

CONTROL FORM FOR DOE/ORO DIRECTIVE

PART A (To be completed by the ORO DIRECTIVES MANAGEMENT GROUP, AD-440):

1. DIRECTIVE NUMBER, TITLE, AND DATE:

ORO O 320, CHAPTER IX, CHANGE 4, POSITION MANAGEMENT AND CLASSIFICATION, dated 04/25/2007

2. PURPOSE OF TRANSMITTAL: New Directive Revised Directive Revised Control Form

3. DOES THIS DIRECTIVE CANCEL OR EXTEND ANY OTHER DIRECTIVES? Yes No
If "Yes," list what action (cancel or extend) and list the Directive(s) number(s), title(s), and date(s):

This Directive cancels and replaces ORO O 320, Chapter IX, Change 3, POSITION CLASSIFICATION, dated 08/10/2004.

The attached Directive is forwarded for review and action. Complete Part B and forward a completed hard copy of this form to ORO DMG, AD-440, by **05/09/2007**.

PART B (To be completed by the DIVISION OF PRIMARY INTEREST [DPI]):

COMPLETE FOR DOE DIRECTIVES ONLY:

4. SUPPLEMENTAL ORO DIRECTIVE REQUIRED?

Is a new or revised supplemental ORO Directive required? Yes No

If "Yes," target date for submission of supplemental ORO Directive is _____.

COMPLETE FOR BOTH DOE AND ORO DIRECTIVES:

5. CONTRACTOR APPLICABILITY.

Does this Directive affect the work performed by ORO Contractors? Yes No

If "Yes," whom? Bechtel Jacobs Company LLC ORAU

UT-Battelle, LLC ISOTEK (Bldg. 3019, ORNL)

Foster Wheeler (FWENC)

Other Contractors (list by name)

6. SUBJECT MATTER EXPERT: Phil Barker Federal Human Resources Branch, AD-442
Name Organization

Original Signed By

7. APPROVED BY: Melanie Kent, Chief Federal Human Resources Branch, AD-442 04/25/2007
Signature Organization Date

PART C (To be completed by the ORO DIRECTIVES MANAGEMENT GROUP, AD-440):

APPROVED FOR DISTRIBUTION IN ACCORDANCE WITH OFFICIAL DIRECTIVE DISTRIBUTION LIST:

Original Signed By

Wayne H. Albaugh

04/26/2007

DMG Team Leader, AD-440

Date

INSTRUCTIONS TO ADDRESSEES: THIS FORM IS TO BE FILED WITH THE DIRECTIVE AND RETAINED.

(Revised 02/10/2006)

U.S. Department of Energy

Oak Ridge Office

ORO O 320 Chapter IX Change 4

DATE: 04/25/2007

SUBJECT: POSITION MANAGEMENT AND CLASSIFICATION

1. PURPOSE. This Chapter correlates to DOE O 320.1, Change 1, ACQUIRING AND POSITIONING HUMAN RESOURCES, Chapter VII, "*Position Classification*," dated November 21, 2003, by assigning responsibility and accountability and providing administrative guidance to the Oak Ridge Office (ORO), Office of Scientific and Technical Information (OSTI), and other Department of Energy (DOE) organizations where services are provided by the ORO Human Resources Division (HRD). Nothing in this issuance changes any requirements contained in any DOE Directive.
2. CANCELLATION. This Chapter cancels and replaces ORO O 320, Chapter IX, Change 3, POSITION CLASSIFICATION, dated August 8, 2004.
3. APPLICABILITY. The provisions of this Chapter apply to all ORO and OSTI employees, and employees of other DOE organizations where human resources services are provided by the ORO HRD.
4. RESPONSIBILITIES.
 - a. Manager, ORO.
 - (1) Approves major redeployments of staffing resources among ORO organizations.
 - (2) Serves as or delegates responsibility to serve as the ORO Position Management Officer.
 - (3) Approves or delegates authority to approve organization change proposals for ORO when this authority has been delegated to ORO from DOE Headquarters (HQ).
 - b. Assistant Managers, ORO.
 - (1) Within established staffing allocations, distribute and/or redeploy staffing resources among subordinate organization units to meet mission and workload requirements.
 - (2) Recommend filling new or vacant positions in accordance with established staffing allocations to the Manager, ORO.
 - c. Assistant Director for Administrative and Information Services, OSTI.
 - (1) Serves as the OSTI Position Management Officer.

- (2) Develops consolidated staffing and manpower data for OSTI as part of the budget process.
 - (3) Approves or requests the backfilling of all OSTI positions in accordance with authorities delegated by the Office of Science (SC).
 - (4) Establishes overall OSTI staffing levels as part of the budget process.
 - (5) Approves or requests the allocation of new positions requested by the OSTI Principal Staff in accordance with authorities delegated by SC.
 - (6) Approves major redeployments of staffing resources among OSTI organizations.
- d. Managers/Heads of Other Serviced Organizations.
- (1) Performs or delegates as appropriate for each organization applicable responsibilities contained in sections 4a, 4b, and 4f of this Chapter.
- e. Supervisors and Managers.
- (1) Request the establishment of new positions, and provide justifications as required by the approving official(s).
 - (2) Analyze long-term staffing requirements and provide workload data and justifications for changes in staffing levels as part of the budget process.
 - (3) Initiate staffing actions as required to correct position management deficiencies revealed by classification maintenance and organization reviews.
 - (4) Review each vacancy and determine whether duties can be redistributed and the position abolished without seriously impairing the performance of essential functions.
 - (5) Prepare position descriptions (PDs) for their immediate staff and certify the accuracy of descriptions prepared by subordinate supervisors.
 - (6) Coordinate reorganizations, the establishment of new positions, and other actions related to position classification and position management with the HRD.
 - (7) Request the backfilling of vacant positions.
 - (8) Prepare and certify the accuracy of PDs for subordinate positions.
 - (9) Ensure that PDs are updated and a reclassification review is requested whenever a significant change occurs in the duties and responsibilities of a subordinate position.
 - (10) Designate positions for inclusion in formal training programs through requirements identified in PDs.

