

**FFAS**  
**HANDBOOK**

---

Position Classification

---

For FSA, FAS, and RMA Offices  
(Except Foreign Service Employees  
and  
Non-Federal Employees in County Offices)

SHORT REFERENCE

2-PM  
(Revision 5)

UNITED STATES DEPARTMENT OF AGRICULTURE  
Farm Service Agency  
Washington, DC 20250

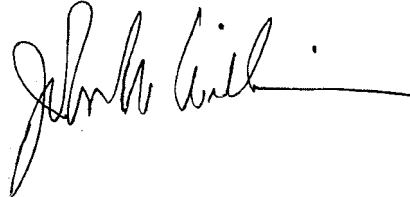


**UNITED STATES DEPARTMENT OF AGRICULTURE**

Farm Service Agency  
Washington, DC 20250

<b>Position Classification</b> <b>2-PM (Revision 5)</b>	<b>Amendment 4</b>
--	--------------------

**Approved by:** Deputy Administrator, Management



**Amendment Transmittal**

**A Reason for Amendment**

References to OHRM have been changed to OHCM.

Paragraph 55 has been amended to update requirements for cyber security.

Exhibit 10 has been amended to provide clarification for security clearances for public trust and national security positions.

<b>Page Control Chart</b>		
<b>TC</b>	<b>Text</b>	<b>Exhibit</b>
	1-1, 1-2	1, pages 1, 2
	2-1, 2-2	2, page 1
	4-3 through 4-6	page 2 (add)
	4-7 through 4-12	10, pages 1-6
	4-13 (add)	page 7 (remove)
	5-3 through 5-8	11, pages 1-4



# Table of Contents

Page No.

## Part 1 Basic Provisions

1	Overview .....	1-1
2	Authorities and Responsibilities .....	1-2
3	Position Classification Basis .....	1-3
4-15	(Reserved)	

## Part 2 Classification Requirements and Standards

16	Classification Standards .....	2-1
17	Misuse of the Classification Program .....	2-2
18-30	(Reserved)	

## Part 3 Position Descriptions and Classification

31	Position Description Requirements .....	3-1
32	Position Description Elements .....	3-2
33	Supervisory Action .....	3-5
34	Classifying Positions .....	3-7
35	Reviewing Positions .....	3-10
36	Corrective Actions .....	3-10
37	Evaluation Statements .....	3-11
38	Desk Audits .....	3-14
39-51	(Reserved)	

## Part 4 Sensitive Positions

52	Position Designations .....	4-1
53	Suitability Clearances .....	4-3
54	National Security Clearances .....	4-5
55	Cyber Security .....	4-9
56-76	(Reserved)	

**Table of Contents (Continued)**

**Page No.**

**Part 5 Appeals Procedures**

77	Overview .....	5-1
78	What May Be Appealed .....	5-1
79	What May Not Be Appealed .....	5-2
80	Resolving Position Classification Questions .....	5-3
81	Notice of Appeal Rights Regarding Classification Actions .....	5-3
82	Provisions for Protecting Retroactive Benefits .....	5-4
83	Options for Filing an Appeal .....	5-5
84	Appeal Process .....	5-6
85	Appealing OPM Certificates .....	5-8
86	Wage Grade Appeals .....	5-8
87-101 (Reserved)		

**Part 6 Position Management**

102	Position Management Objectives .....	6-1
103	Position Management Responsibilities .....	6-3
104	Accretion of Duties .....	6-4
105	Career Ladders .....	6-5

**Exhibits**

1	Reports, Forms, Abbreviations, and Redelegations of Authority
2	Definitions of Terms Used in This Handbook
3	(Reserved)
4	Career Ladder Patterns for FSA
5	Career Ladder Patterns for RMA
6	Career Ladder Patterns for FAS
7-9	(Reserved)
10	Security Clearances
11	OFI Form 86C

**Part 1 Basic Provisions****1 Overview****A Handbook Purpose**

This handbook prescribes the GS and WG Position Classification Program for FSA, FAS, and RMA:

- policies
- procedures
- scope
- applications
- principles.

**B In This Handbook**

FFAS position classification policies and procedures for the following are included in this handbook:

- developing position descriptions
- supervisory responsibility
- reviewing position descriptions and classifications
- desk audits
- appeals
- suitability and national security designations
- position management.

**C Related Handbooks**

FFAS handbooks related to position classification include the following:

- 3-PM for personnel operations
- 5-PM for performance appraisals
- 13-PM for human resources management evaluations
- 23-PM for career enhancement
- 27-PM for County Office classification
- 29-PM for reduction in force.

**1 Overview (Continued)**

**D Objective**

The primary objective of the classification process is to assign to each position the appropriate:

- title
- pay plan
- series
- grade.

**2 Authorities and Responsibilities**

**A HRD Responsibilities**

HRD has the authority and responsibility for developing and issuing policy and procedural guidelines covering the FFAS Position Classification Program, including:

- position description development
- interpretation of OPM standards
- position sensitivity
- appeal procedures and determinations
- career ladders
- position management.

HRD shall:

- exercise delegated classification authority
- emphasize sound position management
- develop FFAS classification guidance
- ensure consistency in the classification of positions within each FFAS agency
- \*--maintain liaison with OHCM concerning classification standards, problems, appeals,--\*  
etc.



**2 Authorities and Responsibilities (Continued)**

---

**B  
PD  
Responsibilities**

Within FFAS policies and procedures, PD:

- has authority and responsibility for the classification program covering:
  - the Kansas City complex
  - State Offices
  - Federal County Office positions
  - APFO
- may supplement this handbook as necessary.

---

**3 Position Classification Basis**

---

**A  
Principles**

The FFAS classification system is based on the following 2 fundamental principles:

- pay shall be based on the principle of equal pay for substantially equal work
- differences in pay shall be in proportion to:
  - substantial differences in the difficulty, responsibility, and qualification requirements of the work performed
  - the contributions to efficiency and economy in the service performed.

---

**B  
Sources of  
Authority**

The Classification Act of 1949, as amended, is the primary legal authority for the classification of GS positions. Related sources include:

- 5 CFR Part 511, for GS
  - 5 CFR Part 532, for WG.
- 

**4-15 (Reserved)**

**Part 2 Classification Requirements and Standards****16 Classification Standards****A Use of Standards**

All positions shall be classified according to OPM position classification standards and guides. See subparagraph 34 D. Positions shall not be classified by comparison to other similar positions.

**B New or Revised Standards**

New or revised OPM standards and guides become effective when issued. The classifying office shall:

- review all affected positions
- make necessary changes within the timeframe designated by OPM.

**C Requesting Extensions**

Extensions of the timeframe allowed for implementing new standards require the approval of ~~the~~ Director, OHCM. Requests for extensions shall:--\*

- be in writing
- include reasons for requested extension
- specify the amount of additional time needed.

PD shall submit requests for extensions through HRD.

**D Supervisory Effect on Positions**

Supervisors materially affect the classification of positions by how they:

- organize work for which they are responsible
- assign specific duties to each position
- supervise the work being performed.

17 Misuse of the Classification Program

A Reclassification Policy

Reclassification shall not be used as a means of circumventing other personnel programs. Supervisors shall **not**:

- assign higher level work to noncompetitively upgrade employees through accretion of duties

**Note:** The Merit Promotion Program shall be followed to ensure consideration of all eligible employees.

- use a downgrading action as a disciplinary measure
- use an upgrading action as a reward for outstanding work performance

**Note:** The Incentive Awards Program shall be used to reward outstanding work performance.

- use an upgrading action to retain an employee who threatens to resign or accept another position if not promoted.

18-30 (Reserved)

**Part 3 Position Descriptions and Classification**

**31 Position Description Requirements**

---

**A  
Description of  
Requirements**

A position description shall:

- be prepared for all positions, both supervisory and nonsupervisory
  - state the current major duties, responsibilities, supervisory relationships, organizational location, and any other aspects of a position that may be necessary to provide for proper classification.
- 

**B  
Relationship to  
Performance  
Standards**

The position description provides the basis for developing performance standards. Position descriptions shall include all responsibilities that are represented in their respective performance standards.

---

32 Position Description Elements

---

**A**  
**Narrative**  
**Position**  
**Descriptions**

Write narrative position descriptions for both supervisory and nonsupervisory positions to give complete, specific, and current facts as follows.

Element	Description
Introduction	<p>Basic position assignment.</p> <p>Promotion potential, as appropriate.</p> <p>Notation that position is at the full performance or expert level, as appropriate.</p>
Major Duties	<p>Duties that:</p> <ul style="list-style-type: none"> <li>• occupy a substantial portion of the employee’s time</li> <li>• are performed on a regular, recurring basis.</li> </ul> <p>Describe duties using action verbs with an object.</p> <p>Include special requirements, such as access to national security documents, necessity for a qualified typist, etc.</p> <p><b>Note: Do not:</b></p> <ul style="list-style-type: none"> <li>• describe duties in detail that require constant revision, such as precise number of offices served</li> <li>• include detailed, step-by-step procedures.</li> </ul>
Supervision Received	<p>Level of independence, supervisory restrictions, instructions, and guidance under which an employee operates.</p> <p>Kinds of problems or other matters referred to the supervisor.</p> <p>The purpose and extent of review of work.</p> <p>Significant types of actions or decisions not subject to supervisory controls, but for which the employee is responsible.</p>

---

Continued on the next page

**32 Position Description Elements (Continued)**

**B**  
**Supervisory Position Descriptions**      Supervisory position descriptions shall describe supervisory duties and responsibilities separately from other duties and responsibilities of the position as follows.

Element	Description
Introduction	<p>Basic position assignment.</p> <p>Mission or function of the current organization.</p>
Major Duties	<p>Duties that:</p> <ul style="list-style-type: none"> <li>• occupy a substantial portion of the employee’s time</li> <li>• are performed on a regular, recurring basis.</li> </ul> <p>Description of the work directed, and its scope and effect.</p> <p>Working relationships.</p> <p>Any specific authority placed in the position.</p>
Supervision Exercised	<p>The work supervised.</p> <p>The scope and degree of supervisory responsibility, including, as applicable:</p> <ul style="list-style-type: none"> <li>• work planning and organization</li> <li>• work assignment and review</li> <li>• supervisory personnel functions, such as selecting, evaluating, and promoting employees</li> <li>• changing work situations</li> <li>• variety of work</li> <li>• any special situations that may substantially affect the position.</li> </ul> <p>EEO responsibilities.</p>
Supervision Received	<p>Supervisory restrictions, instructions, and guidance under which the incumbent operates.</p> <p>The kinds of problems or other matters that the incumbent refers to the supervisor.</p> <p>The purpose and extent of review of the incumbent’s work.</p> <p>Significant types of actions or decisions that are the incumbent’s responsibility or are not subject to supervisory controls.</p>

Continued on the next page

**32 Position Description Elements (Continued)**

---

**C**

**FES Position Descriptions**

In addition to the requirements for the Introduction and Major Duties described in subparagraph A, include the following information in nonsupervisory FES position descriptions.

