

**U.S. NUCLEAR REGULATORY COMMISSION MANAGEMENT DIRECTIVE (MD)**

<b>MD 10.37</b>	<b>POSITION EVALUATION AND BENCHMARKS</b>	<b>DT-17-193</b>
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<i>Volume 10, Part 2, Subpart A:</i>	Personnel Management Position Evaluation and Management, Pay Administration, and Leave Pay Administration
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<i>Approved By:</i>	Miriam L. Cohen Chief Human Capital Officer
<i>Date Approved:</i>	September 23, 2016
<i>Cert. Date:</i>	N/A, for the latest version of any NRC directive or handbook, see the <a href="#">online MD Catalog</a> .

<i>Issuing Office:</i>	Office of the Chief Human Capital Officer Policy, Labor and Employee Relations Branch
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<i>Contact Name:</i>	Bi Smith 301-287-0553	Servicing Human Resources Specialist (names and phone numbers are listed <a href="#">here</a> )
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**EXECUTIVE SUMMARY**

Management Directive (MD) 10.37, “Position Evaluation and Benchmarks,” is revised to—

- Update organizational information, titles, definitions, and references;
- Remove detailed procedural guidance; and
- Remove policy not related to position evaluation covered by this MD.

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For updates or revisions to policies contained in this MD that were issued after the MD was signed, please see the Yellow Announcement to Management Directive index ([YA-to-MD index](#)).

## **I. POLICY**

It is the policy of the U.S. Nuclear Regulatory Commission to provide a system for the evaluation of NRC positions at the GG-1 through GG-15 levels on the basis of an analysis of similarities, variations, and differences in difficulty, responsibilities, and qualification requirements of the work being performed.

## **II. OBJECTIVES**

To provide a uniform system whereby the current duties and responsibilities of each position in NRC can be described in writing and evaluated against a prescribed standard so that a proper occupational series and grade may be determined and qualification requirements may be established for each position (see Management Directive (MD) 10.1, "Recruitment, Appointments, and Merit Staffing," for information on qualification requirements). Positions may thus be compared to a set of benchmarks in order to establish a consistent means of grouping and identifying positions.

## **III. ORGANIZATIONAL RESPONSIBILITIES AND DELEGATIONS OF AUTHORITY**

### **A. Executive Director for Operations (EDO)**

1. Approves the establishment of NRC positions under his or her jurisdiction pursuant to 5 U.S.C. 5315 and 5 U.S.C. 5316.
2. Approves salary setting and renders final decisions on formal requests for review.

### **B. Chief Human Capital Officer**

1. Manages the position evaluation system within the agency.
2. Determines the applicability of the Fair Labor Standards Act to all NRC positions.
3. Approves the assignment of occupational series for all NRC positions.
4. Delegates the above responsibilities, as appropriate, through a specific delegation of authority agreement with regional administrators.
5. Has appellate approval authority for the evaluation of all positions within NRC.
6. Provides final interpretation regarding the intent and applicability of this directive and handbook.

### **C. Office Directors and Regional Administrators**

Ensure that positions are established and/or abolished within their organizations in accordance with full-time equivalent (FTE) allocations and approved staffing plans.

**D. Managers and Supervisors**

1. Recommend the establishment and abolishment of positions in accordance with agency policy.
2. Describe the duties and responsibilities of positions in their work units in accordance with the guidance set forth in this directive and handbook.
3. Certify the accuracy of the position description in the appropriate section of NRC Form 772A, "Position Action and Evaluation."

**IV. APPLICABILITY**

- A.** The policy and guidance in this directive and handbook cover all positions described below. To the extent that the provisions of this directive and handbook conflict with or are modified by the negotiated agreement with the employees' exclusive representative, the negotiated agreement (Collective Bargaining Agreement) will govern the treatment of personnel for bargaining unit positions. Covered positions include the following:
1. Graded positions (GG-1 through GG-15) paid under the NRC's General Grade Salary Schedule, a special salary schedule, or at an administratively determined rate.
  2. Administratively Determined (AD) positions established under the authority of Section 161.d of the Atomic Energy Act of 1954, as amended (e.g., positions with pay set higher than step 10 of the grade).
- B.** In accordance with the Inspector General Act of 1978, as amended, position evaluations and benchmarks for personnel within the Office of the Inspector General are excluded from the provisions of this directive and handbook.

**V. HANDBOOK**

Handbook 10.37 provides an outline of the system of evaluation as well as definitions, forms, and general guidelines for use in the evaluation of positions in NRC.

**VI. REFERENCES*****Code of Federal Regulations***

Title 5, "Administrative Personnel."

***Executive Branch***

President's Reorganization Plan No. 1 of 1980, as amended.

***Executive Orders***

Executive Order 11834, "Activation of the Energy Research and Development Administration and the Nuclear Regulatory Commission."

***Nuclear Regulatory Commission Documents***

## NRC Management Directives—

9.1, “Organization Management.”

10.1, “Recruitment, Appointments, and Merit Staffing.”

10.135, “Senior Executive Service (SES) Employment and Staffing Programs.”

10.145, “Senior Level System.”

10.153, “Administrative Judges – Compensation and Staffing.”

10.161, “Civil Rights Program and Affirmative Employment and Diversity Management Program.”

## NRC Forms Library:

<http://fusion.nrc.gov/nrcformsportal/default.aspx>.

## OCHCO Benchmarks Web site:

<http://www.internal.nrc.gov/HR/hr-benchmarks.html>.***United States Code***

Atomic Energy Act of 1954, as amended (42 U.S.C. 2011 et seq.).

Classification (5 U.S.C. 51).

Energy Reorganization Act of 1974, as amended (42 U.S.C. 5801 et seq.).

Fair Labor Standards Act of 1938 (29 U.S.C. 201 et seq.).

Government Organization and Employees (5 U.S.C.).

Inspector General Act of 1978, as amended (5 U.S.C. App. 3).

**U.S. NUCLEAR REGULATORY COMMISSION DIRECTIVE HANDBOOK (DH)**

<b>DH 10.37</b>	<b>POSITION EVALUATION AND BENCHMARKS</b>	<b>DT-17-193</b>
<i>Volume 10, Part 2, Subpart A:</i>	Personnel Management Position Evaluation and Management, Pay Administration, and Leave Pay Administration	
<i>Approved By:</i>	Miriam L. Cohen Chief Human Capital Officer	
<i>Date Approved:</i>	September 23, 2016	
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<i>Issuing Office:</i>	Office of the Chief Human Capital Officer Policy, Labor and Employee Relations Branch	
<i>Contact Name:</i>	Bi Smith 301-287-0553	Servicing Human Resources Specialist (names and phone numbers are listed <a href="#">here</a> )
<b>EXECUTIVE SUMMARY</b>		
Management Directive (MD) 10.37, "Position Evaluation and Benchmarks," is revised to—		
<ul style="list-style-type: none"> <li>• Update organizational information, titles, definitions, and references;</li> <li>• Remove detailed procedural guidance; and</li> <li>• Remove policy not related to position evaluation covered by this MD.</li> </ul>		

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## I. POSITION DESCRIPTION AND ANALYSIS

### A. General

1. The U.S. Nuclear Regulatory Commission benchmark system provides for the description and evaluation of NRC positions in grades GG-1 through GG-15 and is the official basis for making grade determinations for NRC positions in these grade levels.
2. Basic steps in the NRC system for evaluation of GG-1 through GG-15 positions require—
  - (a) A description of the current duties and responsibilities assigned to the individual positions (see Section I.B of this handbook).
  - (b) An analysis of the work described with respect to the six evaluation factors presented in Section I.C of this handbook.
  - (c) An evaluation of the position by comparison of the duties to the benchmark standards (see the Office of the Chief Human Capital Officer (OCHCO) Benchmarks Web site at <http://www.internal.nrc.gov/HR/hr-benchmarks.html>), using the defined degrees of each of the six established factors and the assignment of point values within each degree for each factor (see NRC Form 323A, “Worksheet for Benchmark Correlation of a GG 1-15 Position”).
3. Day-to-day administration of the system is described in Section III of this handbook.

