Supplemental Information to Determine Position Risk/Access Designation

NASA, Glenn Research Center
Office of Human Resources & Workforce Planning
Program & Policy Office, Code CFA
January 2007

The Risk Designation System

- The Risk Designation System is designed to:

  – Determine the level of background investigation required for a position based on the overall responsibility of a position

  – Determine any possible adverse impact the position could have in terms of integrity and efficiency of Government service

  – Meet Federal and Agency requirements

    - NPR 1600.1 NASA Security Program Procedural Requirements

    - Homeland Security Presidential Directive (HSPD) 12

Compliance – NASA Form 1722

- Initially, NASA Form (NF) 1722 will be completed by supervisors for all assigned encumbered positions

- This form will be completed by supervisors for all:

  – Position changes (i.e. Promotions, Reassignments, etc.)

  – New hires

NOTE: Only one NF 1722 is needed for each position (regardless if there are numerous employees on the same position description). A copy of the NF 1722 will be maintained with the original position description. After processing the information, Human Resources will forward the original to Security.

Getting Started

- To complete NF 1722 you will need the following :

Position Risk Designation Record (NF 1722 -Informed)
http://forms.grc.nasa.gov/Forms/PublicUser/index.cfm?fuseaction=SEARCH.searchDetails&form_id=743

NPR 1600.1 Appendix M
http://nodis-dms.gsfc.nasa.gov/restricted_directives/displayDir.cfm?Internal_ID=N_PR_1600_0001_&page_name=AppendixM

Position Description
https://www.avuedigitalservices.com/nasa/ads.html

Directorate's Functional Statements
http://www.grc.nasa.gov/WWW/OHR/OrgManual/

NOTE: These documents should be used solely as *guidance* to help you in determining position designation

Useful Terms

- **Integrity**

  – The condition that exists when information is unchanged from its source and has not been accidentally or intentionally modified, altered, or destroyed

- **Efficiency**

  – The degree to which a system or component performs its designated functions with minimum consumption of resources

- **Adverse Impact**

  – An act or occurrence that results in a negative outcome and/or damage of an asset, program, mission, or operation thereby delaying or interrupting performance for a specified short period of time
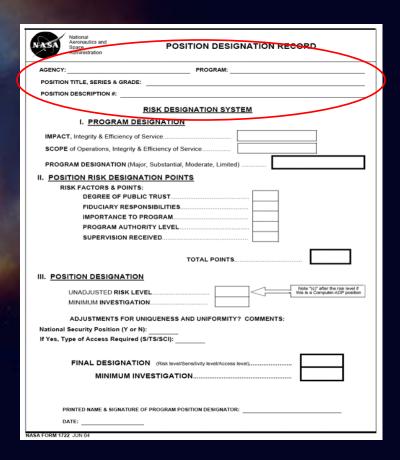
NASA Form 1722 Includes 4 Parts

- Header

- I. Program Designation

- II. Position Risk Designation

- III. Position Designation

Completing the Header Information

- Fill out the header information at the top of NF 1722 to include:

    – Agency (NASA/GRC)

    – Program (Organizational Code)

    – Position Title, Series, & Grade

    – Position Description Number

Completing Part I

I.   Program Designation

Determining "Program Designation"

- **Program is defined as:**

  – The mission, functions, activities, laws, rules, and regulations that you are authorized and funded by statute to carry out. Typically, programs involve broad objectives; however, specialized or staff programs may be considerably narrower in scope

- **Things to consider:**

  – A program may be professional, scientific, technical, administrative, or fiscal in nature (e.g. RAMO, OHR, CEV, CLV, etc.)

  – The focus of a program may be on providing products and services internally and/or externally to GRC
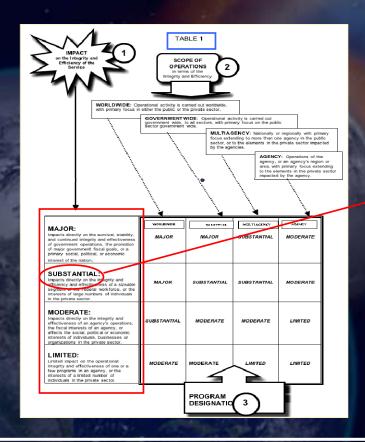
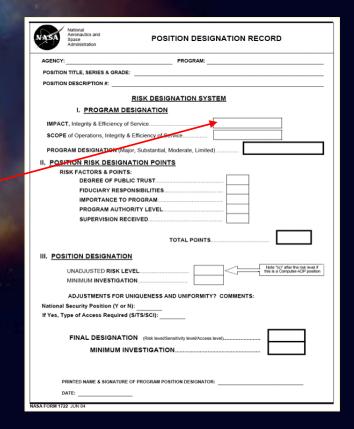# Things to Consider When Determining "Impact"

