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OFFICE OF PERSONNEL MANAGEMENT  
POSITION CLASSIFICATION STANDARD

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GENERAL SCHEDULE  
SUPERVISORY GUIDE  
(GSSG)

SUPPLEMENTED BY THE:

DEPARTMENT OF DEFENSE (DOD)  
SUPPLEMENTARY GUIDANCE FOR THE  
GENERAL SCHEDULE SUPERVISORY GUIDE (GSSG)  
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DEPARTMENT OF ARMY  
IMPLEMENTING INSTRUCTIONS FOR  
THE GENERAL SCHEDULE SUPERVISORY GUIDE (GSSG)  
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HQUSACE IMPLEMENTING INSTRUCTIONS  
THIRD REVISION  
7 JULY 00

## **PURPOSE OF THE GUIDE (DOD)**

**This policy guidance supplements and is used in conjunction with the Office of Personnel Management's (OPM) General Schedule Supervisory Guide (GSSG), TS-123, dated April 1993. It provides uniform clarification for classifying supervisory and managerial work to facilitate consistent DoD-wide application.**

### **Department of Army**

**The following is a series of questions and answers to issues frequently raised as they relate to the new General Schedule Supervisory Guide (GSSG) are incorporated throughout the text of this document. The answers represent Department of the Army interpretation of the GSSG. As further OPM explanations, advisory opinions and appeal decisions become available, these responses will be appropriately revised. Attached is a suggested GSSG job evaluation summary form for your consideration.**

## **HQUSACE IMPLEMENTING INSTRUCTIONS THIRD REVISION**

**The following guidance represents Corps of Engineers interpretation of the GSSG as it pertains to HQUSACE and all subordinate elements. It is not intended to duplicate guidance provided by DOD and DA. This is a revision of the guidance published 9 December 1993, 10 August 1995, and 4 September 1998. This revision is based on the DOD CPMS memo dated 24 May 2000. Significant changes are highlighted.**

### **GENERAL GUIDANCE:**

**With the emphasis placed on time percentages for determination of coverage by the GSSG and determination of base level, accuracy of time percentages for duty paragraphs is very important. Time percentages may make the difference in grade levels.**

**For positions where supervisory duties are grade controlling, a job description must either have an addendum describing the six GSSG factor level descriptions or a new job description be written in the factor format. With this information available in the job description, an evaluation summary form will be sufficient for evaluation documentation.**

**HQDA has determined that the Corps does not meet the "agency" criteria in the standard. Therefore, the Corps is considered a MACOM for purposes of applying this standard.**

## **GUIDANCE ON JOB DESCRIPTION DEVELOPMENT**

**QUESTION #18: Will supervisory position descriptions need to be rewritten upon initial application of GSSG?**

**No. Army policy states that job descriptions will be in a format required by the grade controlling standard. OPM personnel have said that a specific format for positions evaluated by GSSG is not required. However, it is easier to evaluate a position if the description and the standard are compatible. A position subject to adjudication through the classification appeal process must include sufficient information for evaluation purposes.**

**QUESTION #19: If a supervisory position description is rewritten, what is the format for writing job descriptions that include both supervisory duties and nonsupervisory duties covered by an FES standard?**

**The grade controlling duties will dictate the format to be used. If the grade controlling duties are in FES format, the FES factors will be included in the position description. If the supervisory duties are grade controlling, the six GSSG factors will be listed in the position description.**

**QUESTION #21: Is an evaluation statement required when classifying a supervisory position?**

**The Department of the Army does not require that evaluation statements be written. However, the position description should include sufficient information for evaluation. An optional evaluation summary form is attached.**

## GENERAL SCHEDULE SUPERVISORY GUIDE

### 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 Supervisory Grade Evaluation Guide (SGEG), issued in 1976, and the Draft Grade Evaluation Guide for White Collar Supervisors issued in 1991.

### 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

**QUESTION #3: What is intended by the technical direction of others?**

**The Introduction to the Position Classification Standards and Exclusion No. 6 of the GSSG exclude positions that do not require technical competence over the work directed. The supervisor need not be as skilled in the work as all subordinates, but must have sufficient technical knowledge to plan, assign, direct, and review work operations of the unit. The need for the supervisor to possess specific technical knowledge is generally strongest at the first line where employees are supervised directly. Although need for some type of technical skill persists throughout successively higher echelons of supervision and management, the nature of technical knowledge required becomes necessarily more general and diffused due to the broader variety of work and occupations directed. Technical direction is much more intense at the first line than it is at higher echelons.**

- 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.)