**B. Position Description**

## 1. Conditions

- (a) A position description should be prepared when a new position is being established or when a significant change in the assigned duties or responsibilities of an existing position occurs.
- (b) A new position description is not always required by every change in an established position. Minor changes may be reflected by pen and ink annotation to the existing position description and/or by the addition of a statement at the end of the position description. Changes are considered minor if they do not require substantial rewriting of the existing description and if they have no impact on the title, series, or grade of the position. The responsible supervisor, however, must indicate approval of any changes by initialing or signing the pen and ink annotations and the additions to the description. Also, changes should be processed in such manner as to ensure that they become a part of the official position description. The OCHCO should be consulted regarding whether the changes are, in fact, minor and do not alter assigned point values.

## 2. Identical-Additional (IA)

When a number of positions that are essentially identical to each other are being established, it is not necessary to prepare an individual description for each position. These positions are referred to as "Identical-Additional (IA)." A description should be prepared for the basic position. Additional positions may be established identical to the basic description. These will be identified as IA positions to clearly establish their relationship to the basic position. In these cases, the employee assigned to the identical position shall be provided a copy of the description of the basic position.

## 3. Rotations and Details

When an employee is on a rotation or detail, it is not necessary to revise the position description of record because the employee continues to receive the salary of the position to which he or she is officially assigned. Appropriate documentation, however, must be made of the rotation or detail, in accordance with Management Directive (MD) 10.1, "Recruitment, Appointments, and Merit Staffing."

## 4. Methods

The description of duties of positions in grades GG-1 through GG-15, inclusive, should be attached to NRC Form 772A, "Position Action and Evaluation." The position description should follow the format presented in Section I.B.7 of this handbook.

## 5. Preparation and Review

It is the responsibility of a supervisor to determine job content. Therefore, the position description of record should be prepared by the supervisor most familiar with the work assigned, normally the immediate supervisor. The supervisor should review the description with the incumbent for accuracy and mutual understanding of the normal duties to be performed and for consistency with assigned functional and organizational responsibilities.

## 6. Content and Style

- (a) The language of the position description used should be simple and easily understood. Terms from the factor and degree definitions in Section IV.B of this handbook ordinarily should not be used.
- (b) Position descriptions describe what is done, how it is done, and why it is done. To simplify the process of preparing descriptions and to ensure common understanding, use the standard terminology in Section IV.A of this handbook wherever possible.

## 7. Format

Describe positions under the following headings and in the following order:

### (a) Functional Statement

Describe the basic scope and purpose of the position as briefly as possible, reflecting consistency with the organizational mission. A sentence or two will suffice. If the position being described is that of a trainee, this fact should be stated as part of the functional statement.

### (b) Regular Duties

- (i) Determine the primary or major functions of the position. State the what, how, and why for each regular duty. State the duties simply and clearly. Each regular duty statement should be sufficiently detailed to cover a description of the duty, how the duty is to be accomplished, and why it is necessary.
- (ii) Make the regular duties statement specific but not long or involved. Use action verbs and direct statements. Be as concise as possible; however, do not be so brief that important aspects of the work are not adequately described.
- (iii) If a duty is significant enough to affect the qualifications required, or requires a significant portion of the employee's time (i.e., 25 percent of the time), include it as a regular duty of the position.

(c) Occasional Duties

Limit the use of the category “occasional duties.” As an example, occasional duties may include sharing the responsibility for acting in the absence of the supervisor with other staff members. Little if any credit can be given to an occasional duty when evaluating a position.

### C. Position Analysis by Evaluation Factors

The analysis of the position will be prepared by considering each of the six evaluation factors given below. The duties of the position will be compared to the guides contained under each individual factor (see Section IV.B of this handbook for factor and degree definitions).

#### 1. Factor 1 - Basic Skills

(a) Basic skills must relate to and be based on the regular duties statement.

(b) In the basic skills statement, identify the knowledge, skills, and abilities required to fully perform the duties of the position. A position may require knowledge and skill in more than one field of work, a single field of work, a phase of a field of work, or just a single procedure or method. Indicate knowledge and skill requirements by—

(i) Describing the way in which the skills are applied in the position, for example—

- Knowledge of accounting principles, theories, concepts, and practices and the ability to apply them in the establishment and revision of assigned agency administrative accounting systems.
- Knowledge of double entry and accrual accounting methods and techniques in order to determine the nature of entries to be made into the accounting system and to maintain a variety of subsidiary accounts and ledgers.

(ii) Indicating possible methods of acquiring these skills or knowledge such as the alternative experience, training, and education possibilities. (A specific education requirement such as a specific degree may only be used when the duties and responsibilities cannot be performed without such a degree. Typically, these are positions with positive educational requirements, such as engineering, medical, law, contract administration, and educational positions.)

(c) The basic skills statement should convey the nature and scope of knowledge and skill required in sufficient detail to facilitate the proper evaluation of the position. In addition, the level of detail should be developed sufficiently in order to be useful in identifying qualified individuals in recruiting for vacant positions.

- (d) The basic skills statement should be written in terms of performance after a reasonable period of experience on the job. Clearly state if the position is a “trainee” position.

## 2. Factor 2 - Contacts

- (a) Group and list the contacts made by the incumbent in order of frequency (i.e., the most frequent or continuous contacts being listed first, frequent but not continuous contacts being listed next, and occasional contacts being listed last). Do not include contacts with the immediate supervisor or subordinates because these types of contacts are evaluated under other factors.
- (b) Within the frequency groupings established in item (2)(a) above, the level and purpose of the contacts should be stated. Different types of contacts or contacts at different levels should not be indiscriminately grouped together.
- (c) The purpose of the contacts should be clear. For example, saying that a contract administrator, GG-14, makes contacts for the purpose of “discussing the contracts that he or she administers” does not present a clear enough picture. Indicating the necessity for any negotiation and obtaining concurrences or agreements on controversial points would provide a more informative description of the purpose of the contact and would help place the position accurately in the proper degree.
- (d) In the case of contacts that are not continuous but occur on a regular basis, the frequency should be specified. For example, a budget examiner appears “once a year” before a budget review committee for the purpose of justifying a budget.
- (e) Correspondence is not considered a form of contact. Only face-to-face or telephone contacts are relevant here.

## 3. Factor 3 - Responsibility for Decisions

### (a) Supervision Received

- (i) State the position title and grade of the immediate supervisor.
- (ii) Indicate the nature of supervision received by using the terms defined in Section IV.A.8 of this handbook. Use the term that, as defined, most nearly fits the type of supervision received.
- (iii) State specifically the formal regulations, policies, NRC management directives, or other guidelines used by the employee. Indicate whether the guidelines can be readily applied and/or the nature of interpretation required, if applicable.