- **Impact:**
  - What type of service is the program funded to provide?
  - What impact could the service have on the integrity and efficiency of the Government?
  - Definitions of the levels of Impact:
    - **Major –** Impacts directly on the survival, stability, and continued integrity and effectiveness of government operations, the promotion of major government fiscal goals, or a primary social, political, or economic interest of the nation.
    - **Substantial –** Impacts directly on the integrity and efficiency and effectiveness of a sizeable segment of the Federal workforce, or the interests of large numbers of individuals in the private sector.
    - **Moderate -** Impacts directly on the integrity and effectiveness of an agency's operations, the fiscal interests of an agency, or affects the social, political or economic interests of individuals, businesses or organizations in the private sector.
    - **Limited -** Limited impact on the operational integrity and effectiveness of one or a few programs in an agency, or the interests of a limited number of individuals in the private sector.

Documenting "Impact" on the NF 1722

- Using the definitions in Appendix M, Table 1, identify the level of impact (Major, Substantial, Moderate, or Limited) of the *program* and record it on NF 1722

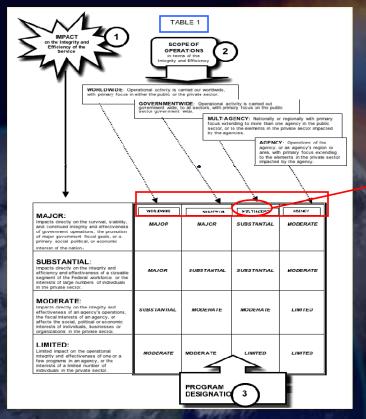# Things to Consider When Determining the "Scope of Operations"
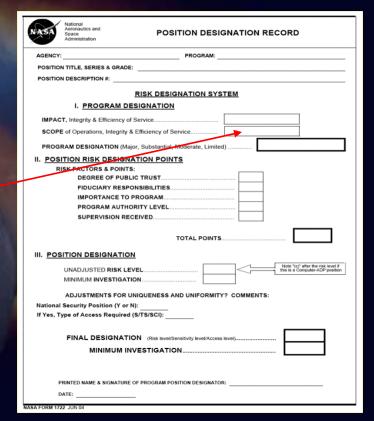
- **Scope of Operations:**
  - What is the program's span of operations? (See definitions in Appendix M, Table 1.)
  - In terms of the primary focus of the program's scope of operations, who does the service affect?

Documenting "Scope of Operations" on the NF 1722

- Using the definitions in Appendix M, Table 1, identify the Scope of Operations (Worldwide, Governmentwide, MultiAgency, Agency) of the *program* and record it on NF 1722

- To assist you in this process, the Agency has provided interpretive guidance on Multi-Agency vs. Agency Designation (next slide).

Scope of Operations
Agency Interpretive Guidance (Multi-Agency vs. Agency)

Steps Required

- Determine the "primary" focus of the organization's operations.
  - What is the organization's reason for being?
  - Does the organization exist to primarily support NASA missions?
  - Does the organization exist to primarily support, control, or regulate the missions of other agencies or companies?
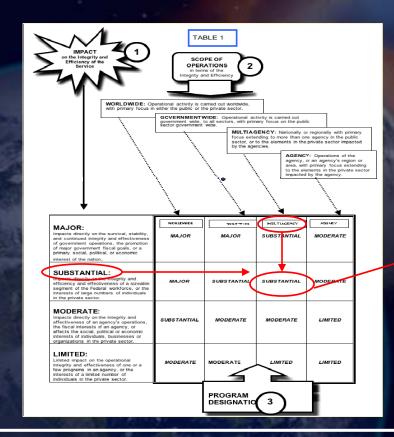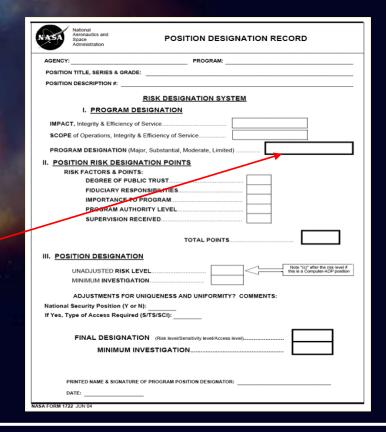
- Notes
  - Although an organization may frequently deal with other agencies and corporations (including international orgs), the appropriate scope of operations designation may still be "Agency" if the *primary* purpose is to support NASA missions.
  - However, if an organization exists primarily to support, control, or regulate aspects of one or more agency or industry, the appropriate scope of operations designation may be "Multiagency." A few examples of GRC organizations with "Multiagency" scopes of operations include CEV (Orion Project), CLV (Ares I), CaLV (Ares V) and Technology Transfer function, etc.