f. Director, Human Resources Division, ORO.

- (1) Advises and assists the Assistant Managers in developing organization change proposals.
- (2) Concurs in organization change proposals.
- (3) Classifies all competitive and excepted service positions through grade GS-15 and pay band 04, including determinations of:
 - Pay category, title, series, and grade.
 - Functional classification codes for scientist and engineering positions.
 - Exempt or non-exempt status under the Fair Labor Standards Act.
 - Labor-management relations status.
 - Competitive level.
- (4) Issues notice of changes to lower grade resulting from reclassification decisions.
- (5) Provides advice and assistance to employees regarding classification appeal rights and procedures.
- (6) Makes first level decisions on position classification reviews.
- (7) Provides position classification and position management services and functions to serviced organizations.
- (8) Classifies Senior Executive Service (SES), SL and ST, and Excepted Service positions and coordinates preparation and submission of actions to the Office of Human Capital Management, Executive Resources Management Division.
- (9) Coordinates preparation and submission of actions to the Office of Headquarters and Executive Personnel Services for Senior Executive Service, SL and ST, and Excepted Service positions.

5. REQUIREMENTS AND PROCEDURES.

- a. Organization Change Proposals. As organization changes become necessary, supervisors and managers will submit proposals to HRD for coordination through the appropriate program office. Proposals will consist of the following:
 - (1) Summary of and justification for proposed changes, including:
 - a. Impacts on SES positions,
 - b. Adverse impacts on existing staff, and

- c. Requirements for new positions/resources.
 - (2) Current and proposed organization chart(s).
 - (3) Crosswalk of affected personnel.
 - (4) Requests for personnel actions or staffing changes to the extent available.
 - (5) Current and proposed Mission and Function Statements.
 - (6) Crosswalk of proposed, revised, and obsolete organization titles to be used by the Office of Human Capital Management in assigning organization codes.
- b. Position Descriptions.
 - (1) Requesting Position Actions.
 - (a) Encumbered Positions. First level supervisors submit an electronic workflow request through Corporate Human Resources Information System (CHRIS) Workflow; a signed Form OF-8, *Position Description*, (see Attachment 2 of this Chapter); and a PD to the servicing Human Resources Office to request all position actions for encumbered positions, with the exception of Detail actions. Supervisors should contact the Servicing Human Resources Office to discuss paperwork needed for Detail actions.
 - (b) Vacant Positions. First level supervisors submit a hard copy Standard Form 52, *Request for Personnel Action*; a signed Form OF-8, *Position Description*, (see Attachment 2 of this Chapter), and a PD to the servicing Human Resources Office whenever a position action is requested.
 - (2) Position Description Formats.
 - (a) Nonsupervisory and Lead General Schedule, Excepted Service, and SL and ST positions will follow the Factor Evaluation System format for all PDs. See Attachment 3 of this Chapter for guidance on preparing PDs for staff level positions. Attachment 4 of this Chapter provides specific guidance regarding establishing “Lead” positions and developing related PDs.
 - (b) Supervisory positions will follow the format contained in the “Office of Personnel Management’s General Schedule Supervisory Guide”. Attachment 5 of this Chapter provides specific information regarding development of related PDs.
 - (c) SES PDs will follow the format displayed in Attachment 6 of this Chapter.
- c. Classification Appeals. Employees are encouraged to resolve questions about the classification of their positions through discussions with officials in their supervisory chain and with HR before filing a formal appeal. If after informal discussions with supervisors and

HR, an employee is not satisfied, the employee may file a formal appeal of their classification in writing to HR.

Note: It is recommended that employees direct appeals to HR prior to submitting an appeal to the Office of Personnel Management (OPM). If the HR decision is favorable, then the classification appeal is closed. If the HR decision is unfavorable, then the employee may continue a route of appeal to OPM if they so desire.

