



Requesting OPM Personnel Investigations

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This booklet is intended to assist federal agencies in 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 offered by FIS.

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 in Washington, DC, known as the "TRB," and at the Personnel Investigations Center at Ft. Meade, Maryland, commonly referred to as the "PIC."

Information concerning FIS products and services can be found on the OPM FIS website. The website provides information of interest to applicants 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

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 Terms 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
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
OFI 79A	Report of Agency Adjudicative Action on OPM Personnel Investigations
OFI 79B	Request for Search of OPM Records
OFI 86C	Request for Special Agreement Check (by agreement only)
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 Agency Interaction with FIS - Submitting and Security Offices (SONs and SOIs)

3.1 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 an 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. SII data is not available to the SON; only the SOI can obtain a SII search.

3.2 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 subjects of investigation. The security office is also responsible for completing a variety of investigative forms.

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 designate security office employees who may contact OPM-FIPC to obtain 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 questions posed by Telephone Liaison before information will be provided.

Each Security Office provides 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 used for obtaining an SOI and updating the SOI contact information.

Agency security officers must have a favorable determination based on the results of at least 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 least a BI. Agencies must ensure at least one or two individuals in an Adjudications Office have had a Single Scope Background Investigation (SSBI) in case classified material at the Top Secret level is included in a file. For SII access, the minimum level is an Access National

Agency Check with Inquiries (ANACI) or equivalent, with 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.

3.3 FIPC Telephone Liaison for SON and SOI Authorized Contacts

Depending on whether an individual is with the SON or SOI, the following information can be provided by the **FIPC Telephone Liaison: 724-794-5228**. When calling Telephone Liaison, please have necessary verifying information.

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 PIPS)	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

NOTE: If the agency has PIPS access, the above information can be obtained electronically utilizing the PIPS agency menu.

4.0 OPM Automated Tools – EPIC and More

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 applicants into the system, and the system collects data from the applicant based on the appropriate investigative questionnaire (SF 85, SF 85P, SF 85PS, or SF 86).

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 of over 11 million background investigation records of Federal employees, military personnel, and contractors. These records are maintained for a minimum of 16 years. OPM-FIPC authorizes access to PIPS.

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 a PIPS connection must have a Security Office Identifier (SOI) assigned by OPM-FIPC. Contact FIPC for more information or to request a PIPS connection.

OPIS (Imaging)

OPM's imaging process known as OPIS facilitates electronic delivery of completed investigations. Through the use of imaging, agencies are able to receive all case related material electronically, a process known as Agency Delivery or e-Delivery. e-Delivery replaces the traditional method of mailing a paper version of the completed investigation package with a secure electronic delivery through an automated process.

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 OPMIS Secure Web Portal.

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' computer 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 how closely an applicant or incumbent is screened for a position. In order to ensure a systematic, dependable, and uniform way of making 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 simple and easy 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 help OPM 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 Forms and Documents Required to Request an Investigation

The following chart shows the forms required to request the correct investigation for the risk and sensitivity level of the position. Additional information about the required documentation is provided in sections 5.2 – 5.6 following the chart.

5.1 Table of Forms Required for Investigations

For this Position Designation :	Use the following forms:	To request this investigation:
Non-Sensitive Position Low Risk and/or HSPD-12 Credential (with no other designation)	1. SF 85	National Agency Check and Inquiries (NACI)
	2. Electronic or hardcopy SF 87 (civilian) FD 258 (contractor)	
	3. OF 306 (civilian) OF 306- limited items* (contractor)	
	4. Application or Resume (new federal civilian)	
Moderate Risk Public Trust Position (No national security sensitivity)	1. SF 85P SF 85PS– if required, by Special Agreement with OPM	Moderate Risk Background Investigation (MBI) (Limited Background Investigations (LBI) are being eliminated. After October 1, 2010 requests for LBI will be converted to MBI.)
	2. Electronic or hardcopy SF 87 (civilian) FD 258 (contractor)	
	3. OF 306 (civilian) OF 306- limited items* (contractor)	
	4. Application or Resume (new federal civilian)	
Reinvestigation for Moderate Risk Public Trust Position (No national security sensitivity)	1. SF 85P SF 85PS– if required, by Special Agreement with OPM	National Agency Check with Law and Credit (NACLC)
	2. Electronic or hardcopy SF 87 (civilian) FD 258 (contractor)	

