

SBA

SOP 35 00 2

**Position Classification
Program**

Office of Human Resources

U.S. Small Business Administration



**SMALL BUSINESS ADMINISTRATION
STANDARD OPERATING PROCEDURE**

National

SUBJECT: Position Classification Program	S.O.P.		REV
	SECTION 35	NO. 00	2A

INTRODUCTION

- Purpose. To update SBA Form 1939, "Position Designation Record," and the instructions for completing it. Also updates the list of officials with position classification authority and the list of drug testing positions.
- Personnel Concerned. All SBA employees
- Page Changes.

Remove	Insert
1-2	1-2
5-6	5-6
23-24	23-24
27-28	27-28
35-44	35-44.2 51-62
- Originator. Office of Human Resources, Guidance, Innovation, and Review Division

AUTHORIZED BY: Monika Edwards Harrison Assistant Administrator for Human Resources		EFFECTIVE DATE September 30, 2002
		PAGE 1

SBA Form 989 (5-90) Ref: SOP 00 23



**SMALL BUSINESS ADMINISTRATION
STANDARD OPERATING PROCEDURE**

National

SUBJECT:

Position Classification Program

S.O.P.

REV

SECTION

NO.

35

00

2

INTRODUCTION

1. Purpose. To establish guidelines and procedures for the management and implementation of SBA's Position Classification Program.
2. Personnel Concerned. All SBA employees
3. Directives Cancelled. SOP 35 00 1.
4. Originator. Office of Human Resources, Guidance, Innovation, and Review Division

AUTHORIZED BY:

Carolyn J. Smith
Assistant Administrator for Human
Resources

EFFECTIVE DATE

5-8-98

PAGE

1

Table of Contents

Paragraph	Page
Chapter 1.....	10
Introduction.....	10
1. What is the Purpose of this Standard Operating Procedure (SOP)?.....	10
2. What is Classification?.....	10
3. Why Does SBA Classify My Position?.....	10
4. How Does Classification Help Me?.....	10
5. Who is Responsible for Position Classification at SBA?.....	10
6. Who is Authorized to Update Appendices to this SOP?.....	10
Chapter 2.....	11
The Classification Process.....	11
1. Who Classifies My Position?.....	11
2. What is Needed to Classify My Position?.....	11
3. How are these Factors Used to Classify My Position?.....	12
4. How is a Classification Decision Documented?.....	12
5. What Documents are Needed to Complete a Classification?.....	12
6. Can a Classification Action be Made Retroactive?.....	12
Chapter 3.....	13
Position Descriptions.....	13
1. Why is My Position Description Important?.....	13
2. Who is Responsible for My Position Description?.....	13
3. How Often Must My Supervisor Review My Position Description With Me?.....	13
4. Does My Position Description Need to Describe Everything I Do?.....	13
5. Can My Supervisor Put Projected Duties into My Position Description?.....	13
6. How Will the Classifier Determine that Projected Duties are Being Performed?.....	13
7. Can a Classifier Make a Final Classification of a Position with Projected Duties?.....	14
8. Are there Any Standard Position Descriptions a Supervisor May Use?.....	14
9. Who Writes Standard and Model Position Descriptions?.....	14
10. What are the Advantages of Using Standard and/or Model Position Descriptions?.....	14
11. Who May Modify a Standard Position Description?.....	14
12. Are there Other Quick Ways to Prepare Position Descriptions?.....	14
13. What is an Identical Additional Position?.....	15
14. Should Collateral Duties be in My Position Description?.....	15
15. What if I Believe My Position Description is Not Accurate?.....	15
Chapter 4.....	16
Desk Audits.....	16
1. What is a Desk Audit?.....	16

2.	Is a Desk Audit the Only Way a Classifier Can Learn About My Job?.....	16
3.	Will the Classifier Speak With My Immediate Supervisor During a Desk Audit?.....	16
4.	What Happens After the Desk Audit?.....	16
5.	Can My Position Be Upgraded or Downgraded as a Result of a Desk Audit?.....	17
6.	Is there an Alternative to Either Upgrading or Downgrading My Position?.....	17
7.	If My Position is Downgraded as a Result of a Desk Audit, What Happens to My Grade and Salary?.....	17
Chapter 5.....		18
Appeals.....		18
1.	What If I Disagree With the Classification of My Position?.....	18
2.	May I Appeal the Duties in My Position Description?.....	18
3.	How Do I File an Appeal?.....	18
4.	Is there Any Advantage to Appealing First Within SBA?.....	19
5.	When Can I Appeal?.....	19
6.	Can a Manager Hear My Classification Appeal?.....	19
7.	Who May Appeal My Classification?.....	19
8.	Who Can Be the Designated Representative in My Appeal?.....	20
9.	How Do I Designate a Representative?.....	20
10.	May SBA Disallow My Choice of a Designated Representative?.....	20
11.	Is there Any Recourse to an OPM Classification Decision?.....	20
12.	What Information Must SBA Submit to OPM If I Appeal?.....	20
13.	How Long Will it Take SBA to Decide My Appeal?.....	20
14.	Can I Appeal My Classification Through My Union's Negotiated Agreement?.....	21
15.	Is an Appeal Decision From OPM Final?.....	21
16.	What Must SBA Do When It Receives a Certificate From OPM?.....	21
17.	May SBA Suspend a Classification Action While an Employee or SBA Files an Appeal or Request for Reconsideration?.....	21
18.	When Will SBA Implement an OPM Classification Decision?.....	21
Chapter 6.....		22
Position Management.....		22
1.	What is Position Management?.....	22
2.	What are the Benefits of Sound Position Management?.....	22
3.	How Can Team Leader Positions Contribute to Sound Position Management?.....	22
4.	What is the Supervisor's Responsibility in Position Management?.....	22
5.	What is the Servicing Personnel Specialist's Role in Position Management?.....	23
Chapter 7.....		24
Position Sensitivity.....		24
1.	What Must Supervisors Do About Position Sensitivity?.....	24
2.	What is the Importance of Position Sensitivity to Supervisors?.....	24
3.	What Must Servicing Personnel Specialists Do About Position Sensitivity?.....	24
Appendix 1.....		26

Index to Forms and Reports.....	26
Appendix 2.....	28
Officials with Classification Authority.....	28
Appendix 3.....	31
Optional Form 8 Position Description.....	31
Appendix 4.....	33
Positions Requiring Evaluation Statements.....	33
Appendix 5.....	35
U.S. Small Business Administration.....	35
Appendix 6.....	36
How to Complete Optional Form 8, "Position Description".....	36
Appendix 7.....	42
How to Complete SBA Form 1939, "Position Designation Record".....	42
RISK DESIGNATION SYSTEM.....	42
Appendix 8.....	45
Where to File Appeals.....	45
Appendix 9.....	47
Team Leaders.....	47
Appendix 10.....	46
Team Leader Duties and Responsibilities Sample.....	46
Appendix 11.....	51
Program Placement.....	51
Appendix 12.....	53
Position Risk Points.....	53
Appendix 13.....	54
Position Placement.....	54
Appendix 14.....	55
Public Trust Positions.....	55
Appendix 15.....	57
National Security Positions.....	57
Appendix 16.....	61
Computer/ADP Position Risk Levels.....	61

Chapter 1

Introduction

1. What is the Purpose of this Standard Operating Procedure (SOP)?

The purpose of this SOP is to establish SBA's Position Classification Program.

2. What is Classification?

Classification is the grouping of similar jobs and the assignment of an appropriate title, series, pay plan, and grade to those positions.

3. Why Does SBA Classify My Position?

Title 5, United States Code, Chapter 51 requires SBA to classify positions to ensure that it is paying employees appropriately for the work they perform.

4. How Does Classification Help Me?

Classification ensures that SBA is not underpaying you for your work. When positions are correctly classified, employees with similar duties and responsibilities receive similar pay for substantially equal work.