- (1) Restrictions. Employees **may** appeal the series and/or grade of their position. Employees **may not** appeal the inclusion or exclusion of a major duty in their PD or the accuracy of their PD; the classification of a position to which an employee is not officially assigned or to which an employee is detailed or temporarily promoted.
- (2) Classification Appeals must be submitted in Writing and must include all of the following:
 - (a) Employee's name, mailing address and office telephone number,
 - (b) Exact location of the employee's position in the organizational structure (i.e., Office, Division, Branch, etc),
 - (c) Employee's current title, series, and grade,
 - (d) Requested title, series and/or grade,
 - (e) A copy of the employee's official PD along with a statement that the employee agrees with the description. If the employee believes the description is not accurate, the employee must provide his or her own description and show what steps have been taken to have the PD changed or modified. (Disagreements about content or verbiage do not constitute a basis for appeal and should be resolved with the appropriate supervisors, or as a last resort, through applicable grievance procedures.) and,
 - (f) Basis for dissatisfaction. The reason(s) why the employee believes the position is classified inaccurately should be explained. When possible, employees should make reference to the position classification standards and address specific areas of disagreement with the evaluation statement.
- (3) Classification Appeals to Servicing Personnel Office. Upon receipt of a complete classification appeal the following actions will occur:
 - a. The appeal will be assigned to an HR Specialist. Every effort will be made to assure that the appeal is reviewed by an HR Specialist who was not involved in arriving at the initial classification decision.
 - b. The classification will be promptly reviewed and a decision letter will be issued to the employee within 60 calendar days following the date the appeal was received. The decision letter will include the following information:

- (1) The reasons for the decision, including analysis of the classification of the position compared to the appropriate classification standard,
 - (2) The effective date of the implementation of changes, if any result from the classification decision, and
 - (3) If the decision is unfavorable, the decision letter will inform the employee of further appeal rights to Headquarters or OPM.
- (4) Classification Appeals to OPM. Employees may choose to submit an appeal to OPM through the servicing personnel office or directly to OPM. Appeals submitted through the servicing personnel office will be acted upon in accordance with the process described above if the HR office has not previously conducted a review of the initial classification. If the HR decision is favorable, then the classification appeal is closed. If the HR decision is unfavorable, HR will forward the appeal, along with its decision to the appropriate OPM office for action. If a secondary review of the initial classification has been conducted within the last 60 days, the HR office will forward the appeal directly to the appropriate OPM office.

Unfavorable decisions received from OPM cannot be further appealed to the Servicing HR Office.

6. REFERENCES.

- a. ORO O 320, Chapter II, Change 4, REQUESTING PERSONNEL ACTIONS, dated June 14, 2006, and any subsequent revisions.
- b. Office of Personnel Management's Classification Standards.
- c. Standard Form (SF) 52, "*Request for Personnel Action.*"
- d. OF-8, "*Position Description.*"

7. DEFINITIONS. None.

8. CONTRACTOR REQUIREMENTS DOCUMENT. None.

9. ATTACHMENTS.

- a. Attachment 1 - OR F 325.2, POSITION DESCRIPTION.
- b. Attachment 2 – OF-8 Position Description
- c. Attachment 3 – Factor Evaluation System Format
- d. Attachment 4 – Guidance for Establishment of “Lead” Positions.
- e. Attachment 5 – General Schedule Supervisory Guide Format.
- f. Attachment 6 – Senior Executive Service Format.

OR F 325.2 POSITION DESCRIPTION

PART I: TO BE COMPLETED BY THE REQUESTING ORGANIZATION			
ORGANIZATIONAL ASSIGNMENT: [Insert Title of Organization here]			
Yes	No		
<input type="checkbox"/>	<input type="checkbox"/>	Technical Qualification Program (TQP)	If TQP, STSM, CTC, and/or SSO are checked yes, the position description must document the duties and functions performed which are the bases of such determination as well as the knowledge required to accomplish the duties of the position. Knowledge requirements must include any items which will form the basis for selective placement factors under recruitment or reduction-in-force processes.
<input type="checkbox"/>	<input type="checkbox"/>	Senior Technical Safety Manager (STSM)	
<input type="checkbox"/>	<input type="checkbox"/>	Critical Technical Capabilities (CTC)	
<input type="checkbox"/>	<input type="checkbox"/>	Systems Safety Oversight (SSO)	
<input type="checkbox"/>	<input type="checkbox"/>	Acquisition Career Development Program	
<input type="checkbox"/>	<input type="checkbox"/>	Drug Testing Designated Position	
<input type="checkbox"/>	<input type="checkbox"/>	HRP Designated Position	
SUPERVISORY CERTIFICATION: I certify that this is an accurate statement of the major duties and responsibilities of this position and its organizational relationships, and that the position is necessary to carry out Government functions for which I am responsible. This certification is made with the knowledge that this information is to be used for statutory purposes relating to appointment and payment of public funds, and that false or misleading statements may constitute violations of such statutes or their implementing regulations.			
Signature and Title of Immediate Supervisor:			Date
PART 2: TO BE COMPLETED BY THE HUMAN RESOURCES DIVISION			
Classification Title:		Pay Plan	Series
		Grade	
CHRIS Position Number:	CHRIS Job Code:	Bargaining Unit Determination:	
CLASSIFICATION CERTIFICATION: I certify that this position, as described below, has been classified by a Departmental Official to whom classification authority has been officially delegated.			
Signature and Title of Official Exercising Classification Authority:			Date:

[Insert Title Here]

Begin typing position description text here.

Add the following paragraph as appropriate to Factor 1. Knowledge Required by the Position:

TQP - This position is included in the Department of Energy Technical Qualification Program (TQP). The TQP was established as a result of the Defense Nuclear Facilities Safety Board Recommendation 93-3 and requires the incumbent to be competent in his/her technical discipline as demonstrated by education, professional certification, examination, or on-the-job performance. Positions in the TQP are subject to periodic evaluation to ensure that it meets the needs of the Department and the mission(s) of the office in accordance with the TQP.