For this Position Designation:	Use the following forms:	To request this investigation:
<p>High Risk Public Trust Position (No national security sensitivity)</p>	<p>1. SF 85P SF 85PS– if required, by Special Agreement with OPM</p> <p>2. Electronic or hardcopy SF 87 (civilian) FD 258 (contractor)</p> <p>3. OF 306 (civilian) OF 306- limited items* (contractor)</p> <p>4. Application or Resume (new federal civilian)</p>	<p>Background Investigation (BI) (Public Trust Special Background Investigations (PTSBI) are being eliminated. After October 1, 2010 requests for PTSBI will be converted to BI.)</p>
<p>Reinvestigation for High Risk Public Trust Position (No national security sensitivity)</p>	<p>1. SF 85P SF 85PS– if required, by Special Agreement with OPM</p> <p>2. Electronic or hardcopy SF 87 (civilian) FD 258 (contractor)</p>	<p>Periodic Reinvestigation (PRI) (Periodic Reinvestigations with Residence (PRIR) are being eliminated. After October 1, 2010 requests for PRIR will be converted to PRI.)</p>
<p>Secret/Confidential (Undesignated –eg. Military/Contractor) or Reinvestigation for Noncritical Sensitive Position and/or Secret/Confidential Eligibility/Clearance</p>	<p>1. SF86</p> <p>2. Electronic or hardcopy FD 258 or SF 87 (not required if reinvestigation and prior classifiable results were obtained)</p>	<p>National Agency Check with Law and Credit (NACLC)</p>
<p>Noncritical Sensitive Position and/or Secret/Confidential Security Eligibility/Clearance (Low Risk)</p>	<p>1. SF 86</p> <p>2. Electronic or hardcopy SF 87 (civilian) FD 258 (contractor)</p> <p>3. OF 306 (for civilians and only when discrepant information exists between OF 306 and SF 86)</p> <p>4. Application or Resume (new federal civilian)</p>	<p>Access National Agency Check and Inquiries (ANACI)</p>

For this Position Designation:	Use the following forms:	To request this investigation:
<p>Noncritical Sensitive Position and/or Secret/Confidential Security Eligibility/Clearance (Moderate Risk)</p>	<p>1. SF 86</p> <p>2. Electronic or hardcopy SF 87 (civilian) FD 258 (contractor)</p> <p>3. OF 306 (only for civilians and only when discrepant information exists between OF 306 and SF 86)</p> <p>4. Application or Resume (new federal civilian)</p>	<p>Moderate Risk Background Investigation (MBI)</p>
<p>Critical Sensitive Position and/or Top Secret (TS) Security Eligibility/Clearance (Any level of risk)</p> <p>or</p> <p>Special Sensitive Position and/or Top Secret with Sensitive Compartmented Information (SCI) (Any level of risk)</p>	<p>1. SF 86</p> <p>2. Electronic or hardcopy SF 87 (civilian) FD 258 (contractor) FD 258 or SF 87 (military)</p> <p>3. OF 306 (only for civilians and only when discrepant information exists between OF 306 and SF 86)</p> <p>4. Application or Resume (new federal civilian)</p>	<p>Single Scope Background Investigation (SSBI)</p>
<p>High Risk Public Trust with any level of Position Sensitivity</p>	<p>1. SF 86</p> <p>2. Electronic or hardcopy SF 87 (civilian) FD 258 (contractor)</p> <p>3. OF 306 (only for civilians and only when discrepant information exists between OF 306 and SF 86)</p> <p>4. Application or Resume (new federal civilian)</p>	<p>Single Scope Background Investigation (SSBI)</p>

