**

The purpose of contacts is to justify, defend, or negotiate in representing the project, program segment(s), or organizational unit(s) directed, in obtaining or committing resources, and in gaining compliance with established policies, regulations, or contracts. Contacts at this level usually involve active participation in conferences, meetings, hearings, or presentations involving problems or issues of considerable consequence or importance to the program or program segment(s) managed.

**Subfactor Level 4B-4 -- 125 points**

The purpose is to influence, motivate, or persuade persons or groups to accept opinions or take actions related to advancing the fundamental goals and objectives of the program or segments directed, or involving the commitment or distribution of major resources, when intense opposition or resistance is encountered due to significant organizational or philosophical conflict, competing objectives, major resource limitations or reductions, or comparable issues.

At this level, the persons contacted are sufficiently fearful, skeptical, or uncooperative that highly developed communication, negotiation, conflict resolution, leadership, and similar skills must be used to obtain the desired results.

## **FACTOR 5 - DIFFICULTY OF TYPICAL WORK DIRECTED**

This factor measures the difficulty and complexity of the basic work most typical of the organization(s) directed, as well as other line, staff, or contracted work for which the supervisor has technical or oversight responsibility, either directly or through subordinate supervisors, team leaders, or others.

**First Level Supervisors**

Determine the highest grade which:

- best characterizes the nature of the basic (mission oriented) nonsupervisory work performed or overseen by the organization directed; and
- constitutes 25 percent or more of the workload (not positions or employees) of the organization.

This means that 25 percent or more of the nonsupervisory duty hours of subordinates and others (based on estimates derived from position descriptions, supervisors, staffing studies, or contract documents) is expended on work at or above the base level credited, or, where extensive contract work is overseen, that 25 percent or more of the dollars spent on human services is for work at or above that level.

Include the workload of General Schedule subordinates, Federal Wage System employees, assigned military, volunteers, student trainees or non-Federal workers, such as contractor employees, State and local workers, or similar personnel.)

In determining the highest level of work which constitutes at least 25 percent of workload or duty time, credit trainee, developmental, or other work engineered to grades below normal full performance levels, at full performance levels. Exclude from consideration:

- the work of lower level positions that primarily support or facilitate the basic work of the unit;
- any subordinate work that is graded based on criteria in this guide (i.e., supervisory duties) or the Work Leader Grade-Evaluation Guide;
- work that is graded based on an extraordinary degree of independence from supervision, or personal research accomplishments, or adjust the grades of such work - for purposes of applying this guide - to those appropriate for performance under "normal" supervision;
- work for which the supervisor or a subordinate does not have the responsibilities defined under Factor 3.

FWS, military, contractor, or volunteer work that is similar to that described in this paragraph should also be credited, adjusted or excluded from consideration as above.

### Second (and Higher) Level Supervisors

First, use the method described above for first level supervisors. For many second level supervisors, the base level arrived at by that method will be the correct one.

In some cases, however, a heavy supervisory or managerial workload related to work above that base level may be present. For these positions: Determine the highest grade of nonsupervisory work directed which requires at least 50 percent of the duty time of the supervisory position under evaluation. The resulting grade may be used as the base level for second (and higher) level supervisors over large workloads -- if sound alignment with other supervisory positions in the organization and agency results.

In the assessment of the level of any work performed by non-General Schedule employees, the pertinent classification standards should be consulted to derive an appropriate GS equivalent. In assessing supervisory positions which have mostly FWS employees making up their workforce, see the information in this guide under Exclusions.

After determining the highest qualifying level of the basic nonsupervisory work directed, using a method consistent with the instructions above, assign the proper Factor Level and credit the appropriate points using the following chart:

IF HIGHEST LEVEL OF BASE WORK IS:	THEN FACTOR LEVEL IS:	AND POINTS TO BE CREDITED ARE:
GS-1 or 2, or equivalent	5-1	75
GS-3 or 4, or equivalent	5-2	205
GS-5 or 6, or equivalent	5-3	340
GS-7 or 8, or equivalent	5-4	505
GS-9 or 10, or equivalent	5-5	650
GS-11 or equivalent	5-6	800
GS-12 or equivalent	5-7	930
GS-13 or higher, or equivalent	5-8	1030

## FACTOR 6 - OTHER CONDITIONS

This factor measures the extent to which various conditions contribute to the difficulty and complexity of carrying out supervisory duties, authorities, and responsibilities. Conditions affecting work for which the supervisor is responsible (whether performed by Federal employees, assigned military, contractors, volunteers, or others) may be considered if they increase the difficulty of carrying out assigned supervisory or managerial duties and authorities.