**This guide applies to the Office of the Secretary of Defense(OSD); the Military Departments (including their National Guard and Reserve Components); the Chairman, Joint Chiefs of Staff and Joint Staff; the Inspector General of the Department of Defense (IG, DoD); the Defense Agencies and DoD Field Activities; and the OSD Director of Administration and Management.**

**QUESTION #1: Is there a minimum number of employees the position must supervise to apply the GSSG?**

**No. The GSSG does not use numbers of employees as a threshold for application. However, the GSSG cannot be applied unless a position spends a minimum of 25% of its time supervising.**

**QUESTION #2: Do positions meet the basic coverage of the GSSG when less than 25% of the time is spent on supervisory tasks but performing a combination of supervisory and managerial tasks does meet the 25% requirement?**

**The intent of GSSG coverage is met if the managerial responsibilities (see Questions 6 and 7) exercised are directly related to the work supervised and, in combination with supervisory duties, are performed 25% of the time.**

## 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.

**QUESTION #6: Can the GSSG be used to classify managerial positions?**

**Yes, however, the position must also perform supervisory responsibilities and the combination of supervisory and managerial duties must occupy at least 25% of the position's time. Positions requiring management skills alone are excluded under Exclusion 6 in the GSSG.**

## 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 Series, 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.

**QUESTION #4: Which commands in Army meet the optional definition for Agency?**

**Commands must request approval to use the optional "agency" definition. Each command would be required to present its case for agency status by meeting a minimum of 5 of the 7 conditions listed in the optional definition for agency. The request for agency status, along with supporting documentation, will come through command channels to DA to be forwarded to the Office of the Chief of Staff of the Army for approval.**

**Wherever agency is used in this guidance, the reference is to DA. For those commands identified by DA as an agency, specific guidance will be provided. All other commands will consider Army as the agency.**

**QUESTION #5: How is the serviced population for a position determined?**

**Only positions directly affected by the position under evaluation are counted. For example, counting serviced population for the Director of Personnel and Community Activities (DPCA) will include only those youth, military personnel, retirees, etc. actually receiving services. Potential customers to whom services are available but not provided are not included in the serviced population. Most service organizations generally maintain records to show services provided and to whom for budget purposes.**

**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.

**MAJOR MILITARY COMMAND. To be considered a major military command, an organization must not only meet the basic criteria stated in the definition, but must also consist of a headquarters organization and formally established subordinate field activities. This organizational level does not apply to State National Guard organizations.**

**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.

**(1) Large. Consider the terms "directly affects, directly impacts, and directly supports" as interchangeable when counting the total serviced or supported employee-equivalent population. The population (military and/or civilian) may be concentrated in one facility or located in a group of activities. "Supported employee-equivalent population" measures people who actually receive service, not the population potentially eligible for services. Support activities within the same organization/installation, or equivalent, often serve different sized populations; consequently, supervisors of those support activities may appropriately receive different credit for the employee-equivalent population they directly serve. When appropriate, the hours worked by National Guard Drill Status Guard Members on Annual Training (AT) or on mandays may be counted as full-time equivalents to determine whether the serviced employee-equivalent population exceeds 4000.**

(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.

**(2) Complex. To determine equivalent activities, count each diverse mission that imposes additional complexities upon the position providing services as one of the four conditions. If an installation has two diverse missions, count as two conditions toward the "complex" criteria on page 5 of the GSSG. Additional examples are below.**

**(a) Organization(s) served provide contract administration service for multimillion dollar contracts for development or production of major weapons systems, subsystems, and components.**

**(b) Organization(s) served include any of the following, or equivalent, kinds of activities:**

**Army garrison, Air Force base, Naval station, or equivalent host activity that provides a variety of support services to the tenants of an installation; military service academy (e.g., Army War College, West Point, Air Force Academy, Navy Postgraduate School, Industrial College of the Armed Forces, U.S. Coast Guard Academy).**

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.

**MAJOR ORGANIZATION. A field installation whose commander reports directly to a major military command, as defined on page 4 of the GSSG, also qualifies as a major organization.**

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 AND MAJOR MILITARY FUNCTION. "Program" and "major military function" as defined in the GSSG are interchangeable.**

**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 fulltime, parttime, 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.

#### **QUESTION #7: Does the GSSG define managerial positions?**

**No, however, managerial positions typically perform the following:**

- a. Determine program goals and develop work plans for the organization;**
- b. Determine resource needs, allocate resources, and account for their effective use;**
- c. Identify the need, and develop plans for organizational changes which have considerable impact; e.g., affecting basic structure, operating costs, or key positions;**
- d. Consider a broad spectrum of factors when making decisions, including public relations and policy, Congressional relations, labor-management relations, economic impact, and effect on other organizations;**
- e. Coordinate program efforts with other internal activities, or with the activities of other agencies;**
- f. Assess the impact on the organization's programs of substantive developments in programs and policies in other parts of the agency, in other government entities, and in the private sector;**
- g. Set policy for the organization managed in such areas as program priorities throughout the organization managed;**
- h. Make decisions on personnel policy matters affecting the key subordinate employees, employee grievances, workforce reductions, and adverse actions;**
- i. Delegate authority to subordinate supervisors to direct their work units and employees, and monitor the performance of their organizational units in accomplishing the assigned workload.**

## 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.)

**QUESTION #20: Must the GSSG be used to evaluate positions covered by separate supervisory grading criteria, i.e., Fire Chief, GS-081?**

**Yes, and if the GSSG evaluation results in a higher grade, apply the GSSG.**

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.