Add the following paragraphs, as appropriate, to the “Major Duties” section:

ISM – This position includes responsibility for knowledge and implementation of Integrated Safety Management. The incumbent has taken the necessary initiatives to fully implement the principles of the Department's Safety Management System Policy in programs and functions for which the incumbent is responsible. This includes the demonstration of an appropriate emphasis on ensuring the technical competence of the staff associated with those programs and the conduct of effective oversight of the accomplishment of the related work products and schedules.

SAFETY BASIS – This position has specific assigned responsibility for nuclear facilities and is knowledgeable in the requirements for safe operation of nuclear facilities including safety basis process requirements, implementation requirements, and flow down of approved safety basis documents.

STSM - This position is in the Technical Qualification Program and is designated as a Senior Technical Safety Manager (STSM) position. The incumbent makes technical decisions based on the education and experience requirements for an STSM. If the incumbent does not meet the education or experience requirements contained in the STSM Qualification Standard, management will designate a fully qualified STSM as a compensatory measure. The incumbent ensures all employees reporting to them are appropriately trained and technically competent to perform their duties and to accomplish ORO's missions and responsibilities in a safe and efficient manner by protecting the health and safety of employees and the public.

SSO - This position is designated as a Safety System Oversight (SSO) position. The incumbent is a key technical resource qualified to oversee contractor management of safety systems and is responsible for overseeing assigned systems to ensure they will perform as required by the safety basis and other applicable requirements. The incumbent performs assessments and investigations to confirm performance of assigned safety systems in meeting established safety and mission requirements and review sections of the DSA related to these systems. Position requires a working knowledge of assigned systems and the contractor's application of the cognizant system engineer concept and safety program management.

OPTIONAL FORM 8, POSITION DESCRIPTION

For review purposes, see Form OF-8 at the following web site:

<http://www.oro.doe.gov/pmab/Forms/3511.pdf>

POSITION DESCRIPTION <i>(Please Read Instructions on the Back)</i>										1. Agency Position No.					
2. Reason for Submission <input type="checkbox"/> Redescription <input type="checkbox"/> Reestablishment		3. Service <input type="checkbox"/> New <input type="checkbox"/> Other <input type="checkbox"/> Hdqtrs <input type="checkbox"/> Field		4. Employing Office Location		5. Duty Station		6. OPM Certification No.							
Explanation <i>(Show any positions replaced)</i>		7. Fair Labor Standards Act <input type="checkbox"/> Exempt <input type="checkbox"/> Nonexempt		8. Financial Statements Required <input type="checkbox"/> Executive Personnel Financial Disclosure <input type="checkbox"/> Employment and Financial Interest		9. Subject to IA Action <input type="checkbox"/> Yes <input type="checkbox"/> No		13. Competitive Level Code							
10. Position Status <input type="checkbox"/> Competitive <input type="checkbox"/> Excepted <i>(Specify in Remarks)</i> <input type="checkbox"/> SES (Gen.) <input type="checkbox"/> SES (CR)		11. Position Is <input type="checkbox"/> Supervisory <input type="checkbox"/> Managerial <input type="checkbox"/> Neither		12. Sensitivity <input type="checkbox"/> 1-Non-Sensitive <input type="checkbox"/> 3-Critical <input type="checkbox"/> 2-Noncritical Sensitive <input type="checkbox"/> 4-Special Sensitive		14. Agency Use									
15. Classified/Graded by		Official Title of Position				Pay Plan		Occupational Code		Grade		Initials		Date	
a. Office of Personnel Management															
b. Department, Agency or Establishment															
c. Second Level Review															
d. First Level Review															
e. Recommended by Supervisor or Initiating Office															
16. Organizational Title of Position <i>(if different from official title)</i>						17. Name of Employee <i>(if vacant, specify)</i>									
18. Department, Agency, or Establishment						c. Third Subdivision									
a. First Subdivision						d. Fourth Subdivision									
b. Second Subdivision						e. Fifth Subdivision									
19. Employee Review-This is an accurate description of the major duties and responsibilities of my position.						Signature of Employee <i>(optional)</i>									
20. Supervisory Certification. <i>I certify that this is an accurate statement of the major duties and responsibilities of this position and its organizational relationships, and that the position is necessary to carry out Government functions for which I am responsible. This certification is made with the knowledge that</i>						<i>this information is to be used for statutory purposes relating to appointment and payment of public funds, and that false or misleading statements may constitute violations of such statutes or their implementing regulations.</i>									
a. Typed Name and Title of Immediate Supervisor						b. Typed Name and Title of Higher-Level Supervisor or Manager <i>(optional)</i>									
Signature _____ Date _____						Signature _____ Date _____									
21. Classification/Job Grading Certification. <i>I certify that this position has been classified/graded as required by Title 5, U.S. Code, in conformance with standards published by the U.S. Office of Personnel Management or, if no published standards apply directly, consistently with the most applicable published standards.</i>						22. Position Classification Standards Used in Classifying/Grading Position									
Typed Name and Title of Official Taking Action						Information for Employees. The standards, and information on their application, are available in the personnel office. The classification of the position may be reviewed and corrected by the agency or the U.S. Office of Personnel Management. Information on classification/job grading appeals, and complaints on exemption from FLSA, is available from the personnel office or the U.S. Office of Personnel Management.									
Signature _____ Date _____															
23. Position Review		Initials		Date		Initials		Date		Initials		Date			
a. Employee <i>(optional)</i>															
b. Supervisor															
c. Classifier															
24. Remarks															
25. Description of Major Duties and Responsibilities <i>(See Attached)</i>															

