November 2015

POSITION DESIGNATION

As required by section 1400.201(b) of title 5, Code of Federal Regulations (CFR), this system is for uniform and consistent position designation of:

a) [1]National security positions in the competitive service, the excepted service where the incumbent can be noncompetitively converted to the competitive service, and Senior Executive Service (SES) positions held by career appointees in the SES within the executive branch;
b) [2]All "covered positions" as defined in 5 CFR 731.101;
c) [3]Other excepted service positions within the executive branch and contractor positions, when authorized by agency policy and to the extent consistent with law, or when directed by the Security Executive Agent; and
d) [4]Any positions, including contractor employee positions, when the investigation will be conducted under the Federal Investigative Standards prescribed by the Office of Personnel Management and the Office of the Director of National Intelligence in December 2012.

To determine the proper designation of a position and its required corresponding level of investigation, the position description and any other necessary supplemental information (e.g. human resources, management and security office input) must be carefully evaluated to assess the nature of the position as it relates to the potential material adverse impact to the national security, **and** -– if it is a covered position under part 731 -- its impact on the efficiency or integrity of the service.

The following position designation system consists of a four-step process that will guide the designator through an examination of the position's duties and responsibilities. The completion of this process will result in a final designation for the position which, in turn, will determine the investigative requirements for the position in question.

It is important to keep in mind that for covered positions as defined in 5 CFR part 731, the designator must look at both national security and public trust duties and responsibilities. Some duties accounted for herein occur under both the national security and public trust sections of the process because of the duty's potential impact on one concern and/or the other. For covered positions, a critical-sensitive or special-sensitive national security designation automatically confers high-risk public trust designation, and a noncritical-sensitive national security designation automatically confers a moderate-risk public trust designation unless, as described in the following sections of the position designation system, it requires a higher designation. *See* 5 CFR 1400.201(c), (d).

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[1] 5 CFR 1400.102(b)
[2] 5 CFR 731.106(a)
[3] 5 CFR 1400.102(b)
[4] Pursuant to an assignment of functions under section 2.2(e) of E.O. 13467, the December 2012 Federal Investigative Standards apply to investigations for contractor employee fitness.

POSITION DESIGNATION RECORD

Agency	
Position Title	
Series and Grade/Pay Band	
Position Description Number	
Designator's Name & Title	

Step 1: National Security

A. National Security Requirements of the Position:
The designation of national security positions is outlined in section 3 of E.O. 10450, as amended, and in part 1400 of title 5, Code of Federal Regulations. Each position in the Federal service must be evaluated for a position sensitivity designation commensurate with the responsibilities and assignments of the position as they relate to the impact on the national security. Such responsibilities and assignments include, but are not limited to, access to classified information (i.e., Confidential, Secret, or Top Secret) and any other duties by which the occupant could bring about a material adverse effect on the national security by virtue of the nature of the position. See 5 CFR 1400.102(a) and 1400.201(a). Such positions will be designated, based upon the degree of potential damage, at one of three sensitivity levels: Noncritical-Sensitive, Critical-Sensitive, or Special-Sensitive. Read the position description and obtain any other supplemental information needed to assess the position duties and responsibilities.

The regulation sets forth a list of general categories of national security position requirements, duties, and responsibilities. Mark next to **all of the** categories of duties and responsibilities that apply to the position. If any of the categories are marked on this page, go to Step 1.B. to assess the degree of potential material adverse impact to national security.

(Note that underlined words and phrases appearing on this page and throughout the following pages are further defined in the attached Glossary.)

BACK to list of National Security duties (Step 1)

NATIONAL SECURITY POSITION REQUIREMENTS, DUTIES AND RESPONSIBILITIES[5]:

[ ] Requires eligibility for access to classified information (page 4)
[ ] Homeland security and duties involving protecting the nation's borders, ports, critical infrastructure or key resources (page 5)
[ ] Developing plans or policies related to national defense or military operations (page 6)
[ ] Planning or conducting intelligence or counterintelligence activities, counterterrorism activities or related activities concerned with the preservation of the military strength of the United States (page 7)
[ ] Protecting or controlling access to facilities or information systems (page 8)
[ ] Controlling, maintaining custody, safeguarding, or disposing of hazardous materials, arms, ammunition or explosives (page 9)
[ ] Investigative or adjudicative duties related to national security, suitability, fitness or identity credentialing (page 10)
[ ] Duties related to criminal justice or law enforcement (page 11)
[ ] Conducts internal or external investigations, inquiries or audits of the functions listed here in Step 1 (page 12)
[ ] National security policy-making or policy-determining responsibility (page 13)
[ ] Public health and safety (page 14)
[ ] Fiduciary responsibility in support of activities with national security impact (page 15)
[ ] Unclassified information (e.g. private, controlled unclassified, or proprietary information) (page 16)
[ ] Other duties that could otherwise bring about a material adverse effect on the national security (page 16) Explain:
_____

If none of the categories are marked continue to Step 2.A., starting on page 17.

[5] If using the system to designate contractor positions, you assess the duties the incumbent will be performing for or on behalf of the Federal Government, not the duties the incumbent performs for their contractor employer. For example, a position may have various national security responsibilities performing work specifically for or on behalf of the Federal Government; however, a peripheral responsibility of the position, specifically performed for their contractor employer, might involve audits of the contractor staff functions and performance related to the national security contract the employer maintains with the Federal Government. This peripheral duty should not be considered when designating the contractor position. In other words, the designator should not select "Investigation, oversight, and audits of government personnel, programs, and activities" as a duty to be assessed in the context of the position's potential to bring about a material adverse effect on the national security because that duty is not being performed for or on behalf of the Federal Government.

Step 1.B.: Determine the potential damage to the national security.

For each duty/responsibility category you checked in Step 1.A., use the charts below, working from left to right, to identify the appropriate degree of potential damage to the national security that the occupant could bring about by virtue of the nature of the position.[6] Check only one column per duty. If you select either of the first two columns on the left, no further assessment is needed; the resulting position designation and further instruction are shown in the bottom row of the checked column. If you select "significant or serious damage" or "no material adverse effect on national security", follow the corresponding instruction in the bottom row of the checked column. You must complete this process (i.e. assess the entire corresponding table) for each duty category selected in Step 1.A., unless you have selected either of the first two columns.

Degree of Potential Damage to the National Security				
Duties/ Responsibilities	**Inestimable Damage**	**Exceptionally Grave Damage**	**Significant or Serious Damage**	**No Material Adverse Effect on National Security**
Requires eligibility for access to classified information	[ ] Position requires eligibility for access to Sensitive Compartmented Information (SCI), other intelligence-related Special Sensitive information, or involvement in Top Secret Special Access Programs (SAP)	[ ] Position requires eligibility for access to Top Secret or "Q" level information	[ ] Position requires eligibility for access to Secret, Confidential, or "L" level information	[ ] Position does not require eligibility for access to classified information
Position Designation	-Automatic Special-Sensitive /High Risk; No further assessment necessary; **proceed to** Step 4	-Automatic Critical-Sensitive /High Risk; No further assessment necessary; **proceed to** Step 4	-Non-Critical Sensitive; Assess any remaining selections from Step 1.A., and then assess under Public Trust (Step 2), **unless** a subsequent assessment directs you to proceed to Step 4.	-Non-Sensitive; Assess any remaining selections from Step 1.A., and then assess under Public Trust (Step 2), **unless** a subsequent assessment directs you to proceed to Step 4.

[6] Charts are derived from the regulations. See 5 CFR 1400.201.

