



**OPM Federal Investigative Services**

**April 2012**

# **Requesting OPM Personnel Investigations**

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**This document is intended to assist federal agencies requesting OPM background investigations. It provides information to familiarize agency human resource and security officials with OPM’s Federal Investigative Services (FIS) and the products and services.**

## **1.0 General Information about OPM’s Federal Investigative Services**

The U.S. Office of Personnel Management (OPM), Federal Investigative Services (FIS) conducts over 90 percent of background investigations for the Federal Government. FIS is headquartered in Boyers, Pennsylvania at the Federal Investigations Processing Center (FIPC). FIS also operates offices in the OPM Theodore Roosevelt Building (TRB) in Washington, DC, and at the Personnel Investigations Center (PIC) in Ft. Meade, Maryland.

Information concerning FIS products and services can be found on the OPM FIS website. The website provides information for Federal applicants, employees, contractors, and military as well as policies, notices, and tools to assist agency human resource and security offices. Federal Investigations Notices (FINs) are posted to the website to provide timely communication from FIS to Federal agencies.

[www.opm.gov/investigate](http://www.opm.gov/investigate)

FIPC receives requests for investigation, processes the requests through an automated system, and serves as an entrance point for case-related and operational questions. Agencies may contact FIPC for assistance in ordering investigations, obtaining access to FIS’ automated systems, or for information about FIS investigative policies and procedures.

OPM-FIPC 724-794–5612 7:00 am – 5:30 pm (Eastern Standard Time)

All non-electronic correspondence regarding investigations processing, operational matters, and requests for investigations should be mailed to:

OPM-FIPC  
PO Box 618  
Boyers, PA 16018-0618

*For deliveries requiring a street address (Express Mail, UPS, etc.), use the following address:*

OPM-FIPC  
PO Box 618, 1137 Branchton Road  
Boyers, PA 16018-0618

## 2.0 Glossary of Acronyms and Forms Used in OPM Investigations

These terms and forms are more fully explained throughout this guide.

Acronym	Term
CCT	Case Closing Transmittal
COI	Certification of Investigation
CVS	Central Verification System
e-QIP	electronic-Questionnaires for Investigations Processing
FIN	Federal Investigations Notice
FIPC	Federal Investigations Processing Center
FIS	Federal Investigative Services
OPF	Official Personnel Folder
PII	Personally Identifiable Information
PIPS	Personnel Investigations Processing System
SII	Security/Suitability Investigations Index
SOI	Security Office Identifier (Security Office)
SON	Submitting Office Number (Submitting Office)

Form No.	Title
FD-258	Fingerprint Chart for Contractor Position
FIPC 11	Request to Agency for New Fingerprint Chart
FIPC 45A	Unacceptable Case Notice
FIPC 391	Certification of Amended Investigation Form
FIPC 402	Agency Adjudication on Federal Bureau of Investigation (FBI) Post Appointment Arrest
INV 50	Agency Information for Background Investigations
INV 79A	Report of Agency Adjudicative Action on OPM Personnel Investigations
INV 86C	Request for Special Agreement Check (by agreement only)
OF 306	Declaration for Federal Employment
OF 612	Optional Application for Federal Employment
OFI 16A	Specific Release (for specific medical, financial, or other information)
OFI 79	Notice of Personnel Investigation
PIPS 11	Security Office Identifier (SOI) Authorization & Amendment form
PIPS 12	Submitting Office Number (SON) Authorization & Amendment form
SF 50	Notification of Personnel Action
SF 52	Request for Personnel Action
SF 85	Questionnaire for Non-Sensitive Positions
SF 85P	Questionnaire for Public Trust Positions
SF 85PS	Supplemental Questionnaire for Selected Positions (by agreement only)
SF 86	Questionnaire for National Security Positions
SF 86A	Continuation Sheet for SF 85, SF 85P, SF 85PS, SF 86 (hardcopy only)
SF 87	Fingerprint Chart for Federal and Military Positions

### **3.0 Submitting/Security Offices (SONs and SOIs) and Telephone Liaison**

#### Submitting Office Number (SON)

OPM-FIPC assigns a unique four-character alphanumeric code, known as the Submitting Office Number (SON), to each office that requests investigations from OPM. The SON identifies the office that initiates the investigation and is recorded in the appropriate Agency Use Block (AUB) of the SF 85, SF 85P, SF 85PS, and SF 86. To obtain a SON from OPM-FIPC, complete a PIPS 12 form (obtainable from FIPC Telephone Liaison at 724-794-5228). Agencies are required to keep the contact information for their SON current and accurate.

Submitting offices may have multiple SONs. Everyone authorized by the head of the Submitting Office can use the SON to obtain information on the case status of a background investigation from OPM-FIPC, provided the caller can answer the questions asked by Telephone Liaison. Security/Suitability Investigations Index (SII) data is not available to the SON.

#### Security Office Identifier (SOI)

An agency's Security Office is responsible for receiving completed investigation reports from OPM-FIS, controlling the agency's cases, and making the suitability and security determinations on individuals being investigated for employment.

Each Security Office is issued a unique alphanumeric four-character identifier from OPM-FIPC, the Security Office Identifier (SOI), which is used to identify the appropriate agency official who will receive case results, data, or other information from OPM. Security offices are responsible for designating security office employees (authorized contacts) who may contact OPM-FIPC to obtain SII data (detailed information about a case). Only these "Authorized Contacts" approved by OPM may obtain detailed case information. The authorized contacts must be able to answer identification questions posed by Telephone Liaison before information will be provided.

Each Security Office is responsible for providing OPM with an official mailing address, contact information, and an approved list of employees authorized to request information about agency cases in process. The SOI should update this list regularly. Approved employees are the only individuals who may receive information by telephone. Contact Telephone Liaison at 724-794-5228 to obtain the PIPS 11 form required to obtain an SOI and update the SOI contact information.

Agency security officers must have a favorable determination based on the results of, at a minimum, a Background Investigation (BI). All persons assigned adjudicative responsibility must be familiar with the laws and regulations governing suitability adjudications. Each Adjudicator must have been subject to a favorable determination based on the results of, at a minimum, a BI. Agencies must ensure at least one or two individuals in an Adjudications Office have had a Single Scope Background Investigation (SSBI). This is to ensure that in the event that classified material at the Top Secret level is included in a file, this material can be handled in accordance with current laws and regulations. For SII access, the minimum investigation level acceptable is an Access National Agency Check and Inquiries (ANACI), National Agency Check with Law and Credit (NACLC) or equivalent reinvestigation every 10 years.

When submitting investigation requests to OPM, the SOI may also be used in the SON block of the standard form if the SOI and SON are the same office.

## FIPC Telephone Liaison for SON and SOI Authorized Contacts

The SOI or SON may obtain the following information via the **FIPC Telephone Liaison: 724-794-5228**. When calling Telephone Liaison, please have necessary verifying information. If an agency has access to the Central Verification System (CVS) the below information can also be obtained electronically. For more information about accessing CVS electronically, see the [Personnel Investigations Processing System \(PIPS\)](#) section on the next page.

Requested Information	Authorized SON Contacts	Authorized SOI Contacts
Ability to ask questions regarding case papers, fingerprints, and reprints	X	X
Receive current status of investigation	X	X
Receive expected completion date	X	X
Authority to discontinue a case (not available via CVS)	X	X
Receive SII search results		X
Receive NAC search results		X
Access to a Reviewer for case specific information		X
Receive types of issues in case		X
Receive pending items in case		X

## **4.0 OPM Automated Tools – EPIC**

**OPM's integrated suite of automation tools to support timely, efficient investigations and adjudications is known as EPIC.** EPIC encompasses e-QIP, PIPS, OPM's Imaging system known as OPIS, and CVS. In addition, OPM provides automated support tools to assist agencies in position designation, secure communication, and quality assessment.

### **electronic-Questionnaires for Investigations Processing (e-QIP)**

e-QIP is a secure web-based automated system which facilitates timely, accurate processing of investigation requests to OPM. Agencies initiate individuals into the system, and the system collects data from the individual based on the appropriate investigative questionnaire (SF 85, SF 85P, SF 85PS, or SF 86), then agencies review and submit the investigative questionnaire electronically to OPM or another Investigative Service Provider (ISP).

### **Personnel Investigations Processing System (PIPS)**

FIS' Personnel Investigations Processing System (PIPS) is the computer system which maintains the Security/Suitability Investigations Index (SII), a repository containing over 11 million background investigation records of Federal employees, military personnel, and contractors.

Through automated linkage, PIPS provides an agency's Security Office with direct access to OPM's records. Direct linkage can reduce an agency's processing time by replacing mailed forms or the telephone inquiry process. Security Offices can conduct online SII searches, request files, transmit messages, record OFI Form 79 notifications, enter Special Agreement Checks (SAC), and monitor the progress of their cases. Agencies interested in obtaining PIPS access for agency personnel must have a Security Office Identifier (SOI) assigned by OPM-FIPC. Contact OPM-FIPC's Systems Access Support Team about access to PIPS/CVS at 724-794-5612, extension 4600.

### **OPM PIPS Imaging System (OPIS)**

OPIS provides OPM with image and document management capabilities needed to electronically capture, store, retrieve, and review investigative case documents in a new paperless environment. OPIS also provides a means of sharing these images with other federal investigative agencies electronically via eDelivery (electronic Delivery – formerly known as Agency Delivery). eDelivery replaces the traditional method of mailing a paper version of the completed investigation package with a secure electronic delivery through an automated process. For additional information about eDelivery call your External Liaison at 724-794-5612.

### **Central Verification System (CVS)**

Before requesting an investigation, agencies should check the Central Verification System (CVS) to determine if there is an existing adjudication or investigation that meets the current need. CVS is designated as the primary tool for facilitating reciprocal decisions, as required by Executive Orders, regulations, and policies. CVS contains information on security clearance, suitability, fitness, and [Homeland Security Presidential Directive 12 \(HSPD-12\)](#) Personal Verification (PIV) credentialing determinations. This information is provided by agency sources, OPM legacy systems and a bridge to the Department of Defense Joint Personnel Adjudication System. More information about CVS, including the CVS user manual, various task aids, and forms is available on the OPMS Secure Web Portal at <https://opmis.xsp.org>.

## **OPM Investigative Services (OPMIS) Secure Web Portal <https://opmis.xsp.org>**

OPM-FIS and others in the personnel security community conduct official business, communicate, and collaborate in a secure, encrypted environment known as the OPMIS secure portal. The OPMIS secure portal can be used for the exchange of Controlled Unclassified Information, including Sensitive But Unclassified Information (SBU), such as Privacy Act information and Personally Identifiable Information (PII). Community members with portal access can send and receive email, review and download documents, and access information on OPM products and services. In addition, the portal acts as a gateway to OPM-FIS' automated systems (e-QIP, PIPS and CVS). Portal access is limited and by invitation only.

## **Position Designation Automated Tool**

Proper position designation is the foundation of an effective and consistent suitability and personnel security program. The process determines, through the evaluation of national security and suitability requirements, what type of investigation is required and the depth that an individual is screened for a position. In order to ensure a systematic, dependable, and uniform method of determining position designations, OPM provides the hard-copy Position Designation System (PDS) and the Position Designation Automated Tool (PDT) for those individuals within agencies charged with position designation responsibilities. The Position Designation Tool is available as an interactive tool on the OPM FIS website at <http://www.opm.gov/investigate/resources/position/index.aspx>.