### To Apply This Factor

Step 1 — Read each Factor Level Definition and select the highest level which the position fully meets.

Step 2 — If the level selected is either 6-1, 6-2, or 6-3, refer to the Special Situations section to be found after the Factor Level Definitions. Read each of the eight situations and determine how many are met by the position. If the position meets 3 or more of the situations (i.e., meets 3 or more of the numbered paragraphs), then add a single level to the level selected in Step 1. For example, if the highest factor level that the position meets is 6-3, and the position also meets three separate numbered paragraphs under Special Situations, credit the position with level 6-4 for Factor 6.

If the level selected under Step 1 is either 6-4, 6-5, or 6-6, do not consult the Special Situations section, and do not add any levels to the level selected in Step 1. The level selected in Step 1 will be the level credited to the position for Factor 6.

Factor Level 6-1 -- 310 points

a. The work supervised or overseen involves clerical, technician, or other work comparable in difficulty to the GS-6 level, or lower. This could vary from basic supervision over a stable workforce performing work operations that are routine, to a level of supervision which requires coordination within the unit to ensure that timeliness, form, procedure, accuracy, quality and quantity standards are met in individual cases.

Factor Level 6-2 -- 575 points

a. The work supervised or overseen involves technician and/or support work comparable in difficulty to GS-7 or GS-8, or work at the GS-4, 5 or 6 level where the supervisor has full and final technical authority over the work, which requires coordination and integration of work efforts, either within the unit or with other units, in order to produce a completed work product or service. (Full and final technical authority means that the supervisor is responsible for all technical determinations arising from the work, without technical advice or assistance on even the more difficult and unusual problems, and without further review except from an administrative or program evaluation standpoint. Credit for this should be limited to situations involving an extraordinary degree of finality in technical decision making.)

The required coordination at this level ensures: consistency of product, service, interpretation, or advice; conformance with the output of other units, with formal standards or agency policy. Supervisors typically coordinate with supervisors of other units to deal with requirements and problems affecting others outside the organization.

OR

b. The position directs subordinate supervisors of work comparable to GS-6 or lower, where coordinating the work of the subordinate units requires a continuing effort to assure quality and service standards, limited to matters of timeliness, form, procedure, accuracy, and quantity.

Factor Level 6-3 -- 975 points

a. Supervision and oversight at this level requires coordination, integration, or consolidation of administrative, technical, or complex technician or other support work comparable to GS-9 or 10, or work at the GS-7 or 8 level where the supervisor has full and final technical authority over the work. (Full and final technical authority means that the supervisor is responsible for all technical determinations arising from the work, without technical advice or assistance on even the more difficult and unusual problems, and without further review except from an administrative or program evaluation standpoint. Credit for this should be limited to situations involving an extraordinary degree of finality in technical decisionmaking.) Directing the work at



this level (cases, reports, studies, regulations, advice to clients, etc.) requires consolidation or coordination similar to that described at Factor Level 6-2a, but over a higher level of work.

This level may also be met when the work directed is analytical, interpretive, judgmental, evaluative, or creative. Such work places significant demands on the supervisor to resolve conflicts and maintain compatibility of interpretation, judgment, logic, and policy application, because the basic facts, information, and circumstances often vary substantially; guidelines are incomplete or do not readily yield identical results; or differences in judgments, recommendations, interpretations, or decisions can have consequences or impact on the work of other subordinates. Such work also may be accomplished by a team, each member of which contributes a portion of the analyses, facts, information, proposed actions, or recommendations, which are then integrated by the supervisor.