Determining "Program Designation"

- Using Appendix M, Table 1, identify the final *Program Designation* (Major, Substantial, Moderate, Limited) by finding the intersection of the Impact row and Scope column and record it on NF 1722

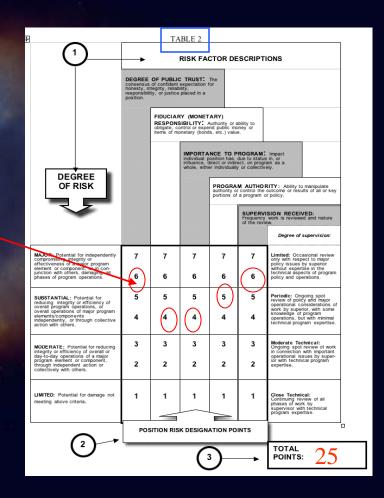# Completing Part II

II.   Position Risk Designation Points

Determining "Position Risk Designation Points"

- This section determines the degree of risk that a position poses to the program as it relates to the integrity and efficiency of the service

- Supervisors assign points to each risk factor to numerically reflect the degree of risk. The greater the degree of risk, the higher the point value assigned to the risk factor. To do this step, the supervisor will review assigned position descriptions and decide what level of risk each position has based on the potential to cause harm.

- There are five risk factor areas:
  - Degree of Public Trust
  - Fiduciary Responsibility
  - Importance To Program
  - Program Authority
  - Supervision Received

- The result is a numerical representation of the **relative degree** of risk

Determining Position Risk Designation Points (Cont.)

- Using Appendix M, Table 2, identify the Risk Points associated with the *position* in each Risk Factor.

Things to Consider When Determining "Degree of Public Trust"

- **Degree of Public Trust:**

  – If the incumbent of this position was not being honest, reliable or using integrity at the level expected, what impact could this behavior have on the program?

  – How much trust is put into the incumbent of this position?

  – Within the scope of the responsibilities of the position, to what degree of risk could the incumbent of the position affect the accomplishments of the program's mission?

Things to Consider When Determining "Fiduciary Responsibilities"

- **Fiduciary Responsibility = Monetary Responsibility:**

  – Does this position obligate, control or expend money? Such as:

    - **Purchase** goods for the Government

    - **Authorize** personnel actions such as promotions or awards

    - **Spend** Government funds

    - **Monitor** a budget

  – Within the scope of the responsibilities of the position, to what degree of risk could the incumbent cause financial damage to the program?

Things to Consider When Determining "Importance to the Program"

- **Importance to the Program:**

  – Does this position have the status or influence to adversely impact the program?

  – Within the scope of the responsibilities of the position, to what degree of risk could the incumbent's status or ability to influence others have on the impact of the program?

Things to Consider When Determining "Program Authority"

- **Program Authority:**

  - Does the incumbent of the position have authority to create or make changes to policy?

  - Does the incumbent of the position have the ability to independently make changes to the program?