<b>Factor</b>	<b>Title</b>	<b>Description</b>
1	Knowledge Required by the Position	Kind or nature of knowledge and skills needed.  How the knowledge and skills are used in doing the work.
2	Supervisory Controls	How the work is assigned and reviewed.  The employee's responsibility for and level of independence in performing the work.
3	Guidelines	The nature of guidelines for performing the work.  Judgment needed to apply the guidelines or develop new guides.
4	Complexity	Nature of the assignment.  Difficulty in identifying what needs to be done.  Difficulty and originality involved in performing the work.
5	Scope and Effect	Purpose of the work.  Impact of the work product or service.
6	Personal Contacts	Personal contacts other than the supervisor.  Conditions under which contacts are made.
7	Purpose of Contacts	Reasons for personal contacts listed in factor 6.  Skill needed to accomplish work through person-to-person activities.
8	Physical Demands	The nature, frequency, and intensity of physical activity.
9	Work Environment	Risks and discomforts imposed by physical surroundings.  Safety precautions needed to avoid accidents or discomfort.

---

33 Supervisory Action

---

**A**  
**Initiating**  
**Classification**  
**Action**

The following table lists the steps required by supervisors to have positions classified.

**Requirement:** A position must always be classified before it can be advertised or filled.

Step	Action
1	Prepare a position description according to paragraph 32.  <b>Note:</b> Contact the servicing classifier to determine whether the position description should be in FES or narrative format.
2	<ul style="list-style-type: none"> <li>• Prepare SF-52 according to 3-PM.</li> <li>• Obtain the appropriate approvals.</li> </ul>
3	Prepare, as necessary, a memorandum requesting and justifying a special security clearance. See paragraph 53.
4	Send each of the documents in steps 1 through 3 to the servicing personnel office no less than 3 weeks before the desired effective date.  <b>Note:</b> If a position is new or otherwise unusual, submit the documents to the servicing personnel office well in advance of the usual timeframe.
5	After the classifier's concurrence with the proposed position description, sign and date AD-332, blocks 19 and 20 to certify: <ul style="list-style-type: none"> <li>• accuracy of the major duties and responsibilities of positions</li> <li>• necessity of the position to carry out Government functions for which the supervisor is responsible.</li> </ul> <b>Note:</b> Field organizations must submit the signed AD-332 at step 4.

---

Continued on the next page



**33 Supervisory Action (Continued)**

---

**B  
Maintaining  
Position  
Descriptions**

The following table lists the steps required by supervisors to maintain position descriptions.

<b>Step</b>	<b>Action</b>
1	Review position descriptions of subordinates at least annually.
2	Update position descriptions to reflect changes, such as: <ul style="list-style-type: none"> <li>• program assignments</li> <li>• supervisory relationships</li> <li>• organization structures.</li> </ul>
3	For positions serviced by: <ul style="list-style-type: none"> <li>• HRD, initiate SF-52, as necessary, to redescribe duties</li> <li>• PD, submit a:                             <ul style="list-style-type: none"> <li>• signed AD-332</li> <li>• memorandum requesting the revision.</li> </ul> </li> </ul>

---

**34 Classifying Positions**

---

**A**

**Basis for Series  
and Grade  
Determinations**

A series determination is based on the:

- duties and responsibilities of the position
- qualifications required by these duties.

A grade determination is based on the:

- level of difficulty and responsibility of the work
  - qualification requirements of the work.
- 

**B**

**Factors Not  
Considered**

Do **not** consider the following factors in determining the grade level of positions:

- volume of work
- financial need of the employee
- salary comparability
- quality of work
- efficiency of performance
- employee's length of service
- difficulty in recruiting for the occupation
- duties performed only in the absence of another employee.

While consistency in classification must be considered, positions shall not be classified by comparison to other positions either within or outside FFAS.

---

Continued on the next page

**34 Classifying Positions (Continued)**

---

**C  
Classifiers'  
Responsibilities**

Classifiers shall:

- review the proposed position description thoroughly and gather any additional relevant information
- assess any impact the proposed position may have on other positions
- discuss questions or concerns with the supervisor
- consider the interests of position management in reviewing the proposed position
- advise management concerning position management problems
- use the appropriate classification standards, and sound classification principles and judgment, in determining the series and grade
- use official titles where they are prescribed
- prepare an evaluation statement, as appropriate, according to paragraph 37
- ensure consistency in the classification of positions within the Agency.

---

Continued on the next page

**34 Classifying Positions (Continued)**

---

**D****Selecting a Standard**

The series and grade of each position shall be classified according to standards issued by OPM. Use the directly applicable standard for series for which a standard has been issued.

**Note:** Other standards may be used to verify the application of criteria provided in series-specific standards.

Use the closest applicable standards as a comparison to determine the grade of a position for which there is either of the following:

- no published standard
- the duties and responsibilities either do not meet or exceed the grade level criteria in the series' standard.

Select standards that cover work as similar as possible to the work being evaluated. Consider the following in selecting the closest applicable standard:

- the kind of work processes, functions, or subject matter of the work performed
  - the qualifications required to do the work
  - the level of difficulty and responsibility
  - the combination of classification factors that have the greatest influence on the grade level.
-

### 35 Reviewing Positions

---

#### A

#### Reviewing Position Descriptions

Supervisors are responsible for ensuring the accuracy of position descriptions. See subparagraph 33 B. Servicing classifiers shall, as necessary, periodically review positions within their delegated authority.

Position descriptions shall be revised if:

- the position description is found to be inaccurate, inadequate, or incomplete
- an organizational unit has been impacted by the addition or deletion of substantive programs, functions, or activities
- a reorganization has taken place that impacts the duties or supervisory relationships described in the position description.

Annotate minor revisions, such as indicating a change in the name of the organizational unit. Significant revisions require a new position description. See subparagraph 33 B.

---

#### B

#### Human Resources Management Reviews

Reviews may also be conducted as part of a regularly scheduled human resources management evaluation. See 13-PM.

---

### 36 Corrective Actions

---

#### A

#### Timeframe

If a desk audit or other review results in a change to a position, corrective action shall be made within 4 pay periods after notifying the manager or supervisor of the reviewed organizational unit.

**Note:** This time period may be extended in unusually complicated or difficult cases.

---

### 37 Evaluation Statements

---

#### A

#### Preparing Evaluation Statements

Servicing classifiers shall prepare evaluation statements according to this paragraph.

---

#### B

#### Evaluation Statement Requirements

An evaluation statement is required for:

- all supervisory positions
  - nonsupervisory positions in any occupation for which:
    - there are no published OPM classification standards or guides
    - a published OPM classification standard or guide exists, but the duties and responsibilities of the position are classified above or below the grade level criteria in the classification standard or guide
  - • more than 1 classification series, standard, or both, applies
  - the classification standard used is in the FES format.
- 

#### C

#### Narrative Nonsupervisory Positions

Evaluation statements for nonsupervisory narrative positions shall:

- reflect the basis for selecting the title and series of the position
  - contain a detailed analysis of the duties and responsibilities of the position in comparison with appropriate OPM classification standards or guides
  - show, by specific example, how the:
    - grade is met
    - lower level is exceeded
    - higher level is not met
  - be signed and dated by the classifier who classifies the position.
- 

Continued on the next page

**37 Evaluation Statements (Continued)**

---

**D  
FES  
Nonsupervisory  
Positions**

FES evaluations shall include the following on AD-332:

- benchmarks, factor level descriptions, or primary standard factor levels used in point rating
  - point values assigned to each factor
  - total point values
  - final grade.
- 

**E  
Supervisory  
Positions**

Complete FSA-392 for supervisory positions.

---

## 38 Desk Audits

---

### A

#### What Is a Desk Audit

A desk audit is an interview held by a classification or personnel specialist with an employee to:

- discuss the employee's major duties and responsibilities
  - determine the proper classification of a position.
- 

### B

#### Purpose of Desk Audits

Desk audits shall be used as a tool to gain information about a position. This paragraph contains detailed information that may be used to:

- verify details of assignments
  - resolve questions
  - aid in determining the series and grade of a position.
- 

### C

#### Applicability of Desk Audits

Desk audits may be appropriate if:

- the duties of a position have significantly and naturally evolved since the position was last classified
  - a document or other review indicates the possibility that a position is misclassified.
- 

### D

#### Requesting a Desk Audit

Desk audits may either be initiated by the servicing personnel office or requested, in writing, by:

- a supervisor
- an employee, with the concurrence of the supervisor.

**Note:** If an employee does not have the supervisor's concurrence, the employee may do either of the following:

- grieve the accuracy of the position description
- appeal the classification of the position according to Part 5.

Neither any representative selected by an employee nor an employee organization shall have the right to be present during any desk audit.

**Note:** A representative may be present if all parties agree.

---

Continued on the next page



### 38 Desk Audits (Continued)

---

#### E

##### Preparing for a Desk Audit

To prepare for the audit, the employee should:

- review his or her position description
  - determine its accuracy
  - make note of any changes or new assignments not reflected in the current position description
  - discuss assignments with the supervisor and attempt to adequately and accurately describe, in writing, the duties of the position
  - prepare responses to audit questions in subparagraph H
  - collect work samples to show the classifier.
- 

#### F

##### Conducting the Desk Audit

A classifier from HRD or PD will conduct the audit.

The servicing classifier may determine that a supervisory audit will be performed instead of a desk audit, particularly if there is potential for an upgrade that would require a competitive action.

The audit may be conducted at the employee's worksite or in the classifier's office, as agreed between the employee and the classifier. For cost and time savings, some audits may be conducted over the telephone. Audits usually last 1 to 1 1/2 hours.

---

#### G

##### What Happens in the Desk Audit

During the audit, the employee will be asked to:

- describe the work he or she does in detail
- provide samples of work products.

The classifier will also discuss the employee's position with the supervisor after the desk audit.

**Note:** Audits do not deal with an employee's job performance.

---

Continued on the next page

**38 Desk Audits (Continued)**

---

**H****Basic Desk Audit Questions**

The following questions are designed to capture information about an employee's job that is related to criteria used for grade, and sometimes series, determination.

- What are the major functions you perform in your job?
- How do you get your assignments?
- Who reviews your work products?
- How is your work reviewed?
- What types of decisions, judgments, or recommendations do you have to make in performing your assigned duties?
- What deadlines must you meet?
- What kinds of problems do you discuss with your supervisor before making a decision or recommendation?
- Are you responsible for the final approval of any work products?
- What guidelines do you use in performing your job?
- Do you perform any work that is not covered by written guidelines?
- What types of decisions do you make without consulting your supervisor?
- With whom do you have personal contacts?
- Do you supervise or oversee the work of any other employee?