OR

b. The position directs subordinate supervisors over positions in grades GS-7 or 8 or the equivalent which requires consolidation or coordination similar to that described at Factor Level 6-2a within or among subordinate units or with outside units.

Factor Level 6-4 -- 1120 Points

a. Supervision at this level requires substantial coordination and integration of a number of major work assignments, projects, or program segments of professional, scientific, technical, or administrative work comparable in difficulty to the GS-11 level. For example, such coordination may involve work comparable to one of the following:

- identifying and integrating internal and external program issues affecting the immediate organization, such as those involving technical, financial, organizational, and administrative factors;
- integrating the work of a team or group where each member contributes a portion of the analyses, facts, information, proposed actions, or recommendations; and/or ensuring compatibility and consistency of interpretation, judgment, logic, and application of policy;
- recommending resources to devote to particular projects or to allocate among program segments;
- leadership in developing, implementing, evaluating, and improving processes and procedures to monitor the effectiveness, efficiency, and productivity of the program segment and/or organization directed;
- reviewing and approving the substance of reports, decisions, case documents, contracts, or other action documents to assure that they accurately reflect the policies and position of the organization and the views of the agency.

OR

b. The position directs subordinate supervisors and/or contractors who each direct substantial workloads comparable to the GS-9 or 10 level. Such base work requires coordination similar to that described at Factor Level 6-3a., above, for first line supervisors.

Factor Level 6-5 -- 1225 points

a. Supervision and oversight at this level requires significant and extensive coordination and integration of a number of important projects or program segments of professional, scientific, technical, managerial, or administrative work comparable in difficulty to the GS-12 level. Supervision at this level involves major recommendations which have a direct and substantial effect on the organization and projects managed. For instance, makes major recommendations in at least three of the areas listed below or in other, comparable areas:

- significant internal and external program and policy issues affecting the overall organization, such as those involving political, social, technological, and economic conditions, as well as those factors cited in the first item of Factor Level 6-4a;
- restructuring, reorienting, recasting immediate and long range goals, objectives, plans, and schedules to meet substantial changes in legislation, program authority, and/or funding;
- determinations of projects or program segments to be initiated, dropped, or curtailed;
- changes in organizational structure, including the particular changes to be effected;
- the optimum mix of reduced operating costs and assurance of program effectiveness, including introduction of labor saving devices, automated processes, methods improvements, and similar;
- the resources to devote to particular programs (especially when staff-years and a significant portion of an organization's budget are involved);
- policy formulation, and long range planning in connection with prospective changes in functions and programs.

OR

b. Supervision of highly technical, professional, administrative, or comparable work at GS-13 or above involving extreme urgency, unusual controversy, or other, comparable demands due to research, development, test and evaluation, design, policy analysis, public safety, public health, medical, regulatory, or comparable implications.

OR

c. Managing work through subordinate supervisors and/or contractors who each direct substantial workloads comparable to the GS-11 level. Such base work requires similar coordination as that described at Factor Level 6-4a. above for first line supervisors.

NOTE: Credit for Factor Level 6-5 cannot be obtained by means of the Special Situations found at the end of the Factor Level Descriptions.

Factor Level 6-6 -- 1325 points

a. Supervision and oversight at this level requires exceptional coordination and integration of a number of very important and complex program segments or programs of professional, scientific, technical, managerial, or administrative work comparable in difficulty to the GS-13 or higher level. Supervision and resource management at this level involves major decisions and actions which have a direct and substantial effect on the organizations and programs managed. For instance, supervisors at this level make recommendations and/or final decisions about many of the management areas listed under Factor Level 6-5a., or about other comparable areas.

OR

b. They manage through subordinate supervisors and/or contractors who each direct substantial workloads comparable to the GS-12 or higher level. Such base work requires similar coordination as that described at Factor Level 6-5a. above for first line supervisors.

NOTE: Credit for Factor Level 6-6 cannot be obtained by means of the Special Situations described below.

#### SPECIAL SITUATIONS

Supervisory and oversight work may be complicated by special situations and/or conditions. The Methodology section at the beginning of this factor explains how to credit the following situations.