## **Quality Assessment Tool (QAT)**

The Quality Assessment Tool is a web based survey that provides agencies a quick way to report their case-specific assessment of the format, content, and overall quality of a completed investigation. In a few quick steps, adjudicators can provide feedback to OPM that will assist OPM to improve its products and services and refine investigative policy and standards. Agencies are encouraged to provide both positive and negative feedback as warranted by their assessment during adjudication. The website address is: <http://survey.opm.gov/fis/qat>.



## 5.0 Preparing to Request an Investigation

### 5.1 Position Designation

Investigation type, standard form type, and additional documents OPM requires to conduct an investigation stems from position designation. The position designation is derived from the designation of a position's assessed risk and national security sensitivity. Correct position designation is essential to the standardization of the investigation request process and support reciprocity. The Position Designation System and Automated Tool are available on the OPM website at:

<http://www.opm.gov/investigate/resources/position/index.aspx>.

Using a position description and the hardcopy Position Designation System or Automated Tool, will provide you with the investigation type and form type needed for that specific position. However, it is important to note that accurate position designation requires precise and up-to-date position descriptions.

Position designation guidelines were created by OPM and implemented by the Federal Government in 2008 in order to support security and suitability reform efforts originating from the Intelligence Reform and Terrorism Prevention Act of 2004 (IRTPA). For more information on position designation, please see Federal Investigations Notices (FINs) on the OPM website:

- [FIN 09-03 "New Position Designation System and Automated Tool"](#)
- [FIN 10-06 "Position Designation Requirements"](#)

Chart [6.2](#) in this document correlates the risk and sensitivity results, from the position designation tool or hardcopy system, to the correct investigation and form type.

### 5.2 Validate Need

Validating the need for an investigation is the act of properly designating a position and practicing reciprocity as introduced in [E.O. 13467](#) and subsequently outlined in [E.O. 13488](#), OPM's "[Memorandum for Heads of Agencies: Aligning OPM Investigative Levels with Reform Concepts](#)", [FIN 9-06](#), [FIN 10-04](#), [FIN 11-04](#), [FIN 12-01](#), and [5 CFR 731](#). Before an investigation is requested from OPM the requestor must check the Central Verification System (CVS) to see if a previous investigation meets the current position's requirements.

The following charts and information outline the forms and documents required by OPM to request an investigation. The forms are submitted after the position has been designated with the correct risk and sensitivity level and the need for an investigation has been validated.

## **6.0 Required and Optional Forms for Requesting Investigations**

After a position has been properly designated and the need for an investigation has been validated, a request for an investigation can be submitted to OPM. The type or level of investigation requested, and form type required are directly related to the risk and sensitivity level to which the position is designated. See chart [6.2](#) and [6.3](#) for the correlation of risk and sensitivity levels to investigation type and form type.

Once the investigation type and form type are determined, other investigative documents may be necessary depending on whether the investigation is an initial or reinvestigation, and whether the individual needing the investigation is a new Federal civilian, contractor, or military. Chart [6.2](#) outlines how these factors affect the submission requirements for fingerprint charts, the OF 306, and résumés.

### **6.1 Moving Toward Completely Electronic Submission Processes**

Most investigation requests and supporting documentation are submitted to OPM electronically. Standard Forms (SF) are usually submitted to OPM via e-QIP and an increasing number of fingerprints are now submitted electronically either via a fingerprinting machine at an agency's submitting office or a General Services Administrations (GSA) Shared Services Solution location. Refer to mailing addresses in [section 1.0](#) for any non-electronic correspondence with OPM and refer to [section 6.6](#) for directions on the use of hardcopy fingerprint cards.

Submission of the hardcopy SF 85 and SF 85P requires an agency to review the forms very carefully before submitting the investigation request to OPM. Hardcopy standard forms do not have the advantage of automatic validation provided in e-QIP and therefore individuals are not afforded the opportunity for additional quality checks prior to submission. For this reason agencies must make sure information as requested on the form is accurate, up-to-date, and complete. This includes providing all dates and addresses (including zip codes). As of October 1, 2011 OPM stopped accepting hardcopy SF 86s. If an individual needs to use a hardcopy SF 86 for any reason the agency is expected to utilize an e-QIP functionality known as Third Party Data Entry (3PDE). ([See section 10.1 for an explanation of 3PDE](#)).

## 6.2 Position Designation, Form Type, and Investigation Type

Form Type	Position Designation	Investigation Case Type	AUB*
SF 85	Non-Sensitive Position Low Risk and/or HSPD-12 Credential (with no other designation)	National Agency Check and Inquiries (NACI)	02
SF 85P	Moderate Risk Public Trust Position (No national security sensitivity)	Moderate Risk Background Investigation (MBI)	15
	Reinvestigation for Moderate Risk Public Trust Position (No national security sensitivity)	National Agency Check with Law and Credit (NACLIC)	08
	High Risk Public Trust Position (No national security sensitivity)	Background Investigation (BI)	25
	Reinvestigation for High Risk Public Trust Position (No national security sensitivity)	Periodic Reinvestigation (PRI)	11
SF 86	Secret/Confidential (Undesignated – eg. Military/Contractor) or Reinvestigation for Noncritical Sensitive Position and/or Secret/Confidential Eligibility/Clearance	National Agency Check with Law and Credit (NACLIC)	08
	Noncritical Sensitive Position and/or Secret/Confidential Security Eligibility/Clearance (Low Risk)	Access National Agency Check and Inquiries (ANACI)	09
	Noncritical Sensitive Position and/or Secret/Confidential Security Eligibility/Clearance (Moderate Risk)	Moderate Risk Background Investigation (MBI)	15
	Critical Sensitive Position and/or Top Secret (TS) Security Eligibility/Clearance (Any level of risk) or Special Sensitive Position and/or Top Secret with Sensitive Compartmented Information (SCI) (Any level of risk)	Single Scope Background Investigation (SSBI)	30
	High Risk Public Trust with any level of Position Sensitivity	Single Scope Background Investigation (SSBI)	30
	Reinvestigation for Critical Sensitive Position or Special Sensitive Position And/or Top Secret or Top Secret with SCI or High Risk Public Trust with any level of Position Sensitivity	SSBI Periodic Reinvestigation (SSBI-PR) Or Phased Periodic Reinvestigation (PPR)**	18 or 19

\*The numeric codes next to the investigation case type are the codes used in Agency Use Block (AUB) of the Standard Forms. For more information read the “Instructions for Completing the Agency Use Block” section of this publication, which starts on [page 26](#).

\*\*The Phased Periodic Reinvestigation (case type 19) may be requested if the individual does not disclose information of a security concern as part of the background information furnished for investigation. Any investigation originally scheduled as a basic PPR that develops specific security concerns during the course of the investigation will be expanded to meet the full SSBI-PR requirements (i.e., reference and residence coverage and full issue resolution; coverage of educational activities will also be limited to expanded PPRs, bases on established triggers).

### 6.3 Form and Document Submission Requirements

Note: For position designation information and investigation case type acronyms see [chart 6.2](#) on previous page.

Case Type and Form Type	Fingerprints	OF 306	Application or Resume
NACI -SF 85	-SF 87 (civilian) -FD 258 (contractor)	-Required for civilians -Limited items* required for contractor	Required if new Federal civilian employee
MBI -SF 85P**	-SF 87 (civilian) -FD 258 (contractor)	-Required for civilians -Limited items* required for contractor	Required if new Federal civilian employee
MBI -2010 SF 86	-SF 87 (civilian) -FD 258 (contractor)	Only required for civilians and ONLY when discrepant information exists between OF 306 and SF 86	Required if new Federal civilian employee
ANACI -2010 SF 86	-SF 87 (civilian) -FD 258 (contractor)	Only required for civilians and ONLY when discrepant information exists between OF 306 and SF 86	Required if new Federal civilian employee
NACLC -SF 85P**	-SF 87 (civilian) -FD 258 (contractor)	N/A***	N/A
NACLC -2010 SF 86	-SF 87 (military) -FD 258 (military or contractor)	N/A***	N/A
NACLC -2010 SF 86	-SF 87 (civilian, ONLY required if prior classifiable results not obtained) -FD 258 (contractor)	N/A***	N/A

Case Type and Form Type	Fingerprints	OF 306	Application or Resume
BI -SF 85P**	-SF 87 (civilian) -FD 258 (contractor)	-Required for civilians -Limited items* required for contractor	Required if new Federal civilian employee
PRI -SF 85P**	-SF 87 (civilian) -FD 258 (contractor)	N/A***	N/A
SSBI -2010 SF 86	-SF 87 (civilian) -FD 258 (contractor)	Only required for civilians and ONLY when discrepant information exists between OF 306 and SF 86	Required if new Federal civilian employee
PPR or SSBI-PR -2010 SF 86	-SF 87 (civilian, ONLY required if prior classifiable results not obtained) -FD 258 (contractor)	N/A***	N/A

*\*Investigations on contractor personnel requested on the SF 85 and SF 85P require the contractor to answer specific questions found on the OF 306 (2001 or newer version): 1, 8, 9, 10, 11, 12, 13, 16, and 17a. To provide that additional information, the OF 306 may be used, or the specific questions and answers may be provided on an attachment.*

*\*\* The supplemental Standard Form 85PS may only be used if a special agreement exists between your agency and OPM. Contact your agency's External Liaison at 724-794-5612 to determine if your agency has a special agreement.*

*\*\*\*Although the OF 306 is not required to be submitted to OPM for some investigations, agencies may require the OF 306 for agency suitability processing. Please reference OPM's Suitability Processing Handbook for more information concerning when the OF 306 is required to be completed. Each agency has specific personnel with access to the Suitability Processing Handbook via the OPMIS Secure Portal. If you do not know who that person is within your agency, please call Systems Access Support at 724-794-5612, extension 4600.*

## 6.4 Investigative Questionnaires: Additional Information

All information requested on SF questionnaires is essential for the expeditious investigation scheduling and processing. The Submitting Office is responsible for ensuring completeness of the SF 85, SF 85P, SF 85PS, and SF 86. The agency must have an individual complete all information required, as OPM will not accept incomplete investigation requests. OPM's automated case scheduling is based on zip codes and other data provided by the individual. Consequently, complete and accurate information on the investigative forms is extremely important to the overall investigative process. Incorrect zip codes, missing addresses, or gaps in dates may cause delays or rejection of the request.

### **“Unacceptable” Investigation Requests**

OPM-FIPC will attempt to obtain incomplete or missing information from the submitting office; however, if unsuccessful the standard form and corresponding documents are returned to the agency for completion. OPM-FIPC calls or emails the requesting official(s) listed on the Standard Form to obtain missing information or documents. The case is returned unacceptable if information or documents are not provided to OPM-FIPC within 7 days of the call, voicemail, or email. If the unacceptable investigation submission is a hardcopy, the Standard Form and all other hardcopy documents relating to that submission are mailed back to the submitting office. If the unacceptable investigation is an e-QIP submission, the electronic questionnaire and any electronic attachments are rejected back to the releasing agency in e-QIP for correction. Any hardcopy documents associated with the e-QIP request are mailed back to the submitting office.