**Note:** This list is not all-inclusive.

---

Continued on the next page

38 Desk Audits (Continued)

---

**I  
Desk Audit  
Results**

The classifier compares the work described by the employee and the supervisor to the appropriate classification standard to ensure that the:

- employee’s position is accurately classified
- employee is properly compensated for the work he or she is assigned.

Upon completion of this process, the employee and supervisor are notified of the audit results and any corrective action that may be necessary.

If the findings of a desk audit indicate that the duties performed are classified at a higher grade than that at which the position is currently classified, the following action occurs.

<b>IF all the criteria in subparagraph 104 C are...</b>	<b>AND...</b>	<b>THEN the...</b>
met	the supervisor decides the higher graded duties should remain in the position	position <b>may</b> be upgraded noncompetitively.
<b>not met</b>		higher graded duties shall be reassigned to employees already at that grade.

If position management principles permit, a higher graded position may be advertised through the appropriate merit promotion process.

---

39-51 (Reserved)

**Part 4 Sensitive Positions**

**52 Position Designations**

---

**A**

**Security  
Authorities**

Position sensitivity shall be determined according to 5 CFR Parts 731 and 732.

---

**B**

**Responsibility  
for Position  
Designations**

Classifiers shall designate position suitability risk levels and national security clearance requirements according to OPM regulations. Designations will be documented on FSA-391.

---

**53 Suitability Clearances**

**A Suitability Clearance Criteria**

Every position must be designated at a position risk level commensurate with the public trust responsibilities and characteristics of the position as they relate to the efficiency of the service.

Following are the 3 suitability position risk levels.

<b>Designation</b>	<b>Adverse Impact on the Efficiency of the Service</b>
Low Risk	Duties have a limited relation to the Agency mission. Program responsibilities affect the efficiency of the service.
Moderate Risk	Potential for moderate to serious impact involving duties of considerable importance to the Agency or program mission with significant program responsibilities and delivery of customer services.
High Risk	Potential for exceptionally serious impact involving duties especially critical to the Agency or program mission with broad scope of policy or program authority.

**B HRD WDC Action**

HRD WDC shall:

- determine suitability risk levels according to the Federal Risk Designation System for all positions serviced by HRD
- provide the required forms for employees in positions designated by HRD as Moderate or High Risk
- ensure that public trust clearance forms are completed timely
- review suitability clearance requests from KCHRO
- \*--forward the requests and completed forms to OHCM for their review and approval.--\*

**53 Suitability Clearances (Continued)****\*--C KCHRO Action**

KCHRO shall:--\*

- determine suitability risk levels according to the Federal Risk Designation System for all positions serviced by KCHRO
- provide the required forms for employees in positions designated by KCHRO as Moderate or High Risk
- ensure that forms are completed timely
- request for designation
- position designation record
- completed forms.

**D Division Requests**

Division Directors may contact their assigned classifiers to obtain the risk designations for the positions within their divisions. If a Division Director does not agree with the classification specialist's determination:

- the Division Director shall prepare written justification to support the different risk level
- HRD shall review the justification and determine whether the different risk level is appropriate.

## 54 National Security Clearances

### A Security Clearance Requests

A security clearance is required if the officially assigned work of a position:

- requires access to national security information designated as any of the following:
  - confidential
  - secret
  - top secret
- involves the protection of the nation, such as developing defense plans.

### B Required Justification

Requests for national security clearances shall:

- be submitted by supervisors, in writing, to HRD, as appropriate
- accompany SF-52 to establish or fill any position for which a clearance is required
- include a justification for the request on FSA-143 for HRD action

**Example:** See subparagraph C for an example of a completed FSA-143.

- be submitted **only** for those positions whose duties require access to designated national security information
- be approved by the servicing classification specialist in HRD before processing.

HRD will:

- submit AD-1188 to the Department for processing and file FSA-143 in the employee's security folder

**Notes:** This subparagraph does **not** apply to FAS.

KCHRO shall send requests with position descriptions, position designations, and  
\*--FSA-143's to HRD WDC for approval.--\*

- file FSA-143 in the security folder.

54 National Security Clearances (Continued)

**\*--C Periodic Reinvestigations**

Periodic reinvestigations are required by OPM regulation. Employees holding Top Secret, Secret, and Confidential security clearances are subject to reinvestigations as follows.

Clearance Level	Date Completed Reinvestigation Required
Top Secret	5 years from the closing date of the last investigation.
Secret	10 years from the closing date of the last investigation.
Confidential	15 years from the closing date of the last investigation.

**Note:** Servicing HRO's are urged to schedule the periodic reinvestigation approximately 6 months before the closing date of the last investigation.--\*



54 National Security Clearances (Continued)

**D Example of FSA-143**

Following is an example of a completed FSA-143.

<p><b>FSA-143</b> (10-30-02)</p>		<p><b>U.S. DEPARTMENT OF AGRICULTURE</b> Farm Service Agency</p>		<p>1. DATE OF REQUEST (MM-DD-YYYY) <b>5/29/2004</b></p>	
<p><b>NATIONAL SECURITY CLEARANCE JUSTIFICATION</b></p>				<p>2. DIVISION INITIATING REQUEST <b>ITSD</b></p>	
<p>3A. EMPLOYEE'S NAME <b>John Smith</b></p>		<p>3B. EMPLOYEE'S TITLE, SERIES, AND GRADE <b>Information Technology Spec. 2210-13</b></p>		<p>5. TYPE OF CLEARANCE REQUESTED (Check only one box below):</p> <p><input checked="" type="checkbox"/> CONFIDENTIAL</p> <p><input type="checkbox"/> SECRET</p> <p><input type="checkbox"/> TOP SECRET</p>	
<p>4A. SUPERVISOR'S NAME <b>Margaret Jones</b></p>		<p>4B. SUPERVISOR'S TELEPHONE NUMBER (Including Area Code) <b>202-720-1234</b></p>			
<p>6. DESCRIBE THE DUTIES WHICH REQUIRE ACCESS TO THE LEVEL OF CLASSIFIED NATIONAL SECURITY INFORMATION INDICATED IN ITEM 5.</p> <p><b>John Smith is responsible for telecommunications from overseas and Embassies with potential to contain information classified for national security purposes as confidential.</b></p>					
<p><b>FOR VACANCIES ATTACH TO SF-52; ALL OTHER CHANGES SUBMIT TO FSA / HRD</b></p>					
<p>7A. SUPERVISOR'S SIGNATURE <b>/s/ Supervisor</b></p>			<p>7B. DATE (MM-DD-YYYY) <b>05/29/2004</b></p>		
<p>8A. HEADQUARTER'S DIVISION / FIELD OFFICE / STATE EXECUTIVE DIRECTOR'S SIGNATURE <b>/s/ Division Director</b></p>			<p>8B. DATE (MM-DD-YYYY) <b>05/30/2004</b></p>		
<p>9A. DEPUTY ADMINISTRATOR'S SIGNATURE <b>/s/ Deputy Administrator for Management</b></p>			<p>9B. DATE (MM-DD-YYYY) <b>06/03/2004</b></p>		
<p><b>FOR HRD'S USE ONLY</b></p>					
<p>10. <input type="checkbox"/> APPROVED <input type="checkbox"/> DISAPPROVED</p>					
<p>11. COMMENTS</p>					
<p>12A. HRD CLASSIFIER'S SIGNATURE</p>			<p>12B. DATE (MM-DD-YYYY)</p>		



**54 National Security Clearances (Continued)****D HRD Action**

HRD shall take the following action on all requests for security clearances:

- review requests according to OPM regulations
- ensure that duties and responsibilities necessitating access to national security information are documented in the position descriptions
- as necessary, meet with the requesting officials to resolve questions or request additional justification
- notify the requesting officials whether the requests are approved
- forward the approved requests to the Services Group, HRD.

The Services Group, HRD shall:

- provide the employees with the required forms for completion
- ensure that forms are completed within 10 workdays
- \*--forward the requests for the security clearances and the completed forms to OHCM for review and approval.

**E Limitation on Access**

Security clearance investigations take 6 months or more to complete. An employee's security clearance will be considered confirmed **only** when final OHCM notification of--\* approval is received by HRD. Until HRD receives the notification, the employee must **not** perform duties that require access to national security information.

54 National Security Clearances (Continued)

**F Reviewing Positions**

Supervisors shall periodically review positions requiring national security clearances to ensure that these positions still need clearance.

<b>IF...</b>	<b>THEN the...</b>
special clearance is no longer required	supervisor shall notify HRD in writing.  <b>Note:</b> Supervisors of offices serviced by KCHRO shall notify HRD through KCHRO.
HRD or KCHRO questions the need for continuing the special clearance	appropriate classifier shall request the division to provide further justification for continuing the clearance.

## 55 Cyber Security

**A Background**

\*--In addition to top level national security clearances and OMB Circular A-130, Management of Federal Information Resources, Appendix III, requires OCIO to establish and maintain secure computer system operations. OCIO is responsible for ensuring that employees who have access to USDA systems are who they say they are and only have access to the systems needed, therefore, security clearances are required for all employees.--\*

HRD has responsibility for personnel security. Suitability determinations are adjudicated by USDA and reported to HRD. The responsibility of cyber security is multi-functional.

**B Temporary Employees With Appointments Less Than 6 Months**

NACI are not required for temporary employees with less than a 6-month appointment. To satisfy cyber security requirements, temporary employees who are on appointments for less \*--than 6 months will be required to obtain OFI Form 86C's. OFI Form 86C is offered through OPM and is a quick way to secure a preliminary check of an employee and reduce the risk and exposure to USDA from employing an individual with a criminal history.

**Note:** OFI Form 86C is available on the FFAS Employee Forms Online web site at <http://165.221.16.90/dam/ffasforms/forms.html> by:

- clicking "Find Current Forms Using Our Form Number Search"
- selecting "Misc" from the "Forms Prefix" drop-down box
- entering "OFI86C" in the "Form Number" box.--\*

Employee must complete AD-2050, SF-85, and SF-87. The servicing HRO, upon receiving the completed AD-2050, SF-85, and SF-87, will complete OFI Form 86C (Exhibit 11) and submit the required forms to OPM according to Exhibit 10.

The servicing HRO shall file AD-2050 and SF-85 in the employee's security folder. These forms are **not** sent to OPM but are required for documentation of the employee's authorization for release of information.

When the appropriate paperwork has been submitted to OPM, the servicing HRO will complete AD-2049, and submit to ITSD's Security Office for access to needed systems.