  - Within the scope of the responsibilities of the position, to what degree of risk could the incumbent of the position manipulate authority or control the outcome of a program?
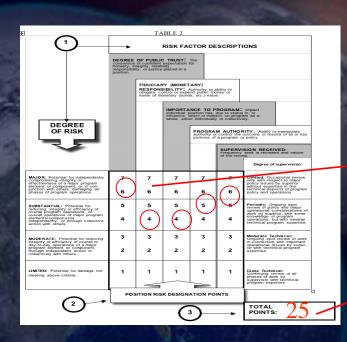
Things to Consider When Determining "Supervision Received"

- **Supervision Received** – Determination is made based on the supervisory section of the position description and the degree of supervision definitions found on the right hand column of Appendix M, Table 2. Generally, the points can be assigned according to grade levels as listed below:

  - Positions at the GS-13 level or higher generally fall under a **limited** degree of supervision with points ranging from 6 to 7

  - Positions at the GS-12 level generally fall under a **periodic** degree of supervision with points ranging from 4 to 5

  - Positions at the GS-9 & 11 levels generally fall under a **moderate technical** degree of supervision with points ranging from 2 to 3

  - Positions at the GS-8 level or below generally fall under a **close technical** degree of supervision with 1 point

Documenting "Total Points" on the NF 1722

- Record the Position Risk Designation Points on NF 1722

- Total all Risk Points (Example: 6+4+4+5+6 = 25) and record the total
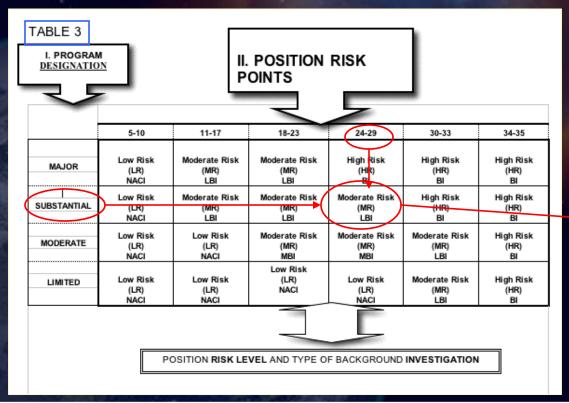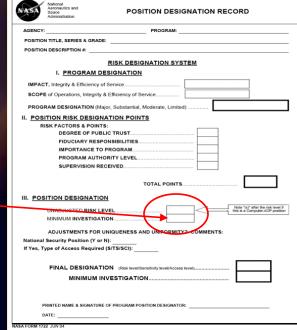
Completing Part III

III.   Position Designation

Determining "Unadjusted Risk Level" and "Minimum Investigation"

- Using Appendix M, Table 3, the Program Designation (Part I), and the Position Risk Points (Part II), determine the *Unadjusted Risk Level* and *Minimum Investigative Requirements* and record them on NF 1722

Determining "Adjustments for Uniqueness and Uniformity"

- Use Appendix M to review for *Uniqueness* and *Uniformity* factors and decide if any are applicable to the position

- If there are any *Uniqueness* or *Uniformity* adjustment factors, list them under the comments section

  NOTE: Adjustments made for *Uniqueness* and *Uniformity* often serve to raise the risk level of the final designation (see example on next slide)

National Aeronautics and Space Administration

POSITION DESIGNATION RECORD

AGENCY: _____   PROGRAM: _____

POSITION TITLE, SERIES & GRADE: _____

POSITION DESCRIPTION #: _____

RISK DESIGNATION SYSTEM

I. PROGRAM DESIGNATION

IMPACT, Integrity & Efficiency of Service.....................

SCOPE of Operations, Integrity & Efficiency of Service.................

PROGRAM DESIGNATION (Major, Substantial, Moderate, Limited) ....

II. POSITION RISK DESIGNATION POINTS

RISK FACTORS & POINTS:

DEGREE OF PUBLIC TRUST.....................

FIDUCIARY RESPONSIBILITIES.................

IMPORTANCE TO PROGRAM.....................

PROGRAM AUTHORITY LEVEL.................

SUPERVISION RECEIVED.........................

TOTAL POINTS.............................

III. POSITION DESIGNATION

UNADJUSTED **RISK LEVEL**...................   Note "(c)" after the risk level if this is a Computer-ADP position

MINIMUM INVESTIGATION.................................

ADJUSTMENTS FOR UNIQUENESS AND UNIFORMITY? COMMENTS:

National Security Position (Y or N): _____

If Yes, Type of Access Required (S/TS/SCI): _____

FINAL DESIGNATION   (Risk level/Sensitivity level/Access level)..............

MINIMUM INVESTIGATION.................................