Degree of Potential Damage to the National Security				
Duties/ Responsibilities	**Inestimable Damage**	**Exceptionally Grave Damage**	**Significant or Serious Damage**	**No Material Adverse Effect on National Security**
Homeland security and aggression, including duties involving protecting borders, ports, critical infrastructure or key resources (Protecting the U.S., its citizens and residents, borders, ports, critical infrastructure[7], and key resources[8] (CIKR))	[ ] One or more of the following when there is the potential to cause inestimable damage to national security: • Independent responsibility for, and the ability to act without detection to compromise or exploit, the protection, control, and safety of the nation's borders and ports, immigration or customs control or policies, • Independent responsibility for protecting CIKR against acts of terrorism, espionage, or foreign aggression • Independent responsibility for life-critical/mission-critical systems • Independent responsibility for, and the ability to act independently without detection to compromise or exploit, the design, installation, operation, or maintenance of CIKR systems or programs	[ ] One or more of the following when there is the potential to cause exceptionally grave damage to national security: • Major and immediate responsibility for, and the ability to act independently without detection to compromise or exploit, the protection, control, and safety of the nation's borders and ports, immigration or customs control or policies • Major and immediate responsibility, with the ability to act independently, for protecting CIKR against acts of terrorism, espionage, or foreign aggression • Major and immediate responsibility for significant life-critical/mission-critical systems, with potential for exceptionally grave damage to essential government operations or national infrastructure • Major and immediate responsibility for, and the ability to act independently without detection to compromise or exploit, the design, installation, operation, or maintenance of CIKR systems or programs	[ ] One or more of the following when there is the potential to cause significant or serious damage to national security: • Responsibility for the protection, control, and safety of the nation's borders and ports, immigration or customs control or policies – with moderate autonomy or ability for independent action • Responsibility for protecting CIKR against acts of terrorism, espionage, or foreign aggression – with moderate autonomy or ability for independent action • Responsibility for life-critical/mission-critical systems – with moderate autonomy or ability for independent action • Involved in the design, installation, operation, or maintenance of critical infrastructure systems or programs – with moderate autonomy or ability for independent action	[ ] Duties are of such a minor or inconsequential nature, with autonomy limited by supervision, and/or internal controls are so significant that there is no reasonable expectation that there could be significant or serious damage to national security
Position Designation	-Automatic Special-Sensitive /High Risk; No further assessment necessary; **proceed to** Step 4	-Automatic Critical-Sensitive /High Risk; No further assessment necessary; **proceed to** Step 4	-Non-Critical Sensitive; Assess any remaining selections from Step 1.A., and then assess under Public Trust (Step 2), **unless** a subsequent assessment directs you to proceed to Step 4.	-Non-Sensitive; Assess any remaining selections from Step 1.A., and then assess under Public Trust (Step 2), **unless** a subsequent assessment directs you to proceed to Step 4.

[7] Critical infrastructures are systems and assets, whether physical or virtual, so vital to the United States that the incapacity or destruction of such systems and assets would have a debilitating impact on security, national economic security, national public health or safety, or any combination of those matters. 5 CFR 1400.102(a)(1)

[8] Key resources are publicly or privately controlled resources essential to the minimal operations of the economy and government. 5 CFR 1400.102(a)(2)

BACK to list of National Security duties (Step 1)

Degree of Potential Damage to the National Security				
Duties/ Responsibilities	**Inestimable Damage**	**Exceptionally Grave Damage**	**Significant or Serious Damage**	**No Material Adverse Effect on National Security**
Developing plans and policies related to national defense or military operations	[ ] Position requires eligibility for access to Sensitive Compartmented Information (SCI), other intelligence-related Special Sensitive information, or involvement in Top Secret Special Access Programs (SAP)	[ ] One or more of the following: • Development or approval of war plans • Development or approval of major or special military operations • Development or approval of critical and extremely important items of war	[ ] Any knowledge of military operations or items of war the compromise of which could result in significant or serious damage to the national security	[ ] Knowledge is of such a minor or inconsequential nature and/or internal controls are so significant that there is no reasonable expectation that there could be significant or serious damage to national security
Position Designation	-Automatic Special-Sensitive /High Risk; No further assessment necessary; **proceed to** Step 4	-Automatic Critical-Sensitive /High Risk; No further assessment necessary; **proceed to** Step 4	-Non-Critical Sensitive; Assess any remaining selections from Step 1.A., and then assess under Public Trust (Step 2), **unless** a subsequent assessment directs you to proceed to Step 4.	-Non-Sensitive; Assess any remaining selections from Step 1.A., and then assess under Public Trust (Step 2), **unless** a subsequent assessment directs you to proceed to Step 4.

BACK to list of National Security duties (Step 1)

Degree of Potential Damage to the National Security				
Duties/ Responsibilities	**Inestimable Damage**	**Exceptionally Grave Damage**	**Significant or Serious Damage**	**No Material Adverse Effect on National Security**
Planning or conducting intelligence or counterintelligence activities, counterterrorism activities or related activities concerned with the preservation of the military strength of the United States	[ ] One or more of the following when there is the potential to cause inestimable damage to national security: • Knowledge of, planning for, or participation in significant and important activities related to intelligence, counterintelligence, or counterterrorism – with complete authority or freedom to act independently • Identification, disruption, or neutralization of, or protection against, hostile intelligence or terrorist activities – with complete authority or freedom to act independently • Activities are critical and extremely important to the preservation of the military strength of the United States	[ ] One or more of the following when there is the potential to cause exceptionally grave damage to national security: • Knowledge of, planning for, or participation in significant and important activities related to intelligence, counterintelligence, or counterterrorism – with broad authority or freedom to act independently • Identification, disruption, or neutralization of, or protection against, hostile intelligence or terrorist activities – with broad authority or freedom to act independently • Activities are critical and extremely important to the preservation of the military strength of the United States	[ ] One or more of the following when there is the potential to cause significant or serious damage to national security: • Knowledge of, planning for, or participation in significant and important activities related to intelligence, counterintelligence, or counterterrorism – with limited autonomy or ability for independent action • Identification, disruption, or neutralization of, or protection against, hostile intelligence or terrorist activities – with limited autonomy or ability for independent action	[ ] No direct involvement in planning or conducting intelligence, counterintelligence, or counterterrorism activities that are important to preserving National Security; any knowledge of such activities is of such a minor or inconsequential nature, and/or internal controls are so significant, that there is no reasonable expectation that there could be significant or serious damage national security
	-Automatic Special-Sensitive /High Risk; No further assessment necessary; **proceed to** Step 4	-Automatic Critical-Sensitive /High Risk; No further assessment necessary; **proceed to** Step 4	-Non-Critical Sensitive; Assess any remaining selections from Step 1.A., and then assess under Public Trust (Step 2), **unless** a subsequent assessment directs you to proceed to Step 4.	-Non-Sensitive; Assess any remaining selections from Step 1.A., and then assess under Public Trust (Step 2), **unless** a subsequent assessment directs you to proceed to Step 4.

BACK to list of National Security duties (Step 1)

Degree of Potential Damage to the National Security				
Duties/ Responsibilities	**Inestimable Damage**	**Exceptionally Grave Damage**	**Significant or Serious Damage**	**No Material Adverse Effect on National Security**
Protecting or controlling access to facilities or information systems (Duties encompass responsibilities exceeding basic Personal Identity Verification (PIV) card vetting, processing, and issuance)	[ ] One or more of the following when there is the potential to cause inestimable damage to national security: • Independent responsibility for identity vetting and/or unrestricted access to materials for producing credentials and badges, the compromise of which could result in inestimable damage to the national security • Unlimited access to and/or control of access to designated restricted areas or facilities, property, or information systems that maintain materials or national security information classified at the SCI level	[ ] One or more of the following when there is the potential to cause exceptionally grave damage to national security: • Independent responsibility for identity vetting and/or unrestricted access to materials for producing credentials and badges, the compromise of which could result in grave damage to the national security • Access to and/or controlling access to designated restricted areas, property, or information systems that house materials or information (including but not limited to Top Secret or "Q" information)	[ ] One or more of the following when there is the potential to cause significant or serious damage to national security, through limited autonomy: • Responsibility for identity vetting and/or access to materials for producing credentials and badges permitting access to facilities or information systems, the compromise of which could result in significant or serious damage to the national security • Access to and/or controlling access to designated restricted areas or facilities, property, information systems that maintain materials or national security classified at the Secret, Confidential or "L" level	[ ] Duties are of such a minor or inconsequential nature and/or internal controls are so significant that there is no reasonable expectation that there could be significant or serious damage to national security
Position Designation	-Automatic Special-Sensitive /High Risk; No further assessment necessary; **proceed to** Step 4	-Automatic Critical-Sensitive /High Risk; No further assessment necessary; **proceed to** Step 4	-Non-Critical Sensitive; Assess any remaining selections from Step 1.A., and then assess under Public Trust (Step 2), **unless** a subsequent assessment directs you to proceed to Step 4.	-Non-Sensitive; Assess any remaining selections from Step 1.A., and then assess under Public Trust (Step 2), **unless** a subsequent assessment directs you to proceed to Step 4.