(b) Independent Action

- (i) Use the terms “approves,” “endorses,” or “recommends,” as applicable. Refer to the types of action described in Section IV.A.4 of this handbook. Indicate signature authority as appropriate.
- (ii) As applicable, include a statement such as “Work is accepted without review” when itemizing the work accomplishments that are not normally reviewed by a supervisor and indicate signatory authority.
- (iii) State any monetary or other limitations of authority for positions such as purchasing agents and contract administrators.

4. Factor 4 - Supervision Exercised

- (a) Occasional, intermittent, or team leader work is not considered supervision for the purpose of job evaluation. Deputy positions receive supervisory credit when they are responsible for supervising the work of subordinate employees.
- (b) List the number, titles, and full performance level of all positions directly supervised by the incumbent.
- (c) If positions directly supervised are supervisory positions, indent under each the titles and grades of the positions supervised. However, if more than two or three positions are under such subordinate supervisors, enter the total number of staff positions and the total number of clerical positions supervised. Indicate the range of grades in each staff group and in each clerical group (see Section IV.A.9 of this handbook for definitions of “staff” and “clerical” employees).

5. Factor 5 - Working Conditions

- (a) State whether the work is performed under a typical office environment.
- (b) Specify any surroundings such as loud noise, fumes, extreme temperatures or humidity, or working conditions such as frequent or extended overnight travel, irregular shifts, and so on, that are characteristic of the work.
- (c) Describe any hazardous conditions characteristic of the work.
- (d) State how frequently there is exposure to such surroundings or hazardous conditions.
- (e) Describe any controls intended to remove or minimize hazards, such as requirements for safety shoes and other special clothing, respirators and other special equipment or special physical examinations. Note, however, that in some

cases the special clothing or equipment may be disagreeable to wear or use, and thus constitute an adverse working condition.

- (f) Describe conditions when the incumbent has to be on call for emergency operations or has to frequently return to the workplace after normal official hours.

#### 6. Factor 6 - Effort

State the following:

- (a) What types of physical effort are demanded.
- (b) The frequency and duration of each type of physical effort.
- (c) Whether the work requires awkward or confining work situations.
- (d) Whether visual effort is required to a degree that would cause fatigue.

## II. POSITION EVALUATION

### A. Use of Degrees

The number of degrees of difficulty of each of the six evaluation factors is described in Section IV.B of this handbook. As a primary step in the evaluation of a position, the position description must be reviewed against the degree definitions for each factor in order to determine the appropriate degrees.

### B. Use of Benchmarks

#### 1. Point Values

After the appropriate degree in each factor is fixed, the proper point value within the degree must be determined. For this purpose, the point values of a number of positions are contained in Section IV.B of this handbook. The OCHCO Benchmarks Web site contains benchmark position descriptions with point values assigned for each factor. These benchmark positions serve as a standard for guidance in the proper evaluation of other positions. By study and analysis of the benchmarks in relation to the position being evaluated, a specific point score is assigned for the position being evaluated in each degree of each factor. No point score may be assigned in any factor greater than the maximum point score in the highest degree of that factor. Further discussion of some evaluation problems and special considerations is contained in Section II.D of this handbook.

#### 2. Basis for Point Scores

Point scores in the NRC benchmark evaluation system for GG-1 through GG-15 positions are provided only in multiples of 5 points for each degree in each factor. Any such appropriate point score may be used even if no benchmark exists at that

score. Justification for the assignment of points assigned without regard to a benchmark will be fully explained in the written evaluation record (see Section II.D.10).

### **C. Conversion of Point Score to Grade**

After each factor is evaluated, the points are totaled and converted to the appropriate grade for the position in accordance with the conversion table in Section IV.C of this handbook. If the total point score assigned exceeds 1060, the position should be evaluated under the system for evaluating Senior Executive Service, Senior Level System, or Administrative Judge positions (see MD 10.135, "Senior Executive Service (SES) Employment and Staffing Programs," MD 10.145, "Senior Level System," and MD 10.153, "Administrative Judges – Compensation and Staffing," as appropriate).

### **D. Special Considerations in Evaluating Positions**

Successful application of the NRC system for evaluating GG-1 through GG-15 positions depends on the use of sound judgment coupled with an indepth understanding of the position, its place in the organization, and the standards against which it is to be measured. Some of the special considerations often involved in evaluation of GG-1 through GG-15 positions are identified below.

#### **1. Evaluating the Position, Not the Employee**

The personal qualities of an employee are not valid considerations for use in arriving at the proper degree and point score within each of the factors. The factor and degree definitions and the benchmarks are provided for the purpose of measuring the difficulty or responsibility of the duties assigned to the position. However, if an employee, because of unique individual skills or knowledge, brings to his or her position duties or responsibilities above those previously considered appropriate, and these are officially assigned or approved for performance by the responsible supervisor, the position description should be revised to reflect the new duties and responsibilities.

#### **2. Assuring Completeness and Accuracy in the Position Description**

The position description is the means of recording certain current facts about an established position. Position evaluation will be based on the facts presented in the description, and on any supplementary facts developed during the interview, if it is determined that an interview (or desk audit) is necessary in order to properly evaluate the position. A representative of OCHCO will conduct the interview if additional or clarifying information is required. Facts identified during the interview will be recorded and appended as part of the description to either clarify points of information or to recognize pertinent facts not fully developed in the position description. If the results of the audit indicate that the position actually functions differently from that described, a new position description should be prepared to reflect the actual assignment. The description should not limit or prescribe the types

of duties or responsibilities that subsequently may be assigned. However, before preparing a new position description, careful consideration should be given to whether the described duties are officially sanctioned and consistent with the purpose of the position.

### 3. Evaluation and Pay

The evaluation system is a method of determining the relative value of individual positions. While the evaluation affects pay through determination of grade level, it is important to remember that the resulting pay rate reflects relative difficulty or responsibility rather than a specific market value for the type of work or the individual. Recruitment and retention concerns associated with one or more positions are addressed through other OCHCO programs and incentives, not through position evaluation actions. To attempt to solve a pay problem through increase in grade level of a position without a corresponding increase in responsibility not only violates basic policy but also creates inequities within the organization, which may create further personnel problems.

### 4. Need for Thorough Understanding of Position and Benchmarks

- (a) The appropriate application of the benchmarks as standards requires thorough understanding of both the benchmark positions and the position being evaluated. The need for thorough understanding of the position being evaluated cannot be overemphasized. This includes understanding the occupation and the organization in which the position operates as well as understanding the specific duties of the position. Furthermore, an understanding of the interrelationship of the position being evaluated to other positions within and outside the organization in which the position is located is important.
- (b) The benchmark position description includes specific information describing the scope and complexity of the benchmark position. A thorough understanding of the benchmark position is necessary to ensure its applicability to the position being evaluated. An understanding of the relationship among benchmarks and comparison of one benchmark position to another also is essential to their proper application.
- (c) Never give undue emphasis to the presence or absence of specific words or phrases in either the benchmark position or in the position being evaluated. The use of isolated parts or portions of a benchmark out of context distorts position evaluation. Similarly, the over-emphasis of single or isolated examples of work in the position being evaluated distorts application of the evaluation system.
- (d) The evaluation process at NRC is one of comparing position with position on a factor basis. Within each factor, the analysis is based on a study of individual duties. Normally, the highest level duty controls the determination of the proper

degree in which the position should be placed. However, the evaluator should take into account whether that duty is a significant one in terms of the overall purpose of the position along with the frequency and length of performance of that duty.