**Standard Form (SF) 85, “Questionnaire for Non Sensitive Positions”** is used to request investigations to support Non Sensitive/Low risk positions. It is also used for “non-designated” positions (those not covered by [5 CFR 731](#) and [732](#)) requiring only a credentialing determination for access to government facilities or systems. The single investigation appropriate for this level of risk is the “National Agency Check and Inquiries” (NACI).

**Standard Form (SF) 85P, “Questionnaire for Public Trust Positions”** is used to request investigations to support determinations on Moderate or High Risk Public Trust Positions when there are no national security considerations. The investigations that may be requested for these levels of risk are the “Moderate Risk Background Investigation” (MBI) for moderate risk designated positions and the “Background Investigation” (BI) for high risk designated positions. These levels of risk will also use the SF 85P for reinvestigations.

**Standard Form (SF) 85P-S, “Supplemental Questionnaire for Selected Positions”** is used only as an exception to standards. It contains additional questions regarding drug use, alcohol use, and mental health treatment that may be required for certain specified positions. Agencies with unique position requirements must request approval from OPM-FIS to use this form. If you are uncertain if your agency has the required approval, or whether this form is appropriate for a particular position, contact OPM-FIS at 724-794-5612.

**Standard Form (SF) 86, “Questionnaire for National Security Positions”** is used to request investigations to support determinations on all national security sensitive positions. The investigations that may be requested are the “Access National Agency Check and Inquiries” (ANACI) for civilian positions designated as Non-Critical Sensitive with a low risk, the MBI for positions designated as Non-Critical Sensitive with moderate risk, the “National Agency Check with Law and Credit” (NACLC) for undesignated positions (e.g. military personnel) requiring access to Secret and/or Confidential national security information, or the Moderate Risk Background Investigation for Noncritical Sensitive Positions

and/or with need for access to Secret/Confidential national security information.

The SF 86 is also used to request the “Single Scope Background Investigation” (SSBI) to support determinations on persons being assigned to Critical Sensitive or Special Sensitive designated positions regardless of the level of risk, and to support determinations for High Risk Public Trust designated positions with national security position sensitivity requirements at any level. The reinvestigations for these levels of sensitivity and risk include the SSBI Periodic Reinvestigation (SSBI-PR) and the Phased Periodic Reinvestigation (PPR).

## **6.5 Certification, Releases, and Additional Documents**

Refer to chart [6.3](#) for basic guidance to assist with determining which documents are required to request an investigation. Additional guidance is provided below regarding documentation that may be required or considered as optional when submitting an investigation request. The most common documents or attachments that accompany a submitted Standard Form include the Certification, General Release, Medical Release, Fair Credit Reporting Release (FCR), OF 306, résumé, and any special attachments the agency wishes to provide to OPM. If OPM does not receive all required documents within 7 days, OPM will call or email the submitting office. Once a submitting office is notified they have 7 days to get the missing documents to OPM for processing or the investigation request is returned unacceptable to the submitting office.

If mailing a hardcopy Standard Form with Certifications, releases, fingerprints or other attachments to OPM, mail to:

OPM-FIPC  
PO Box 618 OR 1137 Branchton Road  
Boyers, PA 16018-0618

If mailing Certifications, fingerprints, releases, or other attachments related to an electronic submission of a Standard Form (an e-QIP submission) please make sure the attachments arrive to OPM within 7 days of releasing the e-QIP request to OPM. E-QIP attachments can be mailed to the e-QIP Rapid Response Team at:

Attn: e-QIP Rapid Response Team  
OPM-FIPC  
PO Box 618 (For deliveries that require street address: 1137 Branchton Road)  
Boyers, PA 16020-0618

### **Certification and Releases**

A Certification and General Release are required with every investigation request. The SF 85, SF 85P, SF 85PS, and SF 86 must be submitted to OPM-FIPC within 120 days of the date of the individual's signature of the Certification. Investigations rely on current information provided by the individual on the SF; therefore, requests submitted to OPM-FIPC using certifications that reflect signatures older than 120 days are deemed “Unacceptable” and returned without action.

Certifications and releases printed from e-QIP contain the request ID of the questionnaire completed by the individual. The request ID printed on the Certification and Medical Release must match the e-QIP investigation request ID being submitted to OPM. The e-QIP user manual, which can be found in the OPMIS Secure Portal library, provides details on acceptable electronic formats and instructions on how to electronically attach the items. The FCR is required to be submitted to OPM with all investigations submitted on the 2010 version of the SF 86.

e-QIP has the ability to accept electronically imaged attachments as part of the investigation request. The imaged attachments include the signed investigation questionnaire Certification, releases, and special attachments. This does **not** include fingerprint charts. Although fingerprint results from the FBI can be scanned and attached to an e-QIP submission, the actual fingerprint cards with an individual's fingerprints cannot be processed by attaching them to an e-QIP request. Please see [section 6.6](#) for information about submission of fingerprints.

Submit the Medical Release, "Authorization for Release of Medical Information Pursuant to the Health Insurance Portability and Accountability Act (HIPAA)", with an investigation request to OPM when the SF 86 contains a positive response to the mental health section (section/question 21 – Psychological and Emotional Health). An agency should also submit the Medical Release if there is a positive response to question 5 on the SF 85P-S. If the investigation is being submitted via e-QIP, the request ID printed on the Medical Release must match the request ID of the e-QIP investigation submission.

**Reminder:** Agencies must have a special agreement for use of the supplemental portion of the SF 85P, which is the SF 85P-S.

The e-QIP 3.0 update, Click to Sign, provides individuals the ability to electronically "sign" their Certification and FCR. After the individual electronically signs and releases the investigation request to the agency in e-QIP, the Certification and FCR appears as attachments in the e-QIP agency screen. The e-QIP system identifies each of these pages as the correct "document type" in the agency screen. The Click to Sign feature still requires that the General and Medical release be printed, signed and either uploaded as a scanned attachment, uploaded via the fax-solution, or mailed hardcopy to OPM-FIPC. Information and instructions for OPM's e-QIP Fax Solution can be found on the [OPMIS Secure Portal](#). OPM-FIS External Liaison will keep agencies informed of any future e-QIP updates concerning electronic signing of attachments. For more instructions/details concerning e-QIP 3.0 updates, please check the [OPMIS Secure Portal](#) Library.

### **Optional Form (OF) 306 "Declaration for Federal Employment"**

The OF 306 is a form utilized to collect information during the hiring process to determine an individual's acceptability for Federal employment and Federal contract employment. It is also used to determine an appointee's status in the Government's Life Insurance program when the appointee has been previously employed by the Federal Government. Although the OF 306 is an optional form, providing the specific information requested by the OF 306 is not optional when OF 306 information is required for the investigation submission per chart [6.3](#).

COMPLETE OF 306 information must accompany each request for investigation submitted on an SF 85 or SF 85P when the individual to be investigated is a new Federal civilian employee or applicant for Federal employment. For SF 86 submissions, the OF 306 information should be submitted for such individuals only when there is a discrepancy between information submitted on the SF 86 and the OF 306 information. The individual and agency should carefully review the OF 306 information and any attached sheets. If additional space is needed the individual may provide material on additional sheets. Any amendments to the OF 306 will require the individual being investigated to initial and date the amendments.

Investigations on contractor personnel requested on the SF 85 and SF 85P require the applicant to answer specific questions found on the OF 306: 1, 8, 9, 10, 11, 12, 13, 16, and 17a. To provide the additional information to OPM, the OF 306 may be used, or the specific questions and answers may be provided on an attachment. The latest version of the OF 306 can be found at [www.opm.gov/Forms/html/of.asp](http://www.opm.gov/Forms/html/of.asp).



## **Application or Resume**

### **New Federal Civilian Appointment Actions**

Applicants for new Federal civilian appointments may use a résumé or any other applicable form to apply for Federal employment.

## **Special Attachments**

Agencies may provide special attachments with the investigation request, such as license or certificate verification requests; issue information; personnel folder or security file information; individuals in the U.S. who can verify activities outside the United States; agency-conducted subject interview or pre-appointment checks; and any other pertinent information. To notify OPM of special attachments provided with the submission, use Extra Coverage Code 7 when completing the Agency Use Block (AUB).

## 6.6 Fingerprint Submissions

Fingerprint submissions are required for all initial investigations sent to OPM.

### 6.6.01 Electronic Submissions

Fingerprint submissions are required for all initial investigations sent to OPM. Fingerprints are submitted to OPM's Fingerprint Transaction System (FTS) electronically via an FBI approved Live-Scan System or Fingerprint Card Scan System that utilizes OPM-approved software. Currently, OPM only accepts Type-4 fingerprint images for electronic submission.

Type-4 fingerprint images consist of the following:

- 10 Rolled Impressions
- 1 Plain Left and Right Simultaneous Four Finger Impressions
- 1 Plain Left and Right Thumb Impression

To obtain additional information regarding OPM requirements, please email the following address: [livescanauthorization@opm.gov](mailto:livescanauthorization@opm.gov)

For additional information regarding FBI system requirements, please visit <https://www.fbibiospecs.org/iafis/>

### 6.6.02 Hardcopy Submissions – SF 87 and FD-258

Alternatively, hardcopy fingerprint submissions may be provided to OPM on an approved SF 87 or FD-258 fingerprint chart (see below). To submit fingerprint charts for e-QIP cases, the attachments must be sent to one of the following addresses within 14 days:

Attn: e-QIP Rapid Response Team  
OPM-FIPC  
PO Box 618  
Boyers, PA 16020-0618

*For deliveries requiring a street address (Express Mail, UPS, etc.), use this address:*

Attn: e-QIP Rapid Response Team  
OPM-FIPC  
1137 Branchton Road  
Boyers, PA 16020-0618

**DO NOT** scan fingerprint charts and attach to an e-QIP request. OPM is unable to process this type of submission.

The SF 87 and FD-258 are currently two fingerprint charts used to collect fingerprint information that the Federal Bureau of Investigation (FBI) uses to search their files and records. The chart type dictates the maintenance and retention cycle for the fingerprints, which is determined by the individual's affiliation (federal or non-federal).

The **SF 87** is an OPM-sponsored form intended for use when collecting fingerprints from Federal civilian employees and military personnel. The FBI maintains SF 87 fingerprint images for military and Federal employees. This information supports the post-appointment arrest information process, which enables subsequent FBI criminal arrest information to be forwarded through OPM to the employing agency of a Federal employee. In such instances, OPM furnishes the agency contact with a copy of the FBI record and a FIPC 402, Agency Adjudication on FBI Post Appointment Arrest Form, characterizing the issue(s). The information is recorded in OPM's SII. PIPS denotes fingerprints submitted on SF 87 as FIPC Code "X."

The **FD-258** is an FBI-issued collection chart intended for use when collecting fingerprints from contractor personnel. The FBI does not maintain FD-258 fingerprint images for contractor personnel.