Optional Form 8 (BACK) (Revised 1/85)

Instructions for Completing Optional Form 8 POSITION DESCRIPTION

In order to comply with the requirements of FPM Chapter 295, subchapter 3, and other provisions of the FPM, agencies must complete the items marked by an asterisk. Agencies may determine what other items are to be used.

- *1. Enter position number used by the agency for control purposes. See FPM Chapter 312, Subchapter 3.
- *2. Check one.
 - * "Redescription" means the duties and/or responsibilities of an existing position are being changed.
 - * "New" means the position has not previously existed.
 - * "Reestablishment" means the position previously existed, but had been cancelled.
 - * "Other" covers such things as change in title or occupational series without a change in duties or responsibilities.
 - * The "Explanation" section should be used to show the reason if "Other" is checked, as well as any position(s) replaced by position number, title, pay plan, occupational code, and grade.
3. Check one.
- *4. Enter geographical location by city and State (or if position is in a foreign country, by city and country).
- *5. Enter geographical location if different from that of #4.
6. To be completed by OPM when certifying positions. (See Item 15 for date of OPM certification.) For SES and GS-16/18 positions and equivalent, show the position number used on OPM Form 1390 (e.g., DAES0012).
- *7. Check one to show whether the incumbent is exempt or nonexempt from the minimum wage and overtime provisions of the Fair Labor Standards Act. See FPM Chapter 551.
8. Check box if statement is required. See FPM Chapter 734 for the Executive Personnel Financial Disclosure Report, SF 278. See FPM Chapter 735, Subchapter 4, for the Employment and Financial Interests Statement.
9. Check one to show whether identical additional positions are permitted. See FPM Chapter 312, Subchapter 4. Agencies may show the number of such positions authorized and/or established after the "Yes" block.
10. Check one. See FPM Chapter 212 for information on the competitive service and FPM Chapter 213 for the excepted service. For a position in the excepted service, enter authority for the exception, e.g., "Schedule A-213.3102(d)" for Attorney positions excepted under Schedule A of the Civil Service Regulations. SES (Gen) stands for a General position in the Senior Executive Service, and SES (CR) stands for a Career Reserved position.
11. Check one.
 - * A "Supervisory" position is one that meets the requirements for a supervisory title as set forth in current OPM classification and job-grading guidance. Agencies may designate first-level supervisory positions by placing "1" or "1st" after "Supervisory."
 - * A "Managerial" position is one that meets the requirements for such a designation as set forth in current OPM classification guidance.
12. Check one to show whether the position is non-sensitive, noncritical sensitive, critical sensitive, or special sensitive for security purposes. If this is an ADP position, write the letter "C" beside the sensitivity.
13. Enter competitive level code for use in reduction-in-force actions. See FPM Chapter 351.
14. Agencies may use this block for any additional coding requirement.
- *15. Enter classification/job grading action.
 - * For "Official Title of Position," see the applicable classification or job grading standard. For positions not covered by a published standard, see the General Introduction to "Position Classification Standards," Section III, for GS positions, or FPM Supplement 512-1, "Job Grading System for Trades and Labor Occupations," Part 1, Section III.
 - * For "Pay Plan code, see FPM Supplement 292-1, "Personnel Data Standards," Book III.
 - * For "Occupational Code," see the applicable standard; or, where no standard has been published, see the "Handbook of Occupational Groups and Series of Classes" for GS positions, or FPM Supplement 512-1, Part 3, for trades and labor positions. For all positions in scientific and engineering occupations, enter the two-digit functional classification code in parentheses immediately following the occupational code, e.g., "GS-1310(14)." The codes are listed and discussed in the General Introduction to "Position Classification Standards," Section VI.
16. Enter the organizational, functional, or working title if it differs from the official title.
17. Enter the name of the incumbent. If there is no incumbent, enter "vacancy."
- *18. Enter the organizational location of the position, starting with the name of the department or agency and working down from there.
19. If the position is occupied, have the incumbent read the attached description of duties and responsibilities. The employee's signature is optional.
- *20. This statement normally should be certified by the immediate supervisor of the position. At its option, an agency may also have a higher-level supervisor or manager certify the statement.
- *21. This statement should be certified by the agency official who makes the classification/job grading decision. Depending on agency regulations, this official may be a personnel office representative, or a manager or supervisor delegated classification/job grading authority.
22. Enter the position classification/job grading standard(s) used and the date of issuance, e.g., "Mail and File, GS-305, May 1977."
23. Agencies are encouraged to review periodically each established position to determine whether the position is still necessary and, if so, whether the position description is adequate and classification/job grading is proper. See FPM Letter 536-1 (to be incorporated into FPM Chapter 536). This section may be used as part of the review process. The employee's initials are optional. The initials by the supervisor and classifier represent recertifications of the statements in items #20 and #21 respectively.
24. This section may be used by the agency for additional coding requirements or for any appropriate remarks.
- *25. Type the description on plain bond paper and attach to the form. The agency position number should be shown on the attachment. See appropriate instructions for format of the description and for any requirements for evaluation documentation, e.g., "Instructions for the Factor Evaluation System," in the General Introduction to "Position Classification Standards," Section VII.