#### 5. Duplication of Responsibility

In evaluating a position, consider whether the duties performed involve a degree of responsibility that the incumbent of the position bears alone or shares with others. Where several individuals, for example, provide expert advice, the responsibility of any one position for providing such advice is normally lessened, in contrast to a situation in which a single person is responsible for providing such advice.

#### 6. Inability To Find Counterpart Benchmarks

Because of the type of system used in NRC for evaluating GG-1 through GG-15 positions, it is not necessary to have a benchmark for each type of NRC occupation. The factor approach eliminates this need by requiring a comparison on an individual factor basis, after the initial determination of the appropriate degrees. As indicated above, however, this approach requires thorough understanding of the total benchmark position and the position being evaluated. The judgment process is extremely important in this phase. The benchmarks are divided into occupational groups in order to facilitate the process of factor comparison. If there is doubt as to the use of a specific benchmark, a study should be made of other benchmarks, particularly those in the same occupational groups and functional areas. However, comparison of the position being evaluated is not limited to positions in the same occupational group.

#### 7. Range of Grades

Position evaluation systems are not so precise that all positions identically graded may be considered to be exactly the same in level of duties and responsibilities. The evaluation system for GG-1 through GG-15 positions in NRC is based on the position and not the position's place in the organizational structure. There is no requirement that a position subordinate to another necessarily be a fixed number of grades below the superior position. Examine the alignment resulting from the evaluation process to ensure that it is reasonable and that all pertinent information has been taken into consideration.

#### 8. Application of the Whole Degree

In attempting to determine the appropriate degree for the position under evaluation, the position should be placed in the degree that, in the entirety of its definition, appears best suited in each factor. Do not rely on individual parts of a degree definition without taking into account the general scope and purpose of that definition. Emphasis should be placed on evaluation of each individual factor of the position with the appropriate degrees in each factor.

### 9. Factor Application

Each of the factors in the NRC evaluation system for GG-1 through GG-15 positions provides a separate means of measurement of the position under evaluation. While there is a relationship between the weight placed on one factor and that on another factor for the same position, it is not intended that the same information be credited on more than one factor. For example, contacts should be described in the contacts factor, and not in the basic skills factor, as an ability requirement.

### 10. Evaluation Record

Make a narrative record of the basis for evaluation and attach it to the position description. Include specific judgments that are critical to the determination of the applicable degree, benchmark, or point values in this record.

### 11. Comparison With Office of Personnel Management (OPM) Standards

The NRC personnel policy provides that evaluation of positions will be in accordance with approved NRC standards. The approved NRC standards for GG-1 through GG-15 positions are the standards contained in this handbook. These NRC standards have been developed with full consideration for generally producing results consistent with those produced through use of OPM standards applicable to positions subject to Chapter 51, Title 5 of the United States Code.

## III. PROGRAM ADMINISTRATION

### A. Processing Evaluation Actions

Position action and evaluation requests are processed in accordance with the following principles and requirements:

1. The description of the position should be prepared by a supervisor most familiar with the work assigned, or to be assigned. This is normally the immediate supervisor.
2. The description will be consistent with any statement in an NRC management directive regarding the position or the organization in which it is located.
3. Reviewing officials (normally the second-line supervisor) will review the duties and responsibilities presented in the description for clarity and compliance with any pertinent NRC management directives and to ensure that the principles of good position management have been applied.
4. OCHCO will review the position description and conduct an indepth analysis of the position to include allocation of factor degrees, points, occupational series, and grade level of the duties under evaluation.
5. If the grade considered to be appropriate by OCHCO differs from that considered to be appropriate by the supervisor, an attempt will be made to reach an agreement on the evaluation. If the supervisor disagrees with the OCHCO grade decision, an

attempt will be made to resolve the matter at the next supervisory level. If no agreement is reached, the OCHCO decision is final.

6. When the action has been completed, the original signed and approved copy of the position description should be maintained in the official position description files of OCHCO. OCHCO will send, through the appropriate supervisor, a copy of the official position description to the employee concerned.
7. The immediate supervisor will inform employees of the methods by which their grades and rates are determined and ensure that they have been provided with copies of their current position descriptions when personnel actions have been completed.

## **B. Formal Reviews of Grade Evaluation Decisions**

### **1. Basis for Review**

- (a) The incumbent of any NRC GG-1 through GG-15 position may request (through the supervisory channels to OCHCO) a formal interview (desk audit) of the grade of his or her position at any time if he or she believes that the grade of the position is incorrect under appropriate NRC evaluation standards.
- (b) Incumbents may also request a formal review of the position evaluation when they are given notice of a proposed personnel action to change them to lower grade on the basis of their position being evaluated at a lower grade. OCHCO will provide advice to affected employees regarding separate procedures for appealing change to lower grade personnel actions. An appeal of the change to lower grade action and a request for a review of the position evaluation may be made concurrently.
- (c) A request for review may not be based on a change in duties and responsibilities that occurred after preparation of the official description. In such a case, a new description should be prepared and evaluated under regular procedures outlined in Section III.A.

### **2. Preparation of Request**

An employee requesting a review must—

- (a) Submit the request in writing to his or her immediate supervisor.
- (b) Identify the position involved, including its title and grade.
- (c) Explain why he or she believes the present or proposed grade is in error, specify the grade deemed correct, and show the evaluation that the employee believes proper by citing applicable factor degrees, point scores, and comparable benchmarks.

### 3. Processing and Disposition of Request for Position Reevaluation

- (a) An employee in a GG-1 through GG-15 position requesting review of the grade evaluation of his or her position should direct such request through the first-line supervisor to the director of the office or region in which he or she is assigned.
- (b) The supervisor is responsible for attesting to the accuracy of the position description and/or making any necessary changes to the position description prior to forwarding the employee's request to OCHCO.
- (c) OCHCO will conduct a review of the position and schedule an audit, if necessary, to assist in determining—
  - (i) The currency and accuracy of the description of the position involved.
  - (ii) The applicable evaluation standards.
  - (iii) The appropriate grade of the position through application of the standards.
- (d) OCHCO will advise the employee in writing of the position evaluation decision reached as a result of the position audit.
- (e) If dissatisfied with the initial evaluation decision, the employee or the employee's immediate supervisor may submit an appeal of this decision to the Chief Human Capital Officer (CHCO). The CHCO will consider all facts and render a final decision to the employee. In making this decision, the CHCO, as he or she so determines, may use a committee or subject matter expert(s) established for this purpose to provide advice as to the action to be taken. The decision of the CHCO is final and is not grievable.
- (f) A decision will normally be made on any audit request or appeal within 60 calendar days after receipt of the request by the official to whom the request is addressed in either item (a) or (e) above. In the event that the 60-day goal is not met, the CHCO will provide an interim response to the requestor that explains the reason for the delay and provides an adjusted completion date.

### 4. Retroactive Adjustment of Grade and Salary

- (a) Filing a request for review under Section III.B.1(b) of this handbook does not delay the effective date of a decision to change the employee to a lower grade.
- (b) If the request to review the change to lower grade under Section III.B.1(b) was filed in a timely manner (normally within 15 calendar days after the effective date of the personnel action that changed the employee to a lower grade) and the results of the review are favorable to the employee, then the correction or cancellation, as appropriate, is retroactive to the effective date of the change to

lower grade and may result in the employee's receiving back pay. This change contrasts with changes in grade resulting from any other position review (e.g., reviews in accordance with Section III.B.1(a) are applied prospectively and do not result in back pay).

