

Suitability Determination and Security Clearance Processes

SUITABILITY DETERMINATION PROCESS		
LEVELS 5 - 6: PUBLIC TRUST DESIGNATIONS		
Step	Action	Responsible Official
1	Identify contractor and subcontractor employees requiring suitability determinations or clearances. Designate position sensitivity levels for such individuals.	Project Officer (PO) and Information Systems Security Officer (ISSO)
2	Instruct contractor to obtain*, complete and submit the following documents to the government for each designated contractor and subcontractor employee: SF 85P Questionnaire for Public Trust Positions OF 306 Declaration of Federal Employment FD 258 Contractor Fingerprint Cards (2) HHS Credit Release Form Resume	designated IC official**
3	Complete and submit the documents in sealed envelopes to the official designated by the Government. The NIH Police and local police departments offer fingerprinting services.	contractor and subcontractor
4	Complete the "Agency Use Only" portion of SF85P using the attached instructions .	designated IC official
5	Prepare and sign a transmittal memo to Ms. Robin Turley, NIH Personnel Security Representative (PSR), Office of Human Resources (OHR). The memo must include the CAN number to charge the cost of investigations, the Submitting Office Number (033A for NIH), and the ISSO signature.	designated IC official and ISSO
6	Submit documentation to the PSR.	designated IC official
7	Submit documentation to HHS.	PSR
8	Submit documentation to OPM.	HHS
9	Conduct investigation.	OPM
10	Issue favorable or unfavorable determination to HHS.	OPM
11	Issue favorable or unfavorable determination to PSR.	HHS
12	Issue favorable determination to the designated IC Official or adjudicate unfavorable determination.	PSR
13	Retain documentation. If Level 6, authorize contractor or subcontractor employee to work under contract.	designated IC official

*Standard and Optional forms are available from [OPM](http://www.opm.gov/Forms/) at <http://www.opm.gov/Forms/>. FD forms are available from the [OHR](http://hr.od.nih.gov/) at <http://hr.od.nih.gov/> and the [NIH Police](http://ser.ors.od.nih.gov/police.htm) at <http://ser.ors.od.nih.gov/police.htm>. The HHS Credit Release form is available from [NIEHS](http://www.niehs.nih.gov/isso/background/credit-release.doc) at <http://www.niehs.nih.gov/isso/background/credit-release.doc>.

**Project Officer, Administrative Officer, ISSO or other individual identified by the IC to coordinate background investigation requests.

SECURITY CLEARANCE PROCESS		
LEVELS 2 – 4: NATIONAL SECURITY DESIGNATIONS*		
Step	Action	Responsible Official
1	Identify contractor and subcontractor employees requiring suitability determinations or clearances. Designate position sensitivity levels for such individuals.	Project Officer (PO) and Information Systems Security Officer (ISSO)
2	Instruct contractor to obtain**, complete and submit the following documents to the government for each designated contractor and subcontractor employee: SF 86 Questionnaire for National Security Positions OF 306 Declaration of Federal Employment FD 258 Contractor Fingerprint Cards (2) HHS Credit Release Form HHS 207 Request for Security Clearance Resume	designated IC official***
3	Complete and submit the documents in sealed envelopes to designated IC official. The NIH Police and local police departments offer fingerprinting services.	contractor and subcontractor
4	Complete the “Agency Use Only” portion of SF85P using the attached instructions .	designated IC official
5	Prepare and sign transmittal memo to Ms. Robin Turley, NIH Personnel Security Representative (PSR), Office of Human Resources (OHR). The memo must include the CAN number to charge the cost of investigations, the Submitting Office Number (033A for NIH), and the Information Systems Security Officer’s (ISSO) signature.	designated IC official and ISSO
6	Submit documentation to the PSR.	designated IC official
7	Submit documentation to HHS.	PSR
8	Submit documentation to OPM.	HHS
9	Conduct investigation.	OPM
10	Issue security clearance or denial to HHS.	OPM
11	Issue security clearance or denial to the PSR.	HHS
12	Issue security clearance or denial to the designated IC official.	PSR
13	Retain documentation, and authorize contractor or subcontractor employee to work under contract.	designated IC official

*Levels 2-4 apply to classified positions only where individuals will have access to classified information relating to national security. Only the agency head has original classification authority. Requests for information to be designated as classified by the agency head must be processed through the Office of Management Assessment (OMA). Level 4 investigations are initiated by HHS. Consult the Personnel Security Representative.

**Standard and Optional forms are available from [OPM](http://www.opm.gov/Forms/) at <http://www.opm.gov/Forms/>. FD forms are available from the [OHR](http://hr.od.nih.gov/) at <http://hr.od.nih.gov/> and the [NIH Police](http://ser.ors.od.nih.gov/police.htm) at <http://ser.ors.od.nih.gov/police.htm>. The HHS Credit Release form is available from [NIEHS](http://www.niehs.nih.gov/isso/background/credit-release.doc) at <http://www.niehs.nih.gov/isso/background/credit-release.doc>.

***Project Officer, Administrative Officer, ISSO or other individual identified by the IC to coordinate background investigation requests.