BACK to list of National Security duties (Step 1)

Degree of Potential Damage to the National Security				
Duties/ Responsibilities	**Inestimable Damage**	**Exceptionally Grave Damage**	**Significant or Serious Damage**	**No Material Adverse Effect on National Security**
Controlling, maintaining custody, safeguarding, or disposing of hazardous materials, arms, ammunition or explosives	[ ] Position requires eligibility for access to Sensitive Compartmented Information (SCI), other intelligence-related Special Sensitive information, or involvement in Top Secret Special Access Programs (SAP)	[ ] One or more of the following when there is the potential to cause exceptionally grave damage to national security: • Ability to independently compromise or exploit biological select agents or toxins, chemical agents, nuclear materials, or other hazardous materials • Ability to independently compromise or exploit the nation's nuclear or chemical weapons designs or systems • Direct, unrestricted control over supplies of arms, ammunition, or explosives or control over any weapons of mass destruction	[ ] One or more of the following when there is the potential to cause significant or serious damage to national security, through limited autonomy: • Limited access or control over biological select agents or toxins, chemical agents, nuclear materials, or other hazardous materials • Limited access or control over the nation's nuclear or chemical weapons designs or systems • Limited access or control over supplies of arms, ammunition, or explosives or control over any weapons of mass destruction	[ ] Duties are of such a minor or inconsequential nature and/or internal controls are so significant that there is no reasonable expectation that there could be significant or serious damage to national security
Position Designation	-Automatic Special-Sensitive /High Risk; No further assessment necessary; **proceed to** Step 4	-Automatic Critical-Sensitive /High Risk; No further assessment necessary; **proceed to** Step 4	-Non-Critical Sensitive; Assess any remaining selections from Step 1.A., and then assess under Public Trust (Step 2), **unless** a subsequent assessment directs you to proceed to Step 4.	-Non-Sensitive; Assess any remaining selections from Step 1.A., and then assess under Public Trust (Step 2), **unless** a subsequent assessment directs you to proceed to Step 4.

BACK to list of National Security duties (Step 1)

Degree of Potential Damage to the National Security				
Duties/ Responsibilities	**Inestimable Damage**	**Exceptionally Grave Damage**	**Significant or Serious Damage**	**No Material Adverse Effect on National Security**
Investigative or adjudicative duties related to national security, suitability, fitness or identity credentialing	[ ] One or more of the following when there is the potential to cause inestimable damage to national security: • Investigative duties (includes conducting counter-intelligence or background investigations or handling completed investigations classified at the SCI level) • National security adjudicative determinations, or granting personnel security clearance eligibility, or making other adjudicative determinations (such as suitability, fitness, or credentialing determinations) for positions at the special-sensitive level • Duty on personnel security boards for SCI eligibility determinations	[ ] One or more of the following: • Investigative duties at tiers 3, 4 and 5 of the Federal Investigative Standards (FIS) (includes handling completed counter-intelligence or background investigations) • Adjudicative determinations (includes adjudicative recommendations) concerning national security, suitability, fitness, credentialing, or granting personnel security clearance eligibility for positions investigated at tiers 3, 4 and 5 of the FIS • Duty on personnel security boards	[ ] One or more of the following: • Investigative duties at tiers 1 and 2 of the FIS (includes handling incomplete or parts of counter-intelligence or background investigations • Adjudicative determinations (includes adjudicative recommendations) concerning suitability, fitness or credentialing eligibility for positions investigated at tiers 1 and 2 of the FIS	[ ] Duties are of such a minor or inconsequential nature and/or internal controls are so significant that there is no reasonable expectation that there could be significant or serious damage to national security
Position Designation	-Automatic Special-Sensitive /High Risk; No further assessment necessary; **proceed to** Step 4	-Automatic Critical-Sensitive /High Risk; No further assessment necessary; **proceed to** Step 4	-Non-Critical Sensitive; Assess any remaining selections from Step 1.A., and then assess under Public Trust (Step 2), **unless** a subsequent assessment directs you to proceed to Step 4.	-Non-Sensitive; Assess any remaining selections from Step 1.A., and then assess under Public Trust (Step 2), **unless** a subsequent assessment directs you to proceed to Step 4.

BACK to list of National Security duties (Step 1)

Degree of Potential Damage to the National Security				
Duties/ Responsibilities	**Inestimable Damage**	**Exceptionally Grave Damage**	**Significant or Serious Damage**	**No Material Adverse Effect on National Security**
Duties related to criminal justice or law enforcement affecting national security matters	[ ] One or more of the following where the incumbent's neglect, action or inaction could cause inestimable damage to national security: • Independent responsibility for coordinating and/or conducting criminal investigations concerning highly sensitive matters • Independent responsibility for criminal justice or law enforcement activities	[ ] One or more of the following where the incumbent's neglect, action or inaction could cause exceptionally grave damage to national security: • Major and immediate responsibility for coordinating and/or conducting criminal investigations concerning highly sensitive matters • Major and immediate responsibility for criminal justice or law enforcement activities	[ ] One or more of the following where the incumbent's neglect, action or inaction could cause significant or serious damage to national security: • Conducting criminal investigations, with moderate autonomy or potential for independent action, concerning sensitive matters • Conducting criminal justice or law enforcement activities, with moderate autonomy or potential for independent action, concerning sensitive matters • Responsibility for the protection, control and enforcement of the nation's public health or safety policies – with moderate autonomy or ability to negatively impact or damage national security • Responsibility for protecting the nation's public health or safety against acts of terrorism, espionage, or foreign aggression– with moderate autonomy or ability to negatively impact or damage national security	[ ] Duties are of such a minor or inconsequential nature and/or internal controls and supervision are so significant that there is no reasonable expectation that there could be significant or serious damage to national security
Position Designation	-Automatic Special-Sensitive /High Risk; No further assessment necessary; **proceed to** Step 4	-Automatic Critical-Sensitive /High Risk; No further assessment necessary; **proceed to** Step 4	-Non-Critical Sensitive; Assess any remaining selections from Step 1.A., and then assess under Public Trust (Step 2), **unless** a subsequent assessment directs you to proceed to Step 4.	-Non-Sensitive; Assess any remaining selections from Step 1.A., and then assess under Public Trust (Step 2), **unless** a subsequent assessment directs you to proceed to Step 4.

BACK to list of National Security duties (Step 1)

Degree of Potential Damage to the National Security				
Duties/ Responsibilities	**Inestimable Damage**	**Exceptionally Grave Damage**	**Significant or Serious Damage**	**No Material Adverse Effect on National Security**
Conducts internal and/or external investigations, inquiries, or audits related to national security functions listed in Step 1	[ ] Conducts internal and/or external investigations, inquiries, or audits related to national security matters where neglect, action or inaction could cause inestimable damage to national security	[ ] Conducts internal and/or external investigations, inquiries, or audits related to national security matters where neglect, action, or inaction could cause exceptionally grave damage to the national security	[ ] Conducts internal and/or external investigations, inquiries, or audits related to national security matters where neglect, action, or inaction could cause significant or serious damage to the national security	[ ] Involvement with internal and/or external investigations, inquiries or audits is so minor or inconsequential in nature and/or internal controls are so significant that there is no reasonable expectation that there could be significant or serious damage to national security
Position Designation	-Automatic Special-Sensitive /High Risk; No further assessment necessary; **proceed to** Step 4	-Automatic Critical-Sensitive /High Risk; No further assessment necessary; **proceed to** Step 4	-Non-Critical Sensitive; Assess any remaining selections from Step 1.A., and then assess under Public Trust (Step 2), **unless** a subsequent assessment directs you to proceed to Step 4.	-Non-Sensitive; Assess any remaining selections from Step 1.A., and then assess under Public Trust (Step 2), **unless** a subsequent assessment directs you to proceed to Step 4.