- (c) When a request for review of a change to a lower grade results in a decision placing the position in a grade higher than that originally assigned, retroactivity will apply only to the extent of restoration to the grade immediately preceding the downgrading. Promotion to the higher grade will be effected in accordance with Management Directive (MD) 10.1, "Recruitment, Appointments, and Merit Staffing," at the beginning of the pay period following the date of the review decision correcting the grade of the position.

#### 5. Cancellation of Reviews

A review will be canceled upon written request of the employee. A review also will be canceled when the employee leaves the position that was the subject of the review request and there is no possibility of retroactive benefit. A review in which there is a possibility of retroactive benefit will be continued until a decision is reached, whether or not the incumbent remains in the position concerned, unless the employee or, in the event of the employee's death, his or her beneficiary submits a written withdrawal of the request for review. If the employee concerned leaves his or her position before a decision is reached and the decision is favorable to the employee, correction of records and supplementary salary will cover only the time served by the employee in the position at issue in the review. The grade of his or her successor in the position at issue may not, as a result of the review, be adjusted retroactively beyond the date the successor began serving in the position at issue in the review.

### C. Benchmark Maintenance

Recommendations for changes in the benchmarks, establishment of new benchmarks, or preparation of interpretive material relating to application of benchmarks should be submitted to the CHCO. After receiving such recommendations, OCHCO will examine the possibility of establishing additional benchmark positions or deleting existing benchmark positions and will report the action taken and the reasons for such actions to the requesting office.

### D. Application of Occupational Series and Titles

#### 1. Assigning Occupational Series

OCHCO assigns each NRC position a code designating the applicable occupational series. Determination of the occupational series will include reference to the appropriate guidance from the Office of Personnel Management (OPM) and, when more specific definitive information is required, by reference to the OPM Position Classification Standards. (The introductory material in the standards for each

occupational series contains information intended to clarify the types of positions included or excluded from that occupational series.)

## 2. Changing Assigned Occupational Series

The appropriate occupational series will be entered on the position description of record in the space provided. The assigned occupational series will be reconsidered on every subsequent position evaluation action to determine whether or not changes in assigned duties and responsibilities necessitate a change in the original occupational series determination. Similarly, as OPM occupational series definitions are changed, appropriate reviews of NRC positions will be made to determine the need for possible revisions. Such reviews are normally processed within 180 days after receiving notice from OPM of a series change.

## 3. Determining Appropriate Occupational Series

In most cases, the occupational series will represent the primary work of the position, the highest level of work performed, and the paramount qualifications required. In some instances, multiple series may be assigned when more than one occupational series is applicable but none is prevalent. The Human Resources Specialist will assign the most appropriate occupational series for the position under consideration in accordance with occupational series inclusion guidelines published by OPM. General occupational series are provided in the OPM guidance for use when the position involves work of two or more occupational series or types of work not identified under a specific occupational series. These occupational series are most commonly, but not exclusively, found as the "01" code in each group of occupations. For example, in the GS-800 Engineering Group, the GS-801 occupational series, General Engineering, applies to positions performing professional engineering work not specifically classifiable in any other engineering occupational series or to positions involving professional work in several branches of engineering.

## 4. Use of Occupational Series

The occupational series codes identify positions by occupation and specialized line of work and are, therefore, used for a number of important purposes. They provide assistance in recruitment, selection, placement, promotion, and other personnel processes. They are used to identify positions for which special salary schedules are applicable. The occupational series codes also are used for many recurring personnel reports, for various nonrecurring reports, and for other special actions and purposes.

## 5. Determining Appropriate Position Titles

Although the NRC conforms to occupational series guidelines published by OPM, the agency has chosen to deviate from the titling guidance, as appropriate. Position titles will be determined by OCHCO in conjunction with the supervisor based on what is in the best interest of the agency to best describe the position and attract and retain employees.

## IV. DEFINITIONS, FORMS, AND GENERAL GUIDELINES

### A. Standard Terminology for Use in Preparing Position Descriptions

Certain terms relating to organization, work activity, management, responsibility, and occupation have significance when comparing and evaluating the characteristics of positions. For purposes of this part only, these terms have been given standard definitions as a means of ensuring a common understanding when positions are described, analyzed, and evaluated, and to facilitate brief and succinct descriptions.

#### 1. Organization

- (a) Agency. An Executive department, a Government corporation, and an independent establishment of the Government appropriately established by law and/or Executive Order. The NRC is an independent regulatory agency established under the provisions of the Energy Reorganization Act of 1974, as amended, and Executive Order 11834, "Activating the Energy Research and Development Administration and the Nuclear Regulatory Commission."
- (b) The Nuclear Regulatory Commission. The agency as a whole, including the Commissioners and all other employees of the agency.
- (c) NRC Headquarters. Used as an organization title, it refers to the total group of NRC offices, divisions, and other components responsible for NRC-wide functions. When used as a physical location, it refers to the NRC offices located in the Washington, DC, metropolitan area.
- (d) The Commission. The body of five Commissioners appointed by the President and confirmed by the Senate. One member, designated by the President as Chairman, acts as Chief Executive Officer of the Commission and its official spokesman.
- (e) Office. A primary program or staff component of NRC constituting the first organizational level below the Commission or the Executive Director for Operations.
- (f) Division. A primary program or staff subdivision of an NRC office. Subdivisions of divisions are headed by assistants for specific functions (in some instances) and include branches, sections, and units in descending order.
- (g) Major program office. In NRC, one of the following offices: Nuclear Reactor Regulation, Nuclear Material Safety and Safeguards, Nuclear Regulatory Research, Nuclear Security and Incident Response, and New Reactors.

- (h) Regional office. Those field organizations created to conduct inspections, investigations, and enforcement activities with regard to U.S. licensed nuclear facilities.

## 2. Work Activity

- (a) Basic mission. The overall purpose for which an agency exists. The reason for the existence and the objective of NRC is to protect people and the environment from radiation hazards through regulation of the various commercial and institutional uses of nuclear material, including nuclear power plants in the United States.
- (b) Program. A group of functions performed on a continuing basis to meet a long-range agency need or objective. Programs may vary considerably in size, scope, and complexity.
- (c) Project. A group of work activities of finite definition, although the duration may be a period of several years, designed for the purpose of the development of a specific end product or the accomplishment of a specific operational objective. Projects may vary considerably in the time needed for completion as well as in terms of size, scope, and complexity. These projects may be components of and contribute to the accomplishment of a broad program area.
- (d) Function. An assigned unit of responsibility. It may encompass either a broad or narrow segment of activities. For example, a branch may have as one function the development of standards for the storage and disposal of nuclear waste material. The function of a subordinate section might be the development of the disposal standards. Within that section, certain clerical functions may be required. Also, the section might have a position the function of which is to prepare periodic and special reports and analyses.

## 3. Management

- (a) Planning. The establishment of goals and objectives and ways and means for achieving them.
- (b) Organizing. The establishment of the formal structure of authority through which working units are defined and work is assigned and coordinated.
- (c) Staffing. Planning for, obtaining, developing, and utilizing people to accomplish the work of the organization.
- (d) Budgeting. Planning for, justifying, obtaining, and controlling financial resources necessary to accomplish the work of the organization.