SUITABILITY DETERMINATION PROCESS		
LEVEL 1: NON-SENSITIVE DESIGNATIONS		
Step	Action	Responsible Official
1	Identify contractor and subcontractor employees requiring suitability determinations or clearances. Designate position sensitivity levels for such individuals.	Project Officer (PO) and Information Systems Security Officer (ISSO)
2	Instruct contractor to obtain*, complete and submit the following documents to the government for each designated contractor and subcontractor employee: SF 85-Questionnaire for Non-Sensitive Positions OF 306-Declaration of Federal Employment FD 258-Contractor Fingerprint Cards (2)	designated IC official
3	Complete and submit the documents in sealed envelopes to designated IC official. The NIH Police and local police departments offer fingerprinting services.	contractor and subcontractor
4	Complete the "Agency Use Only" portion of SF85 using the attached instructions .	designated IC official
5	Prepare and sign transmittal memo to the IC HR. The memo must include the CAN number to charge the cost of investigations, the Submitting Office Number (033A for NIH), and the Information Systems Security Officer's (ISSO) signature.	designated IC official and ISSO
6	Submit documentation to OPM.	designated IC official
7	Conduct investigation.	OPM
8	Issue suitability determination to the designated IC official.	OPM
9	Retain documentation.	designated IC official

*Standard and Optional forms are available from [OPM](#) at <http://www.opm.gov/Forms/>. FD forms are available from the [OHR](#) at <http://hr.od.nih.gov/> and the [NIH Police](#) at <http://ser.ors.od.nih.gov/police.htm>. The HHS Credit Release form is available from [NIEHS](#) at <http://www.niehs.nih.gov/isso/background/credit-release.doc>.

**Project Officer, Administrative Officer, ISSO or other individual indentified by the IC to coordinate background investigation requests.

**INSTRUCTIONS FOR COMPLETING THE SF 85P and SF 86
“AGENCY USE ONLY” BLOCK**

(unless otherwise noted, instructions are the same for both forms)

A	Type of Investigation	
----------	------------------------------	--

Using the chart below, enter the appropriate 3-character code that represents the type of investigation and timeliness service requested.

Type of Investigation	35-Day Service	75-Day Service	120-Day Service
NACI		02B	
MBI			15C
LBI	20A	20B	20C
BI	25A	25B	25C

B	Extra Coverage	2	—
----------	-----------------------	---	---

Code 2, Credit – Automated scheduling of credit. An additional fee is charged. (Req. for NACIC)

For either form below, enter the code representing the sensitivity or risk level of the position requiring investigation:

C	Sensitivity/Risk Level	
----------	-------------------------------	--

C	Sensitivity Level	
----------	--------------------------	--

☰ SF-85P:

☰ SF-86:

CODE: LEVEL

- 1 Low Risk
- 5 Moderate Risk
- 6 High Risk

CODE: LEVEL

- 2 Noncritical-Sensitive
- 3 Critical-Sensitive
- 4 Special-Sensitive

On the SF 86, add the letter C for Computer/ADP position.

D	Compu/ADP	
----------	------------------	--

D	Access	
----------	---------------	--

☰ SF-85P:

☰ SF-86:

On the sf-86, using the table below, enter

Enter the code C if the position is Computer/ADP

the code representing the security clearance or access the position requires (or will require).

Code	Level
0	Not required
1	Confidential
2	Secret
3	Top Secret
4	Sensitive Compartmented Information

E	Nature of Action Code	
----------	------------------------------	--

For either form, if the person being investigated is a Federal employee or applicant, enter the same 3-digit code used on the SF-52 representing the "Nature of Action" taken or to be taken for the position requiring the investigation. If the person being investigated is a contractor, enter CON.

F	Date of Action	Month	Day	Year
----------	-----------------------	--------------	------------	-------------

Enter the effective date of the action requiring the investigation. If the action has not been taken, leave the block blank.

G	Geographic Location	-----
----------	----------------------------	-------

Optional: Enter the 9-digit "Worldwide Geographic Location Code" from the General Services Administration publication dated April 1987, to show the actual location of the duty station for the position.

H	Position Code	
----------	----------------------	--

Enter the appropriate code letter from the table below. If none applies, leave the block blank.

I	Position Title	
----------	-----------------------	--

Enter the title of the position for which the investigation is being requested. If the person being investigated is a contractor employee, enter either the person's position with the contractor company, or CONTRACTOR

J	SON	_ _ _ _
----------	------------	---------

Enter the 4-character SON;

September 30, 2004

K	Location of Official Personnel Folder	<input type="checkbox"/>	None NPRC At SON	Other Address	Zip Code
		<input type="checkbox"/>			
		<input checked="" type="checkbox"/>			

Check SON

L	SOI	HE00
----------	-----	-------------

Enter the 4-character SOI

M	Location of Security Folder	<input type="checkbox"/>	None At SOI NPI	Other Address	Zip Code
		<input type="checkbox"/>			
		<input checked="" type="checkbox"/>			

Check NPI – nothing pertinent to the investigation

N	OPCAC-ALC Number	
----------	------------------	--

Enter your agency's ALC (Agency Locator Code) for use in the OPAC (on-Line Payment and Collection) billing system. This must be completed on all requests.

O	Agency Data and/or Agency Case Number	
----------	---------------------------------------	--

This block is for your agency's internal use. Up to 25 characters may be entered in this block. If your agency does not need this space, leave the block blank.

P	Requesting Official	Name and Title	Signature	Telephone Number ()	Date
----------	---------------------	----------------	-----------	----------------------	------

Enter the name, title, and signature of the official requesting the investigation; enter their commercial telephone number, including area code, and the date. The Requesting Officials are: Level 1 – Project Officer or other official designated by the IC; Levels 2-6 – Ms. Robin Turley, Personnel Security Representative.