## 55 Cyber Security (Continued)

**C Permanent Employees and Temporary Employees With Appointments of 6 Months or More**

\*--HRD classification specialist will determine the proper risk level and assign the proper BI.--\* Employee must complete the necessary forms. See Exhibit 10 for the appropriate security forms and addresses to submit paperwork for clearance.

If access is needed to systems before the completion of BI, then an initial finger print and credit check through the Special Agreement Contract can be processed. See Exhibit 11 for instructions on completing OFI Form 86C. The employee would complete the appropriate clearance form as designated (SF-85, SF-85P, or SF-86). See Exhibit 10 for the appropriate security forms and addresses to submit paperwork for clearance.

\*--When the appropriate security forms have been submitted according to Exhibit 10, the servicing HRO shall:

- complete AD-2049 indicating BI has been initiated
- submit AD-2049 to ITSD's Security Office for access to needed systems.

**D Sensitivity/Risk Level of Permanent Positions**

An employee's position may require access to highly sensitive and classified information and have a serious impact on FSA's mission. BI's can take 6 months to complete and an employee's BI will be considered confirmed only when notification of approval is received by HRD.

OFI Form 86C in conjunction with BI should only be used for permanent employees, if their positions or functions are designated as sensitive and would require a full investigation before ITSD will grant access to systems.

The upfront cost of OFI Form 86C will be deducted from BI as long as the investigation is scheduled within 120 calendar days of OFI Form 86C. A response from OPM is received within 5 to 7 calendar days and includes a case closing transmittal sheet indicating whether there is a record with FBI, and if so, the arrest record is attached. The servicing HRO shall complete OFI Form 86C according to Exhibit 11, and submit AD-2049 to ITSD's Security Office for access to needed systems.--\*

55 Cyber Security (Continued)

E Example of AD-2049

The following is an example of AD-2049.

This form is available electronically. <b>AD-2049</b> U. S. DEPARTMENT OF AGRICULTURE (07-27-05) Farm Service Agency		1. DATE SECURITY FORM SUBMITTED TO OPM (MM-DD-YYYY)
<b>INFORMATION TECHNOLOGY SECURITY NOTIFICATION</b> <b>ATTN: SECURITY OFFICER</b>		2. REQUESTING AGENCY (Check One) FAS <input type="checkbox"/> FSA <input type="checkbox"/> RMA <input type="checkbox"/>
This form is completed by Human Resources Office (HRO). When the appropriate paperwork has been submitted HRO will submit to ITSD's Security Officer.		
3. AGENCY/DIVISION/BRANCH OF EMPLOYEE:		
4A. EMPLOYEE'S NAME (Last, First, Middle Initial)	4B. EMPLOYEE'S TITLE	4C. EMPLOYEE'S SERIES/GRADE
5. TYPE OF BACKGROUND INVESTIGATION/CLEARANCE REQUESTED:		
6A. HRD SECURITY CONTACT NAME (Last, First, Middle Initial)	6B. SIGNATURE OF HRD SECURITY CONTACT	6C. DATE SIGNED (MM-DD-YYYY)
The U.S. Department of Agriculture (USDA) prohibits discrimination in all its programs and activities on the basis of race, color, national origin, gender, religion, age, disability, political beliefs, sexual orientation, and marital or family status. (Not all prohibited bases apply to all programs.) Persons with disabilities who require alternative means for communication (Braille, large print, audiotape, etc.) should contact USDA's TARGET Center at (202) 720-2600 (voice and TDD). To file a complaint of discrimination, write USDA, Director, Office of Civil Rights, Room 326-W, Whitten Building, 1400 Independence Avenue, SW, Washington, D. C. 20250-9410 or call (202) 720-5964 (voice or TDD). USDA is an equal opportunity provider and employer.		

**F Example of AD-2050**

The following is an example of AD-2050.

<p><b>This form is available electronically.</b></p>		
<p><b>AD-2050</b> (07-27-05)</p>	<p style="text-align: center;"><b>U. S. DEPARTMENT OF AGRICULTURE</b> Farm Service Agency</p> <p style="text-align: center;"><b>AUTHORIZATION FOR RELEASE OF INFORMATION/BACKGROUND SECURITY CHECK</b></p>	<p>1. REQUESTING AGENCY (Check one):</p> <p>FAS <input type="checkbox"/> FSA <input type="checkbox"/> RMA <input type="checkbox"/></p>
<p><b>PART A - BACKGROUND VERIFICATION DISCLOSURE</b></p>		
<p><i>As part of the employment process, Background Checks Systems, Inc. hereby known as "The Company", may obtain a consumer report and/or Investigative Consumer Report. The Fair Credit Reporting Act as amended by the Consumer Reporting Reform Act of 1996, requires that we advise you that for the purposes of employment only, a Consumer Report may be made which may include information about your credit standing, credit capacity, character, general reputation, personal characteristics or mode of living. Upon written request, additional information as to the nature and scope of the report, if one is made, will be provided, in the event the Report contains information regarding your character, general reputation, personal characteristics or mode of living.</i></p>		
<p><b>PART B - AUTHORIZATION AND RELEASE</b></p>		
<p><i>During the application process and at any time during any subsequent employment, I hereby authorize _____, on behalf of The Company to procure a Consumer Report, which I understand may include information regarding my credit worthiness, credit standing, credit capacity, character, general reputation, personal characteristics, or mode of living. This report may be compiled with information from credit bureaus, court record repositories, departments of motor vehicles, past or present employers and educational institutions, governmental occupational licensing or registration entities, business or personal references, and any other source required to verify information that I have voluntarily supplied. I understand that I may request a complete and accurate disclosure of the nature and scope of the background verification; to the extent such investigation includes information bearing on my character, general reputation, personal characteristics or mode of living. I authorize without reservation, any party or agency contacted to furnish the above mentioned information and release all parties involved from liability and responsibility for doing so. This authorization and consent shall be valid in original, fax, or copy form.</i></p>		
<p><i>The following information is required by law enforcement agencies and other entities for identification purposes when checking records. It is confidential and will not be used for any other purpose.</i></p>		
<p>1. PRINT FULL NAME (Last, First, Middle Initial)</p>	<p>2. SEX</p> <p>FEMALE <input type="checkbox"/> MALE <input type="checkbox"/></p>	
<p>3. PRINT OTHER NAMES YOU HAVE USED (Last, First, Middle Initial)</p>	<p>4. DATES OTHER NAMES WERE USED (MM-DD-YYYY)</p>	
<p>5. ADDRESS (Street, City, State, Zip Code)</p>		
<p>6A. CURRENT DRIVER'S LICENSE NUMBER</p>	<p>6B. ISSUING STATE</p>	
<p>7A. OTHER DRIVER'S LICENSE NUMBER</p>	<p>7B. ISSUING STATE</p>	
<p>8A. APPLICANT'S SIGNATURE</p>	<p>8B. DATE (MM-DD-YYYY)</p>	
<p><i>The U.S. Department of Agriculture (USDA) prohibits discrimination in all its programs and activities on the basis of race, color, national origin, gender, religion, age, disability, political beliefs, sexual orientation, and marital or family status. (Not all prohibited bases apply to all programs.) Persons with disabilities who require alternative means for communication of program information (Braille, large print, audiotape, etc.) should contact USDA's TARGET Center at (202) 720-2600 (voice and TDD). To file a complaint of discrimination, write USDA, Director, Office of Civil Rights, Room 326-W, Whitten Building, 1400 Independence Avenue, SW, Washington, D. C. 20250-9410 or call (202) 720-5964 (voice or TDD). USDA is an equal opportunity provider and employer.</i></p>		



**55 Cyber Security (Continued)**

**G Documentation**

The servicing HRO's will:

- receive certificates when \* \* \* BI's are completed
- file certificates in the employee's security file in the appropriate HRD office.

**\*--H Basic Filing Requirements**

The servicing HRO's shall use either of the following options to file investigation forms:

- combine security forms with existing employee's payroll folder
- create a separate security folder for filing security forms.

File signed, original investigation forms in the security and/or payroll file.

Upon completing the investigation, OPM shall:

- send the servicing HRO a pending investigation notice to be filed on the left side of the Official Personnel Folder
- file the final Certificate of Clearance from OPM on the right side of the Official Personnel Folder.--\*

**56-76 (Reserved)**

**Part 5 Appeals Procedures**

**77 Overview**

---

**A**

**Introduction**

This part:

- includes information about the FFAS classification appeals procedures for Federal positions
  - applies to GS positions, except as otherwise noted for WG positions.
- 

**B**

**Timeframe for Filing Appeals**

Employees or supervisors may file an appeal concerning a classification decision at any time. See paragraph 83 for deadlines for protection of retroactive benefits.

---

**78 What May Be Appealed**

---

**A**

**Appealable Classification Decisions**

An employee may appeal:

- the series or grade of the position to which the employee is currently and officially assigned
  - whether the position is included or excluded from GS.
- 

**B**

**Appealing the Title**

The title of a position may be appealed if it:

- is an authorized title specified in the appropriate OPM position classification standard or flysheet
  - reflects a qualification requirement or an authorized area of specialization.
-

**79 What May Not Be Appealed**

---

**A****Grievable Issues**

The following issues cannot be appealed, but may be addressed under administrative or negotiated grievance procedures according to 5 CFR 511.607:

- inclusion or exclusion of a major duty in the official position description, or the accuracy of the official position description
  - an assignment or detail out of the scope of the normally performed duties as contained in the official position description
  - the accuracy, consistency, or use of Agency supplemental classification guides
  - the title of a position unless it meets the criteria specified in subparagraph 78 B
  - inclusion of the position under the GM pay schedule.
- 

**B****Nonreviewable Issues**

The following issues are not appealable nor reviewable according to 5 CFR 511.607:

- the series, grade, or pay system of a position to which the employee is detailed or temporarily promoted, unless the appellant is serving under a term promotion
  - a proposed classification
  - the classification of a position to which the employee is not assigned by an official personnel action
  - the classification of the employee's position based on comparisons with other positions, and not published OPM standards and guides
  - the adequacy or accuracy of the classification criteria contained in an OPM classification standard or guide
  - the classification of a position that has been certified by OPM as the result of an appeal when there has been no change in the governing classification standards or guides or the major duties of the position.
-



**80 Resolving Position Classification Questions**

**A Policy to Resolve Questions**

Employees, supervisors, and the servicing personnel office shall try to resolve classification questions before they develop into position classification appeals.

**B Accuracy of the Position Description**

Before an appeal is filed, the supervisor and employee shall try to agree on the description of duties assigned to the position. If, during an appeal, the accuracy of the position description cannot be resolved between the employee and the supervisor, the appeal will be decided on the basis of the actual duties and responsibilities assigned by management and performed by the employee.

