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## INTRODUCTION

The Research Grade Evaluation Guide (RGEG) provides grading criteria for nonsupervisory professional research work in the engineering and biological, medical, agricultural, physical, mathematical, and social sciences occupational groups for General Schedule (GS) and other “white collar” pay plans. In the General Schedule position classification system established under chapter 51 of title 5, United States Code, the positions addressed would be two-grade interval positions.

The RGEG is divided into four parts. Part I describes Federal research work. Part II provides the grading criteria for positions classified in accordance with GS grade definitions. Part III provides information on administrative considerations, including official titling provisions and evaluation procedures. Part IV includes explanatory material about the development of this Guide.

The RGEG does not provide information to determine a position’s occupational series. For guidance on selecting the appropriate series for the position see the [Introduction to the Position Classification Standards](#) or the [Classifier’s Handbook](#).

### Coverage

This Guide applies to work in professional scientific and engineering positions that satisfies both the definition of research and research responsibility as described below. If the definition of either research or research responsibility is not satisfied, use the standard or guide applicable to the position’s series to evaluate the position.

**Research** – Research is systematic, critical, intensive investigation directed toward discovering, disseminating, and applying new or expanded knowledge in a professional discipline. Research includes, but is not limited to, empirical and theoretical investigations with one or more of the following objectives:

- to determine the nature, magnitude, and interrelationships of physical, biological, psychological, social, and other comparable phenomena and processes;
- to create or develop empirical, theoretical, or experimental means of investigating such phenomena and processes; or
- to develop principles, criteria, methods, and data of general applicability.

**Research Responsibility** – Professionals engaged in research work have one or both of the following responsibilities:

- personally performing professionally responsible research for a substantial portion of time; or
- directly and personally leading and participating in the activities of a research team and/or organizational unit (when the primary basis of selection for the position is

competence and capability in performing professionally responsible research rather than capability in supervising and managing a research organization).

Professionally responsible research meets the following criteria:

- involves applying scientific methods, including exploring and defining problems, planning the approach for study, analyzing data, interpreting results, and documenting or reporting findings;
- requires creativity and critical judgment, which may materially affect the nature of the end product;
- requires research capability attainable through graduate education or demonstrated research experience;
- is performed at a level of responsibility typically associated with independent research investigation; and
- the researcher’s contributions, stature, and recognition have a direct and major impact on the level of difficulty and responsibility of the research.

Additionally, when assessing whether the position should be evaluated using the Research Grade Evaluation Guide, consider the purpose of the work as determined by assignments over time, qualifications required, management intent, and the organization’s mission.

### **Superseding the Existing Functional Guide**

Issuance of this guide supersedes the Research Grade Evaluation Guide described in the following table:

<b>Existing Guide</b>	<b>Action Taken</b>
<b>Research Grade Evaluation Guide</b>	Supersedes the <b>Research Grade Evaluation Guide</b> , last revised January 1976.

## PART I – RESEARCH

### The Research Environment

In the Federal Government, researchers are typically expected to:

- identify and conceptualize research needs;
- plan and conduct experiments and studies;
- collect, analyze, manage, and document data, results, and findings;
- transfer new information and technology to users;
- publish and disseminate results;
- review, evaluate, and apply research products;
- serve as peer reviewers; and
- keep abreast of and apply new information and technology.

Researchers typically work closely with information users, managers, policy makers, and others to identify information gaps and needs; participate in strategic planning of research programs and projects; organize and lead interdisciplinary research teams; integrate new research findings and technology into policies and programs; and extend and interpret scientific information in terms relevant and useful to the public and society. In conforming to agency mandates and missions, researchers generate findings ranging from new explanations of phenomena to information useful in developing new technologies. These discoveries expand and advance scientific theories and knowledge into new and unexplored frontiers of human experience and perception.

### Research Versus Development

Some activities closely resemble the activities covered by this guide, but are more appropriately evaluated with another standard or guide. Of particular relevance is distinguishing between research and development, which is sometimes difficult because they share many common characteristics, standards, and procedures. Researchers often collaborate and perform functions associated with both activities; however, there are key differences between research and development work. Development involves the continuous exploitation of basic scientific and professional knowledge to achieve fairly definable and desired results. In comparison, research is often difficult to define in terms of measurable results and expectations. It is especially difficult to distinguish research from development when application of research is direct and rapid, and development is greatly compressed.