For this Position Designation:	Use the following forms:	To request this investigation:
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	1. SF 86 2. Electronic or hardcopy FD 258 or SF 87 (not required if reinvestigation and prior classifiable results were obtained)	SSBI Periodic Reinvestigation (SSBI-PR) Or Phased Periodic Reinvestigation (PPR)**

**Investigations on contractor personnel requested on the SF 85 and SF 85P require the applicant 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 Phased Periodic Reinvestigation (case type 19) may be requested if the subject does not disclose anything of a security concern as part of the background information furnished for investigation. Any investigation originally scheduled as a basic PPR that develops information of a security concern 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).*

5.2 Investigative Questionnaires

Request an OPM investigation using the appropriate standard form questionnaire for the designated position.

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 5CFR 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 with 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. The reinvestigations for these levels of risk are pending regulation changes, but will also be requested using the SF85P when finalized.

Standard Form (SF) 85PS, “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 with 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 Local Agency and Credit” (NACLC) for undesignated positions (e.g. military personnel) requiring access to Secret and/or Confidential national security information.

The SF86 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).

5.3 Fingerprint Submissions

5.3.01 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 consists 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

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

5.3.02 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 cannot process such submissions.

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

The **SF87** is an OPM-sponsored form intended for use when collecting fingerprints from federal civilian employees and military personnel. The FBI maintains SF87 fingerprint images for military and Federal employees. This information supports the post-appointment arrest information process, which enables new FBI criminal arrest information to be forwarded through OPM to the employing agency of a federal employee. In such instances, OPM furnishes the agency SOI 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 (investigations index). PIPS denotes fingerprints submitted on SF 87 as FIPC Code "X."

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 Test Example		O R I USOPM000Z - FIPC BOYERS, PA								
RESIDENCE OF PERSON FINGERPRINTED Applicant's Home Address		SERIAL NO. (OPM USE ONLY) OCA Original case number if submitting reprint			DATE OF BIRTH DOB MONTH DAY YEAR MM/DD/YYYY			PLACE OF BIRTH POB City/State or Country		
DATE Date prints taken	SIGNATURE OF OFFICIAL TAKING FINGERPRINTS Name of Official Taking Prints	ALIASES AKA Other names used by applicant	SEX	RACE	HGT	WGT	EYES	HAIR	Applicant's information	
TITLE AND ADDRESS		SCARS, MARKS, AND TATTOOS If Applicable	LEAVE BLANK							
POSITION TO WHICH APPOINTED		FBI NO. FBI Insert if Known	CLASS _____							
DEPARTMENT, BUREAU, AND DUTY STATION (CITY AND STATE) Insert if Known		SOCIAL SECURITY NO. SOC Applicant's Social Security Number	REF. _____							

The **FD 258** is an FBI-issued collection chart intended for use when collecting fingerprints from contractor personnel. The FBI does not maintain FD258 fingerprint images for contractor personnel. Although the SF 87 is the preferred format for prints from military personnel, the FD 258 is also currently used to collect fingerprints from some military personnel. PIPS denotes fingerprints submitted on FD 258 as FIPC Code "Y."

APPLICANT		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 Test Example		ALIASES AKA Other names used by applicant			O R I USOPM000Z OPM BOYERS, PA			DATE OF BIRTH DOB Month Day Year MM/DD/YYYY					
RESIDENCE OF PERSON FINGERPRINTED Applicant's Home Address		CITIZENSHIP CTZ U.S. or Other			SEX			RACE	HGT	WGT	EYES	HAIR	PLACE OF BIRTH POB City/State or Country
DATE Date prints taken	SIGNATURE OF OFFICIAL TAKING FINGERPRINTS Name of Official Taking Prints	YOUR NO. OCA Original case number if submitting reprint			LEAVE BLANK								
EMPLOYER AND ADDRESS		FBI NO. FBI Insert if Known	CLASS _____										
REASON FINGERPRINTED Clearly state position/license for which applying		ARMED FORCES NO. MNU Military Enlistment # if Known	REF. _____										
		SOCIAL SECURITY NO. SOC Applicant's SSN											
		Other Identifying Numbers e-QIP Request #											