5. Who is Responsible for Position Classification at SBA?

The Administrator is responsible for the integrity and validity of the classification program and has delegated primary classification authority to the Assistant Administrator for Human Resources (AA/HR). The AA/HR has redelegated authority to classify to other executives (see Appendix 2). This authority cannot be redelegated unless redelegation is expressly permitted in Appendix 2. The Personnel Officer for the Office of Inspector General exercises classification authority delegated from the Inspector General, who has it as a result of the Inspector General Act of 1978 as amended.

6. Who is Authorized to Update Appendices to this SOP?

The AA/HR is authorized to update appendices to this SOP.

Chapter 2

The Classification Process

1. Who Classifies My Position?

A personnel specialist or a manager with delegated classification authority classifies your position (see Appendix 2).

2. What is Needed to Classify My Position?

- a. The classifier must have an accurate position description which includes your position's major duties and responsibilities.
- b. General schedule nonsupervisory position descriptions must also address all nine factors of the Factor Evaluation System (FES) which are:
 - (1) Knowledge required to perform your job;
 - (2) Supervision (amount and kind) exercised over your position;
 - (3) Complexity of the tasks you perform;
 - (4) Guidelines you use in your work;
 - (5) Scope and effect of your work on others and on the organization;
 - (6) Personal contacts you make or maintain in your work;
 - (7) Purpose for which you maintain personal contacts on the job;
 - (8) Physical demands of the position; and
 - (9) Work environment.
- c. Supervisory position descriptions must also address:
 - (1) Program scope and effect;
 - (2) Organizational setting;
 - (3) Supervisory and managerial authority exercised;
 - (4) Personal contacts;

- (5) Difficulty of typical work directed; and
- (6) Other conditions.

3. How are these Factors Used to Classify My Position?

The classifier compares your position description with the Position Classification Standards issued by the U.S. Office of Personnel Management (OPM) to determine the correct title, pay plan, series, and grade. Copies of OPM's classification standards are in your servicing personnel office.

4. How is a Classification Decision Documented?

Classifiers sign and date block 21 of Optional Form (OF) 8, "Position Description," cover sheet (see Appendix 3), to document routine classification decisions. In the case of an appeal or an atypical classification decision, an evaluation statement is required (see Appendix 4 for positions requiring an evaluation statement). An evaluation statement is a short report documenting the findings and decision of the classifier.

5. What Documents are Needed to Complete a Classification?

The supervisor submits:

- a. A complete statement of the position's major duties and responsibilities and a narrative addressing all nine FES factors and, for supervisory positions, six additional factors;
- b. An OF 8, "Position Description," cover sheet signed by the immediate supervisor; and
- c. A completed and signed SBA Form 1939, "Position Designation Record."

See Appendix 6 for instructions on completing OF 8 and Appendix 7 for completing SBA Form 1939, "Position Designation Record."

6. Can a Classification Action be Made Retroactive?

A classification action can be retroactive only if it is to correct a downgrade action where the employee was wrongfully demoted. A retroactive personnel action is usually the result of an employee's successful appeal.

Chapter 3

Position Descriptions

1. Why is My Position Description Important?

Your position description largely determines the title, pay plan, series, grade and pay range of your position. Your supervisor will use your position description to develop critical elements for appraising your performance. A personnel specialist or your supervisor will also use your position description to determine training and development plans.

2. Who is Responsible for My Position Description?

Your supervisor is responsible for writing your position description, keeping it current, and certifying its accuracy by signing and dating the OF 8. You are responsible for bringing to your supervisor's attention any discrepancies or omissions.

3. How Often Must My Supervisor Review My Position Description With Me?

There is no set time for reviewing position descriptions, but for effective position management it would be appropriate to review the position description at least annually for accuracy. (See Chapter 6, "Position Management.")

4. Does My Position Description Need to Describe Everything I Do?

No, the position description should describe only your major and recurring duties. It is not meant to be a very detailed or contractual document. There will be appropriate duties your supervisor asks you to perform which are **not** included in your position description.

5. Can My Supervisor Put Projected Duties into My Position Description?

Yes, your supervisor can put duties into your position description that you are not yet performing. These duties must be reasonable and pertinent to your position. You will be expected to perform these duties within a reasonable period.

6. How Will the Classifier Determine that Projected Duties are Being Performed?

The classifier may conduct a post-audit to determine what duties the incumbent is actually performing.

7. Can a Classifier Make a Final Classification of a Position with Projected Duties?

Yes, provided that the nine FES factors are complete and there are enough duties the employee actually performs in the position description to warrant classification.

8. Are there Any Standard Position Descriptions a Supervisor May Use?

Yes, supervisors should consult with their servicing personnel specialist before writing a position description since there may be either standard or model position descriptions available for use. If there is no standard or model position description, the personnel specialist may know of a similar position description that can serve as a model.

9. Who Writes Standard and Model Position Descriptions?

Usually a personnel specialist will write them with advice and guidance from program experts and managers.

10. What are the Advantages of Using Standard and/or Model Position Descriptions?

They save time and effort.

11. Who May Modify a Standard Position Description?

Only a classifier, after consulting with program experts and managers, may alter a standard position description. If a supervisor modifies a standard position description or uses it as a model to write another position description, the resulting position description must be classified.

12. Are there Other Quick Ways to Prepare Position Descriptions?

- a. The supervisor and the servicing personnel specialist can make minor changes to a non-standard position description without affecting the classification. The supervisor will then give the employee a copy of the revised position description.
- b. A position description may also be modified by a statement of difference. A statement of difference is a short narrative explaining how one grade level differs from another described position immediately higher or lower. Thus, if a supervisor has a complete position description for a GS-9 Loan Specialist and a complete position description for a GS-12 Loan Specialist in the same career path, the supervisor could write statements of difference at the GS-7 and GS-11

levels.

13. What is an Identical Additional Position?

When two or more positions are like each other in the major and recurring duties, responsibilities, qualifications, series, grade, and title, the positions are identical. You can use the same position description and position description number for each identical additional position.

14. Should Collateral Duties be in My Position Description?

Yes, if you have been assigned any collateral duties on a regular and recurring basis these must be included in your individual position description. This is usually done by an addendum. If the collateral duties occupy 25 percent or more of the employee's work time, they could affect the grade of the position.

15. What if I Believe My Position Description is Not Accurate?

If you believe your position description is inaccurate, talk to your supervisor. Your supervisor may correct, add to, or rewrite your position description, as necessary. If you are not satisfied with the response of your immediate supervisor, speak with your next higher level supervisor. You may also ask your servicing personnel specialist to review your position description with you and explain the classification decision. If that does not satisfy you, ask the classifier to conduct a desk audit with you and/or to have an interview with your supervisor.

Chapter 4

Chapter 4

Desk Audits

1. What is a Desk Audit?

A desk audit is a formal review of your duties and responsibilities in which the classifier:

- a. Comes to your work space (usually) and observes work products and work processes;
- b. Asks you questions about your recurring duties; and
- c. Determines what knowledge, skills, and abilities are necessary to perform your job.

2. Is a Desk Audit the Only Way a Classifier Can Learn About My Job?

No, a desk audit is frequently unnecessary. The classifier may ask you a few questions, may want to see a few samples of your work, and may interview you and your supervisor over the phone.

3. Will the Classifier Speak With My Immediate Supervisor During a Desk Audit?

Classifiers will almost always interview your immediate supervisor to share information about how your position operates. This permits the supervisor to acknowledge or correct data which the classifier has obtained. The supervisor may also provide necessary background information.

4. What Happens After the Desk Audit?

The classifier and your supervisor determine if the duties and responsibilities in your position description are appropriate and current. If necessary, the classifier assists your supervisor in rewriting your position description to reflect your current duties. Alternatively, your supervisor may reassign the duties you are performing that are not currently in your position description to another employee. After analyzing your correct and current position description, the classifier will determine the appropriate pay plan, title, series, and grade of your position.