**Examples provided in this guide do not represent threshold criteria needed to credit a specific factor level. Both the DoD and GSSG examples are useful for clarification; however, they should not be used solely to assign any factor level. If a factor level falls short of the GSSG factor level descriptions, the lower point value must be assigned.**

**Although the GSSG requires no specific format for covered positions, users are not precluded from describing positions in a format that is compatible with that of the GSSG. Current core document system users also have an appropriate format available within the system. Regardless of the format, descriptions should contain sufficient information addressed by the six factors to effectively and properly evaluate the work.**

#### 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.

**Users are cautioned against the mechanical crediting of factor levels on the basis of organizational echelon. The correct level under Factor 1 must be based on an analysis of the complexity, breadth, and impact of the work directed, with the location of the position in the organizational structure being considered as one indicator of the scope and effect of the work.**

**Positions that report to the Commander and those that are two reporting levels below the Commander may support the same factor level; e.g., Division and Branch Chief (District), Director and Division Chief (MSC). While there are exceptions, positions that are three or more levels (Section at District, Branch at MSC) below the commander normally have a much smaller portion of the program and therefore should be credited with a lower factor level. This is a two-part factor; both scope and effect must be fully met in order to assign a level.**

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.

**QUESTION #22: Are references to professional, administrative, technical or clerical work in the GSSG in of Labor accordance with Department PATCO occupational codes and determinations?**

**No, as OPM does not specify this to be the case. Professional, administrative, technical and clerical work are adequately defined on pages 11-13 in the OPM Introduction to the Position Classification Standards dated August 1991.**

**FACTOR LEVEL 1-2 and ABOVE. The absence of specific examples of professional/administrative/scientific/technical, line/mission, or staff/support work at a specific level, i.e., FL 1-2, does not preclude assignment of the level. The critical issue is whether or not both the scope and effect are fully met.**

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. Within DoD, activities that are generally considered "support" at the installation level, e.g., budget, personnel, would not exceed FL 1-3.**

**District line positions at branch and division level normally will meet Level 1-3 in that the program segment performs technical, administrative, protective, investigative, or professional work and has a wide geographic coverage. Supervisory positions below the division must supervise a program segment that has direct and significant impact required for crediting Level 1-3 Effect. District staff support functions generally directly impact the district, but do not normally directly affect a wide range of Army activities, the activities of other agencies, or outside interests. They will therefore normally meet Level 1-2. The first two examples at Level 1-3 and Level 1-4 describe line/mission work. The last example at Level 1-3 and Level 1-4 describe staff support work. Since different criteria are used, it is possible that both line/mission work and staff support work will evaluate to the same level.**

**Based on many OPM and DOD appeal decisions on Corps positions, it does not appear that any of our districts with a CONUS mission will have line positions that exceed Level 1-3. Districts that do not have a mission that encompasses a major metropolitan area, an entire state, or a small region of several states will not exceed Level 1-2. Staff support positions at the district level will not exceed Level 1-2. MSC line positions generally do not have responsibility for development of major aspects of key Army programs nor do they include major, highly technical operations at the Government's largest, most complex industrial installations.**

**The criteria of "impacts large segments of the Nation's population or segments of one or a few large industries" applies to only those positions that directly impact the population or industries; e.g., navigation. It does not include positions that indirectly impact; e.g., design. Although our MSCs encompass large geographic areas, division positions normally do not directly impact large numbers of people; however, they may impact segments of one or a few large industries.**

**The criteria of "receives frequent or continuing congressional or media attention" is to**

be interpreted as the program or program segment under the direct control of the position being evaluated receives this kind of attention. While some programs at the district level may receive this level of attention, MSC level programs will only receive this credit if the problems are not resolved at the local level. On the basis of the above discussion, these positions will not normally meet Level 1-4 Scope or Effect.

Staff support positions are impacted in various ways depending on the missions supported. Although the work processes for construction projects appear to be similar, staff support positions are impacted in various ways by the differences between military, civil, Hazardous, Toxic, and Radioactive Waste (HTRW) and Work for Others construction projects.

Different personnel policies and procedures are required due to the mix of civil and military funded employees. For example, FTE reductions, furloughs, hiring freezes, etc., may affect only civil or military funded employees. Not all staff support positions are affected in the same way by the same mission. Therefore, one should not assume that all staff support positions at a given district/division will be evaluated to the same level.