5.3.03 Indicating Fingerprint Submission Method in e-QIP

When submitting investigation requests using e-QIP, indicate the submission method of the fingerprint.

e-QIP Fingerprint Submission method in the Attachment Section

Submission Details	
Submission Type	--Select An Option--
	--Select An Option-- Federal/Military Employee or Applicant (SF-87) Contractor (FD-258) Not Required--Reinvestigation or SF 80 Submission that meets requirements as outlined in FIN 94-0 Agency Conducted--Results must be submitted to OPM

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

5.3.04 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</i> or <i>no record by Name Check</i> results and 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</i> or <i>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

5.3.05 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 the first time. OPM will process the second submission under the original case number, even if the case is closed. All reprint results will be updated and a new Case Closing Transmittal (CCT) will be generated.

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.

5.3.06 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 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
AGENCY USE ONLY						
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	
L SOI	M Location of security folder		<input type="checkbox"/> None NPI	<input type="checkbox"/> At SOI Other	Other address	
						Zip Code
						Zip Code

e-QIP

Edit Agency Use Block Information

If applicable, provide the appropriate Agency Use Block information below and click

Agency Use Block for OPM CIS/IS (ID:1) / Form SF86 [2008-07]

FIPC Codes

Codes R	▼	▼	▼	▼	▼
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5.3.07 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 (1) electronically using Live-Scan System or Fingerprint Card Scan System and transmitted to OPM’s Fingerprinting Transaction System (FTS) or (2) captured hardcopy and mailed to OPM. In either scenario, the fingerprint request is processed as a SAC case type 92. 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, indicate the letter “I” in the FIPC Code block of the Agency Use Block of SF 85, SF 85P, SF 85PS, or SF 86.

5.4 Optional Form (OF) 306 Declaration for Federal Employment

The OF 306 is a form to collect information during the hiring process to determine an applicant's acceptability for Federal and Federal contract employment and to determine an appointee's status in the Government's Life Insurance program when the appointee has been previously employed by the Federal Government.

This form must accompany each request for investigation submitted on an SF 85 or SF 85P when the applicant to be investigated is a new Federal employee or applicant for Federal employment.

Investigations on contractor personnel requested on the SF 85 and SF 85P require the applicant 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.

For investigations submitted on an SF 86, the 306 should be submitted for such applicants when there is a discrepancy between information submitted on the SF 86 and the 306.

5.5 Application or Resume

New Federal Civilian Appointment Actions

Applicants for new federal civilian appointments may use a resume, OF 612 "Optional Application for Federal Employment," or any other applicable form to apply for Federal employment.

The applicant should carefully review the answers on the OF 306, Declaration for Federal Employment, and any attached sheets, including any other application or resume materials. If additional space is needed, the applicant may provide the updated material on additional sheets, with appropriate initials and dates. Only under specific circumstances should anyone other than the Applicant make changes to these documents. See "Agency Amendments" for additional information.

For Federal civilian employment actions, a copy of the application materials, related appointment documents, and any attachments used for the appointment are to be submitted with the investigative request. For SF 85 and SF 85P submissions, this includes the OF 306. For SF 86 submissions, the 306 should be submitted for such applicants when there is a discrepancy between information submitted on the SF 86 and the OF 306.

5.6 Attachments to e-QIP

e-QIP has the ability to accept electronically imaged attachments as part of the investigation request. This includes the signed investigation questionnaire Certification and Release pages. This does **not** include fingerprint charts.

Pages printed from e-QIP contain the request ID of the questionnaire completed by the applicant and must match the 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.

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; 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. To call attention to special attachments provided with the submission, use Extra Coverage Code 7 when completing the Agency Use Block (AUB).