5. Can My Position Be Upgraded or Downgraded as a Result of a Desk Audit?

If the final position description reflects duties or factors sufficiently characteristic of a higher or lower grade, according to the position classification standard, then the classifier will upgrade or downgrade the position. Sufficiently characteristic means that the higher level duties, responsibilities, and/or factors occupy at least 25 percent of your work time.

If your position is downgraded, the personnel specialist must notify you in writing before taking the personnel action.

6. Is there an Alternative to Either Upgrading or Downgrading My Position?

Yes, as an alternative, your supervisor may change the level of duties which affect the grade of your position.

7. If My Position is Downgraded as a Result of a Desk Audit, What Happens to My Grade and Salary?

In most cases employees are entitled to grade and pay retention. Your supervisor may also reassign you to another position at your current grade level.

Chapter 5

Appeals

1. What If I Disagree With the Classification of My Position?

If you disagree with the decision of the classifier even after discussion and consideration of the reasons for your classification, you may appeal your pay schedule, your series, your grade, and/or your official title.

2. May I Appeal the Duties in My Position Description?

No, you may not appeal the assignment or description of duties in your position description. You must work out the assignment, deletion, or reassignment of duties individually with your supervisor.

3. How Do I File an Appeal?

- a. You may appeal to SBA or to OPM. (See Appendix 8 for where to file an appeal.) If you appeal initially to SBA, and the decision is not satisfactory to you, you may appeal to OPM. Alternatively, if you choose, you may appeal directly to OPM without going through SBA.
- b. All classification appeals must be in writing.
- c. If you appeal to SBA, include the reasons you believe your position is erroneously classified. There is no specified format.
- d. If you appeal to OPM, include the following:
 - (1) Your name, mailing address, and commercial office telephone number;
 - (2) Present classification of your position and the requested classification;
 - (3) Name of the agency and the office in which you work;
 - (4) City where you are employed and the office address;
 - (5) A copy of your official position description and either a statement affirming that it is accurate or a detailed explanation of the inaccuracies and explanation of the efforts made to correct the position description;

- (6) Any additional information about the position that will help in understanding it; and
- (7) Arguments supporting the requested classification by referencing appropriate classification standards. (Your servicing personnel office can provide a copy of the appropriate classification standards.)

4. Is there Any Advantage to Appealing First Within SBA?

Yes, most appeals can be satisfactorily handled at the SBA level. This is much quicker and easier than going to OPM. Also, if you appeal first to SBA, and are unhappy with the decision, you may then appeal to OPM, giving you two chances for relief. OPM will completely review your position and give an independent and binding decision even after SBA has turned down your request for relief. However, if you appeal directly to OPM, you cannot later come back and ask SBA to hear your appeal. The OPM decision is final.

5. When Can I Appeal?

You may appeal the classification of your position at any time. In the case of downgrades there are specific time limits to be eligible for retroactive promotion should you prevail. To preserve your right to receive retroactive pay (if you win your appeal), you must appeal either to SBA or to OPM within 15 calendar days after the effective date of your downgrade or within 15 calendar days of SBA's notification to you, whichever gives you more time.

6. Can a Manager Hear My Classification Appeal?

No, not even if the manager has delegated classification authority. SBA's Appeals Officer, on the staff of the AA/HR, hears all classification appeals for SBA nationwide, except for appeals for the Inspector General's staff, which are the responsibility of the Assistant Inspector General for Management and Legal Counsel.

7. Who May Appeal My Classification?

Except for the Administrator of SBA or a representative designated by the Administrator, only you (or your designated representative acting on your behalf) may appeal your classification. You may not appeal any other employee's classification.

8. Who Can Be the Designated Representative in My Appeal?

You may designate anyone you wish to assist you and to act on your behalf during the appeal process. However, your representative may not participate in any OPM desk audit of your position unless specifically invited by OPM.

9. How Do I Designate a Representative?

You must designate your representative in writing and send your designation to the appropriate SBA classification appeals officer (if your appeal is to SBA) or to the Office of Classification Appeals at OPM (if your appeal is to OPM)(see Appendix 8).

10. May SBA Disallow My Choice of a Designated Representative?

It may, but only if:

- a. The activities by your selectee on your behalf would cause a conflict of interest or the appearance of one; or
- b. The employee you select cannot be released from official duty because of priority needs of the Government; or
- c. The employee you select would create unreasonable expenses for SBA.

11. Is there Any Recourse to an OPM Classification Decision?

Yes, either the appealing employee or the Administrator may ask for a reconsideration of an OPM appeal decision not later than 45 days from the date the appeal decision was issued.

12. What Information Must SBA Submit to OPM If I Appeal?

SBA must submit all relevant facts concerning your position and the reasons for SBA's classification of your position. Additionally, OPM may ask SBA to comment on information which you submit.

13. How Long Will it Take SBA to Decide My Appeal?

Normally SBA will decide your appeal within 45 to 60 days.

14. Can I Appeal My Classification Through My Union's Negotiated Agreement?

No, but if the reclassification of your position resulted in the reduction of your grade or pay, you may be entitled to use a negotiated grievance procedure.

15. Is an Appeal Decision From OPM Final?

Yes, it is final and binding unless OPM accepts a request for reconsideration of the appeal and, after reconsideration, modifies its decision. Once OPM renders a decision, it is called a certificate and it is mandatory and binding on all administrative, certifying, payroll, disbursing, and accounting officials.

16. What Must SBA Do When It Receives a Certificate From OPM?

SBA must implement the classification decision and review its own classification decisions for identical, similar, or related positions to ensure consistency with the OPM certificate.

17. May SBA Suspend a Classification Action While an Employee or SBA Files an Appeal or Request for Reconsideration?

No, however, SBA may use a temporary or conditional compliance action, such as a temporary promotion or a temporary reassignment, pending final resolution of the issue. SBA can't use this authority if the position has been downgraded and the employee is entitled to retained grade under 5 U.S.C. 5362.

18. When Will SBA Implement an OPM Classification Decision?

Implementation will occur no later than the beginning of the fourth pay period following the date of the OPM decision, unless a later date is specified in the decision letter.

Chapter 6

Position Management

1. What is Position Management?

Position management is the structuring of positions into the most efficient and effective organization to accomplish the work of a unit.

2. What are the Benefits of Sound Position Management?

The benefits are many, but chief among them are:

- a. Economy of operations;
- b. Efficiency of operations;
- c. Motivation of employees; and
- d. Retention of outstanding employees.

3. How Can Team Leader Positions Contribute to Sound Position Management?

Team leader positions can increase the span of control and hold down salary costs and average grade while maintaining the quality and timeliness of service. See Appendix 9.

4. What is the Supervisor's Responsibility in Position Management?

Supervisors:

- a. Review position descriptions for accuracy and adequacy;
- b. Structure duties and responsibilities within positions for optimum timeliness and productivity;
- c. Streamline work processes for most economical performance of work;
- d. Draft accurate mission and function statements;
- e. Employ as few employees as possible (within the supervisor's control) to complete work professionally;

- f. Keep payroll costs down by avoiding too many high-graded positions;
- g. Monitor average grade and salary in their organization;
- h. Prepare and present all necessary information for unit reorganization;
- i. Integrate cross-training, employee development, and automation to do more with less;
- j. Merge small and similar units, using team leaders instead of supervisors, to reduce supervisory ratios;
- k. Plan for orderly succession and turnover;
- l. Diversify workforce, using trainee and bridge positions as appropriate; and
- m. Eliminate deputy and special assistant positions whenever possible.

5. What is the Servicing Personnel Specialist's Role in Position Management?

Servicing personnel specialists assist managers and supervisors by:

- a. Reviewing reorganization plans when submitted or whenever practical as management develops the plans;
- b. Giving sound position management advice to managers and supervisors;
- c. Alerting management, where feasible, to alternate organizational structures for efficiency and economy of operations;
- d. Writing and publishing standard and model position descriptions; and
- e. Performing position management studies, such as, average/median grade calculations and supervisory ratios.