BACK to list of National Security duties (Step 1)

Degree of Potential Damage to the National Security				
Duties/ Responsibilities	**Inestimable Damage**	**Exceptionally Grave Damage**	**Significant or Serious Damage**	**No Material Adverse Effect on National Security**
National security policy-making or policy-determining responsibility	[ ] One or more of the following when there is the potential to cause inestimable damage to national security: • Senior management officials for critical government programs impacting national security • Independent responsibility for national security policy-making or policy-determining • Direct involvement with diplomatic relations and negotiations, with the ability to act independently • Independent, agency spokesperson concerning extremely sensitive/controversial matters for critical government programs impacting national security • Independent responsibility for planning or approving continuity of government operations	[ ] One or more of the following when there is the potential to cause exceptionally grave damage to national security: • Senior management officials for key government programs impacting national security • Major and immediate responsibility for national security policy-making or policy-determining • Direct involvement with diplomatic relations and negotiations • Independent, agency spokesperson concerning sensitive/controversial matters for key government programs impacting national security • Independent responsibility for planning or approving continuity of government operations	[ ] One or more of the following when there is the potential to cause significant or serious damage to national security: • Management duties in government programs that impact national security • Substantial responsibility supporting individuals directly involved with diplomatic relations and negotiations • Substantial responsibility for developing policies, regulations and/or rule-making for significant government programs affecting national security • Substantial responsibility supporting individuals serving as agency spokesperson concerning national security matters • Serves in advisory role to senior agency officials who complete one or more of the above duties	[ ] One or more of the following: • Policy input is limited to providing unclassified or non-sensitive technical input or administrative support • Other duties related to policy with no potential to cause significant or serious damage to the national security • Policy and program responsibility is related to public trust in the efficiency and integrity of the service rather than national security
Position Designation	-Automatic Special-Sensitive /High Risk; No further assessment necessary; **proceed to** Step 4	-Automatic Critical-Sensitive /High Risk; No further assessment necessary; **proceed to** Step 4	-Non-Critical Sensitive; Assess any remaining selections from Step 1.A., and then assess under Public Trust (Step 2), **unless** a subsequent assessment directs you to proceed to Step 4.	-Non-Sensitive; Assess any remaining selections from Step 1.A., and then assess under Public Trust (Step 2), **unless** a subsequent assessment directs you to proceed to Step 4.

BACK to list of National Security duties (Step 1)

Degree of Potential Damage to the National Security				
Duties/ Responsibilities	**Inestimable Damage**	**Exceptionally Grave Damage**	**Significant or Serious Damage**	**No Material Adverse Effect on National Security**
Public health and safety For example, National security concerns related to: • Food supply safety • Drug safety • Pandemic disease prevention and control • Urgent public health threats • Transportation system safety (aviation, highway, railroad, and maritime)	[ ] One or more of the following when there is the potential to cause **inestimable damage** to national security **with devastating results of a widespread or incapacitating nature:** • Independent responsibility for the protection, control and enforcement of the nation's public health or safety policies, with the ability to act without detection to compromise national security with devastating results • Independent responsibility for protecting the nation's public health or safety against acts of terrorism, espionage, or foreign aggression, with the ability to act without detection to compromise national security with devastating results	[ ] One or more of the following when there is the potential to cause **exceptionally grave damage** to national security (effect may be regional, or multi-state, or the impact is controllable within a reasonable period of time and expending moderate resources): • Major and immediate responsibility for the protection, control and enforcement of the nation's public health or safety policies, with the ability to act independently without detection to compromise national security with devastating results • Major and immediate responsibility for protecting the nation's public health or safety against acts of terrorism, espionage, or foreign aggression, with the ability to act independently without detection to compromise national security with devastating results	[ ] One or more of the following when there is the potential to cause **significant or serious damage** to national security (effect may be local or isolated to a single location, or the impact is controllable within a reasonable period of time and expending minimal resources) : • Responsibility for the protection, control and enforcement of the nation's public health or safety policies – with moderate autonomy or ability to negatively impact or damage national security • Responsibility for protecting the nation's public health or safety against acts of terrorism, espionage, or foreign aggression– with moderate autonomy or ability to negatively impact or damage national security	[ ] Duties are of such a minor or inconsequential nature and/or internal controls are so significant that there is no reasonable expectation that there could be a material adverse effect on national security
Position Designation	-Automatic Special-Sensitive /High Risk; No further assessment necessary; **proceed to** Step 4	-Automatic Critical-Sensitive /High Risk; No further assessment necessary; **proceed to** Step 4	-Non-Critical Sensitive; Assess any remaining selections from Step 1.A., and then assess under Public Trust (Step 2), **unless** a subsequent assessment directs you to proceed to Step 4.	-Non-Sensitive; Assess any remaining selections from Step 1.A., and then assess under Public Trust (Step 2), **unless** a subsequent assessment directs you to proceed to Step 4.

BACK to list of National Security duties (Step 1)

Degree of Potential Damage to the National Security				
Duties/ Responsibilities	**Inestimable Damage**	**Exceptionally Grave Damage**	**Significant or Serious Damage**	**No Material Adverse Effect on National Security**
Fiduciary responsibility in support of activities with national security impact[9]	[ ] Position requires eligibility for access to Sensitive Compartmented Information (SCI), other intelligence-related Special Sensitive information, or involvement in Top Secret Special Access Programs (SAP)	[ ] One or more of the following when there is the potential to cause exceptionally grave damage to national security: • Obligates, expends, collects or controls revenue or funds in excess of $50 million • Procures or secures funding for goods and/or services with monetary value in excess of $50 million annually • Obligates or controls items with a monetary value in excess of $50 million • Audits or analyzes budgets or other financial records	[ ] One or more of the following when there is the potential to cause significant or serious damage to national security: • Obligates, expends, collects or controls revenue or funds material to national security • Procures or secures funding for goods and/or services with monetary value material to national security • Obligates or controls items with a monetary value material to national security • Audits or analyzes budgets or other financial records	[ ] Fiduciary responsibilities are of such a minor or inconsequential nature and/or internal controls are so significant that there is no reasonable expectation that there could be significant or serious damage to national security
Position Designation	-Automatic Special-Sensitive /High Risk; No further assessment necessary; **proceed to** Step 4	-Automatic Critical-Sensitive /High Risk; No further assessment necessary; **proceed to** Step 4	-Non-Critical Sensitive; Assess any remaining selections from Step 1.A., and then assess under Public Trust (Step 2), **unless** a subsequent assessment directs you to proceed to Step 4.	-Non-Sensitive; Assess any remaining selections from Step 1.A., and then assess under Public Trust (Step 2), **unless** a subsequent assessment directs you to proceed to Step 4.

[9] If the dollar amount associated with fiduciary duties is unknown, obtain sufficient information about the responsibilities of the position, including the level of authority, the scope of impact, the potential to cause damage to the national security, and to establish whether the potential damage is significant or serious, exceptionally grave or inestimable. (For example, some considerations might include the scope of contracts funded, the extent of operations a budget affects, whether the individual will have signature authority to obligate funds, etc.)

BACK to list of National Security duties (Step 1)

Degree of Potential Damage to the National Security				
Duties/ Responsibilities	**Inestimable Damage**	**Exceptionally Grave Damage**	**Significant or Serious Damage**	**No Material Adverse Effect on National Security**
Unclassified information (e.g. private, controlled unclassified, or proprietary information) significant to national security	[ ] Unlimited access to and control over unclassified information, which may include private, proprietary or other controlled unclassified information when there is the potential to cause inestimable damage to national security	[ ] Unlimited access to and control over unclassified information, which may include private, proprietary or other controlled unclassified information, but only where the unauthorized disclosure of that information could cause exceptionally grave damage to national security	[ ] Limited access to and control over unclassified information, which may include private, proprietary or other controlled unclassified information, but only where the unauthorized disclosure of that information could cause significant or serious damage to national security	[ ] Access to unclassified information is minimal and is of such a minor or inconsequential nature and/or internal controls are so significant that there is no reasonable expectation that there could be significant or serious damage to national security
Other duties that could otherwise bring about a material adverse effect on national security	[ ] Other duties, when there is the potential to cause inestimable damage to national security; explain:	[ ] Other duties, when there is the potential to cause exceptionally grave damage to national security; explain:	[ ] Other duties, when there is the potential to cause significant or serious damage to national security; explain:	[ ] Duties are so minor or inconsequential in nature and/or internal controls are so significant that there is no reasonable expectation that there could be significant or serious damage to national security
Position Designation	-Automatic Special-Sensitive /High Risk; No further assessment necessary; **proceed to** Step 4	-Automatic Critical-Sensitive /High Risk; No further assessment necessary; **proceed to** Step 4	-Non-Critical Sensitive; Assess any remaining selections from Step 1.A., and then assess under Public Trust (Step 2), **unless** a subsequent assessment directs you to proceed to Step 4.	-Non-Sensitive; Assess any remaining selections from Step 1.A., and then assess under Public Trust (Step 2), **unless** a subsequent assessment directs you to proceed to Step 4.