SF 87 (REV. FEBRUARY 2002) U. S. OFFICE OF PERSONNEL MANAGEMENT E.O. 10450		LEAVE BLANK For FBI Use			TYPE OR PRINT ALL INFORMATION IN BLACK LAST NAME <u>NAM</u> FIRST NAME TEST MIDDLE NAME PERSON			FBI LEAVE BLANK For FBI Use			
SIGNATURE OF PERSON FINGERPRINTED <b>Test Example</b>		OR USOPM000Z - FIPC BOYERS, PA									
RESIDENCE OF PERSON FINGERPRINTED <b>Applicant's Home Address</b>		SERIAL NO. (OPM USE ONLY) OCA <b>Original case number if submitting reprint</b>			DATE OF BIRTH DOB MONTH DAY YEAR <b>MM/DD/YYYY</b>			PLACE OF BIRTH POB <b>City/State or Country</b>			
DATE Date prints taken	SIGNATURE OF OFFICIAL TAKING FINGERPRINTS <b>Name of Official Taking Prints</b>	ALIASES AKA <b>Other names used by applicant</b>	SEX	RACE	HGT	WGT	EYES	HAIR	Applicant's information		
TITLE AND ADDRESS		SCARS, MARKS, AND TATTOOS <b>If Applicable</b>			LEAVE BLANK						
POSITION TO WHICH APPOINTED		FBI NO. FBI <b>Insert if Known</b>			CLASS _____						
DEPARTMENT, BUREAU, AND DUTY STATION (CITY AND STATE) <b>Insert if Known</b>		SOCIAL SECURITY NO. SOC <b>Applicant's Social Security Number</b>			REF. _____						

PIPS denotes fingerprints submitted on the FD-258 as FIPC Code "Y."

<b>APPLICANT</b>		LEAVE BLANK For FBI Use			TYPE OR PRINT ALL INFORMATION IN BLACK LAST NAME <u>NAM</u> FIRST NAME TEST MIDDLE NAME PERSON			FBI LEAVE BLANK For FBI Use			
SIGNATURE OF PERSON FINGERPRINTED <b>Test Example</b>		OR USOPM000Z OPM BOYERS, PA									
RESIDENCE OF PERSON FINGERPRINTED <b>Applicant's Home Address</b>		ALIASES AKA <b>Other names used by applicant</b>			DATE OF BIRTH DOB Month Day Year <b>MM/DD/YYYY</b>			PLACE OF BIRTH POB <b>City/State or Country</b>			
DATE Date prints taken	SIGNATURE OF OFFICIAL TAKING FINGERPRINTS <b>Name of Official Taking Prints</b>	CITIZENSHIP CTZ U.S. or Other	SEX	RACE	HGT	WGT	EYES	HAIR	Applicant's information		
EMPLOYER AND ADDRESS		YOUR NO. <input type="radio"/> Original case number if submitting reprint			LEAVE BLANK						
REASON FINGERPRINTED <b>Clearly state position/license for which applying</b>		FBI NO. FBI <b>Insert if Known</b>			CLASS _____						
		ARMED FORCES NO. MNU <b>Military Enlistment # if Known</b>			REF. _____						
		SOCIAL SECURITY NO. SOC <b>Applicant's SSN</b>									
		Other Identifying Numbers e-QIP Request #									

### 6.6.03 Indicating Fingerprint Submission Method in e-QIP

When submitting investigation requests using e-QIP, select the applicable fingerprint submission type and method.

*e-QIP Fingerprint Submission method in the Attachment Section*

**Request Detail** Use this section to manage information pertaining to requests.

Summary AUB Attachments Comments

**Attachments Menu**  
Select an item on the left to view options.

- Attachment Data
- Printables
- Add New Attachment
- Fax Cover Sheet
- Fingerprint Submission Data**

**Fingerprint Submission Data**

- Please indicate the fingerprint submission details by selecting the appropriate response. If Submission Type of either *Federal/Military Employee or Applicant (SF-87)* or *Contractor (FD-258)* is selected then a Method of Transmission must also be selected.

Submission Type: -- Select An Option --

Method of Transmission: -- Select An Option --

Save Fingerprint

Options for Method of Transmission:  
Federal/Military Employee or Applicant (SF-87)  
Contractor (FD-258)  
Not Required--Reinvestigation or SF 86 Submission that meets requirements as our Agency Conducted--Results must be submitted to OPM

**Request Detail** Use this section to manage information pertaining to requests.

Summary AUB Attachments Comments

**Attachments Menu**  
Select an item on the left to view options.

- Attachment Data
- Printables
- Add New Attachment
- Fax Cover Sheet
- Fingerprint Submission Data**

**Fingerprint Submission Data**

- Please indicate the fingerprint submission details by selecting the appropriate response. If Submission Type of either *Federal/Military Employee or Applicant (SF-87)* or *Contractor (FD-258)* is selected then a Method of Transmission must also be selected.

Submission Type: -- Select An Option --

Method of Transmission: -- Select An Option --

Save Fingerprint

Options for Method of Transmission:  
-- Select An Option --  
FTS--Fingerprints sent electronically via the Fingerprint Transaction System  
Mailed--Fingerprint chart mailed

### 6.6.04 FIPC Codes Regarding Fingerprint Submissions

FIPC Code	Description
1	Fingerprint Check completed by agency in the last 120 days with <i>classifiable/no record</i> result furnished with submission (Agency Conducted NAC (ACN) or CCT required)
7	Fingerprint Check not required (use for reinvestigation)
9	Fingerprint Check completed by agency in the last 120 days with <i>unclassifiable or no record by Name Check</i> results <b>and</b> additional Fingerprint Chart furnished with submission (ACN or CCT required)
A	Fingerprint Check completed by agency in the last 120 days with <i>unfavorable</i> results furnished with case submission (ACN required)
H	Two Fingerprint Checks completed by agency in the last 120 days with <i>unclassifiable or no record by Name Check</i> results furnished with submission (ACN required) (SF 85 or SF 85P)
I	Fingerprints electronically transmitted within 120 days as a Fingerprint SAC or Fingerprint SAC completed within 120 days prior to case paper submission
J	Fingerprints mailed to OPM for processing
R	Advance Fingerprint results report is required by agency (See FIN 06-04)
X	SF-87 Fingerprint Chart submitted to and retained by FBI if classifiable
Y	FD-258 chart submitted to FBI
Z	No Fingerprint Chart submitted

### **6.6.05 Requirements for Submitting Reprints when Prints are Unclassifiable**

For National Security sensitive (SF 86) positions, a fingerprint result of “unclassifiable” by the FBI will require a second fingerprint submission. The new fingerprints may be submitted in an electronic or hardcopy format regardless of how they were submitted initially. OPM will process the second submission under the original case number, even if the case is closed. All reprint results will be updated in OPM’s PIPS. Additionally, a new Case Closing Transmittal (CCT) will be generated and provided to the agency.

For non-sensitive, low risk investigations (SF 85) and non-sensitive Public Trust investigations (SF 85P), a fingerprint result of “unclassifiable” by the FBI will result in a name based search of FBI-CJIS criminal history information. Agencies may submit one reprint for an additional classification attempt within one year of the unclassifiable fingerprint result without incurring an additional cost.

Reprint submissions may be submitted electronically or by hardcopy. The original case number must be provided when the reprint is submitted. Failure to provide the original case number may result in an additional charge for the reprint or cause the reprint to be discontinued.

For electronic submission, enter original case number in tagged field 2.009. The field name will vary based on vendor.

For hardcopy submissions, enter the original case number in the Originating Case Agency (OCA) number field on the SF 87 or FD-258. Submit the hardcopy card with “Reprint” written in the top left hand corner, and provide the Unclassifiable Notice indicating the original fingerprint was unclassifiable.

### 6.6.06 Requesting Advanced Fingerprint Results

To request advanced fingerprint results with a Standard Form 85, 85P, or 86, indicate the letter “R” in the “Codes” block of the “Agency Use” section in e-QIP. This code will generate priority processing of your fingerprint request and will trigger an Advanced Fingerprint Report to be generated the day after completion of the criminal history check.

#### HARDCOPY

Investigating agency use only				Codes	R	Case number
<b>AGENCY USE ONLY</b>						
A Type of investigation	B Extra coverage/Advance results	C Sensitivity level	D Access/Eligibility	E Nature of action code	F Date of action	
G Geographic location	H Position code	I Position title			J SON	
K Location of official personnel folder	<input type="checkbox"/> None NPRC	<input type="checkbox"/> At SON e-OPF	<input type="checkbox"/> Other	Other address/Web address of e-OPF		Zip Code
L SOI	M Location of security folder	<input type="checkbox"/> None NPI	<input type="checkbox"/> At SOI Other	Other address		Zip Code

#### e-QIP

**Agency Use Block for OPM CIS/IS (ID:1) / Form**

FIPC Codes  R

### 6.6.07 Fingerprint Special Agreement Check (SAC)

A fingerprint only Special Agreement Check (SAC) may be conducted prior to submission of any investigative request and may be captured either electronically, using Live-Scan System or Fingerprint Card Scan System and transmitted to OPM’s Fingerprinting Transaction System (FTS) or captured hardcopy, and mailed to OPM. The fingerprint request is processed as a SAC case type 92 for both submission types. For a hardcopy case type 92, clearly identify the SON/SOI/IPAC codes. For SF 87, the SON/SOI/IPAC information should be listed in the Department, Bureau, and Duty Station block. For FD-258, it should be listed in the Reason Fingerprinted block. Either method provides the customer agency with timely results to fingerprint searches.

If the request for a higher level investigation is received within 120 days of the fingerprint result, OPM will merge the results from the Fingerprint SAC into the new investigation and issue an adjustment for the Fingerprint SAC. When using results from a fingerprint SAC for a higher level investigation, provide the letter “I” in the FIPC Code block of the Agency Use Block of SF 85, SF 85P, SF 85PS, or SF 86.

## **7.0 Amendments to Standard Forms and use of the Certification of Amended Investigative Form (FIPC 391)**

### **Applicant/Appointee/Employee Amendments**

Should it be necessary for an individual to amend information submitted in e-QIP, the agency must return the request to the individual in e-QIP. If the investigative questionnaire was submitted hardcopy, the individual may make pen-and-ink amendments. The individual must initial and date all amendments when submitting hardcopy amendments.

### **Agency Authorized Amendments to Hardcopy Standard Forms**

If the individual is unable to personally make necessary amendments on hardcopy standard forms, and these amendments do **not** pertain to qualifications, security, or suitability information (see following FIPC 391 [chart](#)), an agency official identified by SON or SOI may make the amendment(s). The amendments must be initialed and dated by the agency official, and the official must be an authorized contact of a SON or SOI. These procedures are essential for scheduling the request; if not followed, the request will be returned to the submitting agency.

### **Agency Amendments to Hardcopy Standard Forms using the FIPC 391**

If the individual is unable to personally make necessary changes on hardcopy standard forms pertaining to qualifications, security, or suitability information, the FIPC 391 allows the agency to amend the forms consistent with the applicant's intent. The FIPC 391 must include the agency official's certification that alterations or amendments were made with the individual's authorization as well as the understanding that the form will become part of the individual's investigative file. Since current information is vital to the investigations process, the FIPC Form 391 cannot be used solely for the purpose of providing an updated signature on the Certification page.