Although research and development share many characteristics, their dissimilarities require different language and criteria for determining grade levels for GS positions. The table below describes some of the critical differences between research and development. Use the criteria in this table to decide whether the Research Grade Evaluation Guide is appropriate for evaluating the grade level of the work of the position. If it is a research position, use this guide to evaluate the grade level of the position. If the work of the position is development more than research, use the [Equipment Development Grade Evaluation Guide](#) to evaluate the grade of the position.

	<b>Research</b>	<b>Development</b>
<b>Purpose</b>	Extending knowledge and understanding	New or improved products, processes, and techniques
<b>Assignments</b>	<p>Problems to be solved:</p> <ul style="list-style-type: none"> <li>• entail relative freedom to explore promising areas in relation to organizational programs;</li> <li>• may stem from an intent to close gaps in knowledge in a given field, or to develop new theories or explanations of phenomena; and</li> <li>• are difficult to define in terms of expected outcomes and measurable results.</li> </ul>	<p>Problems to be solved:</p> <ul style="list-style-type: none"> <li>• are defined in advance or assigned;</li> <li>• may stem from an intent to exploit an understanding of phenomena and principles; or</li> <li>• have predictable outcomes or measurable results.</li> </ul>
<b>Results</b>	<p>Products are:</p> <ul style="list-style-type: none"> <li>• papers describing new and modified theories and principles;</li> <li>• explanations of phenomena; and</li> <li>• information to improve the understanding of techniques and processes.</li> </ul>	<p>Products are:</p> <ul style="list-style-type: none"> <li>• papers describing application of theories and principles;</li> <li>• design concepts, models, patents, and inventions; and</li> <li>• equipment, techniques, and processes.</li> </ul>

## PART II – GRADING INFORMATION

### Evaluation System

Part II provides grading information for use in determining the appropriate grade of nonsupervisory two-grade interval professional research positions. These grading criteria are applicable to General Schedule positions classified under chapter 51 of title 5, United States Code. They may also be used as appropriate to determine work levels for other Federal position classification systems.

The Research Grade Evaluation Guide (RGE) provides criteria for evaluating the grade level of research work for grades 11 through 15. For work that does not meet the minimum criteria for grade 11, use the appropriate occupational or job family position classification standard or guide to determine the grade level of the position.

**Factors** – The factors used to evaluate research work are:

- Factor 1 – Research Assignment,
- Factor 2 – Supervisory Controls,
- Factor 3 – Guidelines and Originality, and
- Factor 4 – Contributions, Impact, and Stature.

**Factor Levels** – Each factor has five levels, A through E, with increasing point values, respectively. This guide provides specific criteria for factor levels A, C, and E. Assign level B when work falls between levels A and C. Assign level D when work falls between levels C and E. For example, if work exceeds level A criteria, but does not fully satisfy level C criteria, the work is awarded level B.

**Factor Relationships** – Evaluate and assign factor levels separately for each factor, based on the best match between the factor level criteria and the researcher's work. In making evaluations, carefully consider the balance and relationship among the factors. Sound classification judgment usually precludes more than a 2-level difference between levels assigned to different factors. For example, if work is evaluated under Factor 1 at level A, it is highly unlikely that work would warrant level D or higher under Factors 2, 3, or 4. Keep in mind that the capabilities of the researcher may markedly influence the characteristics of the work.

**Point Values** – Each factor level has a point value. Factor 4 is double-weighted to reflect the relative importance of the researcher's stature and impact to the grade level determination. When evaluating the work, you may award only the designated point values shown in the chart below. Work that fails to meet level A criteria should be awarded zero points.

The table below shows the point values assigned to each level of the factors.

**POINTS BY FACTOR AND LEVEL**

<b>Level</b>	<b>Factor 1</b>	<b>Factor 2</b>	<b>Factor 3</b>	<b>Factor 4</b>
A	2	2	2	4
B	4	4	4	8
C	6	6	6	12
D	8	8	8	16
E	10	10	10	20

**Grade Level** – To determine the grade level of a position, add the point values for all assigned factor levels. Use the Grade Conversion Table below to convert the total points to a grade.