BACK to list of National Security duties (Step 1)

Step 2.A.: Suitability Requirements

The designation of covered positions is outlined in section 731.106 of title 5, Code of Federal Regulations. **Every covered position** must be designated at the low, moderate, or high risk level as determined by the position's potential for adverse impact on the efficiency and integrity of the service. As the level of authority and responsibility of a position becomes greater, character and conduct become more significant in deciding whether employment or continued employment would protect the integrity or promote the efficiency of the Federal service. 5 CFR 731.106(b) set forth general categories of public trust position requirements, duties, and responsibilities. Read the position description and obtain any other necessary information (e.g. management input) to determine if any of the following duties apply to the position. (The focus of this preliminary review should be on the actual duties of the position rather than on the agency mission or the program in which the position is located.)[10] Mark next to the categories of duties that apply to the position. If any of the categories are marked, go to Step 2.B. In Step 2.B., you will further evaluate the position's duties to determine the degree to which any misconduct could impact on the efficiency or integrity of the service.

PUBLIC TRUST POSITION REQUIREMENTS, DUTIES, AND RESPONSIBILITIES (UNRELATED TO NATIONAL SECURITY):

[ ] Government operations – rulemaking, policy, and major program responsibility (includes regulation or policy making, directing, implementing, advising and audits) (page 18)
[ ] Public safety and health services, regulation, enforcement, and protection (Food safety and inspection, occupational health and safety, transportation safety, environmental safety and hazard mitigation) (page 19)
[ ] Law Enforcement or criminal justice duties (page 19)
[ ] Protection of government funds for non-national security operations (page 20)
[ ] Customs, Immigration, and/or Critical Infrastructure and Key Resources (page 21)
[ ] Hazardous material handling and transportation (page 21)
[ ] Physical security, controlling facility or physical access to information technology, and/or controlled access to arms, ammunitions, or explosives (page 22)
[ ] Investigation, oversight, and audits of government personnel, programs, and activities (page 22)
[ ] Adjudication of matters or claims (other than national security, suitability, fitness, or credentialing) with the potential to impact the public's trust (page 23)
[ ] Protection of government information technology systems (supervision or control of information technology systems, authority to bypass significant technical and operational security controls for general support systems, or access to major applications – the scope of these duties exceed that of ordinary or routine computer use) (page 24)
[ ] Protection of personal, private, controlled unclassified, or proprietary information with the potential to damage the public's trust (includes access to or processing of personal information such as that protected by the Privacy Act (PA) of 1974, exempt from disclosure under the Freedom of Information Act (FOIA), financial data, or privileged information involving the award of contracts, contractor proprietary information, etc.) (page 25)
[ ] Government service delivery, including customer service or public liaison duties (page 25)
[ ] Other activities demanding a degree of public trust (Specify any other specific duties that are not otherwise covered): (page 26)

_____

If none of the above categories are marked, the position is designated "low risk." Continue to Step 4, and consider this result in combination with the results from Step 1 to determine the appropriate level of investigation for the position.

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[10] If using the system to designate contractor positions, you assess the duties the incumbent will be performing for or on behalf of the Federal Government, not the duties the incumbent performs for their contractor employer. For example, a position may involve customer service or liaison between the contractor and the Federal Government, just as a natural part of doing business. However, if the work being performed for or on behalf of the Federal Government does not involve customer service or liaison (e.g. providing telephonic customer service/information concerning a government program), then you would **not** select "Government service delivery, including customer service or public liaison duties" as a duty to be assessed in the context of the position's potential for adverse impact on the efficiency and integrity of the service.

Step 2.B.: Determine the potential impact of the position on the efficiency or integrity of the service (public trust).

For each duty identified in Step 2.A., use the charts below, working from left to right, to identify the appropriate degree of potential damage to the public trust from misconduct. Check only one column per duty.

> **Note:** At a minimum, supervisors or managers should be included at the same level as their employees, whether or not they personally do the work described, since they hold responsibility for the outcome of the work.

Degree of Potential Damage to the Public Trust from Misconduct				
Duties/ Responsibilities	**Automatic High-Risk Conditions**	**Severe impact**	**Moderate impact**	**Limited impact**
Government operations – rulemaking, policy and major program responsibility (includes regulation or policy making, directing, implementing, advising and audits)	[ ] Senior management official for critical government programs, the compromise of which could result in grave damage to the public's trust	[ ] One or more of the following: • Senior management duties or assignments that do not rise to the level of an automatic High-Risk condition • Substantial responsibility for approving regulations and/or rule-making agendas for significant government programs impacting the public's trust • Independent responsibility for planning or approving continuity of government operations • Sets policy for significant government programs impacting the public's trust • Independent agency spokesperson concerning delicate controversial matters impacting the public's trust • Serves in advisory role to senior agency officials who complete one or more of the above duties	[ ] One or more of the following: • Mid-level management duties or assignments • Assists agency rule-makers or policy decision-makers for significant public trust government programs in an influential way • Responsible for independent or semi-independent action with moderate impact on efficiency and integrity or the service • Significant public contact about important government programs impacting the public's trust	[ ] One or more of the following: • Management duties with less than moderate impact on programs • Regulation or policy input is limited to contributing to working groups or providing technical input

BACK to list of Public Trust duties (Step 2A)

Degree of Potential Damage to the Public Trust from Misconduct				
Duties/ Responsibilities	**Automatic High-Risk Conditions**	**Severe impact**	**Moderate impact**	**Limited impact**
Public safety and health services, regulation, enforcement, and protection (Food safety and inspection, occupational health and safety, transportation safety, environmental safety and hazard mitigation)		[ ] Immediate, significant, and independent responsibility for protecting the public's health and safety in areas outside of national security, such as: • Food safety and inspection • Occupational health and safety • Transportation safety enforcement • Environmental safety • Environmental hazard mitigation	[ ] Position is actively, operationally engaged in services related to the duties in this category (but has only moderate ability to impact the public's trust), such as: • Performing inspections • Enforcing established standards • Providing regulatory advice and direction	[ ] The position aids or supports the duties in this category; however, the responsibilities are so narrow in scope or carried out under such restrictive controls that the risk of violating the public's trust is very limited
Law enforcement or criminal justice duties	[ ] Conducts criminal investigations concerning delicate criminal matters, the compromise of which could cause grave damage to public's trust	[ ] One or more of the following: • Scope of authority is very broad (full arrest authority within a large jurisdiction) • Regular possession and use of a firearm in an open, uncontrolled environment (e.g., in a large jurisdiction; work environment has no physical boundaries) • Conducts criminal investigations • Responsible for criminal justice matters involving delicate or controversial matters the compromise of which would cause severe damage to the public's trust	[ ] One or more of the following: • Scope of authority is extensive, but arrest authority is within a small jurisdiction • Use/possession of a firearm within a small jurisdiction • Conducts criminal investigations concerning routine matters • Exercises custodial control over inmates, detainees, suspects, etc. • Monitors or supervises individuals in the custody of a criminal justice system or process, i.e., probation or parole officers, etc.	[ ] One or more of the following: • Criminal justice or law enforcement duties that do not require possession and use of a firearm • Authority is very limited in nature • Position provides aid or supports the duties in this category

BACK to list of Public Trust duties (Step 2A)