- (e) Coordinating. Ensuring that the various parts of the work are properly related to one another and to a common goal.
  - (f) Controlling. The process of establishing standards, measuring performance against standards, and correcting for deviations.
  - (g) Directing. The continuing process of endorsing and making decisions, embodying them in orders and instructions, and exercising leadership in the accomplishment of goals, objectives, and workload.
4. Authority and Responsibility for Decisions
- (a) Authority. The official power to approve or take action that commits NRC as an agency or that commits an organizational component of NRC.
  - (b) Responsibility. The accountability for decisions made or action taken on behalf of NRC or an organizational component of NRC.
  - (c) Recommendation. A proposal for a course of action advanced for approval either within NRC or by an outside organization.
  - (d) Approval. A decision by an NRC official or other employee that results in a commitment of NRC or an organizational component thereof.
  - (e) Endorsement. A decision by an NRC official or other employee that a recommendation, decision, or action should be given support.
  - (f) Concurrence. Agreement with a proposed recommendation, or approval action by an organizational level or entity outside of the one responsible for initiating or approving the action.
5. Occupation
- (a) Field of work. Any professional, scientific, technical, or administrative field that is recognized as an academic discipline at the level of a bachelor's or higher level degree. In addition, fields such as the following are considered for job evaluation purposes to be recognized fields of work: budget, public information, technical information, organization and methods, human resources, procurement, auditing, and information technology. Fields of work may be broken into phases that, while basically related, require different work specialization.
  - (b) Specialty. Work that requires an advanced level of knowledge or experience in a recognized field of work, phase of a field of work, or a combination thereof. The required level of knowledge or experience in a given specialty can vary considerably, depending on the duties and responsibilities of the position.

## 6. Describing the Workforce

- (a) Operating official. For purposes of this directive and handbook, any official to whom there has been delegated the authority and responsibility to approve, recommend, endorse, or effect stated actions.
- (b) Team Leader. A position to which supervisory duties have been delegated. Normally team leaders head small groups of employees and perform limited supervisory duties less than 25 percent of the time.
- (c) Full-performance-level work. Duties and responsibilities of normal complexity usually encountered within a function of an organizational component. Such duties and responsibilities require that an incumbent be well-versed and competent in the standard theories and practices of an occupational field. Supervision received in carrying out such work is that described under general supervision "B" (see Section IV.A.8(c) below). The grade levels for full-performance duties and responsibilities will vary depending upon the difficulty and complexity of work within and among organizations, functions, programs, and occupational fields.
- (d) First supervisory level. The level to which responsibility has been given for the supervision of employees at the basic workforce level.
- (e) Second supervisory level. The level to which responsibility has been given for supervision of employees who themselves are supervisors at the first supervisory level.
- (f) Middle management. The intermediate level of management between top management and the basic nonsupervisory workforce. It sometimes includes first-level and often includes second-level supervisors.
- (g) Top management. The level to which broad delegations of authority have been given and responsibility has been delegated for the direction and administration of programs that have significant impact on mission accomplishment.

## 7. Evaluation of Positions

- (a) Benchmark positions. Positions that serve as standards to be used in the official process of evaluation of other positions. NRC benchmark positions are only those that are published on the OCHCO Benchmarks Web site. They are positions that have been carefully analyzed in relation to each other as well as in relation to Federal governmentwide standards to ensure their equitable relationship to one another on a factor-by-factor, degree-by-degree basis. These

NRC benchmark positions are the official NRC standards for determining appropriate point values within the degree levels of each evaluation factor.

- (b) Evaluation factors. Common characteristics or elements of positions used to analyze and measure the relative work of the position. There are six evaluation factors used in NRC for the evaluation of positions GG-1 through GG-15. The six evaluation factors are basic skills, contacts, responsibility for decisions, supervision exercised, working conditions, and effort.
- (c) Degree definitions. Descriptions of the levels of difficulty, responsibility, working conditions, and effort within the appropriate evaluation factor. These definitions, together with the range of points assigned to each degree, are published in Section IV.B of this handbook.
- (d) Point ranges and values. Each of the evaluation factors has a weighted value based on the relative importance of each factor to the total evaluation. These weighted values are reflected in the range of points assigned to each of the evaluation factors and degree levels. They are also reflected in the points assigned in the benchmark positions. When evaluating individual positions, the determination of degree level establishes the applicable range of points for each factor. Specific points for each degree are determined through the use of the benchmark positions. Points for each factor are totaled and converted to a final grade using the conversion table provided in Section IV.C of this handbook.

#### 8. Supervision Received

##### (a) General Direction

Typically, this is the type of supervision received by employees in the supervisory and mid-management level. Within very broad descriptions of the program or programs to be carried out, the employee has full authority of operations, as well as responsibility for detailed work methods or procedures. He or she regularly refers only the most significant policy matters to his or her supervisor. The supervisor makes no review of program operations until they have been completed and placed into effect and then work is reviewed only in terms of accomplishment as reflected by contribution to the overall objectives of NRC. Occasional reports at staff meetings are the principal basis for keeping the supervisor informed as to the direction of the program and problems arising in carrying out the program.

##### (b) General Supervision "A"

This is the degree of supervision normally received by first-line supervisors or the top functional staff specialists in a given subject matter area. Program objectives and policies that are developed by the employee are approved by the employee's

supervisor. The employee is fully responsible for developing work plans, including work methods and procedures for achieving program objectives without reference to the supervisor. The supervisor reviews new or changed policies, objectives, or broad work plans before they are put into effect. Occasional conferences are held with the supervisor on general work progress but very seldom on details of the work.

(c) General Supervision "B"

- (i) This is the level of supervision normally received by a fully trained or full-performance worker in any field. The supervisor either assigns specific projects to the employee or reviews and approves proposed projects suggested by the employee. Upon such approval or assignment, the employee is left to go ahead with the assignment and determine his or her own detailed work methods and techniques. During the course of the assignment, no detailed review is made of the work. However, on unusual problems, the supervisor will review actual work performed. Frequent conferences are held with the supervisor on the general progress of the work, but only occasionally on the details of the work performed. At completion of an assignment, the supervisor will review the results from the standpoint of general adequacy and accomplishment of objectives, but not from the standpoint of detailed checking of step-by-step procedures.
- (ii) This is also the level of supervision usually received by fully trained clerical or technician employees responsible for accomplishing a particular clerical or technician function such as administrative support, communications, and protective or custodial work that is of an established and recurring nature. The supervisor makes and explains the overall work assignment and the employee then performs the work in accordance with established rules and procedures. The employee uses his or her own judgment in determining detailed work methods and in accomplishing the work, checking with the supervisor only on novel or unusual tasks. No detailed review is made since the nature of the work does not so require, or review could only be accomplished by repetition of the original work itself. Correctness or incorrectness of the work would be noted when called to the attention of the supervisor in connection with related problems or obvious errors.

(d) Direct Supervision

This is the level of supervision normally received by workers who are no longer trainees but have not yet achieved the full-performance level. Supervisors assign specific projects, parts of projects, or other work and bring to the worker's attention complex or unusual features and possible methods and techniques for dealing with them. Work is reviewed for soundness of technical judgment and to

ensure the overall completeness of assignments. Although technical methods and computations are not normally reviewed in detail, more difficult or unusual matters or those that involve serious consequences are reviewed thoroughly.

(e) Detailed Supervision

This is the type of supervision normally received by employees at the trainee or equivalent level. A specific assignment is made to the worker, the procedures to be followed are outlined in detail, and the work is reviewed in detail at specified points during the course of its accomplishment and again at its completion.