Staff support positions below headquarters level must meet the criteria for “large or complex, multimission installation” at Level 1-3. This criteria does not apply to line positions. The second situation defining a multimission military installation states: “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: . . . multimillion dollar (annual) construction, civil works, or environmental cleanup projects; . . . or equivalent activities . . .” This definition does not include all Corps missions. The following paragraphs expand on the definition to include equivalent Corps missions.

1. Military Construction: Involves engineering, design, construction, improvement, and alteration of CONUS and OCONUS facilities for the Army, Air Force and Defense agencies. This includes Foreign Military Sales (FMS) construction funded by a friendly nation to provide facilities for the Armed Forces of that nation. Major FMS construction has occurred in Saudi Arabia, Israel, other countries of the Middle East and elsewhere. Facilities range from warehouses to highly sophisticated medical and training facilities, troop and family housing, community facilities, and state-of-the-art weapons delivery systems.

2. Civil Construction: Involves planning, programming, engineering, and design of the construction of water resource and environmentally oriented projects of national importance. Typical projects include (but are not limited to) navigation locks and dams, river and harbor

channel deepening, flood control structures (e.g., dams and reservoirs, levees, floodwalls, removal of channel obstructions), nonstructural flood control measures (e.g., greenways, relocation of structures in floodplains), shore protection works, hydroelectric plants, recreation facilities, and environmental measures such as creation or restoration of wetlands and wildlife habitat. These projects provide benefits including access to low cost transportation; prevention of death, injury and property damage in flood events; electric power; municipal, industrial and agricultural water supply; recreational opportunities; water quality; and preservation of natural and cultural resources. Most Civil Works projects built today are cost-shared and constructed under Project Cooperation Agreements with non-Federal sponsors.

3. Work for Others: Involves planning, engineering, design, construction, improvement, and alteration of facilities or oversight of grant programs for other federal agencies; e.g., DOE, EPA, VOA, State Department, HUD, NASA, etc.

4. Environmental Cleanup/Restoration: The Defense Environmental Restoration Program (DERP) involves environmental remediation, and facilitation of state/territory participation in the restoration process, at active military installations and formerly used Defense sites. The base closure program involves environmental support to closing/realigning Army installations. Support for others activities include support to the Environmental Protection Agency, the Department of Energy, the Department of Agriculture, Federal Aviation Administration, Farmers Home Administration, Economic Development Agency and the Federal Emergency Management Agency in executing Hazardous, Toxic, and Radioactive Waste (HTRW) restoration activities. Restoration activities vary widely in complexity, from easily remediated environmental concerns to vast areas with major environmental degradation/damage (ordnance, improperly disposed hazardous substances, residual armament manufacturing damages, etc.).

5. Operations: Includes the operation and maintenance of a diverse range of activities at projects that include locks and dams, navigation, dredging of channels and harbors, flood control, hydropower, floating plant, and recreation resources and facilities. Includes the effective emergency response to natural and national disasters including flood, hurricane, earthquake, and war. Includes the regulatory program where the Corps issues permits for any work in, over, or under a navigable water of the United States or for the placement of dredged fill material into any water of the United States.

6. Host Nation Support: Involves planning, engineering, design, and construction of facilities for U.S. Forces funded by the Government of Japan, Republic of Korea, and other countries. Host Nation funded programs in Asia are most critical to sustaining U.S. interests in this volatile region of the world.

Corps of Engineers divisions/districts that are equivalent to a complex, multimission installation (for purposes of crediting Scope under Level 1-3 for staff support positions) must include multimillion dollar (annual) projects in four or more of the following mission areas: 1) military construction, 2) civil construction, 3) operations, 4) environmental cleanup/restoration, 5) host nation support, 6) work for others, or 7) research laboratory of moderate size (does not include division labs).

Credit the money allocated for a project (usually designated by a project number or CWIS), but not the program dollars allocated for a program; e.g., Regulatory, Navigation, Dredging. There are some Corps projects where there are multiple units/individual construction sites that are to be planned and built over a period of years. In such cases the annual project dollars do not need to be site specific. Do not credit the same project in two different mission areas; e.g., environmental cleanup/restoration and work for others. Do not credit more than one project in the same mission area. Assign credit only for diverse projects; same or similar projects at different locations would count as one project. In determining multimillion dollar annual cost, projects that extend over more than one year must be prorated to determine the annual cost. For example, a two-year \$4 million project may equate to a \$2 million annual project for credit of complex; however, a five-year \$5 million project may equate to \$1 million annual which would not be a multimillion dollar annual project.

When considering whether mission areas such as operations and environmental cleanup/restoration are as complex as a multimillion dollar construction project, the key is whether the project has an equivalent impact on the staff support position being evaluated. The phrase “multimillion dollar (annual) construction, civil works, or environmental cleanup projects” is an indicator of complexity. Dollar value alone does not indicate that a given mission is complex. Other key considerations of meeting Level 1-3 include whether the position being evaluated provides services that directly affect each of the four or more missions and whether the work performed directly involves or substantially impacts the provision of essential support operations to numerous, varied, and complex technical, professional, and administrative functions. For example, the Budget Branch in RMO would have little or no impact on a Civil Works construction or operations project, while the Finance and Accounting Branch would have considerable impact. Each of the components of a complex multimission installation requires a substantial number of employees in a fairly complex organizational structure under separate command and control, as do the examples provided by DOD and Army.