Chapter 7

Position Sensitivity

1. What Must Supervisors Do About Position Sensitivity?

- * Supervisors, with input from their servicing personnel office, determine the position sensitivity level of each position they supervise (competitive, excepted, and Senior Executive service) and complete SBA Form 1939, "Position Designation Record" (see Appendix 5 for SBA Form 1939, and Appendices 7 and 11 through 16 for instructions to complete it). Where supervisors use standard position descriptions or have identical additional positions, they may choose to select a standard position sensitivity level for these positions. *

2. What is the Importance of Position Sensitivity to Supervisors?

Supervisors are responsible for the integrity of their program. Task and responsibility they assign in the position description, as well as need for access to classified material, will determine the level of background investigation the employees must undergo. The cost of an investigation is related to the position sensitivity level. The higher the level of the investigation, the more costly. Where it would not affect the efficiency and productivity of the work unit, it may be cost efficient (and may enhance security) to configure positions which concentrate responsibilities involving higher position security in fewer positions.

3. What Must Servicing Personnel Specialists Do About Position Sensitivity?

- * Servicing personnel specialists:
- a. Advise supervisors in completing the "Position Designation Record;"
 - b. Verify that the position description has a correctly completed "Position Designation Record" attached (signed, points added correctly); and
 - c. Verify that block 12 of the OF 8 on position sensitivity is completed.

4. (deleted) *

Appendix 1

Index to Forms and Reports

Form

Paragraph

OF 8, "Position Description" Cover Sheet

2-4, 2-5, 7-3

SBA Form 1939, "Position Designation Record"

2-5, 7-1

Report

Paragraph

None

Appendix 2
Officials with Classification Authority
(paragraph 1-4)

1. The **General Counsel** (or a person properly acting in this position) is authorized to classify the following positions Agency-wide (excluding the Office of Hearings and Appeals, Office of Inspector General, and Office of Disaster Assistance):
 - a. All GS-905 Attorney positions;
 - b. All GS-904 Law Clerk positions;
 - c. All GS-950 Paralegal Specialist positions;
 - d. All GS-963 Legal Instruments Examining positions;
 - e. All GS-986 Legal Clerk and Assistance positions; and
 - f. Other positions in the GS-900 group, as appropriate.
2. The **Chief Counsel for Advocacy** is authorized to classify all General Schedule positions in the Office of Advocacy, Agency-wide, that are classifiable as two-grade interval positions.
3. The **Chief Information Officer** is authorized to classify the following positions in the Office of the Chief Information Officer:
 - a. All GS-334 Computer Specialist positions, GS-15 and below;
 - b. All GS-391 Telecommunications Specialist positions, GS-15 and below; and
 - c. All GS-390 Telecommunications Equipment positions, GS-15 and below.
4. The **Associate Administrator for Financial Assistance** is authorized to classify the following positions in the Office of Financial Assistance located in Washington, D.C. and in centers reporting to the Office of Financial Assistance, Agency-wide:
 - a. All GS-1160 Financial Analyst positions, GS-15 and below;
 - b. All GS-1165 Loan Specialist positions, GS-15 and below;
 - c. All GS-1101 one-grade interval positions, GS-7 and below with appropriate titles, such as Loan Servicing Assistant or Loan Processing Assistant; and

- d. All supervisory positions classifiable under the General Schedule Supervisory Guide.
5. The **Assistant Administrator for Administration** is authorized to classify the following positions in the Office of Administration located in Washington, D.C.:
- a. All GS-1101, Grants Management Specialist positions, GS-12 and below;
 - b. All GS-1106 Procurement Clerical and Assistance series positions;
 - c. All GS-1102 positions titled Contract Specialist, GS-13 and below;
 - d. All GS-301 positions titled Space Management Specialist; and
 - e. All supervisory positions classifiable under the General Schedule Supervisory Guide.
- *6. The **Associate Deputy Administrator for Government Contracting and Business Development** is authorized to classify the following positions in the Office of Government Contracting (GC) and Business Development (BD) located in Washington, DC, and in duty stations reporting to the Office of GC and BD Agency-wide: *
- a. All GS-1101 positions, GS-15 and below with appropriate titles, such as General Business and Industry Specialist, Business Opportunity Specialist, etc.;
 - b. All GS-1102 Procurement Analyst positions, GS-15 and below;
 - c. All GS-1150 Industrial Specialist positions, GS-15 and below;
 - * d. All GS-1106 Procurement Clerical and Assistance positions; and
 - e. All supervisory positions classifiable under the General Schedule Supervisory Guide. *
7. The **Associate Administrator for Disaster Assistance** is authorized to classify all positions in the Office of Disaster Assistance Agency-wide, GS-15 and below, and may redelegate this authority to personnelist within the Office of Disaster Assistance.
8. The **Personnel Officer for the Office of Inspector General** is authorized to classify all positions in the Office of Inspector General Agency-wide.

9. The **Executive Resources Manager** is authorized to classify the following positions Agency-wide:
 - a. Senior Executive Service positions;
 - b. Schedule C positions;
 - c. White House Fellows;
 - d. Experts and Consultants; and
 - e. Administrative Law Judges.

10. The **Director, Human Resources Operations Division** is authorized to classify all remaining positions not covered above. This authority may be redelegated in writing to personnel management specialists in the Office of Human Resources.

Appendix 3 (paragraph 3-1) Optional Form 8 Position Description

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

Instructions for Completing Optional Form 8 POSITION DESCRIPTION

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


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

Appendix 4
(paragraph 2-4)
Positions Requiring Evaluation Statements

The classifier must prepare evaluation statements before certifying the classification of newly classified positions or recertifying any classification more than 3 years old, for any positions meeting the following criteria:

1. Position under appeal or likely to be appealed;
2. Standardized position descriptions;
3. Controversial or precedent-setting classification decisions;
4. Positions with a higher career ladder than is customary for a series in the same organization (e.g., a Loan Specialist GS-12 in an organization where the career ladder normally goes to a GS-11); and
5. Non-supervisory GS-14 and GS-15 positions.

Appendix 5
(paragraph 7-1)

 <p>U.S. Small Business Administration Position Designation Record</p>	
Organization	
Position title, series and grade	Position description number
RISK DESIGNATION SYSTEM	
1. PROGRAM PLACEMENT	
IMPACT on efficiency and integrity of service	<input style="width: 150px; height: 20px;" type="text"/>
SCOPE of operations for efficiency and integrity of service	<input style="width: 150px; height: 20px;" type="text"/>
PROGRAM PLACEMENT (Major, Substantial, Moderate, Limited)	<input style="width: 150px; height: 20px;" type="text"/>
2. POSITION RISK POINTS	
<u>RISK FACTORS & POINTS</u>	
Degree of public trust	<input style="width: 50px; height: 20px;" type="text"/>
Fiduciary responsibilities	<input style="width: 50px; height: 20px;" type="text"/>
Importance to program	<input style="width: 50px; height: 20px;" type="text"/>
Program authority level	<input style="width: 50px; height: 20px;" type="text"/>
Supervision received	<input style="width: 50px; height: 20px;" type="text"/>
TOTAL POSITION RISK POINTS	<input style="width: 50px; height: 20px;" type="text"/>
3. POSITION PLACEMENT	
Unadjusted Risk Level (note "C" after the risk level if a Computer-ADP position)	<input style="width: 150px; height: 20px;" type="text"/>
Minimum Investigation	<input style="width: 150px; height: 20px;" type="text"/>
4. ADJUSTMENTS FOR UNIQUENESS AND UNIFORMITY:	
5. FINAL PLACEMENT	
Risk level/Sensitivity level/Access level	<input style="width: 300px; height: 20px;" type="text"/>
Minimum investigation	<input style="width: 300px; height: 20px;" type="text"/>
Signature	Date

SBA Form 1939 (7/02) (SOP 35 00) (previous editions obsolete)