9. Supervision Exercised

- (a) Staff employee. All employees performing duties of a professional, scientific, or comparable administrative nature. Generally relates to those professional positions in which a college degree or its equivalent in training and experience is required.
- (b) Clerical employee. A general term applied, for this purpose, to all employees below the staff level, including secretaries, administrative assistants, licensing assistants, guards, engineering aides, semi-manual or manual laborers.
- (c) Staff and clerical. Combination of employees from both items (a) and (b) above in which a substantial proportion are of staff level (normally 25 percent or more).
- (d) Small group. Up to approximately four or five employees.

**B. Degree Definitions by Factors**

1. Basic Skills Factor

This factor measures the minimum amount of knowledge, mental ability, and manual skill required to perform the duties assigned to the position.

(a) Degree 1 90 - 115 Points

Duties are simple, routine, largely repetitive, performance being set by predetermined standards. Must know how to read, write, and count and be able to interpret simple verbal or written instructions, or undertake very simple manual operations, such as sorting. Specific duties can be learned on or off the position quickly without any significant loss of productive time.

(b) Degree 2 120 - 145 Points

Requires, in addition to the first degree requirements, some elementary skill or knowledge. This is the first degree at which the basic skills, such as typing, stenography or office machine operations must be brought to the position. Work is repetitive and is usually controlled by well-defined procedures or specific instructions.

(c) Degree 3 150 - 175 Points

This is the basic full-performance clerical level. Requires an advanced degree of basic skill sufficient to do a repetitive type of work controlled only by general procedures, or involving well-defined procedures or specific instructions.

(d) Degree 4 180 - 225 Points

This is the first degree for positions that require professional-type knowledge. Such knowledge (usually obtained through completion of study for a bachelor's degree) is required to perform a trainee job that involves no prior job experience. Work that normally does not require professional education or skills requires knowledge of the principal techniques, work methods, or procedures involved in non-repetitive work. Activities are not controlled by well-defined procedures, and judgment is involved in getting the work done. This is the degree at which considerable clerical or technician judgment is required to independently carry out duties in a clerical or administrative field involving a very wide body of instructions, procedures, and processes.

(e) Degree 5 230 - 290 Points

(i) For professional-type positions, requires either—

- Knowledge of the basic principles and theory underlying a field of work or a broad phase of a field of work (usually obtained through completion of study for a bachelor's degree) and ability to apply them in practical situations or to problems of limited complexity under the guidance of a more experienced employee.
- Knowledge of the principles and theory in a phase of a field of work and ability to apply them in normal situations without guidance.

(ii) For the limited number of positions at this degree level that do not require professional education or skills, the work requires detailed knowledge (gained by long experience and extensive administrative background) of a broad and complex set of administrative practices, procedures, and work flow, and exceptional administrative ability. An example is providing complete administrative support to a multi-faceted licensing process for major facilities.

## (f) Degree 6 295 - 375 Points

Requires either—

- (i) Knowledge of the basic principles and theory of a field of work plus practical knowledge of their application adequate for fairly independent work on all problems of normal complexity within the field.
- (ii) More advanced training in the principles and theory of a field of work (usually gained by completion of study appreciably in excess of that required for a bachelor's degree) and ability to apply them under guidance.

## (g) Degree 7 380 - 475 Points

Requires advanced knowledge of the principles and theories in a field of work and extensive knowledge of their application adequate for independent accomplishment of either—

- (i) Difficult, complex, and original work, related to the profession or specialty.
- (ii) Work that is simultaneously complex and varied.

## (h) Degree 8 480 - 550 Points

Requires complete knowledge of a field of work for one of the following:

- (i) Administering an agencywide program, or an exceptionally complex major project.
- (ii) Accomplishing exceptionally difficult staff work, which contributes directly to the advancement of the mission or a major program of the agency.
- (iii) Serving as an agencywide technical expert who provides authoritative advice and assistance on critical problems and issues that affect a very difficult, complex phase of a field of work or a complete field of work.

## 2. Contacts Factor

This factor measures the type and level of contact normally required by the position in meeting and dealing with people inside or outside the organization.

## (a) Degree 1 25 - 30 Points

Contacts at any level for obtaining or giving specific factual information or material that is readily available and requires little or no discrimination or explanation.

## (b) Degree 2

35 - 40 Points

Contacts for one of the following:

- (i) Giving and/or exchanging factual information requiring some explanation and development for accurate understanding.
- (ii) Obtaining and verifying basic factual data from various sources assuring accuracy and currency.
- (iii) Securing adherence to well-defined, unambiguous rules and regulations.

## (c) Degree 3

45 - 70 Points

Contact for either—

- (i) Resolving minor differences on relatively routine matters within the organization, to adjust factual discrepancies in reports or other data; or to obtain or give factual information susceptible to misinterpretation.
- (ii) If outside the agency, requiring tact, diplomacy, and finesse to prevent damage to public relations, although on relatively routine matters, giving and explaining factual information.

## (d) Degree 4

75 - 95 Points

Contacts with responsible personnel of NRC, license applicants, licensees, contractors, outside agencies, the press, or representatives of the public regarding one of the following:

- (i) Inquiring about information concerning methods, techniques, or practices for use in analyzing the effectiveness of operations, in recommending new or revised systems, plans, or approaches, or in resolving technical problems.
- (ii) Reconciling divergent views or negotiating agreement or adjustment on specific, individual technical or management problems of some significance.
- (iii) Presenting the organization's previously established position or providing assistance on technical or management matters of some significance that require explanation of underlying purpose or reasons for the position.

## (e) Degree 5

100 - 130 Points

Contacts with NRC division directors, principal supervisors, technical or management officials of licensees, license applicants, and contractors requiring use of logic and persuasion in any of the following:

- (i) Convincing others that a policy, a decision, or a course of action is correct or desirable.
- (ii) Defending controversial scientific and technical positions subject to conflicting interpretations.
- (iii) Obtaining endorsement, concurrence, or action in establishing or revising methods, plans, regulations, or systems for execution of a program or project within policy or program limitations.

## (f) Degree 6

135 - 170 Points

Contacts with NRC office and division directors, top managers of licensees, applicants, and architectural and engineering firms, licensing boards and advisory committees, and the Commission, or persons at similar levels in other agencies in any of the following:

- (i) Discussing and influencing actions effecting significant changes in the administration of a basic mission or program or an exceptionally complex major project.
- (ii) Obtaining coordinated action for changes of similar magnitude to item (i) above involving or affecting basic mission or program or exceptionally complex major projects.
- (iii) Defending new or highly controversial technical and scientific positions.

## 3. Decisions Factor

This factor measures the responsibility for any decision that reflects the independent action required by the assigned function, from independently furnishing or securing information to finally approving programs and policies.

## (a) Degree 1

50 - 65 Points

Little independent action is required; decisions affect only the routine of the office in which the position is located and are based upon simple and specific instructions. The possibility of error is minimized by precedent and would cause only localized loss of time and confusion.

## (b) Degree 2

70 - 90 Points

While decisions are generally based on specific instructions and standards, some interpretation is required because of the nonroutine nature of the work or the variety of regulations, procedures, or instructions that must be applied. Resulting errors may not be immediately apparent but usually would be revealed in subsequent operations of that particular office and would result in minor confusion and delay or loss of materials.