**GRADE CONVERSION TABLE**

<b>Point Values</b>	<b>Grade</b>
8 – 14	GS-11
16 – 24	GS-12
26 – 34	GS-13
36 – 44	GS-14
46 – 50	GS-15

If the assigned points fall near the top or bottom of a point range, be especially careful to consider all relevant facts before making the final point assignment and grade determination.

## Grading Criteria

This guide has four factors for grading the work of researchers. While there is some overlap among the factors, each focuses on a different aspect of the researcher's work and the relationship between the researcher and the research environment.

### FACTOR 1 - RESEARCH ASSIGNMENT

This factor deals with the nature, scope, and characteristics of the researcher's current assignment. Award a factor level that reflects the norm of current assignments, rather than atypical projects. Research assignments are directly dependent upon the individual qualities of the researcher and the inherent difficulty of the research problems. Work commonly expands commensurate with the researcher's motivation, capability, and creativity.

**Projects and Teams** – For project and team members, base the factor level only on the specific projects or portion of projects for which the researcher is responsible. For project managers, base the factor level on the scope and character of the total project.

**Primary Considerations** – In evaluating this factor consider the following:

- assignment scope and complexity, objectives, and means of accomplishment;
- problem breadth and depth;
- availability of related research studies;
- extent to which objectives can be defined;
- number of unknowns and critical obstacles;
- variety and depth of knowledge and expertise required to solve problems;
- extent and complexity of the required validation process;
- necessity to translate abstract concepts into easily understood statements of theory or models, and to determine how best to disseminate information or transfer research findings;
- utility of the end product in solving the initial problem and in opening new areas of investigation; and
- expected impact of end results, products, or outcomes.

**Factor 1 – Level A (2 points)**

Research assignments have the following characteristics:

- readily definable objectives;
- limited in scope to investigating specific phenomena or problems, or are segments of related investigations;
- require fairly conventional techniques;
- involve applying existing theory or methods to areas previously investigated, but under different conditions, or involve adapting previous studies in light of changes in theory or improved techniques and instrumentation; and
- result in contributions that add to scientific and professional knowledge or support developing new or improved methods and techniques.

The researcher typically works as a project or team member.

**Factor 1 – Level C (6 points)**

Research assignments have the following characteristics:

- the scope is broad and complex, requiring a series of comprehensive and conceptually related phases and studies;
- problems are difficult to define;
- require sophisticated research techniques; and
- result in contributions that:
  - answer important questions in the field;
  - account for previously unexplained phenomena;
  - open significant new avenues for further study;
  - confirm or modify a scientific theory or methodology;
  - lead to important changes in existing products, methods, techniques, processes, or practices; or
  - are definitive of a specific topic area.

The researcher typically works as a project member or as a primary investigator.

**Factor 1 – Level E (10 points)**

Research assignments have the following characteristics:

- the scope and complexity are at a level requiring subdivision into separate phases, some of which are considerably broad and complex;
- problems are exceptionally difficult and unyielding to investigation;
- require unconventional or novel approaches or complex research techniques; and

- results may include:
  - a major advance or opening of the way for extensive related development;
  - progress in areas of exceptional interest to the scientific and professional community;
  - important changes in theories, methods, and techniques;
  - opening significant new avenues for further study; or
  - contributions answering important questions in the field.

The researcher typically works as a primary investigator but may also be a project member.

## FACTOR 2 - SUPERVISORY CONTROLS

This factor deals with the researcher's current level of independent performance and the technical and administrative guidance and control the supervisor exercises over research work. Researchers may consult frequently with colleagues and collaborators. Use caution in distinguishing between consultation and supervisory control and guidance.

**Primary Considerations** – In evaluating this factor, consider the following:

- manner in which the supervisor assigns work;
- researcher's freedom to determine a course of action;
- researcher's opportunity for procedural innovation; and
- degree of the supervisor's acceptance of the researcher's recommendations, decisions, and final products.