**Note:** The employee will retain the right to grieve the accuracy of the position description under subparagraph 79 A.

**81 Notice of Appeal Rights Regarding Classification Actions**

**A Notification of Classification Decision**

If a classification action could result in a lower grade or rate of basic pay for an encumbered position, the servicing personnel office shall promptly notify the supervisor. The supervisor shall consider realigning work to support the existing grade. If the work cannot be realigned, the servicing personnel office shall promptly notify the employee in writing.

**B Contents of Notice**

The notice shall:

- advise the employee of grade and pay protection, and time limits
- advise the employee of appeal rights and filing procedures
- specify time limits for filing an appeal if the employee is to establish or preserve the right to any retroactive adjustment that may be warranted. See paragraph 82.

**82 Provisions for Protecting Retroactive Benefits**

**A Entitlement to Benefits**

An appeal decision that reverses a classification action that resulted in a downgrading or loss of compensation may entitle an employee to retroactive benefits if the classification appeal is \*--filed with PD, HRD, OHCM, or OPM within 15 calendar days after the effective date of--\* the FFAS personnel action.

**B Subsequent Appeals**

Subsequent appeals of lower level appellate decisions must be filed within 15 calendar days after that lower level decision.

**C Extending Deadlines**

Time limits may be extended if the employee can show either of the following:

- there was no notification of time limits
- there were extenuating circumstances.

83 Options for Filing an Appeal

A List of Options for Filing Appeals

\*--An appeal of a WG employee may be filed with the Director, HRD or Director, OHCM at--\* any time. See subparagraph 86 A for the timeframe for filing an appeal with OPM.

**Exception:** If the employee requests reconsideration of a classification action that results in a reduction in grade or pay level, for the employee to be entitled to retroactive corrective action, the appeal must be filed within 15 calendar days of the effective date of the downgrading or other classification action.

The following table lists the options for filing a GS classification appeal.

**Note:** Employees serviced by PD may first file an appeal with the Chief, PD. Decisions rendered by PD may then be appealed according to the following table.

<b>IF an appeal is filed with the...</b>	<b>THEN the appeal...</b>	<b>AND the decision...</b>
Director, HRD	may receive the maximum number of reviews	serves as the final FFAS determination.
Director, *--OHCM--*	may also be filed with the appropriate OPM regional office	serves as the final USDA determination.
appropriate OPM regional office	may only be reviewed at this level	is final and there is no further right of appeal.

B KCHRO Appeals

KCHRO has delegated authority to develop its own appellate procedural system for employee classification appeals. These procedures shall:

- be in writing
- be available to all employees
- cover all positions within GS for which classification authority has been delegated
- not infringe upon or interfere with the right of employees to appeal directly to HRD, \*--OHCM, or OPM.--\*

84 **Appeal Process**

**A Steps in Appeal Process**

The following table lists the steps in the process of an appeal to HRD.

<b>Step</b>	<b>Action</b>
1	The employee submits written appeal to the Director, HRD.
2	Director, HRD shall notify the appellant of the receipt of the application.  Neither a representative selected by the employee nor an employee organization shall have the right to be present during any desk audit that may be conducted.  <b>Note:</b> A representative may be present if all parties agree.
3	The employee shall: <ul style="list-style-type: none"> <li>• be granted a reasonable time to develop and present material supporting the appeal</li> <li>• be free from restraint, interference, coercion, or reprisal in presenting the appeal</li> <li>• promptly provide requested facts.</li> </ul> <b>Note:</b> HRD may cancel the appeal if the employee fails to provide required information or otherwise fails to proceed with the advancement of the application in a timely manner.
4	Director, HRD shall process the appeal and render a decision promptly.

**B Contents of Appeals**

An appeal by an employee shall be in writing and shall contain the reasons why the employee believes his or her position is erroneously classified, or should be brought under or excluded from the GS system.

**C Agreement of Duties**

The employee and the supervisor should agree on the description of the duties and responsibilities performed.

If they disagree, the supervisor shall provide a statement indicating the:

- points upon which they disagree
- nature of the disagreements.

In the absence of agreement between the employee and the supervisor, the appeal will be decided on the basis of the actual duties and responsibilities assigned by management and performed by the employee.



84 Appeal Process (Continued)

**D HRD Action**

HRD shall determine and take the appropriate action necessary to review the appeal.

**E HRD Decision**

The decision shall:

- be based on the record
- be provided in writing to the appellant, supervisor, and servicing personnel office as necessary
- inform the employee of the effective date and reasons for the decision, including a comparison of the position with the appropriate standards
- advise the employee of the right to appeal the decision to a higher level.

**Note:** That appeal must be filed within 15 calendar days after the receipt of the Agency decision.

**F Effect of Filing an Appeal**

\*--The filing of an employee appeal with PD, HRD, OHCM, or OPM shall not stop a--\* classification action proposed or taken.

**85    Appealing OPM Certificates**

**A   FFAS Appeals**

HRD may appeal OPM certificates issued under 5 U.S.C. 5103 or 5 U.S.C. 5110.

- \*--Forward appeals to the Director, OHCM as soon after receipt as possible.
- OHCM must submit the appeals to OPM within 45 calendar days of the certificate--\* date.

**86    Wage Grade Appeals**

**A   Appealing to OPM**

WG employees may file an appeal to the appropriate OPM regional office only after a \*--decision has been issued by the Director, OHCM.--\*

Appeals must be filed within 15 calendar days after receipt of the decision. OPM may extend this time limit if the employee shows that:

- he or she was not notified of the applicable time limit and was not otherwise aware of it
- circumstances beyond the employee's control prevented him or her from filing the appeal within the prescribed time limit.

Appeals shall:

- be submitted in writing
- identify specifically the portions of the decision or classification analysis with which the employee disagrees.

OPM decisions are considered final.

**87-101 (Reserved)**

**Part 6 Position Management**

**102 Position Management Objectives**

---

**A**

**Definition of  
Position  
Management**

Position management is the continuous and systematic process of ensuring that organization positions and functions are efficiently and economically structured.

---

**B**

**Scope**

Position management determines:

- the type of organizational structure that is required to accomplish the functional assignments of each organizational unit
  - how jobs should be designed within that structure
  - how many positions are needed.
- 

Continued on the next page

**102 Position Management Objectives (Continued)**

---

**C  
Objectives**

The objectives of position management are to:

- establish the fewest number of positions needed to effectively accomplish assigned functions
  - assign work to employees that is commensurate with their established grade level
  - clearly structure positions to avoid overlapping duties or responsibilities
  - abolish vacant positions if the duties can be redistributed or eliminated
  - optimize employee-to-supervisor ratios
  - limit the number of deputy and assistant positions, both line and staff
  - minimize the number of organizational levels, with emphasis on delegation and decentralization to the lowest possible working level
  - establish positions at the "entry" or "technician" level where possible to ensure:
    - a balance between employees who perform full performance level duties of the organizational unit and developing employees who perform the more routine, lower level duties
    - opportunities for career development.
-

**103 Position Management Responsibilities**

---

**A****Policy**

FFAS is responsible for planning and implementing a position management system to ensure that positions and functions are efficiently and economically structured within each organizational unit.

---

**B****DAM Responsibility**

DAM:

- serves as the FFAS position management coordinator
  - is responsible for the following functions of the FFAS position management system:
    - development
    - implementation
    - oversight.
- 

**C****Management Support Responsibility**

Management support personnel, including personnel specialists, budget analysts, and management analysts, shall provide advice and guidance to the coordinator, managers, and supervisors on the development and implementation of the position management system.

---

**D****Managers' Responsibility**

Managers and supervisors shall:

- plan and implement effective position management policies in their organizational units
  - ensure that duties assigned to employees within their organizational units are commensurate with the established grade levels
  - annually:
    - evaluate the use of employees
    - identify areas for improvement
    - submit proposals for changes in ceiling to DAM, through the appropriate levels of concurrence.
-

**104 Accretion of Duties**

---

**A****Exception to  
Competitive  
Procedures**

Supervisors shall ensure that assigned duties are commensurate with employees' established grade levels. Occasionally, an assigned area of responsibility may be impacted by unforeseen circumstances that inherently increase the scope and complexity of the assignment, such as a significant legislative or regulatory change. In some of those instances, the change may impact the classification of the position.

---

**B****Applicability**

Noncompetitive promotions shall:

- be considered on a case-by-case basis
  - generally require a desk audit to evaluate the additional duties and responsibilities.
- 

**C****Criteria**

All of the following criteria shall be met for an employee to be considered for noncompetitive promotion:

- \*--the higher level duties could not have been anticipated when the duties were originally assigned--\*
- the employee continues to perform the same basic functions previously assigned
- the major duties of the former position are absorbed into the new position
- the new position has no further promotion potential
- the classification of other positions within the employee's division is not adversely affected
- the action does not result in another employee in the division at the same series \*--and grade, performing the same type of work, being denied the--\* opportunity to compete for the higher graded position
- the new position is not a reclassification from nonsupervisory to supervisory status.

**Note:** Individual cases may have other factors that affect the consideration for noncompetitive promotion.

---

**105 Career Ladders**

---

**A****Purpose**

Career ladders are used to develop candidates for full performance level positions. Employees:

- are competitively brought into the lower grade levels of career ladder positions
  - advance noncompetitively through training and experience to the full performance level.
- 

**B****Using Career Ladder Patterns**

A career ladder pattern establishes the typical noncompetitive progression of positions in a particular series. While most positions in a series will follow the established career ladder pattern, the full performance level of some positions in that series may be lower or higher than that reflected in the career ladder pattern.

---

**C****Promotion Potential**

The full performance level:

- reflects the promotion potential of individual positions
- is the level at which the employee has independent responsibility for the full cycle of work assigned to the position.

**Note:** In most cases, this will be the highest grade of the career ladder pattern for the series in which the position is classified.

See paragraph 32 for inclusion in the position description.

---

**D****Condition**

Advancement within career ladders is not automatic or mandatory. There is no guarantee that an employee in a career ladder will be promoted. A commitment to promote at a set time must not be made. Supervisors shall regularly discuss with employees:

- performance standards
  - accomplishments
  - areas for improvement.
- 

Continued on the next page

**105 Career Ladders (Continued)**

---

**E**

**Exceeding the Career Ladder Pattern**

The grade of certain positions may exceed the highest level provided by the established career ladder pattern. The term expert refers to incumbents of positions which exceed the career ladder pattern. In meeting the grade level criteria established in the classification standards, those positions generally require:

- independent responsibility for a major program area of significant impact to the Agency
- special program expertise.

See paragraph 32 for inclusion in the position description.

---

**F**

**Lists of Career Ladder Patterns**

Exhibits 4 through 6 contain lists of career ladder patterns for FSA, FSA, and RMA.