6.0 Ensuring Complete and Timely Investigative Questionnaire Submissions

All information requested on SF questionnaires is essential for the expeditious scheduling and investigating of cases. The Submitting Office is responsible for ensuring SF 85, SF 85P, SF 85PS, and SF 86 requests are complete. The agency should have the applicant complete all information as required and should not submit incomplete case papers.

OPM's automated case scheduling is based on zip codes and other data provided by the applicant. 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.

OPM-FIPC attempts to obtain incomplete or missing information from the SON; however, if unsuccessful the case papers are returned to the agency for completion.

The SF 85, SF 85P, SF 85PS, and SF 86 must be submitted to OPM-FIPC within 120 days of the date of the applicant's signature. Investigations rely on current information provided by the applicant on the SF; therefore, requests submitted to OPM-FIPC using forms that reflect signatures older than 120 days may be deemed "Unacceptable" and returned without action.

Submitted questionnaire forms must contain:

- Completed **AGENCY USE BLOCK (AUB) ITEMS**
- **CORRECT, COMPLETE, and CURRENT** information, with details provided as appropriate
- **ZIP CODES** for each activity (for automated scheduling of the investigation and mailing inquiries)
- Beginning and ending **MONTH** and **YEAR** of each activity, with no time gaps or missing time frames
- **SIGNATURE** (full name of the person to be investigated)
- For hard copy submissions, information **TYPED OR LEGIBLY PRINTED** (care should be taken so numbers and letters are clearly formed to avoid misinterpretation of the information provided by applicant)

6.1 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, or mail (see page 3 for address). Closed cases cannot be upgraded or downgraded.

7.0 Amendments to Submitted Information and the FIPC Form 391

Applicant Amendments

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

Agency Amendments

If the applicant is unable to personally make necessary changes, and these changes do **not** pertain to qualifications, security, or suitability information (see FIPC 391 chart below), an agency official identified by SON or SOI may make the amendment(s). The amendments must be initialed and dated by the official, and the official must be identified by SON or SOI. These procedures are essential for the scheduling of the request; if not followed, the request will be returned to the submitting agency.

FIPC 391, Certificate of Amended Investigation

If the applicant is unable to personally make necessary changes 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 applicant's concurrence as well as the understanding that the form will become part of the applicant's investigative file. Since current information is vital to the investigations process, the FIPC Form 391 may not be used solely for the purpose of providing an updated signature.

The 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 applicant's concurrence.

The FIPC 301 must be submitted when any of the following items are amended by an agency:

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

* The FIPC Form 391 may not be used solely for the purpose of providing an updated signature.

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

Non-Sensitive Positions

As Seen in e-QIP (Left)

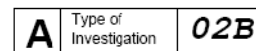
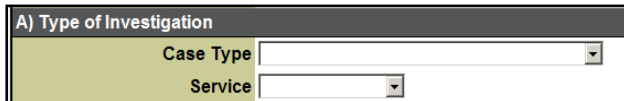
As Seen on Standard Form (Right)

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



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 5.2, Fingerprint Submissions.

Type of Investigation (Required)



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)



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
(Optional)

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

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

If the person 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 person being investigated is a contractor, enter CON or if military, enter MIL. If the person is being reinvestigated, leave this block blank.

Date of Action
(Optional)

D) Date of Action						
Month/Day/Year	<input type="text"/>	/	<input type="text"/>	/	<input type="text"/>	<input type="text"/>

D	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	
Code	<input type="text"/>

E	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	
Title	<input type="text"/>

F	Position Title	<input type="text"/>
----------	----------------	----------------------

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.

SON
(Required)

G) Submitting Office Number	
SON	<input type="text"/>

G	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	<input type="text"/>

H	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	
Number	<input type="text"/>

I	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	
Data	<input type="text"/>

J	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	<input type="text"/>		
Title	<input type="text"/>		
Telephone	<input type="text"/>	Ext.	<input type="text"/>

K	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	
Same as Requesting Official?	<input type="button" value="Copy From Requesting Official"/>
Name	<input type="text"/>
Telephone	<input type="text"/> Ext. <input type="text"/>

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	
Instructions	<input type="text" value="Enter Comment Here"/>

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.)