Degree of Potential Damage to the Public Trust from Misconduct				
Duties/ Responsibilities	**Automatic High-Risk Conditions**	**Severe impact**	**Moderate impact**	**Limited impact**
Protection of government funds[11] for non-national security operations, access to or operation or control of financial records, fiduciary responsibilities or other duties (such as developing statements of work) with a significant risk for causing damage or with the potential for realizing significant personal gain	[ ] One or more of the following, where the impact is to the public's trust: • Obligates, expends, collects or controls revenue, funds or items with monetary value in excess of $50 million • Procures (or secures funding for) goods and/or services with monetary value in excess of $50 million annually, with the potential for devastating impact on government programs or operations	[ ] One or more of the following: • Obligates, expends, collects or controls revenue, funds or items with monetary value in excess of $10 million, but less than $50 million annually • Audits or analyzes budgets or other financial records, the compromise of which could cause significant impact on government programs or operations • Procures (or secures funding for) goods and/or services with monetary value in excess of $10 million, but less than $50 million, annually, with potential for significant impact on government programs or operations	[ ] One or more of the following: • Obligates, expends, collects or controls funds or items with monetary value over $1 million, but under $2 million, annually, where the ability to ensure effective oversight is limited; or $2 million to $10 million annually • Audits or analyzes budgets or other financial records, with potential for moderate impact on government programs or operations • Procures (or secures funding for) goods and/or services with monetary value exceeding $2 million, but less than $10 million, annually, the compromise of which could cause moderate impact on government programs or operations	[ ] One or more of the following: • Obligates, expends, collects or controls funds or items with monetary value of less than $2 million, but only when meaningful controls are in place to monitor the process and detect abuse; Otherwise, value may not exceed $1 million • Audits or analyzes budgets or other financial records, with potential for limited impact on government programs or operations • Procures (or secures funding for) goods and/or services with monetary value less than $2 million annually the compromise of which could cause limited impact on government programs or operations

[11] If the dollar amount associated with fiduciary duties is unknown, obtain sufficient information about the responsibilities of the position, including the level of authority, the scope of impact, and the potential to realize personal gain, to establish whether the risk is severe, moderate, or limited. (For example, some considerations might include the scope of contracts funded, the extent of operations a budget affects, whether the individual will have signature authority to obligate funds, etc.)

BACK to list of Public Trust duties (Step 2A)

Degree of Potential Damage to the Public Trust from Misconduct				
Duties/ Responsibilities	**Automatic High-Risk Conditions**	**Severe impact**	**Moderate impact**	**Limited impact**
Customs, Immigration, and/or Critical Infrastructure and Key Resources (CIKR) **(Duties in this category do not impact national security; however, there exists inherent public trust in the fulfillment of these responsibilities.)**		[ ] One or more of the following with autonomy controlled through system or physical means: • Position has immediate, significant, and independent responsibility for facilitating: o Citizenship and immigration services o Enforcing immigration law o Customs enforcement o Deterring unauthorized employment o Other similar responsibilities • Position has immediate and significant responsibilities for the operation and administration of CIKR	[ ] One or more of the following with autonomy controlled through system or physical means: • Position is actively, operationally engaged in, or provides direct material support to: o Providing citizenship and immigration services o Enforcing immigration law o Customs enforcement o Deterring unauthorized employment o Other similar responsibilities • Position provides operational support or administration support of CIKR	[ ] The position aids or supports the duties in this category; however, the duties of the job are so narrow in scope or carried out under such restrictive controls that the risk of violating the public's trust is very limited
Hazardous material handling and transportation (such as medical waste, mechanical or industrial waste, (i.e. waste chemicals, fuel, oil, batteries, etc.))		[ ] Significant, independent responsibility for the disposition, handling or transportation of hazardous materials, with the ability to circumvent procedural, physical and oversight processes	[ ] Responsibilities include the handling or transportation of hazardous materials; however, effective procedural, physical and oversight processes are employed to significantly minimize any violation of the public's trust	[ ] Any potential compromise of the public's trust through employee negligence, malfeasance or deliberate intent is virtually eliminated through oversight and controls

BACK to list of Public Trust duties (Step 2A)

Degree of Potential Damage to the Public Trust from Misconduct				
Duties/ Responsibilities	**Automatic High-Risk Conditions**	**Severe impact**	**Moderate impact**	**Limited impact**
Physical security, controlling facility or physical access to information technology, and/or controlled access to arms, ammunition, or explosives, but not to the extent that there is an impact on national security		[ ] One or more of the following: • Responsibility for non-PIV, facility access credentials, with no national security impact • Access to materials for producing credentials and badges • Access control (physical access, not logical access) over high-impact information systems	[ ] One or more of the following: • Access to moderate supplies of arms, ammunition, or explosives, in other than national security operations; however, effective procedural, physical and oversight processes are employed to significantly minimize any violation of the public's trust • Access control (physical access, not logical access) over moderate or low-impact information systems •	[ ] One or more of the following: • Any potential compromise of the public's trust through employee negligence, malfeasance or deliberate intent is essentially eliminated through oversight and controls • Security guard positions not requiring use/possession of a firearm or involved in controlling access to restricted areas
Investigation, oversight, and audits of government personnel, programs, and activities		[ ] One or more of the following: • Very broad authority in the conduct of internal and/or external non-criminal investigations, inquiries, or audits concerning delicate or controversial matters (for example, Office of Inspector General investigations), **with impact to the public's trust** • Any other non-criminal investigative or oversight/auditing duties, the outcome or compromise of which could cause severe harm to the public's trust	[ ] Conducts, under limited authority, internal and/or external non-criminal investigations, inquiries, or audits, the outcome or compromise of which could **negatively impact the public's trust**	[ ] Conducts or assists in conducting Government investigations, inquiries, or audits of a routine nature, but has very limited opportunity for independent action

BACK to list of Public Trust duties (Step 2A)

Degree of Potential Damage to the Public Trust from Misconduct				
Duties/ Responsibilities	**Automatic High-Risk Conditions**	**Severe impact**	**Moderate impact**	**Limited impact**
Adjudication of matters or claims (other than national security, suitability, fitness, or credentialing) with the potential to impact the public's trust	[ ] Adjudicates delicate or controversial matters, the nature of which could cause grave damage to the public's trust, **but no impact to national security**	[ ] Adjudicates delicate or controversial public trust matters and claims, the outcome or compromise of which could **impact the public's trust** or the mission of the underlying Government program, its fairness, efficiency, and integrity	[ ] Adjudicates other matters and claims (those not considered delicate or controversial), the outcome or compromise of which could cause harm to the health, safety, or financial security of individuals affected by the adjudication, or to the public's trust in the underlying Government program	[ ] Adjudicates other matters and claims where there is limited potential for harm and/or limited opportunity for independent action

BACK to list of Public Trust duties (Step 2A)

Degree of Potential Damage to the Public Trust from Misconduct				
Duties/ Responsibilities	**Automatic High-Risk Conditions**	**Severe impact**	**Moderate impact**	**Limited impact**
Protection of government information technology systems[12]		[ ] One or more of the following: • Develops/directs/ implements/administers agency computer security programs, including risk analysis/threat assessment without technical review • Disburses or authorizes disbursement of $10 million per year or greater from computer systems • Major responsibility for the direction, planning, design, testing, maintenance, operation, monitoring, and/or management of systems hardware or software • Automated access to a system during operation or maintenance or preparation of data for entry into a computer system in any way that creates high risk for causing severe damage or realizing significant personal gain (for example, the ability to independently manipulate data)	[ ] One or more of the following: • Work carried out under technical review of a higher authority that involves direction, planning, design, operation, testing, maintenance, or monitoring of a computer system • Automated access to or processing of information systems that in any way creates moderate risk for causing damage or realizing moderate personal gain • Disburses or authorizes disbursement of less than $10 million from computer systems	[ ] Aids or supports the duties in this category; however, the responsibilities are so narrow in scope or carried out under such restrictive controls that the risk of violating the public's trust is practically eliminated

[12] Includes access to or processing of controlled unclassified information, supervision or control of information technology systems, authority to bypass significant technical and operational security controls for general support systems, or access to major applications. The scope of these duties exceed that of ordinary or routine computer use.