FACTOR EVALUATION SYSTEM FORMAT

I. Functional Statement.

The Functional Statement should summarize the organizational placement of the position as well as the basic purpose of the position in a single paragraph.

II. Major Duties.

List Major Duties in priority order.

III. Factors.

Factor 1. Knowledge Required by the Position

This Factor covers the nature and extent of information or facts that a worker must understand to do acceptable work, e.g., steps, procedures, practices, rules, policies, theories, principles, and concepts, and the nature and extent of the skills needed to apply this knowledge. To be used as a basis for selecting a level under this factor, a knowledge must be required *and* applied.

Factor 2. Supervisory Controls

This Factor covers the nature and extent of direct or indirect controls exercised by the supervisor, the employee's responsibility, and the review of completed work. Controls are exercised by the supervisor in the way assignments are made, instructions are given to the employee, priorities and deadlines are set, and objectives and boundaries are defined. Responsibility of the employee depends upon the extent to which the employee is expected to develop the sequence and timing of various aspects of the work, to modify or recommend modification of instructions, and to participate in establishing priorities and defining objectives. The degree of review of completed work depends upon the nature and extent of the review, e. g., close and detailed review of each phase of the assignment; detailed review of the finished assignment; spot-check of finished work for accuracy, and review only for adherence to policy.

Factor 3. Guidelines

This factor covers the nature or guidelines and the judgment needed to apply them. Guides used in General Schedule occupations include, for example, desk manuals, established procedures and policies, traditional practices, and reference materials such as dictionaries, style manuals, engineering handbooks, etc.

Individual jobs in different occupations vary in the specificity, applicability, and availability of the guidelines for performance of assignments. Consequently, the constraints and judgmental demands placed upon employees also vary. For example, the existence of specific instructions, procedures, and policies may limit the employee's opportunity to make or recommend decisions or actions. However, in the absence of procedures or under

broadly stated objectives, employees in some occupations may use considerable judgment in researching literature and developing new methods.

Guidelines should not be confused with the knowledge described under Factor 1, Knowledge Required by the Position. Guidelines either provide reference data or impose certain constraints on the use of knowledge. For example, in the field of medical technology, for a particular diagnosis there may be three or four standardized tests set forth in a technical manual. A medical technologist is expected to know these diagnostic tests. However, in a laboratory the policy may be to use only one of the tests; or the policy may state specifically under what conditions one or the other of these tests may be used.

Factor 4. Complexity

This Factor covers the nature, number, variety, and intricacy of tasks, steps, processes, or methods in the work performed; the difficulty in identifying what needs to be done; and the difficulty and originality involved in performing the work.

Factor 5. Scope and Effect

This Factor covers the relationship between the nature of the work, i.e., the purpose, breadth, and depth of the assignment, and the effect of work products or services both within and outside the organization.

In General Schedule occupations, effect measures such things as whether the work output facilitates the work of others, provides timely services of a personal nature, or impacts on the adequacy of research conclusions. The concept of effect alone does not provide sufficient information to properly understand and evaluate the impact of the position. The scope of the work completes the picture and allows consistent evaluations. Only the effect of properly performed work is to be considered.

Factor 6. Personal Contacts

This Factor includes face-to-face contacts and telephone and radio dialogue with persons not in the supervisory chain. (NOTE: Personal contacts with supervisors are covered under Factor 2, Supervisory Controls.) Levels described under this factor are based on what is required to make the initial contact, the difficulty of communicating with those contacted, and the setting in which the contacts take place (e.g., the degree to which the employee and those contacted recognize their relative roles and authorities).

Above the lowest level, this factor will be credited only for contacts that are essential for successful performance of the work and that have a demonstrable impact on the difficulty and responsibility of the work performed.

Factor 7. Purpose of Contacts

In General Schedule occupations, the purpose of personal contacts ranges from factual exchanges of information to situations involving significant or controversial issues and

differing viewpoints, goals, or objectives. The personal contacts that serve as the basis for the level selected for this factor must be the same as the contacts that are the basis for the level selected for Factor 6.

Factor 8. Physical Demands

This Factor covers the requirements and physical demands placed on the employee by the work assignment. This includes physical characteristics and abilities, e.g., specific agility and dexterity requirements, and the physical exertion involved in the work, e.g., climbing, lifting, pushing, balancing, stooping, kneeling, crouching, crawling, or reaching. To some extent the frequency or intensity of physical exertion must also be considered, e.g., a job requiring prolonged standing involves more physical exertion than a job requiring intermittent standing.

Factor 9. Work Environment

This Factor considers the risks and discomforts in the employee's physical surroundings, or the nature of the work assigned and the safety regulations required. Although the use of safety precautions can practically eliminate a certain danger or discomfort, such situations typically place additional demands upon the employee in carrying out safety regulations and technique.