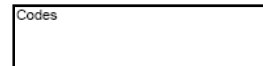

9.0 Instructions for Completing SF 85P (9/95) Agency Use Only (AUB) Block

Public Trust Positions

As Seen in e-QIP (Left)

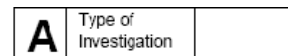
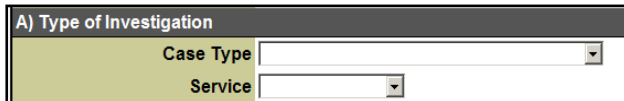
As Seen on Standard Form (Right)

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



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 5.3](#), Fingerprint Submissions.

Type of Investigation (Required)



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

Extra Coverage (Optional)



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 Level	
Code	<input type="text"/>

C	Sensitivity/Risk Level	<input type="text"/>
----------	------------------------	----------------------

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)

D) Compu/ADP	
ADP	<input type="checkbox"/>

D	Compu/ADP	<input type="text"/>
----------	-----------	----------------------

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
(Optional)

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

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

If the person 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 person being investigated is a contractor, enter CON. If the person is being reinvestigated, leave this block blank.

Date of Action
(Optional)

F) Date of Action					
Month/Day/Year	<input type="text"/>	/	<input type="text"/>	/	<input type="text"/>

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

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

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	
Code	<input type="text"/>

G	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	
Code	<input type="text"/>

H	Position Code	<input type="text"/>
---	---------------	----------------------

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	
Title	<input type="text"/>

I	Position Title	<input type="text"/>
---	----------------	----------------------

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	<input type="text"/>

J	SON	<input type="text"/>
---	-----	----------------------

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	None	Other Address	ZIP Code
		NPRC At SON		

There are four options, select only one:

- None:** If applicant 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	SOI	____	____	____	____
---	-----	------	------	------	------

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

Location: At SOI - Security File Is at the SOI Address

Other Location (If "Other" selected)

Name: _____

Street Address: _____

Address: City: _____ State: _____ Zip Code: _____

M	Location of Security Folder	None At SOI NPI	Other Address	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 applicant 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	
Number	<input type="text"/>

N	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	
Data	<input type="text"/>

O	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	<input type="text"/>		
Title	<input type="text"/>		
Telephone	<input type="text"/>	Ext.	<input type="text"/>

P	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	
Same as Requesting Official?	<input type="button" value="Copy From Requesting Official"/>
Name	<input type="text"/>
Telephone	<input type="text"/> Ext. <input type="text"/>

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	
Instructions	<input type="text" value="Enter Comment Here"/>

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 (7/08 or 12/2010) Agency Use Only (AUB) Block
National Security Positions

As Seen in e-QIP
(Left or Above)

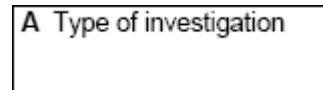
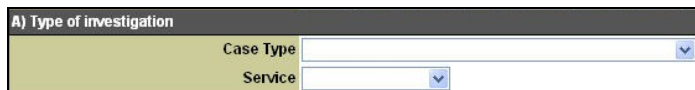
As Seen on Hardcopy Form
(Right or Below)

FIPC Codes
(Optional)



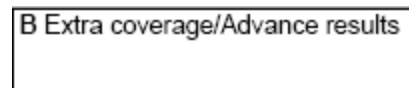
Enter up to five FIPC codes. A complete list of FIPC codes is provided in the table located in [Appendix D](#). Codes specific to fingerprinting can be found in section 5.2, Fingerprint Submissions.