Appendix 6
(paragraph 2-5)
How to Complete Optional Form 8, “Position Description”

- Block 1** **Agency Position No.** - Personnel office completes.
- Block 2** **Reason for Submission** - Submitting office checks appropriate block. Classifier will advise as necessary.
- Block 3** **Service** - Submitting office checks appropriate block. Headquarters positions are those stationed in the Headquarters building. Field positions are those stationed outside the Headquarters building.
- Block 4** **Employing Office Location** - Submitting office fills in city and State. The employing office authorizes the hiring of an employee and pays the employee from its Salaries and Expenses (S&E) budget.
- Block 5** **Duty Station** - Submitting office fills in city and State where the employee regularly reports for work.
- Block 6** **OPM Certification No.** - At the direction of OPM following a classification appeal, the personnel office will complete.
- Block 7** **Fair Labor Standards Act** - Classifier checks appropriate block. Normally, positions at GS-11 and above are exempt from the overtime and duty hour provisions of the Fair Labor Standards Act (FLSA) and positions at GS-10 and below are nonexempt (i.e., are covered by the provisions of the FLSA, unless the personnel office determines otherwise). Consult your personnel office about supervisory and administrative officer (GS-341) positions if you think a position at GS-5 through GS-10 should be exempt from the FLSA. Special exemption guidelines are in: 5 CFR Part 551.204, executive exemption criteria; 5 CFR Part 551.205, administrative exemption criteria; and 5 CFR Part 551.206, professional exemption criteria.
- Block 8** **Financial Statements Required** - Personnel office completes.
- Block 9** **Subject to IA Action** - Classifier, personnel office, or supervisor checks “YES” if a position identical to this one (same title, pay plan, series, grade, duties, and responsibilities) could be set up in the same organization.

Block 10 **Position Status** - Submitting office, classifier, or personnel office checks appropriate block. Most positions are in the competitive service. If the position is in the excepted service (Schedule A, B, or C), note which schedule covers the position in block 24. (Attorneys are Schedule A, appointments of a confidential or policy-determining nature are Schedule C.) Additional guidance is in 5 CFR Part 6.2 and 5 CFR Part 213, Subpart C. Consult the personnel office for assistance.

Block 11 **Position Is:** - Classifier or personnel office enters one of the following Supervisory Level Codes (SLC) in the appropriate block:

- 2 A supervisor at any grade level that meets or exceeds the threshold requirements of the General Schedule Supervisory Guide (GSSG) or another guide such as the Administrative Officer (GS-341) guide when the incumbent exercises full administrative and technical supervisory authority.
- 4 A supervisor that does not meet the GSSG requirement to spend at least 25 percent of time supervising but exercises enough supervision over at least one employee to meet the requirements of the Civil Service Reform Act (CSRA). Consult 5 U.S.C. 7103(a)(10).
- 5 A non-supervisory management official GS-13 through GS-15 responsible for administering a significant program affecting SBA employees' working conditions or for formulating, determining, or effectively influencing SBA policies with repercussions on SBA employees. The work of these employees must have an actual or potential effect on the terms and conditions of employment of SBA employees.
- 6 A Leader under the Work Leader Grade Evaluation Guide. This position must be in a one-grade interval technical or clerical series.
8. The position does not meet any of the definitions above.

***Block 12** **Sensitivity** - Submitting office, personnel office, or classifier enters one of the following codes in this block after completing SBA Form 1939, "Position Designation Record" (See Appendices 5 and 7):

- 1 Low Risk
- 2 Noncritical Sensitive
- 3 Critical-Sensitive
- 5 Moderate Risk
- 6 High Risk

Identify a computer/ADP positions by placing the letter “C” after the code (i.e., 6C, 5C, or 1C).

Do not check any of the blocks unless your personnel office or the Office of Security Operations, Investigations Division, Office of Inspector General advises you to do so. *

Block 13 **Competitive Level Code** - Classifier or personnel office fills in after consulting the Competitive Level Code List.

Block 14 **Agency Use** - Personnel office fills in the Bargaining Unit Status Code in this block using the information below.

1. **Bargaining Unit Exclusions**

The following positions are excluded from bargaining unit coverage:

- a. Executives, managers, and supervisors (GSSG or CSRA) (employees with authority to hire, direct, assign, promote, reward, transfer, furlough, layoff, recall, suspend, discipline, remove employees, adjust grievances, and/or “effectively recommend” such actions);
- b. Non-supervisory management officials (SLC 5) (a non-supervisor responsible for administering a significant program affecting SBA employees' working conditions or for formulating, determining, or effectively influencing SBA policies with repercussions on SBA employees);
- c. Team leaders by case law where they consistently exercise independent judgement with regard to the supervisory characteristics set forth in 5 U.S.C. 7103(a)(10);
- d. Personnel specialists and assistants (see BARGAINING UNIT INCLUSIONS for the exceptions);
- e. Confidential assistant to an employee who formulates or effectuates management policies in the field of labor/management relations including all labor relations staff, secretary/administrative assistants to a Management Board member, and other supervisors/employees with labor relations responsibilities);
- f. Positions in the GS-511, Auditor series;
- g. Equal Employment Specialists (GS-260) responsible for EEO matters related to SBA employees only;

- h. Attorneys (GS-905) at GS-14 and above;
- i. Attorneys (GS-905) at any grade working on personnel matters;
- j. Schedule C positions;
- k. All positions in the Office of the Inspector General; and
- l. All currently unorganized offices.

2. **Bargaining Unit Inclusions**

The following positions are included in a bargaining unit:

- a. EEO & CRC Compliance Officers included by 34 FLRA 392 and not performing any work classified under the 260 series (see paragraph 1.h.);
- b. Personnel clerks, payroll clerks, personnel assistants, and other clerical/administrative support personnel (regardless of series or grade) in a personnel office who work in a purely clerical capacity (e.g., inputting data, maintaining files, assisting with time and attendance processes, helping complete forms);
- c. Positions in the Office of Advocacy with the “AD” (Administratively Determined) pay plan. (Bargaining unit status is determined by the duties, not by the hiring authority. “AD” employees share a community of interest with other Advocacy employees (GS) who were found to be in the bargaining unit - see 17 FLRA 188);
- d. All other positions.

3. **Bargaining Unit Status Codes.** Enter the appropriate 4-digit code.

- a. Non-unit codes:
 - 8888** Position meets occupational/statutory exclusion and cannot be part of a bargaining unit
 - 7777** Position is eligible for inclusion in a bargaining unit but currently isn't included in a bargaining unit, such as Disaster Area Office disaster loan-making positions and positions located in district offices in Region VII
- b. Unit codes:

- 0045** Position is in the NFFE consolidated bargaining unit in the Denver District Office
- 0054** Position is in the NFFE consolidated unit in the Office of Financial Operations in Denver, Colorado
- 0150** Position is in the NFFE bargaining unit in the Houston District Office
- 0170** Position is in the NFFE bargaining unit in the Casper District Office
- 0160** Position is in the NFFE bargaining unit in the San Antonio District Office
- 0033** Position is in the AFGE nationwide bargaining unit

- Block 15** Classified/Graded By - Classifier completes block 15b.
- Block 16** Organizational Title of Position - Supervisor may fill in an organizational, working, or functional title which may differ from the official title in block 15b.
- Block 17** Name of employee - Submitting office, personnel office, or classifier may fill in the incumbent's name, if known.
- Block 18** Department, Agency, or Establishment - Submitting office, classifier, or personnel office completes blocks 18a - 18e.
- Block 19** Employee Review - The supervisor gives a copy of the classified position description to the employee for review. The employee's signature is optional.
- Block 20** Supervisory Certification - The immediate supervisor of the position must sign and date in this block. The signature of a higher-level manager or supervisor is optional.
- Block 21** Classification/Job Grading Certification - Classifier must sign and date this block.
- Block 22** Position Classification Standards Used in Classifying/Grading Position - Classifier must fill in the title, series, and issue date of the classification standard used (e.g., Mail and File Clerk, GS-305, May 1977).
- Block 23** Position Review - Supervisor or classifier may use this block to record reviews of the position description.