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.

**QUESTION #8: What are some additional examples of work at FL 1-3?**

**1) Director of Maintenance for a centralized maintenance and repair facility for aircraft, tanks, etc. Centralized facilities receive work from other installations.**

**2) Training Director of centralized training offered at one site for a significant population of military and/or civilian personnel. Centralized training facilities provide training when there is no other place where this training is normally provided, i.e., Fort Leavenworth, KS (Command and General Staff College), Fort Sam Houston, TX (medical training).**

**3) Supervisory engineer at a Corps of Engineers district directing engineering services to**

**a major metropolitan area, throughout a state, or a small region of several states impacting the operations of outside interests or the general public.**

**4) Supervisory Staffing Specialist directing personnel services affecting a moderately large (less than 4,000) complex, multimission installation (i.e., includes a garrison, large hospital, a higher command tenant and a training school). The personnel work directed involves the provision of essential support operations to numerous, varied and complex technical, professional, and administrative functions.**

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.

**QUESTION #9: What are some additional examples of work at FL 1-4?**

**1) Supervisory Research Scientist/Research Engineer at an Army laboratory (Waterways Experiment Station) or research center (Research Development and Engineering Center) where the professional program segment directed involves the development of major aspects of key agency scientific/medical policy development. There is impact to most of the agency's field establishment.**

**2) Supervisory Industrial Engineers/General Engineers at the Army's largest complex industrial installations (i.e., US Army Missile Command, US Army Tank and Automotive Command, US Armament Munitions and Chemical Command, US Army Industrial Operations Command) that directs highly technical operations which facilitate the agency's accomplishment of its primary mission.**

**3) Director of Engineering and Housing at III Corps where the work directed is comparable to directing a high level organization at a large industrial installation.**

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.

**QUESTION #10: What is an additional example of work at FL 1-5?**

**1) A supervisory engineer at a Program Executive Office (PEO) who directs the development of critical subsystems that directly involve the national interest or the agency's national mission.**

**2) MACOM Corps of Engineers chief of regulatory functions who directs a program governing wetland and navigable waters development which affects the construction and navigation industries as well as the general public. The program work directed receives extensive Congressional and media scrutiny and controversy.**

**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.)

**QUESTION #11: Can deputy or Chief of Staff positions be credited as separate reporting levels in Factor 2?**

**Yes. When the deputy position or the Chief of Staff do not fully share in the duties, responsibilities, and authorities of the chief, they are credited as separate reporting levels. They can only be credited as one level when they share equally in duties, responsibilities, and authorities.**

**QUESTION #12: If a deputy commander or Chief of Staff position is a separate reporting level as explained in Answer 11, can the position be graded at one grade lower than the "chief" without directly applying the GSSG criteria? For example, the Deputy is first level approval authority and the Chief is the second level approval authority for performance evaluations of subordinate supervisors.**

**No. If the Deputy and Chief are separate levels for performance evaluation, each must be fully evaluated by the GSSG. The full deputy procedures to set the deputy's grade one grade lower than the chief's would not apply.**

**Determinations on whether or not a Deputy position is a separate reporting level for this factor should not be based solely on whether the Deputy rates and the Chief approves/senior rates performance evaluations. Although this is an important indicator, the position in question must meet one of the two situations in the GSSG definition of deputy. A comprehensive evaluation must be made of whether the deputy is delegated complete authority to decide on and carry out the full range of responsibilities for the total program (all divisions) directed by the District Engineer; e.g., exercise authority to decide/act on all actions versus recommend/refer most actions to the District Engineer for final decision.**

- 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 LEVEL 2-3. Also assign FL 2-3 when the position under evaluation reports to: a position with the authorized military rank of 0-7 or higher; a position with the authorized military rank of 0-6 who also directs either a substantial nonsupervisory GS/GM-15 or equivalent workload or at least several subordinate supervisory GS/GM-15 positions or equivalent workload.**

**In the National Guard, the Adjutant General in each state is equivalent to SES. For ANG or ARNG technician positions, to determine the reporting level, use the civilian grade of the Commander position instead of the military rank of the incumbent even when the incumbent is an Active Guard Reserve member.**

**Positions that report to and are rated by either the District Commander or a full Deputy Commander at districts where the Commander supervises several GM-15 positions will meet Level 2-3, whether the District Commander is a Colonel (O-6) or Lieutenant Colonel (O-5). For districts that have more than one military deputy a determination will have to be made as to which, if any, position is the full deputy as defined in the GSSG. Positions reporting to supervisors that are rated by a position that is less than the full deputy (e.g., DDE/PM, Executive Assistant, junior military deputy) will be evaluated at Level 2-2 if the Commander supervises several GS-15 positions. OPM does not consider only 1 or 2 GS-15s (excluding Chief Counsel) to be a substantial GS-15 or equivalent workload. Exclude GS-15 positions that do not supervise work under the direct management control of the position under consideration.**

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.