Degree of Potential Damage to the Public Trust from Misconduct				
Duties/ Responsibilities	**Automatic High-Risk Conditions**	**Severe impact**	**Moderate impact**	**Limited impact**
Protection of personal, private, controlled unclassified or proprietary information (including PA and FOIA, etc.), **the nature of which does not impact national security**		[ ] Unlimited access and control over personal, private, proprietary, or controlled unclassified information, the unauthorized disclosure of which could severely impact the public's trust**,** through substantial damage/harm to: • The integrity or efficiency of the service • Individuals or business entities • Government programs or operations impacting the public's trust	[ ] Access and control over personal, private, proprietary, or controlled unclassified information, the unauthorized disclosure of which could negatively impact the public's trust**,** through serious damage/harm to: • The integrity or efficiency of the service • Individuals or business entities • Government programs or operations impacting the public's trust	[ ] One or more of the following: • Access to personal, private, proprietary, or controlled unclassified information, the unauthorized disclosure of which could cause very limited damage to individuals, business entities, or government programs or operations or any potential damage is limited to the local level • Duties are carried out under such restrictive controls that the risk of violating the public's trust is extremely limited
Government service delivery, including customer service and public liaison duties	[ ] Customer service responsibilities and/or public liaison that could cause inestimable damage to the public's trust through grave damage/harm to: • The integrity or efficiency of the service • Individuals or business entities • Government programs or operations impacting the public's trust	[ ] Duties involve customer service responsibilities and/or public liaison that could severely impact the public's trust through severe damage/harm to: • The integrity or efficiency of the service • Individuals or business entities • Government programs or operations impacting the public's trust	[ ] Duties involve customer service responsibilities and/or public liaison that could negatively impact the public's trust through moderate damage/harm to: • The integrity or efficiency of the service • Individuals or business entities • Government programs or operations impacting the public's trust	[ ] Duties involve customer service responsibilities and/or public liaison that could cause limited damage to individuals, business entities, or government programs or operations

BACK to list of Public Trust duties (Step 2A)

Degree of Potential Damage to the Public Trust from Misconduct				
Duties/ Responsibilities	**Automatic High-Risk Conditions**	**Severe impact**	**Moderate impact**	**Limited impact**
Other activities demanding public trust (describe unique factors, considerations not previously accounted for)	[ ] Explain:	[ ] Explain:	[ ] Explain:	[ ] Explain:
	If any block in this column is checked, skip step 3 and go to Step 4. Depending upon the results of Step 1, the position will be designated either: • **Non-critical Sensitive / High Risk or** • **Non-Sensitive / High Risk (Public Trust)**			
		Total blocks checked in this column: (____ X 50 = ____) *(x)*	Total blocks checked in this column: (____ X 15 = ____) *(y)*	Total blocks checked in this column: (____ X 1 = _____) *(z)*
		Total Risk Points	*x + y + z =*_____ *(Add totals from all three columns above)* **Go to Step 3 and enter this number in the chart**	

BACK to list of Public Trust duties (Step 2A)

Step 3: Point adjustment for program designation and level of supervision.

In the Chart below, choose the appropriate adjustment value for the scope of program impact and the level of related controls from the Total Risk Points identified in step 2. **(Only one column will apply)**

Enter the total Risk Points from Step 2 into one of the appropriate columns (sections)		
(50 and above) _____	**(16 to 49)** _____	**(15 and under)** _____
Adjustment for Scope of Program and Correlation to Extent of Impact [ ] Worldwide or government-wide impact[13] – **no change** [ ] Multi-agency impact[14] – **subtract 5 points** [ ] Agency impact[15] – **subtract 10 points**	**Adjustment for Scope of Program and Correlation to Extent of Impact** [ ] Worldwide or government-wide impact[13] – **add 15 points** [ ] Multi-agency impact[14] – **no change** [ ] Agency impact[15] – **subtract 10 points**	**Adjustment for Scope of Program and Correlation to Extent of Impact** [ ] Worldwide or government-wide impact[13] – **add 15 points** [ ] Multi-agency impact[14] – **add 5 points** [ ] Agency impact[15] **– subtract 5 points**
Adjustment for level of supervision or other controls [ ] Limited or no supervision - ability to act independently in almost all areas almost all of the time – **no change** [ ] Periodic, ongoing review – ability to act independently a lot of the time – **subtract 5 points** [ ] Close technical supervision –ability to act independently infrequently – **subtract 10 points**	**Adjustment for level of supervision or other controls** [ ] Limited or no supervision - ability to act independently in almost all areas almost all of the time – **add 15 points** [ ] Periodic, ongoing review – ability to act independently a lot of the time – **no change** [ ] Close technical supervision –ability to act independently infrequently – **subtract 10 points**	**Adjustment for level of supervision or other controls** [ ] Limited or no supervision - ability to act independently in almost all areas almost all of the time – **add 15 points** [ ] Periodic, ongoing review – ability to act independently a lot of the time – **add 5 points** [ ] Close technical supervision –ability to act independently infrequently – **subtract 5 points**
Final Adjusted Risk Points:	**Final Adjusted Risk Points:**	**Final Adjusted Risk Points:**

[13] Program operations have potential to affect the entire government or have global implications. Misconduct or damage would have potential for a national to international impact of a broad nature on the United States government or other countries and/or the individuals or private entities affected by the Government.

[14] Program operations affect more than one agency. Misconduct or damage would have potential to impact multiple government agencies, and/or the individuals or private entities affected by those agencies.

[15] Program operations affect only one agency. Misconduct or damage would have potential for a local impact on the agency, and/or the individuals or private entities affected by the agency.

Step 4: Final Position Designation and Investigation.

Use the following chart to determine the final position designation and required investigative Tier. Note that for those positions designated as "Non-Sensitive" or "Noncritical-Sensitive", the over-riding consideration in the final designation depends on the risk designation level (Final Adjusted Risk Points from Step 3) associated with the public trust responsibilities of the position.

National Security Sensitivity Designation from Step 1.B	Risk Designation from Step 2.B. or 3	Final Position Designation	Level of Investigation per 2012 Federal Investigative Standards	Form Type
"Special-Sensitive" *or* **"Critical-Sensitive"**	**"High Risk"**[16]	Special-Sensitive or Critical-Sensitive/ High Risk	Tier 5	SF 86
"Noncritical-Sensitive"	*50 or more Final Adjusted Risk Points:* **"High Risk"**	Noncritical-Sensitive/ High Risk	Tier 5	SF 86
	49 or fewer Final Adjusted Risk Points : **"Moderate Risk"**[17]	Noncritical-Sensitive/ Moderate Risk	Tier 3	SF 86
"Non-Sensitive" *(No national security sensitivity)*	*50 or more Final Adjusted Risk Points :* **"High Risk"**	Non-Sensitive/ High Risk (Public Trust)	Tier 4	SF 85P
	16 to 49 Final Adjusted Risk Points: **"Moderate Risk"**	Non-Sensitive/ Moderate Risk (Public Trust)	Tier 2	SF 85P
	15 or fewer Final Adjusted Risk Points : **"Low Risk"**	Non-Sensitive/ Low Risk	Tier 1	SF 85

Sensitivity: _____ Risk:_____ Level of Investigation:_____ Form Type: _____

Designator's Signature: _____ Date:_____

[16] 5 CFR 1400.201(c) directs that critical-sensitive or special-sensitive level designations shall automatically be designated as high risk

[17] 5 CFR 1400.201(d) directs that non-critical sensitive level designations shall automatically be designated as moderate risk, unless the agency determines the position should be designated at the high risk level

GLOSSARY

TERM	DEFINITION
AGENCY	An Executive agency, which is defined by 5 U.S.C. 105 as an Executive department, a Government corporation, and an independent establishment.
AUTOMATIC HIGH-RISK CONDITIONS FOR PUBLIC TRUST	These conditions are duties that present the possibility of the gravest impact to the public's trust, likely to produce inestimable damage. The degrees of potential impact are broadly defined. It is necessary to look at each public trust duty and evaluate the entire row of example duties provided to establish context to determine the scope of potential impact to the public's trust. This reveals the potential damage to the integrity and efficiency of the service and the public's trust.
CLOSE TECHNICAL SUPERVISION	Continuing review of all work by a technical expert, such as: 1. The supervisor provides continuing or individual assignments by indicating generally what is to be done, limitations, quality and quantity expected, deadlines, and priority of assignments. 2. The supervisor provides additional, specific instructions for new, difficult, or unusual assignments, including suggested work methods or advice on source material available. The employee uses initiative in carrying out recurring assignments independently without specific instructions, but refers deviations, problems, and unfamiliar situations not covered by instructions to the supervisor for decision or help. The supervisor assures that finished work and methods used are technically accurate and in compliance with instructions or established procedures. Review of the work increases with more difficult assignments if the employee has not previously performed similar assignments. 3. For both one-of-a-kind and repetitive tasks, the supervisor makes specific assignments accompanied by clear, detailed, and specific instructions. The employee works as instructed and consults with the supervisor as needed on all matters not specifically covered in the original instructions or guidelines. For all positions the work is closely controlled. For some positions, the control is through the structured nature of the work; for others, it may be controlled by the circumstances in which it is performed. In some situations, the supervisor maintains control through review of the work. This may include checking progress or reviewing completed work for accuracy, adequacy, and adherence to instructions and established procedures.