Appendix 7
(paragraph 2-5)

How to Complete SBA Form 1939, “Position Designation Record”

Organization - fill in the organizational location down to the specific branch or division (e.g., Office of Capital Access, Office of Financial Assistance, Policy and Program Development Division, Program Development Branch)

Position title, series and grade - fill in the position title, occupational series and grade

Position description number - the human resources specialist completes this block

RISK DESIGNATION SYSTEM

1. PROGRAM PLACEMENT

- a. **IMPACT on efficiency and integrity of service**: Identify the impact description in the **IMPACT** column of Appendix 11 that best describes the agency or agency program. If there is a question regarding placement of an agency or agency program at one of the two impact descriptions (such as whether it is Substantial or Moderate, the decision should be based on the best interests of the agency mission. Record the IMPACT (Major, Substantial, Moderate or Limited) on the form.
- b. **SCOPE of operations for efficiency and integrity of service**: Identify the scope of operations described in the four **SCOPE OF OPERATIONS** columns of Appendix 11. Record the SCOPE (Worldwide, Government-wide, Multi-Agency or Agency) on the form.
- c. **PROGRAM PLACEMENT**: The box at the intersection of the **IMPACT** row and the **SCOPE** column in Appendix 11 identifies the program placement. Record the PROGRAM PLACEMENT (Major, Substantial, Moderate or Limited) on the form.

Example: SUBSTANTIAL IMPACT and MULTIAGENCY SCOPE =
SUBSTANTIAL Program Placement

2. POSITION RISK POINTS

- a. **RISK FACTORS & POINTS:** Using the position description, evaluate each RISK FACTOR described in Appendix 12 in terms of the DEGREE OF RISK described in the first column. Assign points (7, 6, 5, 4, 3, 2 or 1) to each risk factor to reflect the degree of risk. The greater the degree of risk, the higher the point value assigned to the risk factor (except for Degree of Supervision). Record the points for each risk factor on the form.
- b. **TOTAL POSITION RISK POINTS:** After points are assigned to all five risk factors, total the points and record them on the form.

3. POSITION PLACEMENT

Using Appendix 13, and PROGRAM PLACEMENT (Major, Substantial, Moderate, or Limited) and TOTAL POSITION RISK POINTS (from 5 to 35 points) from SBA Form 1939, find the box at the intersection of the **PROGRAM PLACEMENT** row and the **TOTAL POSITION RISK POINTS** column. This will be the Unadjusted Risk Level and Minimum Investigation. Record the Unadjusted Risk Level (Low Risk, Moderate Risk or High Risk) and the Minimum Investigation (NACI&C, LBI, BI or SSBI) on the form.

NOTE: The minimum investigation recommendation is not intended to restrict the SBA from conducting a more comprehensive investigation than recommended, when such an investigation is warranted.

4. ADJUSTMENTS FOR UNIQUENESS AND UNIFORMITY

Some positions, by the very nature of the duties and responsibilities of the program or the position, will require designation at a certain level of risk. Final adjustment in the risk designation process must take into account unique factors specific to the position, and the organizational need for uniformity of operations, and must be recorded on SBA Form 1239, "Position Designation Record." Adjustments raise the risk level designation of a position or convert the designation from a risk level (High Risk, Moderate Risk, Low Risk) to a sensitivity level (Noncritical Sensitive or Critical-Sensitive). As a consequence, the level of investigation may be raised above the minimum investigation recommended.

Uniqueness: Some factors that can cause a uniqueness adjustment, which are not fully accounted for in the program or position designation system, are listed below:

- Special investigative or criminal justice duties
- Positions requiring possession and use of firearms
- Access to or control of highly sensitive but unclassified information
- Access to sensitive financial records
- Potential for realizing financial gain

- Control of an automated monetary system (key access entry)
- Few-of-a-kind positions with special duties (e.g., Special Assistant to the Administrator)
- Support positions with no responsibilities for preparation or implementation of Public Trust programs policies and plans (see Appendix 14) but involving regular contact with, and ongoing knowledge of all or most of such material (e.g., budget analyst, special assistant)
- Any of the criteria for National Security Positions (see Appendix 15)
- Positions with access to classified national security information. Classified national security information means information that has been determined to require protection against unauthorized disclosure and is marked to indicate its classified status when in documentary form. Classified information can be written documents, recordings, maps and charts, photographs and slides, microfilm, typewriter or wordprocessor ribbons, computer software and hardware, and other print and nonprint materials.
- Any other factors the Agency thinks relevant (must be documented and attached to the Position Designation Record)

Uniformity: There may be a clearly indicated need for uniformity in position designations because of authority level or program placement level. Some examples are:

- Adjustment of position designations at the same authority level to assure uniformity within the Agency (e.g., managers of major Agency programs at the same level of authority may be placed at the same level of risk)
- Designating all positions within a program at a certain risk level required to best protect the efficiency of the service

Examples of Adjustments for Uniqueness/Uniformity:




PROGRAM PLACEMENT	POSITION RISK POINTS	POSITION PLACEMENT	MINIMUM INVESTIGATION	ADJUSTMENTS	FINAL PLACEMENT	REQUIRED INVESTIGATION
MAJOR	25	HR	BI	Top Secret Access	CS	SSBI
MODERATE	30	MR	LBI	Special Assistant to Administrator	HR	BI
SUBSTANTIAL	10	LR	NACI&C	Access to sensitive financial records	MR	LBI
MAJOR	25	HR	BI	Criminal justice duties	CS	SSBI

Computer/ADP Position Risk Levels

Determining a Computer/ADP position risk level is an adjustment factor for both uniqueness and uniformity and tends to raise the risk level designation. See Appendix 16 to determine position placement for any position with Computer/ADP duties.

5. **FINAL PLACEMENT**

- a. After careful analysis of the position in terms of uniqueness and uniformity, determine the FINAL PLACEMENT. FINAL PLACEMENT could be any of the following:

RISK LEVELS	SENSITIVITY LEVELS	ACCESS LEVELS
 High Risk Moderate Risk Low Risk	 Critical-Sensitive Noncritical-Sensitive Nonsensitive	 Top Secret (TS) Secret (S) Confidential (C)

- b. Indicate the investigation required by the FINAL PLACEMENT, as described below:

FINAL PLACEMENT	INVESTIGATION REQUIRED
Low Risk	NACI&C
Moderate Risk Public Trust	LBI
High Risk Public Trust	BI
Noncritical Sensitive National Security with SECRET or CONFIDENTIAL access	LBI
Critical-Sensitive National Security with SECRET access	BI
Critical-Sensitive with TOP SECRET access	SSBI

- c. Sign and date the form. Attach the form to the position description and submit them to your servicing personnel office.