**This factor measures the supervisory and managerial authorities exercised for the work in which the incumbent is directly responsible; i.e., the operations of the organization supervised for which a supervisory/subordinate relationship exists.**

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:

**"Nearly all" is interpreted to mean four of the five tasks listed for Factor Level 3-2b.**

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:

**FACTOR LEVEL 3-3a. In assessing Factor Level 3-3a, careful consideration of the GSSG definition of managerial in the context of the level description is required. This level clearly**

envisions the performance of delegated managerial duties for an organization that has subordinate OR lower echelon units over which the supervisor has the authority to set (not simply advise on), assure (direct and evaluate) and determine (not simply recommend) the critical aspects (i.e., long-range plans, goals and objectives, budgetary and staffing needs and solutions, etc.) of the program segment(s) or function(s) for which the supervisor is held accountable. It is implicit that positions at this level have significant authority with full responsibility and accountability. To summarize, this level is predicated on the managerial responsibilities exercised by the supervisor having a direct and marked effect on subordinate organizations.

**Positions at MSCs and HQUSACE cannot be credited with Level 3-3a and Level 3-4a on the basis of providing program guidance and oversight to district operating programs. These positions typically exercise Level 3-2 or Level 3-3b supervisory and managerial authorities over a staff primarily performing program policy development work. Because the district operating programs are not under the MSC/HQUSACE supervisor's direct supervision, these "subordinate organizational units" do not reflect the exercise of direct managerial authority found at Level 3-3a and Level 3-4a.**

**While divisions and branches at Districts and directorates and divisions at MSCs are standardized structures controlled by HQUSACE, some supervisors and managers reporting to the Commander do exercise final authority for organizational design at section level and below and may meet Level 3-4b if they meet both Levels 3-3a and 3-3b. This would be true even if formal clearance is required for these actions. Credit cannot be given for reorganizations directed by HQUSACE. NOTE: Supervisors and managers must exercise delegated managerial authorities described at Level 3-3a and 3-3b before crediting Level 3-4b. Seldom, if ever, will a position at the district level meet Level 3-3a because, at that level, the position would have to be closely involved with high level program officials or comparable staff personnel in the development of overall program goals and objectives at the agency (Army or, in some cases, HQUSACE) level.**

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.

**FACTOR LEVEL 3-3b. Typically, this level applies to second-level supervisors; however, situations are possible where it applies to first-level. For example, organizations with sufficient subordinate staff and workload to warrant more than one of the following: teams under matrix management, committees, self-directed teams, task forces, etc., approximate a second-level supervisory situation by placing similar demands on the supervisor. "Nearly all" in this factor is interpreted to mean eight of the ten FL 3-2c conditions.**

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:

**(1) FACTOR LEVEL 3-4a. This level would typically be assigned to positions no lower than the first reporting level below an installation commander.**

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.

**(2) FACTOR LEVEL 3-4b. Before considering FL 3-4b, OPM intends that all of the**

delegated authorities in both FL 3-3a and 3-3b must be met. The criteria of the standard are satisfied if supervisors possess the authority to approve most significant organization design proposals recommended by subordinate supervisors. Supervisors need not be delegated final approval authority for all proposals that emanate from lower organizational levels. In fact, supervisors are often delegated authority to approve organizational changes affecting lower strata of their own units even though they may only recommend changes affecting higher levels. For example, in some organizations, authority to approve restructuring at division or higher levels is reserved for agency headquarters, while approval authority for organization changes at branch, section, and lower levels is delegated to installation managers.

**QUESTION #13: What positions at the installation level would typically meet FL 3-4b?**

**Typically the final authorities for personnel actions and organization design described at FL 3-4b will not be lower than directorate level or one level below the Commander.**

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.

**To be credited under 4A, the 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. The formality of the contacts and the amount of preparation required are also considered under Subfactor 4A. However, care must be taken to ensure that the same contacts are used to determine the correct level for Subfactor 4B. These contacts must be regular, recurring and frequent. The same contacts should not be credited for both supervisory and nonsupervisory duties. When contacts are not clearly distinguishable between supervisory and nonsupervisory duties, assign the contacts to the supervisory duties.**

**Personal contacts for nonsupervisory, technical work performed, collateral duties, or similar activities are not evaluated under this criteria. These contacts should be evaluated under the appropriate nonsupervisory standard if they meet the criteria for a major duty.**

## 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 4b, including the advisory, representational, negotiating, and commitment making responsibilities related to supervision and management.