- Only major occupational series are listed. Consult the servicing personnel office if an employee's series is not listed.
  - Because of variations in work requirements, some positions may have full performance levels that are different than those listed. See subparagraph C.
-



## Reports, Forms, Abbreviations, and Redelegations of Authority

### Reports

None

### Forms

This table lists all forms referenced in this handbook.

<b>Number</b>	<b>Title</b>	<b>Display Reference</b>	<b>Reference</b>
AD-2049	Information Technology Security Notification Attn: Security Officer	55	
AD-2050	Authorization for Release of Information/Background Security Check	55	Ex. 10
AD-332	Position Description Cover Sheet		33, 37
AD-1188	Justification for Requested Security Clearance		54, Ex. 10
FSA-143	National Security Clearance Justification	54	
FSA-391	Position Designation Record		52
FSA-392	Position Evaluation Summary for the General Schedule Supervisory Guide		37
OF-306	Declaration for Federal Employment		Ex. 10
OFI Form 86C	Special Agreement Checks (SAC)	Ex. 11	55, Ex. 10
SF-52	Request for Personnel Action		33, 54
SF-85	Questionnaire for Non-Sensitive Positions		55, Ex. 10
SF-85P	Questionnaire for Public Trust Positions		55, Ex. 10
SF-86	Questionnaire for National Security Positions		55, Ex. 10
SF-87	Fingerprint Check		55, Ex. 10

**Reports, Forms, Abbreviations, and Delegations of Authority (Continued)**

**Abbreviations Not Listed in 1-CM**

The following abbreviations are not listed in 1-CM.

<b>Approved Abbreviation</b>	<b>Term</b>	<b>Reference</b>
ANACI	access National Agency Check Inquiries	Ex. 10
BI	background investigation	55, Ex. 10
CFO	Compliance Field Office	Ex. 5
FES	Factor Evaluation System	32, 33, 37
GS	General Schedule	1, 3, 77-79, 82, 84, 105
HRO	Human Resource Office	54, 55, Ex. 2, 10, 11
KCHRO	Kansas City Human Resource Office	53, 54, Ex. 2, 10
MBI	minimum background investigation	Ex. 10
NACI	National Agency Check Inquiries	55, Ex. 10
OHCM	Office of Human Capital Management, USDA	2, 16, 53, 54, Part 5
OCIO	Office of the Chief Information Officer	55
PD	Personnel Division, KCHRO	2, 16, 33, 53, 54, 82-84
PDSD	Personnel and Document Security Division, USDA	Ex. 10
SSBI	single scope background investigation	Ex. 10
WG	Wage Grade	1, 3, 77, 83, 86, 105

**Re Delegations of Authority**

None

**Definitions of Terms Used in This Handbook****Classification of Positions**

Classification of positions is the method used to determine the title, series, and grade of a position.

**Desk Audit**

A desk audit is an interview held by a classification or personnel specialist with an employee to:

- discuss the employee's major duties and responsibilities
- determine the proper classification of a position.

**Major Duties**

Major duties are those which represent the primary reason for the position's existence and which govern the qualification requirements. Typically, they occupy most of the employee's time.

**\*--Personnel Office or HRO**

The personnel office or HRO is the organizational unit designated to perform a variety of--\* personnel functions, such as classification, staffing, and employee services, for specific organizational segments.

**Position Description**

A position description is a written statement of a position's major duties and responsibilities.

**Position Management**

Position management is the continuous and systematic process of ensuring that organization positions and functions are efficiently and economically structured.

**Regular and Recurring Duties**

Regular and recurring duties are the foundation of most positions. They may be performed in a continuous, uninterrupted manner, or they may be performed at recurring intervals. Within reason, the time intervals between the performance of recurring duties is not as important as the fact that the duties recur with a somewhat anticipated frequency. One-time only or temporary duties generally do not affect the series or grade level of a position.

**Definitions of Terms Used in This Handbook (Continued)**

**Sensitive Position**

A sensitive position is a designated position, the occupant of which could bring about, because of the nature of the position, a material adverse effect on national security.

**Servicing HRO**

A servicing HRO is WDC HRD, KCHRO, and State Offices.

**Career Ladder Patterns for FSA**

<b>Title</b>	<b>Series</b>	<b>National Office</b>	<b>KCCO, KCMO, State Offices</b>	<b>APFO</b>
Accountant	GS-510	5/7/9/11/12	5/7/9/11/12	
Accounting Technician	GS-525	4/5/6/7	4/5/6/7	
Accounts Data Technician	GS-503		3/4/5	
Administrative Clerk	GS-303		4/5	
Administrative Officer	GS-341		7/9/11/12	
Administrative Technician	GS-303		4/5/6/7	
Agricultural Credit Technician	GS-1101		5/6/7	
Agricultural Economist	GS-110	5/7/9/11/12/13		
Agricultural Management Specialist	GS-475	5/7/9/11/12	5/7/9/11	
Agricultural Marketing Specialist	GS-1146	5/7/9/11/12	5/7/9/11/12	
Agricultural Program Clerk	GS-1101		4/5	
Agricultural Program Specialist	GS-1145	5/7/9/11/12	5/7/9/11	
Appraiser	GS-1171		7/9/11	
Budget Analyst	GS-560	5/7/9/11/12	5/7/9/11/12	
Budget Assistant	GS-561	4/5/6		
Cartographic Technician	GS-1371			5/6/7
Claims Clerk	GS-998		3/4/5	
Claims Examiner	GS-990		5/7/9/11	
Claims Specialist	GS-990	5/7/9/11/12		
Computer Assistant	GS-335		4/5/6	
Computer Clerk	GS-335		3/4/5	
Computer Specialist	GS-334	5/7/9/11/12	5/7/9/11/12	5/7/9/11
Contract Specialist	GS-1102	5/7/9/11/12	5/7/9/11/12	5/7/9/11/12

Continued on the next page

**Career Ladder Patterns for FSA (Continued)**

<b>Title</b>	<b>Series</b>	<b>National Office</b>		<b>KCCO, KCMO, State Offices</b>	<b>APFO</b>
Editorial Assistant	GS-1087	4/5/6/7			
Editor, Printed Media	GS-1082	5/7/9			
EEO Specialist	GS-260	5/7/9/11/12		5/7/9/11	
Employee Development Specialist	GS-235	5/7/9/11/12		5/7/9/11/12	
Employee Relations Specialist	GS-230	5/7/9/11/12		5/7/9/11/12	
Freight Rate Specialist	GS-2131			5/6/7/8/9	
International Services Assistant	GS-303	5/6/7			
Legal Instruments Examiner	GS-963			5/6/7/8	
Loan Specialist	GS-1165			5/7/9/11	
Management Analyst	GS-343	5/7/9/11/12		5/7/9/11/12	
Management Assistant	GS-344	4/5/6		5/6/7	
Motor Vehicle Operator	WG-5703	3/4/5		5/6	
Office Automation	GS-326	2/3/4/5		2/3/4	2/3/4
Personnel Clerk	GS-203	3/4/5		3/4/5	
Personnel Staffing Specialist	GS-212	5/7/9/11/12		5/7/9/11/12	
Photographer	GS-1060				5/6/7/8/9
Position Classification Specialist	GS-221	5/7/9/11/12		5/7/9/11/12	
Program Analyst	GS-343			5/7/9/11/12	
Public Affairs Specialist	GS-1035	5/7/9/11/12			
Purchasing Agent	GS-1105	5/6/7		5/6/7	
Secretary	GS-318	Section	4/5	4	4
		Branch	4/5/6	4/5	4/5
		Div.	5/6/7	4/5/6	4/5/6

Continued on the next page

**Career Ladder Patterns for FSA (Continued)**

<b>Title</b>	<b>Series</b>	<b>National Office</b>	<b>KCCO, KCMO, State Offices</b>	<b>APFO</b>
Supply Clerk or Technician	GS-2005	3/4/5/6	2/3/4/5	
Systems Accountant	GS-510	5/7/9/11/12	5/7/9/11/12	
Telecommunications Equipment Operator	GS-390	5/6/7		
Traffic Management Specialist	GS-2130	5/7/9/11	5/7/9/11	
Transportation Clerk	GS-2102		3/4/5	
Travel and Transportation Specialist	GS-2101	5/7/9		
Voucher Examiner	GS-540		3/4/5	
Warehouse Examiner	GS-1850		5/7/9/11	

Career Ladder Patterns for RMA

Title	Series	National Office	R&D Kansas City Office	Field Offices
Accountant	GS-510		7/9/11/12	
Accounting Technician	GS-525		5/6/7/8	
Agricultural Economist	GS-110		5/7/9/11/12	
Budget Analyst	GS-560		5/7/9/11/12	
Compliance Investigator	GS-1801	5/7/9/11/12		5/7/9/11/12 (CFO's)
Computer Specialist	GS-334		5/7/9/11/12	
Crop Insurance Underwriter	GS-1162			5/7/9/11/12 (RSO's)
Insurance Management Specialist	GS-1101	5/7/9/11/12	5/7/9/11/12/13	5/7/9/11/12 (RSO's)
Management Analyst	GS-343	5/7/9/11/12		
Office Automation Clerk or Assistant	GS-326	4/5	4/5	4/5 (CFO's; RSO's)
Paralegal Specialist	GS-950	5/7/9/11/12		
Program Analyst	GS-343	5/7/9/11/12	5/7/9/11/12	
Administrative or Program Assistant	GS-303			5/6/7/8 (CFO's)
Public Affairs Specialist	GS-1035	5/7/9/11/12		
Regulatory Specialist	GS-1101	5/7/9/11/12		
Secretary	GS-318	Division 4/5/6	Division 4/5/6/7 Branch 4/5/6	Director 4/5/6 Branch 4/5 (RSO's)
Staff Assistant	GS-301			5/7/9/11 (RSO's)
Statistical Assistant	GS-1531		5/6/7	
Statistician, Agricultural	GS-1530		5/7/9/11/12	
Survey Statistician	GS-1530		5/7/9/11/12	5/7/9/11/12 (RSO's)
Systems Accountant	GS-510		5/7/9/11/12	



**Career Ladder Patterns for FAS**

<b>Title</b>	<b>Series</b>	<b>National Office</b>	
Agricultural Marketing Specialist	GS-1146	5/7/9/11/12	
Compliance Review Specialist	GS-1801	9/11/12	
Economist	GS-110	7/9/11/12	
EEO Specialist	GS-260	9/11/12	
Import Control Specialist	GS-1101	11/12	
Public Affairs Specialist	GS-1035	9/11/12	
Secretary	GS-318	Branch	5/6
		Division	6/7
Traffic Management Specialist	GS-2130	11/12	