The FIPC 391 [chart](#) on the following page identifies fields pertaining to qualifications, security, or suitability information. When any of the items on the [chart](#) are amended by an agency official, the FIPC 391 must be submitted to certify the individual's authorization.



**US Office of Personnel Management  
Federal Investigative Services  
Boyers, PA 16018-0618**

**CERTIFICATION OF AMENDED INVESTIGATIVE FORM**

**SUBJECT'S NAME:** \_\_\_\_\_ **SSN:** \_\_\_\_\_

**Instructions:** Information on the investigative form should be completed by the Subject. If it becomes necessary to alter or amend a completed SF 86 (12/2010 or 7/08 version) or SF 85, SF 85P, or SF 85PS (9/95 version), mark a check in the left-hand column to indicate each item where an alteration and/or amendment has been made and complete the certification at the bottom of this form.

RESPONSES MODIFIED	ITEM	SF 86 (12/10)	SF 86 (07/08)	SF 85P (9/95)	SF 85PS (9/95)	SF 85 (9/95)
<input type="checkbox"/>	Name	1	1	1	1	1
<input type="checkbox"/>	Date of Birth (DOB)	2	2	2	N/A	2
<input type="checkbox"/>	Social Security Number (SSN)	4	4	4	<b>4</b>	4
<input type="checkbox"/>	Sex	6	7	6	N/A	6
<input type="checkbox"/>	Dual Multiple Citizenship/Foreign Passport Information	10	10	N/A	N/A	N/A
<input type="checkbox"/>	Employment Record (fired, quit a job after being told you would be fired, etc.)	13a 13c	13 c	12	N/A	N/A
<input type="checkbox"/>	Selective Service Record	14	14	17	N/A	12
<input type="checkbox"/>	Military Record	15	15	17	N/A	N/A
<input type="checkbox"/>	Foreign Contacts	19	19	N/A	N/A	N/A
<input type="checkbox"/>	Foreign Activities	20a	20 a	N/A	N/A	N/A
<input type="checkbox"/>	Foreign Business, Professional Activities, and Foreign Government Contacts	20b	20b	N/A	N/A	N/A
<input type="checkbox"/>	Foreign Countries Visited	20 c	20 c	19	N/A	N/A
<input type="checkbox"/>	Psychological and Emotional Health/Medical Record	21	21	N/A	5	N/A
<input type="checkbox"/>	Police Record	22	22	20	N/A	N/A
<input type="checkbox"/>	Illegal Drugs	23	23	21	3	14
<input type="checkbox"/>	Alcohol	24	24	N/A	4	N/A
<input type="checkbox"/>	Investigations & Clearance Record	25	25	18	N/A	N/A
<input type="checkbox"/>	Financial Record/Delinquencies	26	26	22	N/A	N/A
<input type="checkbox"/>	Use of Information Technology System	27	27	N/A	N/A	N/A
<input type="checkbox"/>	Public Record Civil Court Actions	28	28	N/A	N/A	N/A
<input type="checkbox"/>	Association Record	29	29	N/A	N/A	N/A
<input type="checkbox"/>	Date of Release	Yes	Yes	Yes	Yes	Yes
<input type="checkbox"/>	Continuation Space	Yes	Yes	Yes	Yes	Yes

**\*The FIPC Form 391 may not be used for the purpose of providing an updated Date of Certification.**

**Certification of Agency Official**

**I certify that the amendments and/or alterations made to the attached investigative document are consistent with the subject's intent and have been made with his/her concurrence. I understand that this form will become part of the investigative file.**

<i>Full Name (Type or Print Legibly)</i>	<i>Title/Position</i>	<i>SOI Number</i>	<i>SON Number</i>
<i>Signature (Sign in ink)</i>			<i>Date</i>

**FIPC 391 Revised 05/2012**

## 8.0 Instructions for Completing SF 85 (9/95) Agency Use Only (AUB) Block

### Non-Sensitive Positions

**As Seen in e-QIP (Left or Above)**

**As Seen on Standard Form (Right or Below)**

#### Investigative Agency Use Codes (“FIPC” Codes) (Optional)

**FIPC Codes**

Codes

Enter up to five FIPC codes. A complete list of FIPC codes is provided in the table located in [Appendix D](#). Codes specific to fingerprinting can be found in [section 6.6.04](#), Fingerprint Submissions.

#### Type of Investigation (Required)

**A** Type of investigation Case Type

Service

<b>A</b>	Type of Investigation	<b>02B</b>
----------	-----------------------	------------

Enter code 02 to request a non-sensitive NACI investigation with a “B” for service, or 06 for non-sensitive NAC with an “A” for service.

Refer to the case type table located in [Appendix A](#).

#### Extra Coverage (Optional)

**B** Extra coverage/Advance results

<b>B</b>	Extra Coverage	-----
----------	----------------	-------

Extra coverage codes are used to request information or processing beyond the normal scope of the investigation. Agencies must request extra coverage when additional information is needed to help determine a person’s qualifications, suitability, or security for a particular position. Certain codes require an agreement with OPM, and some incur additional fees, as explained in the Extra Coverage Code Table.

Enter up to eight codes in no specific order to obtain required extra coverage as described in [Appendix B](#).

Nature of Action Code  
(Optional)

**C** Nature of action code

<b>C</b>	Nature of Action Code	<input type="text"/>
----------	--------------------------	----------------------

If the individual being investigated is a Federal employee or applicant, enter the same three-digit code as used on [SF 52](#) or [SF 50](#), to show the Nature of Action taken or to be taken for the position requiring the investigation. If the individual being investigated is a contractor, enter CON or if military, enter MIL. If the individual is being reinvestigated, leave this block blank.

Date of Action  
(Optional)

**D** Date of action  /  /

<b>D</b>	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.

For reinvestigations or adding access to a current position when no personnel actions have been taken, leave both the Nature of Action Code and Date of Action blocks blank.

Geographic Location  
(Optional)

**E** Geographic location

<b>E</b>	Geographic Location	<input type="text"/>
----------	------------------------	----------------------

Enter the nine-digit Worldwide Geographic Location Code, showing the actual location or duty station for the position. If unknown, leave the block blank.

The Location Code is an OPM Central Personnel Data File (CPDF) requirement that must be entered on [SF 52](#) or [SF 50](#) for certain personnel actions. This code can be located in the General Services Administration (GSA) Publication dated April 1987, or at: <http://www.gsa.gov/glc>

Position Title  
(Required)

**F** Position title

<b>F</b>	Position Title	<input type="text"/>
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Enter the title of the position for which the investigation is requested. If the person being investigated is a contractor employee, enter either the person's position with the contractor company, or CONTRACTOR.

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SON  
(Required)

**G** Submitting Office Number (SON)

<b>G</b>	SON	<input type="text"/>
----------	-----	----------------------

Enter the four-character SON; if the Security Office is the Submitting Office, enter the SOI. To obtain an SON, complete PIPS 12 form (obtainable from FIPC Telephone Liaison at 724-794-5228) and forward it to OPM as instructed on the form.

---

SOI  
(Required)

**H** Security Office Identifier (SOI)

<b>H</b>	SOI	<input type="text"/>
----------	-----	----------------------

Enter the four-character SOI. Submitting Offices should contact the Security Office for the correct SOI. To obtain an SOI, complete PIPS 11 form (obtainable from FIPC Telephone Liaison at 724-794-5228.)

OPAC-ALC Number  
(Required)

**I** OPAC-ALC Number

<b>I</b>	OPAC-ALC Number	<input type="text"/>
----------	-----------------	----------------------

This field, which agencies formerly populated with the OPAC-ALC (Online Payment and Collection - Agency Locator Code) now collects the **IPAC, Intra-Governmental Payment & Collection (IPAC)** code. Enter the IPAC code assigned to your agency by the U.S. Department of Treasury.

The IPAC System provides a standardized interagency fund transfer mechanism for Federal Program Agencies (FPAs). IPAC facilitates the intra-governmental transfer of funds, with descriptive data from one FPA to another.

This code is required for all investigation requests. If the agency does not have an IPAC or is requesting a new IPAC, please visit: <http://fms.treas.gov/ipac/index.html>

Accounting Data and/or Agency Case Number  
(Optional)

**J** Accounting data and/or Agency case number

<b>J</b>	Accounting Data and/or Agency Case Number	<input type="text"/>
----------	---	----------------------

Enter the agency accounting data and/or agency case number for internal use (limit 25 characters). This block may be used by the requesting agency to note any information the agency needs for its own internal process. The information entered will be printed on documents used to close the case to the agency. If the agency does not need this information, leave the block blank.

Requesting Official  
(Required)

**K** Requesting official

Name

Title


Telephone  ext.

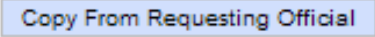
<b>K</b>	Requesting Official	Name and Title	Signature	Telephone Number ( )	Date
----------	---------------------	----------------	-----------	-------------------------	------

Enter the name and title of the official requesting the investigation; enter the commercial telephone number, including area code.

*For hardcopy submissions, the signature of the requesting official and date of signature are required. This signature does not have to be original; a stamp or copy is sufficient and indicates an agency's obligation to pay OPM for investigative services. No other procurement document is necessary.*

**AUB Items Unique to e-QIP**Processor

 **Processor**



Name

Telephone  ext.

For e-QIP cases, two additional **optional** blocks are available for completion. The Processor block reflects the individual who has initiated, reviewed, or approved the request within e-QIP. If not utilized, click the “Copy From Requesting Official” button.

---

Special Handling

 **Agency Special Instructions for the Investigative Service Provider**

If the agency has any special handling instructions for the investigation being requested, they are to be completed in this section. (This is to be used in place of memos of instruction typically submitted with the paper standard form.)

**9.0 Instructions for Completing SF 85P (9/95) Agency Use Only (AUB) Block**

**Public Trust Positions**

As Seen in e-QIP (Left or Above)

As Seen on Standard Form (Right or Below)

Investigative Agency Use Codes (“FIPC” Codes)  
(Optional)

**FIPC Codes**

Codes
-------

Enter up to five FIPC codes. A complete list of FIPC codes is provided in the table located in [Appendix D](#). Codes specific to fingerprinting can be found in [section 6.6.04](#), Fingerprint Submissions.

Type of Investigation  
(Required)

**A Type of investigation** Case Type    
Service

<b>A</b>	Type of Investigation	
----------	-----------------------	--

Using the case type table located in [Appendix A](#), enter the appropriate case type and case service code.

Extra Coverage  
(Optional)

**B Extra coverage/Advance results**

<b>B</b>	Extra Coverage	
----------	----------------	--

Extra coverage codes are used to request information or processing beyond the normal scope of the investigation. Agencies must request extra coverage when additional information is needed to help determine a person’s qualifications, suitability, or security for a particular position. Certain codes require an agreement with OPM, and some incur additional fees, as explained in the Extra Coverage Code Table.

Enter up to eight codes in no specific order to obtain required extra coverage as described in [Appendix B](#).

Sensitivity and Risk Level  
(Required)

**C** Sensitivity/Risk Level

<b>C</b>	Sensitivity/Risk Level	
----------	------------------------	--

Investigations submitted on an SF 85P are for Moderate Risk or High Risk positions. The SON should obtain the risk level from the SOI.