#### **QUESTION #14: What contacts are considered in determining the level to credit in Factor 4B, Purpose of Contacts?**

**Credit only the contacts used to determine the level in Factor 4A, Nature of Contacts.**

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.

**Technical or oversight responsibility of the basic work of the organization normally requires recurring use of substantive technical skills/knowledge appropriate to direction of the work supervised. The supervisor need not be as skilled in the work as all subordinates, but must have sufficient technical knowledge to plan, assign, direct, and review work operations of the unit. The first-line supervisor generally should possess more specific technical knowledge since the employees are directly supervised. Second-line and**

**successively higher echelons of supervisors/managers continue to require technical skills, but the nature becomes more general and diffused due to the broader variety of work directed.**

**When the basic nonsupervisory work is two-grade interval in nature, exclude clerical work as it does not entail making substantive decisions. This work is generally classified at the GS-05 level and below. Include technical/assistant work at the GS-06 level and above because it involves the performance of substantive work directly related to the mission of the organization directed. For example, exclude personnel clerk positions but include personnel assistant positions when determining the base level for a personnel officer. Some personnel clerk positions would be included, however, when determining the base level for a Chief of Technical Services Branch, since the personnel clerical work is the basic work of that Branch.**

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.

**QUESTION #15: How should "workload" be interpreted in this Guide?**

**Workload is synonymous with workhours. A full-time employee is equivalent to 2,087 annual workhours or 40 weekly workhours.**

**QUESTION #16: Is a detailed workload computation required for each supervisory position reviewed?**

**No. Where the complexity of work is readily identifiable, i.e., no mixed-grade positions, and majority of time spent performing highest graded duties, apply sound classification judgment in determining the workload 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.

**The GSSG relies heavily upon percentages of time for determining the difficulty and complexity of the basic work directed. Although estimates may be used, percentages of time spent on major duties should be captured in position descriptions and core documents, when possible, to make the most accurate determination.**

**The degree of documentation required depends upon the organizational setting. In cases where an individual position contains a percentage of higher graded work, but less than enough to control the grade of the position, such higher graded work may be counted toward meeting the overall 25% of the basic work directed.**

**In the preceding example, only a portion of the work of the position is counted, excluding the remaining work; therefore, when calculating the total for the unit, the divisor should be adjusted accordingly.**

**Appendix A provides an optional method of determining the basic work typical of the organization directed. This option may be useful where subordinate positions are of "mixed" grade levels.**

#### 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.

**QUESTION #17: Is the organizational structure and requirement to supervise 50% of the time as outlined as an option for determining workload for second and higher level supervisors typical in Army?**

**The organization structure intended and the requirement to spend 50% of the time performing supervisory duties are atypical in Army but may be feasible for supervisors of large organizations such as the DEH, DOL, or Chief of Construction/Operations at Corps district.**

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

**QUESTION #23: Is there an official WG to GS equivalency chart?**

**No. To assess work performed by non-General Schedule (GS) employees, pertinent GS classification standards must be consulted. However, the following chart may be used as an indicator (NOT AN AUTOMATIC CONVERSION) of the equivalent full performance level for Federal Wage System positions. It does not apply to other pay schedules (e.g., WD, XP, etc.) for which you must also select an appropriate GS standard.**

**CAUTION: The Office of Personnel Management will not recognize this chart as a basis for evaluation in adjudicating an OPM appeal decision. Therefore, documentation other than the suggested equivalency chart must be cited in appeal decisions.**

**FWS Equivalency Guide**

GS-1/2; WG-1/2 = FL 5-1 = 75 Points  
 GS-3/4; WG-3/4 = FL 5-2 = 205 Points  
 GS-5/6; WG-5/6 = FL 5-3 = 340 Points  
 GS-7/8; WG-7/8 = FL-5-4 = 505 Points  
 GS-9/10; WG-9/11 = FL 5-5 = 650 Points  
 GS-11; WG-12+ = FL 5-6 = 800 Points  
 GS-12; N/A = FL 5-7 = 930 Points  
 GS-13+; N/A = FL 5-8 =1030 Points

**FACTOR 6 - OTHER CONDITIONS**

**Begin evaluation of Factor 6 with the same basic work level selected for factor 5; do not begin with a basic work level lower than factor 5. Although factor 6 evaluation normally produces the same basic work level as factor 5; there may be situations where it does not. Merely matching the grade levels will not justify a factor level selection. The full coordinative aspects of a level, in combination with the difficulty of work supervised, must also be met in order to be credited.**

**This factor applies to the coordination and integration of the work done by**

**subordinates within the organization supervised, not coordination with other organizational elements. Positions must meet the level of coordination and integration described, not just the grade level. Although you will first start with the grade level, it will not be unusual to drop one or two levels to find the appropriate description of the coordination and integration required.**

This factor measures the extent to which various conditions contribute to the difficulty/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.