**Security Clearances**

**A Public Trust Positions**

<p><b>Public Trust Positions:</b> Public trust positions are positions that have the potential for adverse impact to the integrity and efficiency of the organization’s mission. These positions are deemed sensitive in nature and designated by the level of impact to the mission. Public trust positions have either a moderate or high risk level designation. Positions deemed:</p> <ul style="list-style-type: none"> <li>• high risk public trust have potential for exceptionally serious impact on the Agency’s mission</li> <li>• moderate risk public trust have the potential for moderate to serious impact on the Agency’s mission.</li> </ul> <p>These positions do not require a security clearance but <b>do</b> require a background investigation to determine suitability to occupy the position. Public trust positions require completing SF-85P.</p> <p>Low risk, nonsensitive positions have a limited impact on the Agency’s mission and are not considered “public trust positions”. These low risk positions require completing SF-85.</p>				
<b>Sensitivity/Risk Level</b>	<b>Security Clearance Access Level</b>	<b>Minimum Investigation</b>	<b>Required Forms</b>	<b>Submitting Forms</b>
Low Risk – Non Sensitive	None	<p>NACI</p> <p><b>*--Note:</b> Use for permanent employees and temporary employees with appointments of more than 6 months.</p>	<ul style="list-style-type: none"> <li>• Copy of application/ resume</li> <li>• AD-2050</li> <li>• Copy of OF-306.</li> <li>• SF-85</li> <li>• SF-87</li> </ul>	<p>OPM-FIPC PO Box 618 Boyer, PA 16018-0618</p>
		<p>Special Agreement Check--*</p> <p><b>Note:</b> Use for temporary employees with appointments less than 6 months. * * *</p>	<ul style="list-style-type: none"> <li>• OFI Form 86C</li> <li>• SF-87</li> </ul>	<p>OPM-FIPC Attn: SAC Processing PO Box 618 Boyer, PA 16018-0618</p>

**Security Clearances (Continued)**

**A Public Trust Positions (Continued)**

<b>Sensitivity/Risk Level</b>	<b>Security Clearance Access Level</b>	<b>Minimum Investigation</b>	<b>Required Forms</b>	<b>Submitting Forms</b>
Moderate Risk – Public Trust	None	MBI	<ul style="list-style-type: none"> <li>• Copy of application/resume</li> <li>• AD-2050</li> <li>• AD-1188 (completed by servicing HRO)</li> <li>• Copy of OF-306</li> <li>• Original and 1 copy of SF-85P</li> <li>• SF-87</li> </ul>	USDA/PDSD  <b>Note:</b> State Office shall submit to KCHRO.
		*--Special Agreement Check  <b>Note:</b> Use when access to systems is needed before MBI--* investigation is completed. * * *	<ul style="list-style-type: none"> <li>• OFI Form 86C</li> <li>• SF-87</li> </ul>	OPM-FIPC Attn: SAC Processing PO Box 618 Boyer, PA 16018-0618
High Risk – Public Trust	None	BI	<ul style="list-style-type: none"> <li>• Copy of application/resume</li> <li>• AD-2050</li> <li>• AD-1188 (completed by servicing HRO)</li> <li>• Copy of OF-306</li> <li>• Original and 1 copy of SF-85P</li> <li>• SF-87</li> </ul>	USDA/PDSD  <b>Note:</b> State Office shall submit to KCHRO.
		*--Special Agreement Check  <b>Note:</b> Use when access to systems is needed before BI--* investigation is completed. * * *	<ul style="list-style-type: none"> <li>• OFI Form 86C</li> <li>• SF-87</li> </ul>	OPM-FIPC Attn: SAC Processing PO Box 618 Boyer, PA 16018-0618

**Security Clearances (Continued)**

**B National Security Positions**

<p><b>National Security Positions:</b> National Security Positions are positions that have the potential to cause damage to the national security. These positions require access to classified information and are designated by the level of potential damage to the national security. The levels of classified access are Confidential, Secret, or Top Secret. Positions with:</p> <ul style="list-style-type: none"> <li>• Confidential access have the potential for damage to the national security</li> <li>• Secret access have the potential for serious damage to the national security</li> <li>• Top Secret access have the potential for exceptionally grave damage to the national security.</li> </ul> <p>National security positions require completing SF-86.</p>				
<b>Sensitivity/Risk Level</b>	<b>Security Clearance Access Level</b>	<b>Minimum Investigation</b>	<b>Required Forms</b>	<b>Submitting Forms</b>
Non-Critical Sensitive	Confidential	ANACI	<ul style="list-style-type: none"> <li>• Copy of application/resume</li> <li>• AD-2050</li> <li>• AD-1188 (completed by servicing HRO)</li> <li>• Copy of OF-306</li> <li>• Original and 1 copy of SF-86</li> <li>• SF-87</li> </ul>	<p>USDA/PDSD</p> <p><b>Note:</b> State Office shall submit to KCHRO.</p>
		<p>*--Special Agreement Checks</p> <p><b>Note:</b> Use when access to systems is needed before ANACI--* investigation is completed. * * *</p>	<ul style="list-style-type: none"> <li>• OFI Form 86C</li> <li>• SF-87</li> </ul>	<p>OPM-FIPC Attn: SAC Processing PO Box 618 Boyer, PA 16018-0618</p>

**Security Clearances (Continued)**

**B National Security Positions (Continued)**

<b>Sensitivity/Risk Level</b>	<b>Security Clearance Access Level</b>	<b>Minimum Investigation</b>	<b>Required Forms</b>	<b>Submitting Forms</b>
Non-Critical Sensitive	Secret	ANACI	<ul style="list-style-type: none"> <li>• Copy of application/ resume</li> <li>• AD-2050</li> <li>• AD-1188 (completed by servicing HRO)</li> <li>• Copy of OF-306</li> <li>• Original and 1 copy of SF-86</li> <li>• SF-87</li> </ul>	USDA/PDSD  <b>Note:</b> State Office shall submit to KCHRO.
		*--Special Agreement Checks  <b>Note:</b> Use when access to systems is needed before ANACI--* investigation is completed. * * *	<ul style="list-style-type: none"> <li>• OFI Form 86C</li> <li>• SF-87</li> </ul>	OPM-FIPC Attn: SAC Processing PO Box 618 Boyer, PA 16018-0618

**Security Clearances (Continued)**

**B National Security Positions (Continued)**

<b>Sensitivity/Risk Level</b>	<b>Security Clearance Access Level</b>	<b>Minimum Investigation</b>	<b>Required Forms</b>	<b>Submitting Forms</b>
Critical Sensitive	Secret	BI	<ul style="list-style-type: none"> <li>• Copy of application/ resume</li> <li>• AD-2050</li> <li>• AD-1188 (completed by servicing HRO)</li> <li>• Copy of OF-306</li> <li>• Original and 1 copy of SF-86</li> <li>• SF-87</li> </ul>	USDA/PDSD  <b>Note:</b> State Office shall submit to KCHRO.
		*--Special Agreement Checks  <b>Note:</b> Use when access to systems is needed before BI investigation--* * * *	<ul style="list-style-type: none"> <li>• OFI Form 86C</li> <li>• SF-87</li> </ul>	OPM-FIPC Attn: SAC Processing PO Box 618 Boyer, PA 16018-0618

**Security Clearances (Continued)**

**B National Security Positions (Continued)**

<b>Sensitivity/Risk Level</b>	<b>Security Clearance Access Level</b>	<b>Minimum Investigation</b>	<b>Required Forms</b>	<b>Submitting Forms</b>
Critical Sensitive	Top Secret	SSBI	<ul style="list-style-type: none"> <li>• Copy of application/ resume</li> <li>• AD-2050</li> <li>• AD-1188 (completed by servicing HRO)</li> <li>• Copy of OF-306</li> <li>• Original and 1 copy of SF-86</li> <li>• SF-87</li> </ul>	USDA/PDSD  <b>Note:</b> State Office shall submit to KCHRO.
		*--Special Agreement Checks  <b>Note:</b> Use when access to systems is needed before SSBI--* investigation is completed. * * *	<ul style="list-style-type: none"> <li>• OFI Form 86C</li> <li>• SF-87</li> </ul>	OPM-FIPC Attn: SAC Processing PO Box 618 Boyer, PA 16018-0618

**Note:** The date on the application/resume and OF-306 must be within 120 days of the date entered on SF-85, SF 85P, or SF-86. If date is older, have the employee review, make and initial changes, and resign and date SF-85, SF-85P, or SF-86.



**OFI Form 86C**

**A Example of OFI Form 86C**

\*--

SPECIAL AGREEMENT CHECKS (SAC) U.S. Department of Agriculture					
OFI FORM 86C February 2002			U.S. OFFICE OF PERSONNEL MANAGEMENT INVESTIGATIONS SERVICE		
Agency Agreement Number <b>01-2002</b>		OPM USE ONLY	OPM Codes	Case Number	
<b>AGENCY USE ONLY (COMPLETE ITEMS 1 THROUGH 14 USING INSTRUCTIONS FROM THE BACK)</b>					
<b>1 SUBJECT'S FULL NAME</b>					<b>2 DATE OF BIRTH</b>
Last Name		First Name		Middle Name	Abbrev. Month Day Year
<b>3 PLACE OF BIRTH</b> - Use the two letter code for the State.				<b>4 SOCIAL SECURITY NUMBER</b>	
City		County	State	Country (if not the United States)	
<b>5 OTHER NAMES USED AND DATES WHEN USED</b>					
Name		Month/Year	Month/Year	Name	
		To	To	Month/Year	
Name		Month/Year	Month/Year	Name	
		To	To	Month/Year	
<b>6 SEX</b> (Mark one box)		<b>7 SPECIAL AGREEMENT CODES</b>		<b>8 POSITION TITLE</b>	
<input type="checkbox"/> Female <input type="checkbox"/> Male					
<b>9 SON</b>		<b>10 SOI</b>	<b>11 OPAC-ALC NUMBER</b>	<b>12 ACCOUNTING DATA</b>	
. . .		A + G . 0 . 6	1 - 2 - 0 - 6 - 0 - 0 - 0 - 0		
<b>13 OTHER INFORMATION REQUIRED BY AGREEMENT</b>					
(CODE E) Credit Record - Complete if Needed Fill in subject's address for every place lived for more than three months in the past 12 months. If additional space is needed, attach a continuation sheet to this form					
Month/Year to Month/year #1	Street Address		Apt#	City	State Zip
Month/Year to Month/Year #2	Street Address		Apt#	City	State Zip
(CODE I) Immigration and Naturalization Service Record - Complete if Needed UNITED STATES CITIZENSHIP If subject is a U.S. Citizen, not born in the U.S., provide information about one or more of the following citizenship proofs					
<b>Naturalization Certificate (Where was subject naturalized?)</b>					
Court	City	State	Certificate Number	Month/ Day/ Year Issued	
<b>Citizenship Certificate (Where was the Certificate issued?)</b>					
City	State	Certificate Number	Month/ Day/ Year Issued		
<b>State Department Form 240 - Report of Birth Abroad of a Citizen of the United States</b>					
Give the date the form was prepared and give an explanation if needed		Month/ Day/ Year	Explanation		
U.S. Passport - This may be either a current or previously issued U.S. Passport					
Passport Number			Month/ Day/ Year Issued		
<b>Dual Citizenship - If subject is (or was) a dual citizen of the United States and another country, provide the name of that country in the space to the right</b>					
<b>Alien - If subject is an alien, provide the following information</b>					
Place subject entered the United States	City	State	Date Entered U.S. Month/ Day/ Year	Alien Registration Number	Country(ies) of Citizenship
Code N-Bureau of Vital Statistics - Complete if Needed.					
Mother's Full Name		Mother's Maiden Name		Father's Full Name	
<b>14 Requesting Official Name and Title</b>					
Signature			Telephone Number (including area code)	Date	

--\*

**\*--OFI Form 86C (Continued)**

**B OFI Form 86C Instructions**

Obtain information for OFI Form 86C from the completed security forms submitted by the employee.