PRINTED NAME & SIGNATURE OF PROGRAM POSITION DESIGNATOR: _____
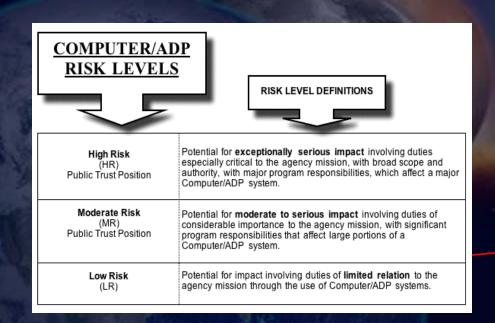
DATE: _____

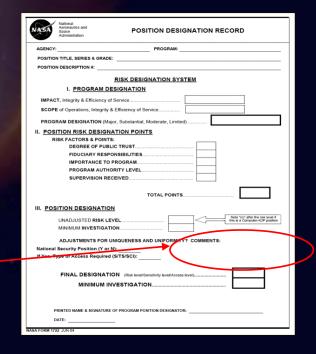NASA FORM 1722 JUN 04

Determining Computer/ADP Positions

- Determining a Computer/ADP position risk level is an adjustment factor for both uniqueness and uniformity and tends to raise the risk level designation.

- To make a fair overall assessment, consider which positions could do damage through systems access. For example, all IT Systems Administrators, Programmer Analysts, and anyone delegated as a Systems Administrator for a program/project or organization (e.g. NASA STARS and SATERN Systems Administrators, etc.). NOTE: These positions are not limited to the GS-2210 occupational group.

Risk Levels for Computer/ADP Positions

- If a Computer/ADP position, go to Section III on the form and indicate a "C" after the unadjusted risk level

- Using the chart below, determine the adjusted risk level for Computer/ADP positions and record it on the NF 1722 in the Adjustments for Uniqueness and Uniformity section

Determining "National Security Positions"

- A sensitive position is defined 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." National Security positions always require security clearances. For example, this would include any position where a person would be called upon to work on a classified program or require access to classified information.

- National Security Positions are identified by one of the following sensitivity designation levels: Special Sensitive, Critical Sensitive, and Non-Critical Sensitive.

Determining "National Security Positions"

- Determine if the position is a *National Security Position.*

- Indicate "Y" or "N" on NF 1722.

- If position is a *National Security Position,* please contact the Security Division Code CX to complete the appropriate forms and determine the type of access required, sensitivity level and level of background investigation.

- Be sure to fill in the information on the NF 1722 in the Adjustments for Uniqueness and Uniformity section.

Determining "Final Designation"

- If there are no adjustments, your final designation will be the same as the *Unadjusted Risk Level* and *Minimum Investigation* from Section III of NF 1722.

- If there are adjustments, the higher level of investigation must be used as the final designation.

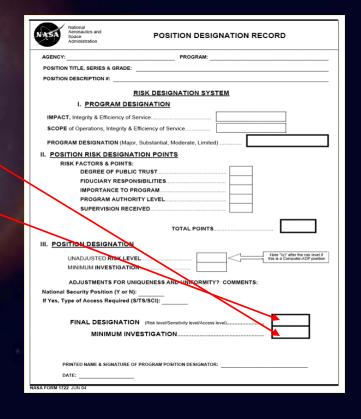- See examples to the right as found in Appendix M, Section C.

POSITION DESIGNATION	*MINIMUM INVESTIGATION*	FINAL DESIGNATION	ADJUSTED INVESTIGATION	REQUIRED INVESTIGATION
EXAMPLE 1: HR	*BI*	NCS/Secret	ANACI	**BI**
	BI is a higher level background investigation than an ANACI and therefore must be used as the final, minimum investigation.			
EXAMPLE 2: LR	*NACI*	CS/Top Secret	SSBI	**SSBI**
EXAMPLE 3: MR	*MBI*	NCS/No Access	NONE	**MBI**
EXAMPLE 4: HR	*BI*	SS/SCI	SSBI	**SSBI**
EXAMPLE 5: LR	*NACI*	NCS/Confidential	ANACI	**ANACI**

Determining "Final Designation" (Cont.)

- Enter the final designation on NASA Form 1722.
- See examples below as found in Appendix M, Section C.

Finishing Touches

- Supervisor must print name, sign, and date NF 1722.

- For the purposes of this project, please forward the completed NF 1722 to HR/Opts Office, MS 500-301 by the scheduled completion date for your assigned organization.

- As a reminder:

  FPPS actions will not be processed without the original NF 1722; which is a part of the completed package that is sent to OHRWP.