GUIDANCE FOR ESTABLISHMENT OF LEAD POSITIONS

DEVELOPING A LEADER POSITION DESCRIPTION (FOR 2-GRADE INTERVAL POSITIONS)

Some of the following information is extracted directly from the General Schedule Leader Grade Evaluation Guide and the General Schedule Supervisory Guide. This guidance does not contain all the pertinent information in those guides and should not be relied upon as a “final authority” for determining whether a position should be classified as a supervisor or a leader. Rather the guidance contained herein should be considered as a “rule of thumb.” There are several different kinds of lead positions. This guidance addresses only those lead positions which are considered to be a step below full supervisors. For positions which are intended to be “senior” positions as opposed to “lead,” please consult with your Servicing Human Resources Office.

In addition, the distinction between “supervisor” and “leader” discussed herein applies only to assigned duties and classification purposes including official classification titles. For labor relations purposes, lead positions are excluded from bargaining unit coverage.

1. CONSTRUCTING A LEAD POSITION DESCRIPTION

If a “Lead” employee also has significant responsibility for individual contributor functions, start with your complete “worker” position description (PD).

a. Insert the following statement into the Functional Statement of your PD:

Serves as a team lead with responsibility for performing a variety of coordinating, coaching, facilitating, consensus building and planning duties designed to assure that the work of the team is carried out in accordance with standards of quantity and quality.

b. Insert ALL of the following duties into the Major Duties section of your PD:

Ensures that the organization’s strategic plan, mission, vision and values are communicated to the team and integrated into the team’s strategies, goals, objectives, work plans and work products and services.

Articulates and communicates to the team the assignment, project, problem to be solved, actionable events, milestones, and/or program issues under review, and deadlines and time frames for completion.

Coaches the team in the selection and application of appropriate problem solving methods and techniques; provides advice on work methods, practices and procedures; and assists the team and/or individual members in identifying viable solutions.

Leads the team in identifying, distributing, and balancing workload and tasks among employees in accordance with established work flow, skill level and/or occupational specialization. Makes adjustments to accomplish the workload in accordance with

established priorities to ensure timely accomplishment of assigned team tasks; and ensures that each employee has an integral role in developing the final team product. Trains or arranges for the training of team members in methods and techniques of team building and working in teams to accomplish tasks or projects. Provides or arranges for specific administrative or technical training necessary for accomplishment of individual and team tasks.

Monitors and reports on the status and progress of work, checking on work in progress and reviewing completed work to see that the supervisor's instructions on work priorities, methods, deadlines and quality have been met.

Serves as coach, facilitator and/or negotiator in coordinating team initiatives and in consensus building activities among team members.

- c. Select the following duties as appropriate for inclusion in the Major Duties section of the PD. At least seven (7) of these duties must be included for the position to be classified as a "Lead":

Maintains program and administrative reference materials, project files and relevant background documents and makes available policies, procedures and written instructions from the supervisor; maintains current knowledge to answer questions from team members on procedures, policies, directives, etc.

Prepares reports and maintains records of work accomplishments and administrative information, as required, and coordinates the preparation, presentation and communication of work-related information to the supervisor.

Represents the team in dealings with the supervisor or manager for the purpose of obtaining resources (e.g., computer hardware and software, use of overtime or compensatory time), and securing needed information or decisions from the supervisor on major work problems and issues that arise.

Reports to the supervisor periodically on team and individual work accomplishments, problems, progress in mastering tasks and work processes, and individual and team training needs.

Represents the team consensus and conveys the team's findings and recommendations in meetings and dealings with other team leaders, program officials, the public and other customers on issues related to or that have an impact on the team's objectives, work products and/or tasks.

Estimates and reports to the team on progress in meeting established milestones and deadlines for completion of assignments, projects and tasks, and ensures that all team members are aware of and participate in planning for achievement of team goals and objectives.

Researches, learns and applies a wide range of qualitative and/or quantitative methods to identify, assess, analyze, and improve team effectiveness, efficiency and work products.

Leads the team in assessing its strengths and weaknesses and provides leadership to the team in exploring alternatives and determining what improvements can be made (e.g., in work methods, processes and procedures).

Approves emergency leave for up to three days; eight hours or less for medical appointments; and/or other types of leave as specifically delegated in writing by management.

Note: If this duty is chosen, be sure to prepare a written delegation of authority and provide a copy to the payroll office.

Resolves simple, informal complaints of employees. Refers others, such as grievances and appeals, to the supervisor or an appropriate management official.

Communicates team consensus and recommendations to the supervisor on actions affecting team and individual awards, rewards, and recognition.

Informs employees of available employee benefits, services, and work related activities.

Intercedes with the supervisor on behalf of the team to inform the supervisor of performance management issues/problems and to recommend/request related actions, such as: assignments, reassignments, promotions, tour of duty changes, peer reviews and performance appraisals.