Researchers working on complex team projects not divided into smaller components exercise independent performance when they:

- participate fully as a professionally responsible team member in substantive aspects of the work; and
- make contributions equivalent to independently performing more limited research projects.

**Factor 2 – Level A (2 points)**

The supervisor typically assigns specific problems along with general instructions on the scope and objectives of the study. The supervisor or higher management makes any decisions to discontinue work, change emphasis, or change the research plan. The researcher may suggest studies and undertake them after receiving supervisory approval. The supervisor reviews work for adequacy of method, completeness, and appropriate interpretation of results.

The researcher confers with the supervisor regarding problem definition, the relationship of the problem to the organization's broader research goals, and developing a research plan. Supervisory or managerial direction and guidance help the researcher in the critical problem definition and planning stages, but do not negate the researcher's responsibility for adequately completing these steps.

The researcher is expected to:

- assume responsibility for the study and pursue it to completion;
- solve problems ordinarily encountered in accomplishing the work with only occasional supervisory input;
- interpret results; and
- prepare entire, or sections of, reports and papers.

**Factor 2 – Level C (6 points)**

The supervisor may either assign a broad problem area to the researcher or allow the researcher to work with substantial freedom within an area of primary interest. The researcher has substantial freedom to identify, define, and select specific projects, and to determine the most promising research strategies and problem approaches.

The supervisor:

- approves plans calling for considerable investments of time or resources;
- makes final decisions concerning the direction of work and changes in or discontinuance of projects involving substantial research investments;
- relies on the researcher's professional judgment to such an extent that the researcher's recommendations are ordinarily followed; and
- reviews final work and reports, principally to evaluate overall results, recommendations, and conclusions.

The researcher is responsible, with little technical direction, for:

- formulating hypotheses;
- developing and carrying out the research plan;
- determining equipment and other resource needs;
- keeping the supervisor informed of general plans and progress;

- addressing novel and difficult problems requiring modification of standard methods;
- analyzing and interpreting results;
- preparing comprehensive reports of findings; and
- working with users to interpret and implement research findings or technologies.

**Factor 2 – Level E (10 points)**

The supervisor provides broad administrative supervision, which is generally limited to approving staffing, funds, and facilities, and to providing broad guidance on agency policies and mandates. Technical supervision is consultative in nature. Management accepts the researcher's findings as technically authoritative, as a basis for decisions, and as acceptable for review by the scientific community.

The researcher, working within the framework of management objectives and priorities, is responsible for:

- formulating research plans and hypotheses;
- carrying out the project plan;
- interpreting findings and assessing their organizational and professional applicability; and
- locating and exploring the most promising areas of research in relation to agency program needs and the state of the science or discipline.

### **FACTOR 3 - GUIDELINES AND ORIGINALITY**

This factor deals with the creative thinking, analysis, synthesis, evaluation, judgment, resourcefulness, and insight characterizing the work currently performed.

Guidelines usually consist of literature in the field, procedures, instructions, or precedents and may be adapted or modified to meet the requirements of the current assignment. Features to be considered are:

- the extent and nature of available written guides;
- intrinsic difficulty encountered in applying guides in terms of their ready adaptability to the current assignment; and
- the degree of judgment required in selecting, interpreting, and adapting guidelines.

In assessing the impact of creativity in the position, consider the requirement for:

- original and independent creation, analysis, reasoning, evaluation, and judgment; and
- originality in interpreting findings and translating findings into a form usable by others.

#### **Factor 3 – Level A (2 points)**

Guidelines include:

- existing theories and methods generally applicable to the research problem; or
- materials that may contain some inconsistencies, be partially defined, or provide several possible approaches to the problem.

Originality is demonstrated by:

- developing a complete and adequate research design by selecting and adapting the most appropriate approach, methods, or techniques for the problem at hand; and
- limited extension or modification of procedures or techniques, as required.

#### **Factor 3 – Level C (6 points)**

Guidelines:

- consist of existing literature in the field of limited usefulness due to contradictions, critical gaps, or limited applicability; or
- are largely absent because of the novel nature of the work.