Information regarding designation of the risk and sensitivity level of a position is found in [5 CFR 731](#), Suitability, and in [5 CFR 732](#), National Security. Refer to the Position Designation Tool, available on the OPM website to determine the proper sensitivity/risk level for a specific position. The SF 85P is the appropriate questionnaire for Moderate Risk Public Trust and High Risk Public Trust positions when there is no national security sensitivity. The SF 85P is **not** appropriate for any position designated as national security sensitive (Non-Critical Sensitive, Critical Sensitive, Special Sensitive).

**CODE LEVEL:**      5 Moderate Risk  
                             6 High Risk

Computer/ADP  
(Optional)

Compu / ADP

<b>D</b>	Compu/ADP	
----------	-----------	--

This block is no longer required. Positions that include computer/ADP duties and responsibilities are designated using the Position Designation System and investigated according to the risk/sensitivity level of the position.



Nature of Action Code  
(Optional)

**E** Nature of action code

<b>E</b>	Nature of Action Code	<input type="text"/>
----------	-----------------------	----------------------

If the individual being investigated is a Federal employee or applicant, enter the same three-digit code used on SF 52 or SF 50, representing the Nature of Action taken or to be taken for the position requiring the investigation. If the individual being investigated is a contractor, enter CON. If the individual is being reinvestigated, leave this block blank.

Date of Action  
(Optional)

**F** Date of action  /  /

<b>F</b>	Date of Action	Month	Day	Year
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Enter the effective date of the action requiring the investigation. If the action has not been taken, leave the block blank.

For reinvestigations or movement to a higher position of trust in a current position when no personnel actions have been taken, leave both the Nature of Action Code and Date of Action blocks blank.

Geographic Location  
(Optional)

**G** Geographic location

<b>G</b>	Geographic Location	<input type="text"/>
----------	---------------------	----------------------

Enter the nine-digit Worldwide Geographic Location Code showing the actual location or duty station for the position. If unknown, leave the block blank.

The Location Code is an OPM Central Personnel Data File (CPDF) requirement that must be entered on SF 52 or SF 50 for certain personnel actions. This code can be located in the General Services Administration (GSA) Publication dated April, 1987 or at <http://www.gsa.gov/glc>

Position Code  
(Optional)

**H** Position code

<b>H</b>	Position Code	
----------	---------------	--

Enter the appropriate code letter from the table below. If none applies, leave the block blank. Contact OPM-FIPC at 724-794-5612 for information about additional codes available by special agreement with OPM.

- Position Code:**
- A - Congressional Staff
  - B - Investigator
  - C - Astronaut
  - E - White House
  - F - SES/GS-15 (or equivalent)
  - G - Special or Confidential Assistant (GS-13 and above)
  - H - Child Care Provider (For child care investigations only)

Position Title  
(Required)

**I** Position title

<b>I</b>	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.

SON  
(Required)

**J** Submitting Office Number (SON)

<b>J</b>	SON	----
----------	-----	------

Enter the four-character SON; if the Security Office is the Submitting Office, enter the SOI code. To obtain an SON, complete PIPS 12 form (obtainable from FIPC Telephone Liaison at 724-794-5228) and forward to OPM as instructed on the form.

Location of Official Personnel Folder  
(Required)

**K** Location of official personnel folder

**Other Location (if "Other" selected)**

Name

Street Address  City

State  Zip Code

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

There are four options, select only one:

**None:** If individual has never been a Federal employee or is a contractor

**NPRC:** If the OPF is at the National Personnel Records Center (former Federal employee with break in service)

**At SON:** If the OPF is at the SON (block J)

**Other:** If the OPF is at some other location, provide agency name and complete address

SOI  
(Required)

**L** Security Office Identifier (SOI)

<b>L</b>	SOI	<input type="text"/>
----------	-----	----------------------

Enter the four-character SOI. Submitting Offices should contact the Security Office for the correct SOI. To obtain an SOI, complete PIPS 11 form (obtainable from FIPC Telephone Liaison at 724-794-5228.)

Location of Security Folder  
(Required)

**M** Location of security folder

**Other Location (if "Other" selected)**

Name

Street Address  City

State  Zip Code

<b>M</b>	Location of Security Folder		None	Other Address	ZIP Code
		At SOI			
		NPI			

There are four options, select only one:

**None:** If there is no security file at the agency

**At SOI:** If the security file is at the SOI (block L) address and contains pertinent information on the individual that should be reviewed by an investigator

**NPI:** If the security file is at the SOI (block L) address contains no pertinent information

**Other:** If the security file is at a location other than the SOI (block L) address and the Federal security file should be reviewed by an investigator, check "other". Report the complete address in the space provided for "other address"

*Note: Block M should not be used to request reviews of security files, Federal or otherwise, maintained by agencies other than the SOI.*

OPAC-ALC Number  
(Required)

**N** OPAC-ALC Number

<b>N</b>	OPAC-ALC Number	<input type="text"/>
----------	-----------------	----------------------

This field, which agencies formerly populated with the OPAC-ALC (Online Payment and Collection - Agency Locator Code) now collects the **IPAC, Intra-Governmental Payment & Collection (IPAC)** code. Enter the IPAC code assigned to your agency by the U.S. Department of Treasury.

The IPAC System provides a standardized interagency fund transfer mechanism for Federal Program Agencies (FPAs). IPAC facilitates the intra-governmental transfer of funds, with descriptive data from one FPA to another.

This code is required for all investigation requests. If the agency does not have an IPAC or is requesting a new IPAC, please visit: <http://fms.treas.gov/ipac/index.html>

Accounting Data and/or Agency Case Number  
(Optional)

**O** Accounting data and/or Agency case number

<b>O</b> Accounting Data and/or Agency Case Number	<input type="text"/>
--	----------------------

This block is for internal use (limit 25 characters.) The information entered will be printed on documents used to close the case to the agency. If the agency does not need this information, leave the block blank.

Requesting Official  
(Required)

**P** Requesting official

Name

Title

Telephone  ext.

<b>P</b>	Requesting Official	Name and Title	Signature	Telephone Number ( )	Date
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Enter the name and title of the official requesting the investigation; enter the commercial telephone number, including area code.

*For hardcopy submissions, the signature of the requesting official and date of signature are required. This signature does not have to be original; a stamp or copy is sufficient and indicates an agency's obligation to pay OPM for investigative services. No other procurement document is necessary.*

**AUB Items Unique to e-QIP**Processor

**Processor**

Name

Telephone  ext.

For e-QIP cases, two additional **optional** blocks are available for completion. The Processor block reflects the individual who has initiated, reviewed, or approved the request within e-QIP. If not utilized, click the "Copy From Requesting Official" button.

---

Special Handling

**Agency Special Instructions for the Investigative Service Provider**

If the agency has any special handling instructions for the investigation being requested, they are to be completed in this section. (This is to be used in place of memos of instruction typically submitted via the paper standard form.)

## 10.0 Instructions for Completing SF 86 (12/2010) Agency Use Only (AUB) Block

### National Security Positions

#### FIPC Codes (Optional)

**FIPC Codes**

Enter up to five FIPC codes. A complete list of FIPC codes is provided in the table located in [Appendix D](#). Codes specific to fingerprinting can be found in [section 6.6.04](#), Fingerprint Submissions.

#### Type of Investigation (Required)

**A Type of investigation** Case Type

Service

Using the case type table located in [Appendix A](#), enter the appropriate case type and case service code.

#### Extra Coverage/Advance Results (Optional)

**B Extra coverage/Advance results**

Extra coverage codes are used to request information or processing beyond the normal scope of the investigation. Agencies must request extra coverage when additional information is needed to help determine a person's qualifications, suitability, or security for a particular position. Certain codes require an agreement with OPM, and some incur additional fees, as explained in the Extra Coverage Code Table.

Enter up to eight codes in no specific order to obtain required extra coverage as described in [Appendix B](#).

Sensitivity Level  
(Required)

**C** Sensitivity level   Compu / ADP

Investigations submitted on an SF 86 are for Sensitive positions. The SON should obtain the sensitivity/risk level from the SOI. Refer to the table in [section 6.2](#) for the appropriate investigation for the Sensitivity and Risk level of a position.

Information regarding designation of the risk and sensitivity level of a position is found in [5 CFR 731](#), Suitability, and in [5 CFR 732](#), National Security. Refer to the Position Designation Tool, available on the OPM website to determine the proper sensitivity/risk level for a specific position. The SF 86 is the appropriate questionnaire for Sensitive Positions.

**CODE LEVEL:**  
 2 Noncritical-Sensitive  
 3 Critical-Sensitive  
 4 Special-Sensitive

*Note: The Compu/ADP block is no longer required. Positions that include computer/ADP duties and responsibilities are designated using the Position Designation System and investigated according to the risk/sensitivity level of the position.*

Access/Eligibility  
(Required)

**D** Access/Eligibility Code   Comment

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

**CODE LEVEL:**  
 0 - Not required  
 1 - Confidential  
 2 - Secret  
 3 - Top Secret  
 4 - Sensitive Compartmented Information  
 5 - Q  
 7 - L  
 8 - Other (specify clearance level in comment block or in an attached document (if in attachment enter "7" in Extra Coverage block B)

If the situation involves multiple clearance/access levels, the highest level being requested for the individual should be entered in Block D of SF 86.



Nature of Action Code  
(Optional)

**E** Nature of action code

If the individual being investigated is a Federal employee or applicant, enter the same three-digit code used on SF 52 or SF 50, representing the Nature of Action taken or to be taken for the position requiring the investigation.

---

Date of Action  
(Optional)

**F** Date of action  /  /

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

For reinvestigations or adding access to a current position when no personnel actions have been taken, leave both the Nature of Action Code and Date of Action blocks blank.

---

Geographic Location  
(Optional)

**G** Geographic location

Enter the nine-digit Worldwide Geographic Location Code, showing the actual location or duty station for the position. If unknown, leave the block blank.

The Location Code is an OPM Central Personnel Data File (CPDF) requirement that must be entered on SF 52 or SF 50 for certain personnel actions. This code can be located in the General Services Administration (GSA) Publication dated April, 1987 or at: <http://www.gsa.gov/glc>

Position Code  
(Optional)

**H** Position code

Enter the appropriate code letter from the table below. If none applies, leave the block blank. You may contact OPM-FIPC at 724-794-5612 for information about additional codes available by special agreement with OPM.

**POSITION CODE:** A - Congressional Staff  
 B - Investigator  
 C - Astronaut  
 E - White House  
 F - SES/GS-15 (or equivalent)  
 G - Special or Confidential Assistant (GS-13 and above)  
 H - Child Care Provider (For child care investigations only)

Position Title  
(Required)

**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.

SON  
(Required)

**J** Submitting Office Number (SON)

Enter the four-character SON; if the Security Office is the Submitting Office, enter the SOI. To obtain an SON, complete PIPS 11 form (obtainable from FIPC Telephone Liaison at 724-794-5228) and forward to OPM as instructed on the form.