Appendix 8
(paragraph 5-3)
Where to File Appeals

1. **Within SBA**

- a. Employees in the Office of Inspector General send their appeals to:

Small Business Administration
Office of Inspector General
Assistant Inspector General for Management and Legal Counsel
409 3rd Street, S.W., Suite 7150
Washington, DC 20416
(202) 205-6580

- b. All other employees send their appeals to:

Small Business Administration
Office of Human Resources
Agency Appeals Officer
409 3rd Street, S.W., Suite 4200
Washington, DC 20416
(202) 205-6185

2. **With the Office of Personnel Management**

- a. If your official duty station is in the District of Columbia, in the Maryland counties of Charles, Montgomery or Prince George's, in the Virginia counties of Arlington, Fairfax, King George, Loudoun, Prince William or Stafford, or in the Virginia cities of Alexandria, Fairfax, Falls Church, Manassas, or Manassas Park, send your appeal to:

Office of Personnel Management
DC Oversight Division
1900 E Street, N.W., Room 7675
Washington, DC 20415
(202) 606-2990

- b. If your official duty station is in Alabama, Florida, Georgia, Mississippi, North Carolina, South Carolina, Tennessee, or Virginia (except for areas covered by 2.a., send your appeal to:

Office of Personnel Management
Atlanta Oversight Division
75 Spring Street, S.W., Suite 972
Atlanta, GA 30303
(404) 331-3451

- c. If your official duty station is in Illinois, Indiana, Iowa, Kansas, Kentucky, Michigan, Minnesota, Missouri, Nebraska, North Dakota, Ohio, South Dakota, West Virginia, or Wisconsin, send your appeal to:

Office of Personnel Management
Chicago Oversight Division
230 S. Dearborn Street, DPN 30-6
Chicago, IL 60604
(312) 353-0387

- d. If your official duty station is in Arizona, Arkansas, Colorado, Louisiana, Montana, New Mexico, Oklahoma, Texas, Utah, or Wyoming, send your appeal to:

Office of Personnel Management
Dallas Oversight Division
1100 Commerce Street, Room 4C22
Dallas, TX 75242
(214) 767-0561

- e. If your official duty station is in Connecticut, Delaware, Maine, Maryland (except for areas covered by 2.a.), Massachusetts, New Hampshire, New Jersey, New York, Pennsylvania, Rhode Island, Vermont, Puerto Rico, or the Virgin Islands, send your appeal to:

Office of Personnel Management
Philadelphia Oversight Division
600 Arch Street, Room 3400
Philadelphia, PA 19106
(215) 597-9797

- f. If your official duty station is in Alaska, California, Hawaii, Idaho, Nevada, Oregon, Washington, or the Pacific Ocean area (including Guam), send your appeal to:

Office of Personnel Management
San Francisco Oversight Division
120 Howard Street, Room 760
San Francisco, CA 94105
(415) 281-7050

Appendix 9
(paragraph 6-3)
Team Leaders

As a team leader, an individual:

- a. must not perform, on a continuing basis, supervisory duties (see Appendix 10)
- b. must be delegated the authority to resolve a limited range of work-related problems for a team; or
- c. cannot have his or her grade or title determined by the GSSG; and may have an official title other than “Supervisor,” such as “Senior” or “Lead.”

STANDARD TEAM LEADER STATEMENT

Serves as a team leader, with delegated authority from the supervisor for the following responsibilities:

- a. planning, assigning, and reviewing work of team;
- b. setting and adjusting short-term priorities to assure production and accuracy requirements are met;
- c. advising, counseling, and instructing team members on production and technical matters;
- d. identifying training needs and effectively recommending training opportunities; and
 - e. drafting performance rating(s) for consideration by the supervisor.

**Appendix 10
(paragraph 6-3)
Team Leader Duties and Responsibilities Sample**

	TEAM LEADERS MAY:	SUPERVISORS WILL:
LEAVE	Assess impact of leave on unit productivity and time/attendance. Sign routine leave requests. Sign Time and Attendance (T&A) sheets.	Approve/disapprove extraordinary or complicated leave based on input from team leader.
PERFORMANCE MANAGEMENT	Identify important elements of position and draft preliminary standards. Obtain approval of supervisor and communicates standards to employees.	Approve critical elements and performance standards.
	Advise employees on technical aspects of the job.	Place employee with performance deficiency on Performance Improvement Plan (PIP).
	Evaluate performance. Counsel employee.	Sign PIMAS as reviewing official.
	Assign or reassign work based on the timeliness, productivity and/or quality of team member's work. Provide job-related data as requested by supervisor.	Assess evidence and decide whether or not to sign and issue letters of warning, reprimand, suspension or removal or effectively recommend such action to higher management.
	Identify training needs and recommend training opportunities.	Send employee to training or effectively recommend training to higher managers. Sign training request forms obligating funds.
	Provide productivity facts and figures to supervisor.	Confer or formally recommend awards. Write and sign justification as appropriate.
GRIEVANCE	Provide job-related data as requested.	Hear and settle employee complaints filed as negotiated or administrative grievances.
EMPLOYMENT	Review job applications and advise on qualities/qualifications necessary for successful performance.	Interview candidates, check references, select or effectively recommend selection to higher management.
	Provide job related data (quality/timeliness) on employees before career ladder promotions.	Sign SF-52 request for career ladder promotion.
	Advise on impact of reassignment/transfer on team's productivity.	Reassign/Transfer or effectively recommend such action to higher management.
	Advise on impact of furlough on team's productivity.	Furlough employee or effectively recommend furlough to higher management.
	Advise on impact of termination on team's productivity.	Terminate employee or effectively recommend termination to higher management.

Appendix 11
Program Placement

SCOPE OF OPERATIONS				
	Worldwide Operational activity is carried out worldwide, with primary focus in either public or private sector	Government-wide Operational activity is carried out government-wide, to all sectors, with primary focus on public sector government-wide	Multi-Agency Nationally or regionally with primary focus extending to more than one agency in public sector, or to elements in the private sector impacted by the agencies	Agency Operations of the agency, or an agency's region or area, with primary focus extending to elements in the private sector impacted by the agency
IMPACT				
Major Impacts directly on survival, stability, and continued effectiveness of Government operations, the promotion of major Government fiscal goals, or a primary social, political or economic interest of the Nation	MAJOR	MAJOR	SUBSTANTIAL	MODERATE
Substantial Impacts directly on efficiency and effectiveness of sizeable segment of the Federal workforce, or the interests of large numbers of individuals in the private sector	MAJOR	SUBSTANTIAL	SUBSTANTIAL	MODERATE
Moderate Impacts directly on effectiveness of an agency's operations, fiscal interests of an agency, or affects the social, political or economic interests of individuals, businesses or organizations in the private sector	SUBSTANTIAL	MODERATE	MODERATE	LIMITED
Limited Limited impact on operational effectiveness of one or a few programs in an agency, or interests of a limited number of individuals in the	MODERATE	MODERATE	LIMITED	LIMITED

private sector				
----------------	--	--	--	--

Appendix 12
Position Risk Points

RISK FACTORS						
	Degree of public trust Consensus of confident expectation for honesty, integrity, reliability, responsibility or justice placed in position	Fiduciary (monetary) Authority or ability to obligate, control or expend public money or items of monetary value (bonds, etc.)	Importance to program Impact individual position has, due to status in, or influence, direct or indirect, on program as a whole, either individually or collectively	Program authority Ability to manipulate authority or control the outcome or results of all or key portions of a program or policy	Supervision received Frequency work is reviewed and nature of review	
DEGREE OF RISK						Degree of supervision
Major Potential for independently compromising integrity and effectiveness of a major program element or component, or in conjunction with others, damaging all phases of program operations	7	7	7	7	7	Limited: Occasional review only with respect to major policy issues by superior without expertise in the technical aspects of program policy and operations
	6	6	6	6	6	
Substantial Potential for reducing efficiency of overall program operations, or overall operations of major program elements/components independently, or through collective action with others	5	5	5	5	5	Periodic: Ongoing spot review of policy and major operational considerations of work by superior, with some knowledge of program operations, but with minimal technical program expertise
	4	4	4	4	4	
Moderate Potential for reducing efficiency of overall or day-to-day operations of a major program element or component, through independent action or collectively with others	3	3	3	3	3	Moderate Technical: Ongoing spot review of work in connection with important operational issues by superior with technical program expertise
	2	2	2	2	2	
Limited Potential for damage not meeting above criteria	1	1	1	1	1	Close Technical: Continuing review of all phases of work by supervisor with technical program expertise

Appendix 13**Position Placement**

	POSITION RISK POINTS					
	5-10	11-17	18-23	24-29	30-33	34-35
PROGRAM PLACEMENT						
Major	Low Risk (LR) NACI&C	Moderate Risk (MR) LBI	Moderate Risk (MR) LBI	High Risk (HR) BI	High Risk (HR) BI	High Risk (HR) BI
Substantial	Low Risk (LR) NACI&C	Moderate Risk (MR) LBI	Moderate Risk (MR) LBI	Moderate Risk (MR) LBI	High Risk (HR) BI	High Risk (HR) BI
Moderate	Low Risk (LR) NACI&C	Low Risk (LR) NACI&C	Moderate Risk (MR) LBI	Moderate Risk (MR) LBI	Moderate Risk (MR) LBI	High Risk (HR) BI
Limited	Low Risk (LR) NACI&C	Low Risk (LR) NACI&C	Low Risk (LR) NACI&C	Low Risk (LR) NACI&C	Moderate Risk (MR) LBI	High Risk (HR) BI

The following are the required **minimum** investigative requirements:

Low Risk - National Agency Check and Inquiries with Credit (NACI&C)

Moderate Risk - Limited Background Investigation (LBI)

High Risk – Background Investigation (BI)

Critical-Sensitive with Top Secret Access - Single Scope Background Investigation (SSBI)

NOTE: See SOP 90 22, “Investigations Program,” Chapter 6, paragraph 6, for coverage of each type of investigation.