Originality is demonstrated by:

- defining elusive or highly complex problems;
- developing productive hypotheses for testing;
- developing important new approaches, methods, and techniques;
- interpreting and relating significant results to other research findings;
- developing and applying new techniques and original methods of attack to solve important problems presenting unprecedented or novel aspects;
- isolating and defining critical problem features; and
- adapting, extending, and synthesizing theory, principles, and techniques into original or innovative combinations or configurations.

**Factor 3 – Degree Level E (10 points)**

Guidelines are almost nonexistent in pertinent literature.

Originality and creativity are demonstrated by:

- discovering complex theory or methodology;
- contributing significantly to the development of new theory or methodology to supplant or add new dimensions to a previous framework; and
- solving problems and delivering results that markedly influence the scientific field or society.

## FACTOR 4 - CONTRIBUTIONS, IMPACT, AND STATURE

This factor focuses on the researcher's total contributions, impact, and stature as they bear on the current research assignment. It is not restricted to present and immediate past accomplishments and achievements. However, recency of accomplishment is important. Recent research or similar activity is essential to receiving full credit.

Security regulations, proprietary agreements, or other circumstances may prevent publishing research results and make it difficult to evaluate the work based on its impact on the larger professional community. Agencies should develop alternative processes to evaluate the impact of this work. In such cases, the work will have to be evaluated by means of the best possible judgment of its importance and the impact it would have if it could be published.

**Contributions** – The researcher's contributions reflect the knowledge, skills, and experience the incumbent brings to the position. Professional journal articles are an important product of research results for communicating scientific findings to the broader research community; however, they are not the only outlet for communicating information. Journal articles should be balanced with other forms of communication to ensure broad impact from the results of the work. Indicators of the researcher's contributions may include:

- research publications (for example, journal articles, monographs, books, reviews, agency and customer reports, models, maps, and novel interpretative materials); and
- innovations and technology transfer.

While the quantity of publications, research contributions, and professional activities represent one measurement of impact on a field, do not give undue weight to this metric. Consider primarily the quality, impact, and relevance of the researcher's contributions on the scientific community or field.

**Impact** – Consider whether the researcher:

- has an impact on scientific and/or societal issues;
- sets new research directions;
- develops new methods, techniques, or tools to be used by other researchers; and
- drives management and policy outcomes.

**Stature** – Stature is established when the researcher is recognized by the scientific field and/or society, as indicated by:

- requests for expert advice/consultation by other professionals and managers;
- requests to exercise leadership on research teams or projects;
- invitations to serve on advisory boards;

- requests to organize or chair committees, workshops, or symposia;
- invitations to address scientific or professional organizations;
- invitations to write synthesis papers;
- recognition by professional societies and external groups; or
- honors and awards.

A researcher in one field may move into a related field. Such a move does not change Factor 4 credit if, after a reasonably short period, the researcher will perform research work in the new field at substantially the same level of competence as before.

#### **Factor 4 – Level A (4 points)**

The researcher defines problems, performs background research, develops and executes a research plan, organizes and evaluates results, and prepares reports of findings. Work is expected to result in, or has resulted in:

- primary authorship of papers or reports filling narrow gaps in an existing framework of knowledge, to corroborate existing theory, or to report findings of limited scope; or co-authorship of a major paper or report of considerable interest to the scientific field;
- providing information and technical support on assigned research projects to collaborators and managers; and
- recognition for contributing to the project and communicating results outside the agency.

#### **Factor 4 – Level C (12 Points)**

The researcher has demonstrated competence and productivity as evidenced by conducting rigorous research of marked originality, soundness, and value. Work is expected to result in, or has resulted in:

- primary authorship of publications of considerable interest and value to the field;
- conceiving and formulating research ideas supporting or leading to productive studies by others;
- products that are significant in solving important scientific problems;
- selection to serve on important committees and review panels of technical groups and professional organizations;
- recognition by the scientific community as a significant contributor to the field of study;
- acknowledgement of impact by end users as evidenced by favorable reviews or citation in the work of others;
- invitations to make presentations to professional societies and others outside the organization on technical matters and management practices in the area of specialization; and
- consultation by users and other researchers who are respected in their fields of study.