For quick reference, the chart below lists examples of some of the more significant differences between leaders and supervisors. These examples are not intended to be all-inclusive:

LEADERS:	SUPERVISORS:
Explain team goals and objectives to assigned team members and assist team in organizing to accomplish work	Set team goals, select team leaders, assign team members and administratively and technically direct the work of subordinates
Coach, facilitate, solve work problems and participate in the work of the team	Plan, assign, review and accept, amend or reject work done by teams and subordinates
Provide information to the supervisor on performance of the team and individuals	Assign performance ratings, approve awards and take performance-based corrective actions
Communicate assignments, milestones and deadlines to the team and individuals based on supervisor's instructions	Make work assignments, set or negotiate deadlines and completion dates
Observe training needs and relay training needs and requests to supervisor	Schedule and approve funding for team and individual training
Inform supervisor of attendance and behavioral problems	Counsel employees on behavior and initiate disciplinary actions if required
Relay requests for resources and supplies	Allocate resources to teams

1. GRADE LEVELS

Where the personal assignments of an employee in a lead position are materially different from the duties of the employees led, the personal assignments and the leader duties are graded separately. The final grade of such positions is determined by selecting whichever grade is higher.

Questions regarding the establishment of Lead or Supervisory positions should be directed to your Servicing Human Resources Office.

GENERAL SCHEDULE SUPERVISORY GUIDE FORMAT

I. Introduction/Functional Statement.

The Introduction/Functional Statement should summarize the organizational placement of the position as well as the basic purpose of the position in a single paragraph.

II. Major Duties.

List Major Duties in priority order.

III. Factors.

Factor 1. Program Scope and Effect

This factor includes 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. Consideration should be given to all program areas, projects, and work assignments which the supervisor technically and administratively directs, including those accomplished through subordinate General Schedule employees, Federal Wage System employees, military personnel, contractors, volunteers, and others.

Factor 2. Organizational Setting

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

Factor 3. Supervisory and Managerial Authority Exercised

This factor covers the delegated supervisory and managerial authorities which are exercised on a recurring basis.

Factor 4. Personal Contacts

This is a two part factor which includes the nature and the purpose of personal contacts related to supervisory and managerial responsibilities.

Factor 5. Difficulty of Typical Work Directed

This factor should cover 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.

Factor 6. Other Conditions

This factor includes the extent to which various conditions contribute to the difficulty and complexity of carrying out supervisory duties, authorities, and responsibilities. Conditions

affecting work for which the supervisor is responsible (whether performed by Federal employees, assigned military, contractors, volunteers, or others) may be considered if they increase the difficulty of carrying out assigned supervisory or managerial duties and authorities.

SENIOR EXECUTIVE SERVICE FORMAT

I. Introduction

II. Major Duties and Responsibilities

List Major Duties in priority order.

III. Level and Purpose of Contacts

Discuss the nature of contacts including the organizational placement of individuals with whom the position will be in contact on a routine basis. This discussion should also include the purpose of contacts.

IV. Supervision Received

Discuss the placement of the position in the organization and the reporting relationship of the position to other more senior positions. This discussion should also include the authority exercised by the position to make decision and commit the government to a course of action.

V. Technical Qualification Requirements

Describe technical qualifications and specialized knowledge, skills, competencies, etc., required by the position.

Add the following paragraph(s) as appropriate:

ISM – This position includes responsibility for knowledge and implementation of Integrated Safety Management (ISM). The incumbent has taken the necessary initiatives to fully implement the principles of the Department's Safety Management System Policy in programs and functions for which the incumbent is responsible. This includes the demonstration of an appropriate emphasis on ensuring the technical competence of the staff associated with those programs and the conduct of effective oversight of the accomplishment of the related work products and schedules.

SAFETY BASIS – This position has specific assigned responsibility for nuclear facilities and is knowledgeable in the requirements for safe operation of nuclear facilities including safety basis process requirements, implementation requirements, and flow down of approved safety basis documents.

STSM - This position is in the Technical Qualification Program and is designated as a Senior Technical Safety Manager (STSM) position. The incumbent makes technical decisions based on the education and experience requirements for an STSM. If the incumbent does not meet the education or experience requirements contained in the STSM Qualification Standard, management will designate a fully qualified STSM as a compensatory measure. The incumbent ensures all employees reporting to them are appropriately trained and technically competent to perform their duties and to accomplish ORO's missions and responsibilities in a safe and efficient manner by protecting the health and safety of employees and the public.

SSO - This position is designated as a Safety System Oversight (SSO) position. The incumbent is a key technical resource qualified to oversee contractor management of safety systems and is responsible for overseeing assigned systems to ensure they will perform as required by the safety basis and other applicable requirements. The incumbent performs assessments and investigations to confirm performance of assigned safety systems in meeting established safety and mission requirements and review sections of the Decision Systems Analysis related to these systems. Position requires a working knowledge of assigned systems and the contractor's application of the cognizant system engineer concept and safety program management.

Insert the checkbox below and check appropriate blocks to identify specific position requirements and/or training programs.

Yes	No	Requirement	If TQP, STSM, and/or SSO are checked yes, the position description must document the duties and functions performed which are the bases of such determination as well as the knowledge required to accomplish the duties of the position. Knowledge requirements must include any items which form the basis for selective placement factors, if used, under recruitment or reduction-in-force processes.
		Technical Qualification Program (TQP)	
		Senior Technical Safety Manager (STSM)	
		Critical Technical Capabilities (CTC)	
		Systems Safety Oversight (SSO)	
		Acquisition Career Development Program	
		Project Management Career Development Program	
		PSAP Designated Position	
		Drug Testing Designated Position	