Location of Official Personnel Folder  
(Required)

**K** Location of official personnel folder

**Other Location (if "Other" selected)**

Name	<input type="text"/>		
Street Address	<input type="text"/>	City	<input type="text"/>
State	<input type="text"/>	Zip Code	<input type="text"/>
Web address of e-OPF (if "e-OPF" selected)	<input type="text"/>		

There are five options, select only one:

**None:** If the individual has never been a Federal employee or is a contractor

**NPRC:** If the OPF is at the National Personnel Records Center (former Federal employee with break in service)

**At SON:** If the OPF is at the SON (block J)

**e-OPF:** If e-OPF, check e-OPF and provide web address, if applicable

*Note: By indicating e-OPF, agencies are authorizing OPM-FIS to review the contents of the e-OPF, if required during the background investigation. Also, an official request for a background investigation to be conducted by OPM constitutes an implied consent by the agency to review the content of the e-OPF, if necessary.*

**Other:** If the OPF is at some other location, provide agency name and complete address

SOI  
(Required)

**L** Security Office Identifier (SOI)

Enter the four-character SOI. Submitting Offices should contact the local Security Office for the correct SOI. To obtain an SOI, complete PIPS 11 form (obtainable from FIPC Telephone Liaison at 724-794-5228) and forward to OPM as instructed on the form.

Location of Security Folder  
(Required)

**M** Location of security folder

Other Location (if "Other" selected)

Name

Street Address  City

State  Zip Code

There are four options, select only one:

**None:** If there is no security file at the agency

**At SOI:** If the security file is at the SOI (block L) address and contains pertinent information on the individual that should be reviewed by an investigator

**NPI:** If the security file is at the SOI (block L) address contains no pertinent information

**Other:** If the security file is at a location other than the SOI (block L) address and the Federal security file should be reviewed by an investigator, check "other". Report the complete address in the space provided for "other address"

*Note: Block M should not be used to request reviews of security files, Federal or otherwise, maintained by agencies other than the SOI.*

Intra-Governmental Payment & Collection (IPAC)  
Formerly OPAC/ALC (Required)

**N** IPAC

This field, which agencies formerly populated with the OPAC-ALC (Online Payment and Collection - Agency Locator Code) now collects the IPAC, Intra-Governmental Payment & Collection (IPAC) code. Enter the IPAC code assigned to your agency by the U.S. Department of Treasury.

The IPAC System provides a standardized interagency fund transfer mechanism for Federal Program Agencies (FPAs). IPAC facilitates the intra-governmental transfer of funds, with descriptive data from one FPA to another.

This code is required for all investigation requests. If the agency does not have an IPAC or is requesting a new IPAC, please visit: <http://fms.treas.gov/ipac/index.html>

Treasury Account Symbol (TAS)  
(Optional)

**O** Treasury Account Symbol (TAS)

This can be up to a 27-digit alphanumeric code assigned by the Department of the Treasury. It identifies the agency, the period of availability of funds, and the specific account by fund group. There is a unique TAS for each fund.

---

Obligating Document Number  
(Optional)

**P** Obligating document number

This is the document number of the purchase order or other obligating documents prepared by the requesting agency. It is usually a 17-digit alphanumeric code. This number is usually assigned by the agency's contracting office. It may change annually, or more frequently, depending on how much an agency obligates for investigations. Once the obligated money runs out, a new obligating document or modification is needed.

---

Business Event Type Code (BETC)  
(Optional)

**Q** Business Event Type Code (BETC)

This can be up to an eight-digit alphanumeric code that indicates the type of activity being reported (payments, collections, etc). Some agencies are using DISB if receiving services and COLL if performing services. BETC determines the transaction effect on the Treasury Account Symbol's Fund Balance with Treasury. BETC replaces transaction codes and subclasses, but at a more detailed level.

Accounting Data and/or Agency Case Number  
(Optional)

**R** Accounting data and/or Agency case number

Enter the agency data for internal use (limit 25 characters). This block may be used by the requesting agency to note any information the agency needs for its own internal process. The information entered will be printed on documents used to close the case to the agency. If the agency does not need this information, leave the block blank.

---

Investigative Requirement  
(Required)

**S** Investigative requirement

There are two options, select only one:

Initial: If the investigation request is an initial investigation

Reinvestigation: If the investigation request is a reinvestigation

---

Requesting Official  
(Required)

**T** Requesting official

Name

Title

Email address

Telephone  ext.

Enter the name and title of the official requesting the investigation; enter the commercial telephone number, including area code.

*For hardcopy submissions, the signature of the requesting official and date of signature are required. This signature does not have to be original; a stamp or copy is sufficient and indicates an agency's obligation to pay OPM for investigative services. No other procurement document is necessary.*

Secondary Requesting Official  
(Optional)

**U** Secondary requesting official

Name	<input type="text"/>
Title	<input type="text"/>
Email address	<input type="text"/>
Telephone	<input type="text"/> ext. <input type="text"/>

Enter the name, title and telephone number of the secondary official requesting the investigation; enter the commercial telephone number, including area code. If utilizing this box, Requesting Official (Block T) must also be completed.

---

Applicant Affiliation  
(Required)

**V** Applicant affiliation  

Enter the affiliation of the position for which the investigation is being requested.

There are four options; select only one:

**FED CIV:** Federal civilian position

**MIL:** Military position

**CON:** Contractor position

**Other:** Positions not designated as Federal civilian, military, or contractor

Deployment/PCS (if Imminent)  
(Optional)

**W** Deployment/PCS (Do not provide deployment data if Classified or Sensitive information)

**New Record**

From	<input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/>
To	<input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/>
Reason(s) for Temporary Duty Assignment or PCS	<input type="text"/>
Point of Contact at Location	<input type="text"/>
Phone	<input type="text"/>
Street Address / Unit / Duty Location	<input type="text"/>
State	<input type="text"/> <input type="text"/>
Country	<input type="text"/> <input type="text"/>
City	<input type="text"/>
Zip Code	<input type="text"/>

Commercial and Government Entity (CAGE)  
(Optional)

**Commercial and Government Entity (CAGE)** Code  Contract Number

A CAGE code is a unique 5 character identifier for entities doing, or wishing to do business, with the Federal Government. The format and character position of the code vary based on country.

Special Handling  
(Optional)

**Agency Special Instructions for the Investigative Service Provider**

If the agency has any special handling instructions for the investigation being requested, they are to be completed in this section. (This is to be used in place of memos of instruction typically submitted via the paper standard form.)



## 10.1 Third Party Data Entry (3PDE)

As of October 1, 2011 OPM no longer accepts hardcopy versions of the 2010 SF 86. OPM recognizes that there are instances in which individuals may not be able to enter information directly into their e-QIP forms. To fulfill this need, OPM created a Fillable version (<http://www.opm.gov/forms/html/sf.asp>) of the 2010 SF 86 for use in the Third Party Data Entry process. 3PDE provides requesting agencies the ability to enter an individual's data directly into e-QIP and to utilize e-QIP validation. 3PDE allows an authorized Agency e-QIP User to initiate a request in e-QIP and enter the individual's provided SF 86 information.

An authorized e-QIP User must have the specific group role of "Third Party Entry" (TPE) in order to enter data in e-QIP on behalf of an individual. TPE agency users are presented with a disclaimer page of instructions at the beginning of the data entry. TPE agency users must acknowledge acceptance of these instructions before continuing with the data entry of the individual's standard form. Upon completion of data entry, the agency user will present the individual with the archival copy and e-QIP generated signature pages for review and signatures. Once signature pages are signed by the individual, agency users with the e-QIP role of "Reviewer" or "Approver" are required to upload signature pages to the e-QIP investigation request.

Agency users with the "Reviewer" and "Approver" roles in e-QIP are able to manage the completed third party data entered investigation request just as any other investigation request in e-QIP. The Agency Use Block (AUB) tab in e-QIP is still required to be completed accordingly by a TPE, Reviewer, or Approver in e-QIP. Specific instructions on 3PDE are located in the Library of the OPMIS Secure Portal, <https://opmis.xsp.org>

3PDE use is currently limited to the 2010 SF 86, but it is expected to be included with other standard forms in the future.

## **11.0 RSIs, Reopens, Special Agreement Checks (SACs), Upgrades and Downgrades (pending investigations only)**

### Reimbursable Suitability/Security Investigation (RSI)

An RSI can be requested in order to expand on issues or to obtain coverage of activities that fall outside the scope of a traditional OPM investigation. Such requests must be submitted on agency letterhead, or FIPC Form 553 (available from OPM-FIS' Investigative Interface or on the OPM-FIS website at: <http://www.opm.gov/investigate/about/orgs/cib.aspx>), and must clearly detail:

- (a) the basis for the RSI,
- (b) the specific investigative work OPM is requested to complete, and
- (c) the agency's office identifiers (SON, SOI, and IPAC).

OPM must also be in possession or receipt of a complete SF 85, SF 85P, SF 85PS, or SF 86 with a valid Authorization for Release of Information. Please submit RSI requests to OPM-FIS Investigative Interface via fax at 724-738-0178 or via mail to:

OPM-FIPC  
PO Box 618, 1137 Branchton Road  
Boyers, PA 16018-0618

Questions regarding the submission or pricing for the RSI product should be directed to FIS Telephone Liaison at 724-794-5228.

### Requests to Reopen an Investigation

To request an investigation be reopened send the discontinued notice, a cover letter, or use the FIPC Form 553 (available from OPM-FIS' Investigative Interface or on the OPM-FIS website at: <http://www.opm.gov/investigate/about/orgs/cib.aspx>), along with the case papers via mail to Investigative Interface at the above address.

To request a reopen on a discontinued case, OPM-FIPC must receive the request within four months from the discontinuation date. To request a reopen on a closed complete case, OPM-FIPC must receive the request within one year of the closing date.

### Special Agreement Checks (SACs) and INV 86C

SAC availability, codes and pricing can be found in the billing FIN for the current fiscal year located on the OPM website at [www.opm.gov/investigate](http://www.opm.gov/investigate). The INV Form 86C form can be used to request a number of OPM's National Agency Checks.

Please note: By submitting an investigative request using the INV Form 86C, the agency is acknowledging it has an existing and valid Special Agreement on file with OPM and the fees associated with the SAC request have been approved by the agency. Contact OPM-FIPC at 724-794-5612 to initiate a special agreement.

### Upgrade/Downgrade/Case Service Change Requests

For pending investigations only, requests must be submitted to OPM's Support Contractor Correction Techs on agency letterhead via fax (724-794-1033 or 724-794-1459), email [FISDUPGRADE/DOWNGRADE@OPM.GOV](mailto:FISDUPGRADE/DOWNGRADE@OPM.GOV), or mail (see [page 3](#) for address). Closed cases cannot be upgraded or downgraded.