##### 1. Variety of Work:

Credit this situation when more than one kind of work, each kind representing a requirement for a distinctly different additional body of knowledge on the part of the supervisor, is present in the work of the unit. A "kind of work" usually will be the equivalent of a classification series. Each "kind of work" requires substantially full qualification in distinctly separate areas, or full knowledge and understanding of rules, regulations, procedures, and subject matter of a distinctly separate area of work. Additionally, to credit "Variety" (1) both technical and administrative responsibility must be exercised over the work, and (2) the grade level of the work cannot be more than one grade below the base level of work used in Factor 5.

## 2. Shift Operations:

Credit this situation when the position supervises an operation carried out on at least two fully staffed shifts.

## 3. Fluctuating Work Force or Constantly Changing Deadlines:

Credit Fluctuating Work Force when the workforce supervised by the position has large fluctuations in size (e.g., when there are significant seasonal variations in staff) and these fluctuations impose on the supervisor a substantially greater responsibility for training, adjusting assignments, or maintaining a smooth flow of work while absorbing and releasing employees.

Credit Constantly Changing Deadlines when frequent, abrupt, and unexpected changes in work assignments, goals, and deadlines require the supervisor constantly to adjust operations under the pressure of continuously changing and unpredictable conditions.

## 4. Physical Dispersion:

Credit this situation when a substantial portion of the workload for which the supervisor is responsible is regularly carried out at one or more locations which are physically removed from the main unit (as in different buildings, or widely dispersed locations in a large warehouse or factory building), under conditions which make day-to-day supervision difficult to administer.

## 5. Special Staffing Situations:

Credit this situation when: (1) a substantial portion of the work force is regularly involved in special employment programs; or in similar situations which require involvement with employee representatives to resolve difficult or complex human resources management issues and problems; (2) requirements for counseling and motivational activities are regular and recurring; and (3) job assignments, work tasks, working conditions, and/or training must be tailored to fit the special circumstances.

## 6. Impact of Specialized Programs:

Credit this situation when supervisors are responsible for a significant technical or administrative workload in grades above the level of work credited in Factor 5, provided the grades of this work are not based upon independence of action, freedom from supervision, or personal impact on the job.

### 7. Changing Technology:

Credit this when work processes and procedures vary constantly because of the impact of changing technology, creating a requirement for extensive training and guidance of the subordinate staff.

### 8. Special Hazard and Safety Conditions:

Credit this situation when the supervisory position is regularly made more difficult by the need to make provision for significant unsafe or hazardous conditions occurring during performance of the work of the organization.

## DETERMINING THE GRADE

To determine the final grade of supervisory work:

- Assure that you have applied this guide in accordance with the "Instructions for Application" in the introduction to this Guide, and the directions given in each factor.
- Total the points for all six factors and convert them to a grade using the point-to-grade conversion chart below. This normally produces the final grade of supervisory major duties.

## POINT-TO-GRADE CONVERSION CHART

<u>Point Range</u>	<u>Grade</u>
4055- up	GS-15
3605-4050	GS-14
3155-3600	GS-13
2755-3150	GS-12
2355-2750	GS-11
2105-2350	GS-10
1855-2100	GS-9
1605-1850	GS-8
1355-1600	GS-7
1105-1350	GS-6
0855-1100	GS-5

If the grade which results from applying the conversion chart is not higher than the base grade of work supervised, as determined under Factor 5 of this guide, the final grade for the supervisory work evaluated will be one grade above the "base" grade of work directed, provided:

- a. the "base" level of work directed is determined under Factor 5 of this guide, and involves 25 percent or more of the workload directed, as estimated under Factor 5; and
- b. the delegated supervisory and managerial authorities and responsibilities credited meet the minimum level of authority and responsibility in Factor Level 3-2;

In addition, where the base grade of work directed is GS-09, and the adjustment conditions "a" and "b" immediately above are fully met, the final grade for the supervisory work shall not be less than GS-11.

These adjustments may not be applied directly to "Deputy" or "Assistant Chief" duties causing a position to be graded at the same grade as the "Chief."