Appendix 14
Public Trust Positions

Agencies must designate each competitive service, excepted service and Senior Executive Service position in the agency based on the documented duties and responsibilities of the position as High, Moderate, or Low-Risk, depending on the position's potential for adverse impact to the integrity and efficiency of the service. Positions at the High and Moderate Risk levels are referred to as Public Trust positions. These positions generally involve the following duties or responsibilities:

- Policy making;
- Major program responsibility;
- Public safety and health;
- Law enforcement duties;
- Fiduciary responsibilities; and
- Other activities demanding a significant degree of public trust.

Public Trust positions also involve access to, operation or control of proprietary systems of information, such as financial or personal records, with a significant risk for causing damage to people, programs or an agency, or for realizing personal gain.

The three risk levels are defined below.

RISK LEVELS	DEFINITIONS 7 REPRESENTATIVE DUTIES OR RESPONSIBILITIES
HIGH (HR) Public Trust Position	<p>Positions with the potential for <i>exceptionally serious impact</i> on the integrity and efficiency of the service</p> <p>Duties involved are especially critical to the agency or program mission with a broad scope of responsibility and authority. Positions include:</p> <ul style="list-style-type: none"> • Policy-making, policy-determining, and policy-implementing; • Higher level management duties or assignments, or major program responsibility; • Independent spokespersons or nonmanagement position with authority for independent action; • Investigative, law enforcement, and any position that requires carrying a firearm; and • Fiduciary, public contact, or other duties demanding the highest degree of public trust.
MODERATE (MR) Public Trust Position	<p>Positions with the potential for <i>moderate to serious impact</i> on the integrity and efficiency of the service</p> <p>Duties involved are considerably important to the agency or program mission with significant program responsibility or delivery of service. Positions include:</p> <ul style="list-style-type: none"> • Assistants to policy development and implementation; • Mid-level management duties or assignments; • Any position with responsibility for independent or semi-independent action; and • Delivery of service positions that demand public confidence or trust.
LOW (LR)	<p>Positions that involve duties and responsibilities of <i>limited relation</i> to an agency program mission, with the potential for limited impact on the integrity and efficiency of the service</p>

Appendix 15**National Security Positions**

All positions with National Security duties must have a sensitivity level designation to assure the appropriate level of investigative screening is done. 5 CFR Part 732 defines a sensitive position as “...*any position within 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.*” Sensitivity level designation is based on an assessment of the degree of damage that an individual could cause to the National Security. The sensitivity levels are defined below:

Critical-Sensitive (CS): Potential for exceptional or grave damage to the national security

Positions that involve any of the following:

- Access to **TOP SECRET** or **SECRET** classified information
- Development or approval of war plans, or plans or particulars of future, major, or special operations of war, or critical and extremely important items of war
- National security policy-making or policy-determining positions
- Investigative duties
- Issuance of personnel security clearances
- Duty on personnel security boards
- Any other positions related to national security requiring the same degree of trust

Noncritical-Sensitive (NCS): Potential for serious or significant damage to the national security

Positions that involve any of the following:

Access to **SECRET** or **CONFIDENTIAL** classified information

Duties that may directly or indirectly adversely affect the national security operations of the agency

NOTE: *The designation of **Non-Sensitive** is not shown in the table because a Non-Sensitive position is the same as a Low Risk position; both require the same level of investigation, a NACI&C.*

Apply the sensitivity levels described above as an adjustment to the risk designation level. Sensitivity level designations override Public Trust (i.e., HR and MR) designations due to the national interest or security. However, you must first determine the basic risk level of the position. If National Security duties and responsibilities are no longer part of a position, the position reverts to its Public Trust designation. Additionally, if the Public Trust risk level designation requires a higher level of investigation than the National Security sensitivity level, the higher level of investigation should be conducted. See the examples that follow.

Examples:

POSITION PLACEMENT	MINIMUM INVESTIGATION	FINAL PLACEMENT	ADJUSTED INVESTIGATION	REQUIRED INVESTIGATION
LR	NACI&C	CS with access to TOP SECRET information	SSBI	SSBI
HR	BI	CS	SSBI	SSBI

Appendix 16**Computer/ADP Position Risk Levels**

The three Computer/ADP position risk levels are described in the following table. In determining position placement for any position with Computer/ADP duties, apply these definitions:

COMPUTER/ADP RISK LEVELS	RISK LEVEL DEFINITIONS
<p style="text-align: center;">High Risk (HR) Public Trust Position</p>	<p>Potential for exceptionally serious impact involving duties especially critical to the agency mission, with broad scope and authority, with major program responsibilities, which affect a major Computer/ADP system.</p>
<p style="text-align: center;">Moderate Risk (MR) Public Trust Position</p>	<p>Potential for moderate to serious impact involving duties of considerable importance to the agency mission, with significant program responsibilities that affect large portions of a Computer/ADP system.</p>
<p style="text-align: center;">Low Risk (LR)</p>	<p>Potential for impact involving duties of limited relation to the agency mission through the use of Computer/ADP systems.</p>

High Risk: Includes any position at the highest level of risk to the Computer/ADP system. Such positions may involve:

- Responsibility for the development, direction, implementation, and administration of agency security programs, including direction and control of risk analysis or threat assessment.
- Significant involvement in life-critical or mission-critical systems.
- Responsibility for preparing or approving data for input into a system which does not necessarily involve personal access to the system, but which creates a high risk for effecting grave damage or realizing significant personal gain.
- Assignments associated with or directly involving the accounting, disbursement, or authorization for disbursement from systems of amounts of \$10 million per year or greater, or lesser amounts if the activities of the individual are not subject to technical review by higher authority to insure the integrity of the system.
- Major responsibility for the direction, planning, design, testing, maintenance, operation, monitoring, or management of systems hardware or software.
- Access to a system during the operation or maintenance in such a way to permit high risk for causing grave damage or realizing a significant personal gain.
- Other positions as designated by the agency head that involve high risk for effecting grave damage or realizing significant personal gain.

Moderate Risk: Includes positions in which the incumbent is responsible for the direction, planning, design, operation, or maintenance of a computer system, and whose work is technically reviewed by a higher authority at the High Risk level to insure the integrity of the system. Such position may involve responsibility for systems design, operation, testing, maintenance, or monitoring that is carried out under technical review of higher authority at the High Risk level, to insure the integrity of the system, This level includes, but is not limited to:

- Access to or processing of proprietary data, Privacy Act of 1974, and Government-developed privileged information involving the award of contracts
- Accounting, disbursement, or authorization for disbursement from systems with amounts less than \$10 million per year
- Other positions designated by the agency head that involve a degree of access to a system that creates a significant potential for damage or personal gain less than that in High Risk positions

Low Risk: Includes all Computer/ADP positions not falling into on of the above risk levels.