## APPENDIX A

### Case Types, Forms, and Service Codes

Type of Investigation			Standard Form Type			Case Service Code		
			X = Available					
			85	85P	86	A	B	C
NACI	<i>National Agency Check and Inquiries</i>	02	X	-	-	-	X	-
NAC	<i>National Agency Check</i>	06	X	X	X	X	-	-
NACLCLC	<i>National Agency Check with Law and Credit (for Non-Critical Sensitive military/contractor)</i>	08	-	-	X	-	X	-
NACLCLC	<i>National Agency Check with Law and Credit (for Moderate Risk reinvestigations)</i>	08	-	X	-	-	X	-
ANACI	<i>Access National Agency Check and Inquiries</i>	09	-	-	X	-	X	-
PRI	<i>Periodic Reinvestigation</i>	11	-	X	-	X	-	X
MBI	<i>Moderate Risk Background Investigation</i>	15	-	X		X	-	X
MBI	<i>Moderate Risk Background Investigation</i>	15	-		X*	X	-	X
SSBI-PR	<i>Periodic Reinvestigation for SSBI</i>	18	-	-	X	X	-	X
PPR	<i>Phased Periodic Reinvestigation (Basic case)</i>	19	-	-	X	X	-	X
BI	<i>Background Investigation</i>	25	-	X	-	X	-	X
SSBI	<i>Single Scope Background Investigation</i>	30	-	-	X	X	-	X

\*For Moderate Risk Non-critical Sensitive positions or Moderate Risk positions with Secret/Confidential Access

## APPENDIX B

### Extra Coverage Codes 1 – 8 and A-Z

Extra coverage codes are used to request information or processing beyond the normal scope of the investigation. Certain codes result in an additional charge.

For a list of current investigation products and services offered by OPM, refer to the billing rates Federal Investigations Notice for the current fiscal year located at [www.opm.gov/investigate](http://www.opm.gov/investigate)

*Note: Codes marked with an X require a special agreement with OPM or contingency factors apply.*

*By Special Agreement or Contingency Factors Apply	Codes	Description
	<b>1</b>	<b>Overseas attributes</b> (special questioning required)
	<b>2</b>	Used to request <b>Credit search</b> for NAC/NACI: An additional fee is charged for an optional credit check (Agency must maintain Fair Credit Release, unless submitted on the 12/2010 SF 86, which includes a Fair Credit Release to be submitted with the investigation)
	<b>3</b>	<b>Advance NAC:</b> The advance on the National Agency Check (NAC) consists of an itemized list of the NAC results and search status. This is a notification of item results only; no hardcopy is furnished. The Advance NAC Report is sent to the SOI and is available for all case types. If after 30 days from the scheduling date the NAC is not complete, a NAC status report will be generated to provide the SOI information on the NAC.
	<b>6</b>	<b>Law Enforcement attributes</b> (special questioning required)
	<b>7</b>	<b>Special Attachments:</b> This code is used when an agency wishes to call special attention to attachments provided with the submission, such as request for license or certificate verification; issue information; personnel folder or security file information; people in the U.S. who can verify activities outside the United States; agency-conducted subject interview or pre-appointment checks; and any other pertinent information.
	<b>8</b>	<b>Child Care NACI</b> request: Statewide criminal history background searches on individuals who are seeking a position, which involves having direct contact with children, per the Crime Control Act of 1990—Public Law 101647. An additional fee is charged for these searches.
X	<b>A</b>	<b>Investigator Positions</b>
X	<b>B</b>	<b>Astronaut Positions</b>
X	<b>CC</b>	<b>Catch 'Em in Conus</b>
X	<b>CL</b>	<b>Catch 'Em Linguists</b>
X	<b>CT</b>	<b>Catch 'Em in Training</b>
	<b>H</b>	Used on NAC/NACLC to request <b>Citizenship and Immigration Services (CIS) check</b> to verify the individual's immigration status if not a U.S. Citizen or citizenship status if a naturalized U.S. Citizen.
X	<b>CT</b>	<b>Catch 'Em in Training</b>
	<b>H</b>	Used on NAC/NACLC to request <b>Citizenship and Immigration Services (CIS) check</b> to verify the individual's immigration status if not a U.S. Citizen or citizenship status if a naturalized U.S. Citizen.

## APPENDIX C

### Availability of Extra Coverage Codes 1 - 8

<b>Type of Investigation</b>  <b>X = Available</b> <b>F = Available for Additional Fee</b>			<b>Extra Coverage Codes 1, 2, 3, 6, 7, and 8</b>					
			Overseas Attributes	Credit Search	Advance NAC	Law Enforcement Attributes	Special Attachments	Child Care NACI
			1	2	3	6	7	8
NACI	<i>National Agency Check and Inquiries</i>	<b>02</b>	-	F	X	-	X	X
NAC	<i>National Agency Check</i>	<b>06</b>	-	F	X	-	X	-
NACLC	<i>National Agency Check with Law and Credit</i>	<b>08</b>	-	-	X	-	X	-
ANACI	<i>Access National Agency Check and Inquiries</i>	<b>09</b>	-	-	X	-	X	-
PRI	<i>Periodic Reinvestigation</i>	<b>11</b>	X	-	X	X	X	-
MBI	<i>Moderate Risk Background Investigation</i>	<b>15</b>	-	-	X	-	X	-
SSBIPR	<i>Periodic Reinvestigation for SSBI, SSBI-PR, or PPR</i>	<b>18</b>	X	-	X	X	X	-
PPR	<i>Phased Periodic Reinvestigation</i>	<b>19</b>	X	-	X	X	X	-
BI	<i>Background Investigation</i>	<b>25</b>	X	-	X	X	X	-
SSBI	<i>Single Scope Background Investigation</i>	<b>30</b>	X	-	X	X	X	-

## APPENDIX D

### FIPC Codes

A FIPC Code indicates special processing needs for a particular request. These codes can be selected in the drop down menu in e-QIP or, for hardcopy submissions, written at the top of SF 85, SF 85P, SF 85PS, or SF 86 in the block marked “Codes.”

By Special Agreement Only	Code	Description
	1	Fingerprint Check completed by agency in the last 120 days with <i>classifiable/no record</i> result furnished with submission (Agency Conducted NAC (ACN) or CCT required)
	2	FBI Name Check completed by agency in the last 120 days with a <i>no pertinent information</i> result furnished with submission (ACN or CCT required)
	3	Coast Guard Intelligence Records Index search required (NAC and NACLC)
	4	State Passport Form 240 Birth Verification required (NAC and NACLC)
	7	Fingerprint Check not required (use for reinvestigation)
	9	Fingerprint Check completed by agency in the last 120 days with <i>unclassifiable or no record by Name Check</i> results <b>and</b> additional Fingerprint Chart furnished with submission (ACN or CCT required)
	A	Fingerprint Check completed by agency in the last 120 days with <i>unfavorable</i> results furnished with case submission (ACN required)
	B	FBI Name Check completed by agency in the last 120 days with <i>unfavorable information</i> result furnished with submission (ACN required)
	H	Two Fingerprint Checks completed by agency in the last 120 days with <i>unclassifiable or no record by Name Check</i> results furnished with submission (ACN required) (SF 85 or SF 85P)
	I	Fingerprints electronically transmitted within 120 days as a Fingerprint SAC or Fingerprint SAC completed within 120 days prior to case paper submission
	J	Fingerprints mailed to OPM for processing
	R	Advance Fingerprint results report is required by agency (See FIN 06-04)
X	S	Current supervisor obtained (ANACI only)
X	T	FINCEN conducted (NAC)
	X	SF-87 Fingerprint Chart submitted to and retained by FBI if classifiable
	Y	FD 258 chart submitted to FBI
	Z	No Fingerprint Chart submitted

## APPENDIX E

### *Types of Investigation Notices and Forms Sent to the SON*

<b>Investigation Notices Received by SON</b>	<b>Description</b>
Investigation Scheduled Notice	Verifies the requested investigation has been scheduled by OPM-FIPC. <i>(Agencies should notify FIPC Telephone Liaison at 724-794-5228 if there is a question about this notice.)</i>
Administrative Return Notice	Case papers are returned when the type of investigation requested is inconsistent with Sensitivity/Access information in the "Agency Use Only" block. The investigation has not been initiated, so the notice must be returned to OPM-FIPC with the corrected case papers as soon as possible. Contact FIPC Telephone Liaison at 724-794-5228 for clarification.
FIPC 45A - Unacceptable Case Notice	This form is sent to agencies when investigation requests are returned to agencies as unacceptable. This happens when investigative forms are not completed correctly or are missing essential information about the person to be investigated. For manual resubmissions of an unacceptable, the SON should return the FIPC 45A with the original case papers to the OPM address shown on <a href="#">page 3</a> . If the SON electronically submitted the request, the investigation will be rejected back to the agency in e-QIP for correction. If the agency rejects the investigation back to the applicant, the applicant will need to make needed corrections to the form, answer all yes/no questions again and resubmit to agency with signed and dated certification and medical release. The FIPC 45A is not needed when the investigation is resubmitted to OPM electronically. For more information about the unacceptable investigations submission process, please see <a href="#">section 6.4</a> .
Case in Process Notice	Indicates an investigation meeting or exceeding requirements of the requested investigation is already in process. If the case in process was requested by the same SON, the notice will indicate the second request was a duplicate. If the case in process is for another agency's SOI, a copy of the case will be sent to the second requestor's SOI when it is completed.
INV 60 - <i>Request for Determination or Advisory</i>	This form is initiated by an agency Submitting Office or Examining Office when suitability issues discovered warrant referral to OPM. The INV 60 is returned to an agency SON by FIS Suitability Adjudications with the status of the referral.



## APPENDIX F

### *Types of Investigation Notices and Forms Sent to the SOI*

Investigation Notices Received by SOI	Description
Case Closing Transmittal (CCT)	The CCT provides a summary of investigated activities and results, and indicates one of the following closing actions: <b>Closed-Complete:</b> Provides results of a fully completed case. <b>Closed-Pending:</b> Provides an interim package of completed portions of a case except for a pending record or NAC item that has been delayed. A Closed-Complete action will be sent when the pending items are completed; the entire case will not be sent.
Certification of Investigation (COI)	Included in package with CCT for cases Closed-Complete. The notice is completed and sent by the SOI, after adjudication, to the SON for filing on the permanent side of the OPF.
Closed-Discontinued Notice	Indicates when the case has been discontinued at the agency's request. The notice should be forwarded by the SOI to the SON for filing on the permanent side of the OPF.
Closed-Incomplete Notice	Case papers are returned when OPM-FIPC has not received a new fingerprint chart previously requested from the SON. The notice must be returned with the new fingerprint chart and the case papers. If the investigation is no longer required, the notice is sent by the SOI to the SON for filing on the permanent side of the OPF.
Returned-Requirements Met Notice	Indicates an investigation has recently been completed which meets or exceeds requirements of the requested investigation. The request for investigation is returned, as no additional investigation is necessary, and a copy of the previous case, if any, is sent to the SOI for adjudication. After adjudication, this notice is sent by the SOI to the SON for filing on the permanent side of the OPF.
INV 79A - <i>Report of Agency Adjudicative Action on OPM Personnel Investigations</i>	This form accompanies the CCT and must be returned to OPM-FIPC by the SOI to report the action taken. The adjudication must be reported in the Central Verification System (CVS).
OFI Form 79B - <i>Request for Search of OPM Records</i>	This form provides the SOI with results of an OPM SII search and may require agency adjudicative action and notification to OPM-FIPC.
OFI Form 79 - <i>Notice of Personnel Investigation</i>	This form is used by other Federal investigative agencies to notify OPM an investigation is being initiated. This information is added to OPM's Security/Suitability Investigations Index (SII) and the investigative agency is sent results of an SII search. After adjudication, the agency is required to complete Part C of this form and return it to OPM-FIPC. The adjudication must be reported in CVS.