Agencies shall use this OFI Form 86C to request limited investigation, or checks, on persons in positions for which there is a special agreement with OPM that permits and specifies alternative procedures to meet investigative requirements. Complete all items on OFI Form 86C according to the agreement with OPM and using information obtained from the person to be checked or from documents provided by the person. This form **must** be typed. Submit OFI Form 86C and any other documentation specified in the written agreement to the following.

OPM-FIPC  
ATTN: SAC PROCESSING  
P.O. BOX 618  
BOYERS, PA 16018

Item	Action
1	Enter the employee's full name.  If the employee: <ul style="list-style-type: none"> <li>• does not have a middle name, then ENTER "NMN"</li> <li>• is a "Jr.", "Sr.", "III", etc, then enter the appropriate abbreviation in the "Abbrev." box</li> <li>• has initials only, then enter each initials in the "Abbrev." box.</li> </ul>
2	Enter the employee's date of birth.  <b>Example:</b> Enter June 7, 1942, as "06/07/42".

--\*

**\*--OFI Form 86C (Continued)**

**B OFI Form 86C Instructions (Continued)**

<b>Item</b>	<b>Action</b>																																																												
3	<p>Enter the employee's town, county, and State of birth. Enter the full name of the:</p> <ul style="list-style-type: none"> <li>• city/town under "City"</li> <li>• county under "County" if the employee was born in the United States.</li> </ul> <p>Enter the appropriate abbreviation for the State if born in the United States, a United States territory, or the District of Columbia from the following.</p> <p align="center"><b><u>State Abbreviations</u></b></p> <table border="0"> <tr> <td>• Alabama - "AL"</td> <td>• Alaska - "AK"</td> <td>• Arizona - "AZ"</td> </tr> <tr> <td>• Arkansas - "AR"</td> <td>• California - "CA"</td> <td>• Colorado - "CO"</td> </tr> <tr> <td>• Connecticut - "CT"</td> <td>• Delaware - "DE"</td> <td></td> </tr> <tr> <td>• District of Columbia - "DC"</td> <td></td> <td>• Florida - "FL"</td> </tr> <tr> <td>• Georgia - "GA"</td> <td>• Hawaii - "HI"</td> <td>• Idaho - "ID"</td> </tr> <tr> <td>• Illinois - "IL"</td> <td>• Indiana - "IN"</td> <td>• Iowa - IA"</td> </tr> <tr> <td>• Kansas - "KS"</td> <td>• Kentucky - "KY"</td> <td>• Louisiana - "LA"</td> </tr> <tr> <td>• Maine - "ME"</td> <td>• Maryland - "MD"</td> <td>• Massachusetts - "MA"</td> </tr> <tr> <td>• Michigan - "MI"</td> <td>• Minnesota - "MN"</td> <td>• Mississippi - "MS"</td> </tr> <tr> <td>• Missouri - "MO"</td> <td>• Montana - "MT"</td> <td>• Nebraska - "NE"</td> </tr> <tr> <td>• Nevada - "NV"</td> <td>• New Hampshire - "NH"</td> <td>• New Jersey - "NJ"</td> </tr> <tr> <td>• New Mexico - "NM"</td> <td>• New York - "NY"</td> <td>• North Carolina - "NC"</td> </tr> <tr> <td>• North Dakota - "ND"</td> <td>• Ohio - "OH"</td> <td>• Oklahoma - "OK"</td> </tr> <tr> <td>• Oregon - "OR"</td> <td>• Pennsylvania - "PA"</td> <td>• Rhode Island - "RI"</td> </tr> <tr> <td>• South Carolina - "SC"</td> <td>• South Dakota - "SD"</td> <td>• Tennessee - "TN"</td> </tr> <tr> <td>• Texas - "TX"</td> <td>• Utah - "UT"</td> <td>• Vermont - "VT"</td> </tr> <tr> <td>• Virginia - "VA"</td> <td>• Washington - "WA"</td> <td>• West Virginia - "WV"</td> </tr> <tr> <td>• Wisconsin - "WI"</td> <td>• Wyoming - "WY"</td> <td></td> </tr> </table> <p align="center"><b><u>United States Territory Abbreviations</u></b></p> <table border="0"> <tr> <td>• American Samoa - "AS"</td> <td>• Guam - "GU"</td> </tr> <tr> <td>• Northern Mariana Island - "CM"</td> <td>• Puerto Rico - "PR"</td> </tr> <tr> <td>• Trust Territory - "TT"</td> <td>• Virgin Islands - "VI"</td> </tr> </table>	• Alabama - "AL"	• Alaska - "AK"	• Arizona - "AZ"	• Arkansas - "AR"	• California - "CA"	• Colorado - "CO"	• Connecticut - "CT"	• Delaware - "DE"		• District of Columbia - "DC"		• Florida - "FL"	• Georgia - "GA"	• Hawaii - "HI"	• Idaho - "ID"	• Illinois - "IL"	• Indiana - "IN"	• Iowa - IA"	• Kansas - "KS"	• Kentucky - "KY"	• Louisiana - "LA"	• Maine - "ME"	• Maryland - "MD"	• Massachusetts - "MA"	• Michigan - "MI"	• Minnesota - "MN"	• Mississippi - "MS"	• Missouri - "MO"	• Montana - "MT"	• Nebraska - "NE"	• Nevada - "NV"	• New Hampshire - "NH"	• New Jersey - "NJ"	• New Mexico - "NM"	• New York - "NY"	• North Carolina - "NC"	• North Dakota - "ND"	• Ohio - "OH"	• Oklahoma - "OK"	• Oregon - "OR"	• Pennsylvania - "PA"	• Rhode Island - "RI"	• South Carolina - "SC"	• South Dakota - "SD"	• Tennessee - "TN"	• Texas - "TX"	• Utah - "UT"	• Vermont - "VT"	• Virginia - "VA"	• Washington - "WA"	• West Virginia - "WV"	• Wisconsin - "WI"	• Wyoming - "WY"		• American Samoa - "AS"	• Guam - "GU"	• Northern Mariana Island - "CM"	• Puerto Rico - "PR"	• Trust Territory - "TT"	• Virgin Islands - "VI"
• Alabama - "AL"	• Alaska - "AK"	• Arizona - "AZ"																																																											
• Arkansas - "AR"	• California - "CA"	• Colorado - "CO"																																																											
• Connecticut - "CT"	• Delaware - "DE"																																																												
• District of Columbia - "DC"		• Florida - "FL"																																																											
• Georgia - "GA"	• Hawaii - "HI"	• Idaho - "ID"																																																											
• Illinois - "IL"	• Indiana - "IN"	• Iowa - IA"																																																											
• Kansas - "KS"	• Kentucky - "KY"	• Louisiana - "LA"																																																											
• Maine - "ME"	• Maryland - "MD"	• Massachusetts - "MA"																																																											
• Michigan - "MI"	• Minnesota - "MN"	• Mississippi - "MS"																																																											
• Missouri - "MO"	• Montana - "MT"	• Nebraska - "NE"																																																											
• Nevada - "NV"	• New Hampshire - "NH"	• New Jersey - "NJ"																																																											
• New Mexico - "NM"	• New York - "NY"	• North Carolina - "NC"																																																											
• North Dakota - "ND"	• Ohio - "OH"	• Oklahoma - "OK"																																																											
• Oregon - "OR"	• Pennsylvania - "PA"	• Rhode Island - "RI"																																																											
• South Carolina - "SC"	• South Dakota - "SD"	• Tennessee - "TN"																																																											
• Texas - "TX"	• Utah - "UT"	• Vermont - "VT"																																																											
• Virginia - "VA"	• Washington - "WA"	• West Virginia - "WV"																																																											
• Wisconsin - "WI"	• Wyoming - "WY"																																																												
• American Samoa - "AS"	• Guam - "GU"																																																												
• Northern Mariana Island - "CM"	• Puerto Rico - "PR"																																																												
• Trust Territory - "TT"	• Virgin Islands - "VI"																																																												
4	Enter the employee's Social Security Number.																																																												
5	<p>To the extent the information is available, enter all other names the employee was known by or is now using. Provide beginning and ending dates for use of each name.</p> <p>If the employee is a female and is or was married, include maiden name or other married names if married more than once. Identify maiden name with "NEE".</p>																																																												

--\*

**OFI Form 86C (Continued)**

**B OFI Form 86C Instructions (Continued)**

<b>Item</b>	<b>Action</b>
6	Check appropriate box to specify sex as “Female” or “Male”.
7	ENTER “B” and “E” for the special agreement codes.
8	Enter the employee’s position title.
9	*--Enter the Submitting Office Number (SON) assigned to individual State or headquarters.
10	ENTER “AG-06”.
11	ENTER “12-06-0000”.--*  <b>Note:</b> This is the FSA’s Security Office Identifier (SOI) assigned by OPM-FIPC.
12	<b>Federal employees:</b> 584XXXXX020000, object class code “2524”.  <b>Note:</b> “XXXXXX” represents the State/FLP code that is a 5-digit numeric field. Each State/FLP is assigned an organization code and should substitute “XXXXXX” with their organization code. See 98-FI, Exhibit 11.  * * *  Up to 25 characters may be entered in this block.
13 (Code E)	Enter any information required by the agreement with OPM. The format and content of the information must be exactly as specified in the OPM agreement.  <b>Note:</b> Code “E” must be entered in Item 7.
13 (Code I)	Leave blank.
13 (Code N)	Leave blank.
14	Enter the requestors name, title, phone number, and date. OFI Form 86 C <b>must</b> be signed by Servicing HRO representative.