TERM	DEFINITION
CRITICAL-SENSITIVE POSITIONS	As defined in 5 CFR 1400.201(a)(2), critical-sensitive positions are, “national security positions which have the potential to cause exceptionally grave damage to the national security.” Also, in accordance with 5 CFR 1400.201(c) a critical-sensitive position automatically carries with it a risk designation under 5 CFR 731.106 at the high level.
CRITICAL AND EXTREMELY IMPORTANT ITEMS OF WAR	Those items vital to success in war, or without which success would be unlikely.
CUSTOMER SERVICE	Customer care duties that support the delivery of an agency’s services. The scope of the word “customer” would be defined based upon the duties outlined in the position description. For example, one agency’s customers might be other Government agencies, but a different agency may primarily serve non-Government entities or the general public (e.g. the duties of employees with the General Services Administration vs. those of a Social Security Administration employee); however, that is not to suggest every employee of those agencies would be assumed to have customer service responsibilities; that is defined by the specific duties of the job.
DAMAGE TO THE NATIONAL SECURITY	E.O. 13526 characterizes damage to the national security as “harm to the national defense or foreign relations of the United States from the unauthorized disclosure of information, to include sensitivity, value, and utility of that information.”
EXCEPTIONALLY GRAVE DAMAGE TO THE NATIONAL SECURITY	The capacity to cause extremely serious harm to the national security. Also, the minimum level of damage an incumbent’s neglect, action or inaction must have the potential to cause for a position to be designated as critical-sensitive.
INESTIMABLE DAMAGE TO THE NATIONAL SECURITY	The capacity to cause harm to the national security too severe to be computed or measured. Also, the minimum level of damage an incumbent’s neglect, action or inaction must have the potential to cause for a position to be designated **as special-sensitive.**
INFORMATION TECHNOLOGY	As defined in OMB Circular A-130, information technology is, “any equipment or interconnected system or subsystem of equipment, that is used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information by an executive agency. For purposes of the preceding sentence, equipment is used by an executive agency if the equipment is used by the executive agency directly or is used by a contractor under a contract with the executive agency which (i) requires the use of such equipment, or (ii) requires the use, to a significant extent, of such equipment in the performance of a service or the furnishing of a product. The term "information technology" includes computers, ancillary equipment, software, firmware and similar procedures, services (including support services), and related resources. The term "information technology" does not include any equipment that is acquired by a Federal contractor incidental to a Federal contract. The term "information technology" does not include national security systems as defined in the Clinger-Cohen Act of 1996 (40 U.S.C. 1452).”

TERM	DEFINITION
INFORMATION SYSTEM	As defined in OMB Circular A-130 an information system is, "a discrete set of information resources organized for the collection, processing, maintenance, transmission, and dissemination of information, in accordance with defined procedures, whether automated or manual."
LIMITED IMPACT TO THE PUBLIC'S TRUST	Likely to produce some harm or discernible damage to the public's trust. The degrees of potential impact are broadly defined. It is necessary to look at each public trust duty and evaluate the entire row of example duties provided to establish context to determine the scope of potential impact to the public's trust. This reveals the potential damage to the integrity and efficiency of the service and the public's trust.
LIMITED OR NO SUPERVISION	Occasional review from a perspective of major policy issues by a superior who likely has no relevant expertise in the technical aspects of the duties performed. The supervisor provides administrative direction with assignments in terms of broadly defined missions or functions. The employee has responsibility for independently planning, designing, and carrying out programs, projects, studies, or other work. Results of the work are considered technically authoritative and are normally accepted without significant change. If the work should be reviewed, the review concerns such matters as fulfillment of program objectives, effect of advice and influence on the overall program, or the contribution to the advancement of technology. Recommendations for new projects and alteration of objectives usually are evaluated for such considerations as availability of funds and other resources, broad program goals, or national priorities.
MODERATE IMPACT TO THE PUBLIC'S TRUST	Likely to produce a fair amount of harm or serious damage to the public's trust. The degrees of potential impact are broadly defined. It is necessary to look at each public trust duty and evaluate the entire row of example duties provided to establish context to determine the scope of potential impact to the public's trust. This reveals the potential damage to the integrity and efficiency of the service and the public's trust.
NATIONAL SECURITY	As defined in 5 CFR 1400.102(a), national security "refers to those activities which are directly concerned with the foreign relations of the United States, or protection of the Nation from internal subversion, foreign aggression, or terrorism."
NATIONAL SECURITY POSITION	As defined in 5 CFR 1400.102(a), a national security position, "includes any position in a department or agency, the occupant of which could bring about, by virtue of the nature of the position, a material adverse effect on the national security."
NONCRITICAL-SENSITIVE POSITIONS	As defined in 5 CFR 1400.201(a)(1) noncritical-sensitive positions are, "national security positions which have the potential to cause significant or serious damage to the national security". Also, in accordance with 5 CFR 1400.201(d) a noncritical-sensitive position automatically initially carries with it a risk designation under 5 CFR 731.106 at the moderate level, unless the agency determines that the position should be designated at the high level. Agencies shall designate the position at the high level where warranted on the basis of criteria set forth in OPM issuances as described in 5 CFR 731.102(c).

TERM	DEFINITION
PERIODIC REVIEW	Ongoing spot review from a perspective of policy and organizational concerns by a superior with expertise in the technical aspects of the duties performed. The supervisor sets the overall objectives and resources available. The employee and supervisor, in consultation, develop deadlines, projects, and work to be done. The employee, having developed expertise in the line of work, is responsible for planning and carrying out the assignment, resolving most of the conflicts that arise, coordinating the work with others as necessary, and interpreting policy on own initiative in terms of established objectives. In some assignments, the employee also determines the approach to be taken and the methodology to be used. The employee keeps the supervisor informed of progress and potentially controversial matters. Completed work is reviewed only from an overall standpoint in terms of feasibility, compatibility with other work, or effectiveness in meeting requirements or expected results. **OR** The supervisor makes assignments by defining objectives, priorities, and deadlines and assists the employee with unusual situations that do not have clear precedents. The employee plans and carries out the successive steps and handles problems and deviations in the work assignments in accordance with instructions, policies, previous training, or accepted practices in the occupation. Completed work is usually evaluated for technical soundness, appropriateness, and conformity to policy and requirements. The methods used in arriving at the end results are not usually reviewed in detail.
SEVERE IMPACT TO THE PUBLIC'S TRUST	Likely to produce a substantial degree of harm or serious damage to the public's trust. The degrees of potential impact are broadly defined. It is necessary to look at each public trust duty and evaluate the entire row of example duties provided to establish context to determine the scope of potential impact to the public's trust. This reveals the potential damage to the integrity and efficiency of the service and the public's trust.
SIGNIFICANT OR SERIOUS DAMAGE TO THE NATIONAL SECURITY	The capacity to cause noteworthy harm to the national security. Also, the minimum level of damage an incumbent's neglect, action or inaction must have the potential to cause for a position to be designated as noncritical-sensitive.
SIGNIFICANT PERSONAL GAIN	Noticeably or measurably benefiting an individual's interests in a substantial way (e.g. a large monetary or other valuable personal benefit, benefit to one's family or friends, etc.; providing a level of affluence or a lifestyle otherwise not justifiable).
SPECIAL-SENSITIVE POSITIONS	As defined in 5 CFR 1400.201(a)(3) special-sensitive positions are, "national security positions which have the potential to cause inestimable damage to the national security." Also, in accordance with 5 CFR 1400.201(c) a special-sensitive position automatically carries with it a risk designation under 5 CFR 731.106 at the high level.