## (c) Degree 3

95 - 125 Points

Decisions require constant interpretation of existing standards and procedures and their adaptation without guidance to problems of normal complexity. Errors would cause confusion, delay, or waste of materials in several offices. However, such errors would be revealed in subsequent reviews, for example—

- (i) For professional or equivalent fields of work, decisions affect one or more phases of a project that contribute to a program activity.
- (ii) For other fields of work, decisions affect the management of administrative or procedural aspects of projects or important support functions.

## (d) Degree 4

130 - 160 Points

- (i) Decisions require considerable adaptation of standards and guidelines to problems that are controversial, very complex, or without clear precedent. Instructions are primarily in terms of work to be accomplished.
- (ii) Decisions result in either—
  - Substantive recommendations concerning a program or one or more important projects.
  - Endorsement of action on matters that have considerable effect on a program or one or more important projects.

## (e) Degree 5

165 - 240 Points

Decisions result in—

- (i) Approval for establishing or modifying policies, programs, or exceptionally difficult or important projects that commit the organization in the field of work encompassed by the position and that are limited only by overall NRC policy, program, or regulations.
- (ii) Important recommendations or endorsements concerning the establishment or significant modification of agency policies or programs in the field of work

encompassed by the position that, although not limited by existing policy, are subject to endorsement or final approval by a higher authority.

- (iii) Authoritative determinations on technical issues and problems of crucial concern to public health and safety for which little or no guidance or precedent exists or in which considerable controversy exists.

#### 4. Supervision Factor

This factor measures the supervision exercised in organizing, directing, and coordinating the work of subordinates, including responsibility for the quality and quantity of work produced. This responsibility includes recommending, endorsing, or approving personnel actions such as promotions, discipline, placement, reassignment, and job and employee evaluation. To be credited with points under the supervision factor, an employee must be exercising full supervisory authority at least 25 percent of the time. Team leaders (see Section IV.A.6(b)) are not credited with supervisory points under this section.

- (a) Degree 1 5 - 10 Points

Supervises the activities of either—

- (i) One or two clerical assistants.
- (ii) A staff assistant or a staff and clerical assistant.

- (b) Degree 2 15 - 25 Points

Supervises the activities of either—

- (i) A staff assistant and two or three clerical assistants in a phase of a field of work.
- (ii) A small group of clerical employees engaged in activities in a phase of a field of work.

- (c) Degree 3 30 - 45 Points

Supervises the activities of either—

- (i) A large group of clerical employees engaged in activities in a phase of a field of work.
- (ii) A small group of clerical employees engaged in activities in encompassing more than one phase or an entire field or fields of work.
- (iii) A small group of staff or staff and clerical employees engaged in activities in a phase of a field of work.

## (d) Degree 4

50 - 75 Points

Supervises the activities of either—

- (i) A large group of clerical employees engaged in activities encompassing several phases of an entire field or fields of work.
- (ii) A large group of staff and clerical employees engaged in activities in a phase of a field of work.
- (iii) A small group of staff or staff and clerical employees engaged in activities in a field or fields of work.

## (e) Degree 5

80 - 120 Points

Supervises a large group of staff employees engaged in activities encompassing an entire field or fields of work.

## 5. Working Conditions Factor

This factor measures the surrounding and physical conditions under which the job must be performed. These conditions have an effect on individual performance, and the factor measures the extent to which these conditions make the job disagreeable or hazardous.

## (a) Degree 1

5 - 10 Points

Satisfactory working conditions such as those encountered in an office where some noise and disruption may occur, or work outside not requiring frequent exposure to disagreeable elements or unsafe situations.

## (b) Degree 2

15 - 25 Points

Frequent exposure to disagreeable elements or where extreme noise, disagreeable lighting conditions, extreme temperatures, humidity, and so forth are present, or where there may be occasional exposure to hazardous conditions.

## (c) Degree 3

30 - 45 Points

Continuous exposure to disagreeable elements or frequent exposure to hazardous conditions.

## (d) Degree 4

50 - 70 Points

Continuous exposure to hazardous conditions.

## 6. Effort Factor

This factor measures the physical demand or the stamina required in the job performance and the extent to which work induces unusual visual or physical fatigue, or demands physical effort or endurance.

(a) Degree 1 5 - 10 Points

Effort is typically clerical or administrative where employee performs work involving light manual tasks. Includes work such as ordinary typing, filing, stenography, and other tasks involving a minimum of effort.

(b) Degree 2 15 - 20 Points

Effort is continuous and sustained although light, for example, continuous walking, standing, or light lifting.

(c) Degree 3 25 - 50 Points

Effort is heavy and frequent, for example, carrying and storing heavy material in warehouses, loading and unloading trucks.

**C. Total Point Score to Grade**

1. The following conversion table provides the total point score assigned and the grade it warrants.

<b>POINT SCORE RANGE</b>	<b>GENERAL GRADE (GG)</b>
175 — 230	1
235 — 250	2
255 — 275	3
280 — 300	4
305 — 325	5
330 — 360	6
365 — 400	7
405 — 440	8
445 — 480	9
485 — 520	10
525 — 590	11
595 — 695	12
700 — 815	13
820 — 935	14
940 — 1060	15

2. If the total point score assigned exceeds 1060, the position should be evaluated under the evaluation system for the Senior Executive Service or the Senior Level System to determine whether the position warrants a higher grade level.

## **V. GLOSSARY**

### **Administratively Determined (AD) position**

For the purposes of this directive, defined as a position with a numerical pay grade or level designation and with a pay rate in the GG-1 through GG-15 range.

### **Benchmark**

The official NRC approved standard intended for use in the proper evaluation of positions to determine the relative worth of a position by comparison to a standard position on a factor-by-factor basis.

### **Class**

All positions, regardless of organizational location, that are sufficiently alike in duties and responsibilities to be called by the same descriptive title, to be accorded the same grade under like conditions, and to require the same qualifications on the part of the incumbent. Resident Inspector, GG-840-13 is an example of a class of positions.

### **Desk Audit**

An interview performed by a Human Resources Specialist who seeks information from the incumbent and/or the supervisor of a position for purposes of clarifying details about the proposed position description.

### **GG position**

A position paid under the NRC General Grade Salary Schedule or a special salary rate.

### **Graded position**

A position with a numerical grade or level designation indicating the applicable pay rate or range of pay rates in a given schedule (for example, the General Grade Salary Schedule).

### **Human Resources Specialist**

An advisor to management and an OCHCO representative who is typically a generalist with knowledge of the different specialty areas within the field of human resources management.

### **Identical-Additional (IA) positions**

Defines a number of positions that are essentially identical to each other.

**Occupational group**

Related occupations that are grouped together numerically (e.g., 1300, Physical Sciences, and 800, Engineering).

**Occupational series**

A subdivision of an occupational group, comprising all positions in the same specialized line of work at various grades. Each occupational series is designated by a numerical code such as 1306, Health Physics (series within the 1300, Physical Sciences, occupational group), or 840, Nuclear Engineer (series within the 800, Engineering, occupational group).

**Position**

The fundamental unit for structuring, controlling, and assigning work within an organization.

**Position description**

A statement of the aggregate of current duties, responsibilities, and authority assigned to a position by competent supervisory authority.

**Positions evaluation**

The process of assigning the correct title, series, and grade based on an assessment of the primary or major functions of the work to be performed for a specific job and the requirements to do that work.

**Reevaluation**

A change in the grade of a position resulting from a review of the evaluation of that position or issuance of new or revised position evaluation standards.