**For FLs 6-4b, 6-5c, and 6-6b, the phrase "who each" means that "all" of the subordinate supervisors direct workloads at the referenced grade level. However, if the factor 5 basic work level could be obtained in each subordinate unit by judicious redirection of the workload among other supervisors to yield the factor 5 work level, then credit for the factor 5 basic work level is warranted. This is not to be construed as a mandate that such a redirection must occur.**

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 decisionmaking.)

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.

**To reach a final grade level determination, apply all criteria in the GSSG and this DoD Guide. If there is a conflict between material in the DoD Guide and the GSSG, the GSSG takes precedence.**

- 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

Point Range	Grade
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-09
1605-1850	GS-08
1355-1600	GS-07
1105-1350	GS-06
855-1100	GS-05

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-9, 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."

## APPENDIX A

### OPTIONAL METHOD TO DETERMINE BASIC WORKLOAD, FACTOR 5

A sample workload analysis method to assist in determining the basic workload under Factor 5 may be useful when the basic work level is not apparent (where several subordinate positions are mixed grade). This material is from an OPM briefing on the GSSG.

#### WORKLOAD ANALYSIS BY WORKHOURS

WORK AT:	POSNS #1 GS-12	IN #2 GS-12	BASE #3 GS-11	CALC #4 GS-11	TOTAL HOURS	DIV BY	% TOTAL WKLD
GS-12	20	10	4		34	160	21.25
GS-11	10	30	30	20	90	160	56.25
GS-9	10		6	20	36	160	22.5
TOTAL	40	40	40	40		160	100%

Four positions, above, meet the GSSG criteria for credit toward the basic workload. GS-12 #1 expends 20 workhours at GS-12; 10 at GS-11; and 10 at GS-9, etc. There are 34 GS-12 workhours; 90 GS-11 workhours; and 36 GS-9 workhours for the organization, for a total of 160 workhours per week. To determine the number of hours needed to meet the GSSG 25% requirement, compute 25% of 160, which is 40 workhours. Looking at the last column, percentage of total workload, the highest grade level which meets or exceeds 25% is creditable. This analysis results in a basic work level of GS-11.

**OPTIONAL FACTOR 5 BASE LEVEL EVALUATION SUMMARY  
BY WORKHOURS**

<b>WORK AT</b>	<b>POSNS #1 GS-</b>	<b>IN #2 GS-</b>	<b>BASE #3 GS-</b>	<b>LEVEL #4 GS-</b>	<b>CALC #5 GS-</b>	<b>TOTAL HOURS</b>	<b>DIV BY</b>	<b>% TOTAL WKLD</b>
GS-								
GS-								
GS-								
GS-								
GS-								

**ORGANIZATION:** \_\_\_\_\_

**TOTAL INCLUDABLE IN BASE LEVEL CALC (I.E., DIVISOR):** \_\_\_\_\_

**OPTIONAL FACTOR 5 SUMMARY PAGE  
BY WORKHOURS**

<b>WORK AT</b>	<b>WORK Page 1</b>	<b>SHEET Page 2</b>	<b>PAGE Page 3</b>	<b>SUB Page 4</b>	<b>TOTAL Page 5</b>	<b>TOTAL HRS</b>	<b>DIV BY</b>	<b>% TOTAL WKLD</b>
GS-								
GS-								
GS-								
GS-								
<b>TOTAL</b>								

**These optional forms may be used in evaluation of Factor 5.**

**APPENDIX B  
GSSG POSITION EVALUATION SUMMARY**

**POSITION/ORGANIZATION INFORMATION**

**POSITION NUMBER:** \_\_\_\_\_

**POSITION TITLE:** \_\_\_\_\_

**PAY PLAN, SERIES, GRADE:** \_\_\_\_\_

**ORGANIZATION INFORMATION:** \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**SUPV LEVEL: (1ST, 2ND, HIGHER):** \_\_\_\_\_

**CHIEF OR DEPUTY:** \_\_\_\_\_

<b>FACTOR</b>	<b>LEVEL</b>	<b>POINTS</b>	<b>REMARKS</b>
<b>1. PROGRAM SCOPE &amp; EFFECT</b>			
<b>2. ORGANIZATIONAL SETTING</b>			
<b>3. SUPERVISORY &amp; MANAGERIAL AUTH</b>			
<b>4A. NATURE OF CONTACTS</b>			
<b>4B. PURPOSE OF CONTACTS</b>			
<b>5. DIFFICULTY (BASE WORK)</b>			
<b>6. OTHER CONDITIONS</b>			
<b>TOTAL POINTS ASSIGNED</b>			

**GRADE CONVERSION:**

**ADJUSTMENT PROVISION: Y or N**

\_\_\_\_\_

**OTHER REMARKS:**

**CLASSIFIER:** \_\_\_\_\_ **DATE:** \_\_\_\_\_