Type of Investigation
(Required)



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

Extra Coverage/Advance Results
(Optional)



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	
Code	<input type="text"/>

C Sensitivity level

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 5.1](#) 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

Access/Eligibility
(Required)

D) Access/Eligibility	
Code	<input type="text"/>
Comment	<input type="text"/>

D Access/Eligibility

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 on an attached document and enter "7" in Extra Coverage block B)

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

Nature of Action code
(Optional)

E) Nature of action
Code <input type="text"/>

E Nature of action code

If the person 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
Month/Day/Year <input type="text"/> / <input type="text"/> / <input type="text"/>

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
Code <input type="text"/>

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	
Code	<input type="text"/>

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	
Title	<input type="text"/>

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	<input type="text"/>

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

K Location of official personnel folder	<input type="checkbox"/>	None	<input type="checkbox"/>	At SON	<input type="checkbox"/>	Other	Other address/Web address of e-OPF	Zip Code
		NPRC		e-OPF				

There are five options, select only one:

- None:** If the applicant 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	<input type="text"/>

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

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	
Location	<input type="text"/>
Other location (if "Other" selected)	
Name	<input type="text"/>
Street Address	<input type="text"/>
Address	City
	State
	Zip Code

M	Location of security folder	<input type="checkbox"/>	None	<input type="checkbox"/>	At SOI	<input type="checkbox"/>	Other address	<input type="checkbox"/>	Zip Code	<input type="checkbox"/>
		<input type="checkbox"/>	NPI	<input type="checkbox"/>	Other	<input type="checkbox"/>				

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 applicant 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	
Number	<input type="text"/>

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	<input type="text"/>

O 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	<input type="text"/>

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	<input type="text"/>

Q 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	
Data	<input type="text"/>

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	
Type	<input type="text"/>

S Investigative requirement	Initial
	Reinvestigation

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

T Requesting official - Name	Title	Signature
Email address	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.

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"/>

U Secondary requesting official - Name	Title
Email address	Telephone number

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
Type <input type="text"/>

V Applicant affiliation	<input type="checkbox"/> FED CIV	<input type="checkbox"/> CON
	<input type="checkbox"/> MIL	<input type="checkbox"/> Other

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

12/2010 SF 86 only: Deployment/PCS (if Imminent)
(Optional)

W) Deployment/PCS (Do not provide deployment data if Classified or Sensitive information)	
Location (if imminent)	From: <input type="text"/> / <input type="text"/> <input type="text"/> <input type="checkbox"/> Est.
	To: <input type="text"/> / <input type="text"/> <input type="text"/> <input type="checkbox"/> Permanent Relocation
	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"/>
City or Post Name: <input type="text"/>	
Provide State or Country location.	
State: <input type="text"/>	Zip Code: <input type="text"/>
Country: <input type="text"/>	

AUB Items Unique to e-QIP

For e-QIP cases, there is an **optional** block available for completion.

Special Handling

Agency Special Instructions for the Investigative Service Provider	
Instructions	<input type="text" value="Enter Comment Here"/>

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.)

11.0 RSIs, Reopens, and Special Agreement Checks (SACs)

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 can be made on agency letterhead 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 Customer Interface via fax at 724-738-0178 or via mail to one of the FIS addresses provided on page 3 of this document. 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 or attach a cover letter from the agency asking for a reopen, along with the case papers via mail to Customer Interface at OPM-FIPC (See page 3 for 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 for a closed complete case, OPM-FIPC must receive the request within one year of the closing date.

Special Agreement Checks (SACs) and the OFI Form 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. The OFI 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 OFI Form 86C, the agency is acknowledging it has a known 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.

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	-	-
NACLC	<i>National Agency Check with Law and Credit (for Non-Critical Sensitive military/contractor)</i>	08	-	-	X	-	X	-
NACLC	<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	-	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
PPR Upgrade	<i>Upgraded Phased PR Basic to Full Scope (Price added to Phased PR Basic)</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

Note: Some codes require a special agreement with OPM or contingency factors apply.

*By Special Agreement or Contingency Factors Apply	Codes	Description
	1	Overseas attributes (special questioning required)
	2	Used to request Credit search 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)
	3	Advance NAC: 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.
	4	Managerial and Supervisory attributes (special questioning required)
	5	Public Contact attributes (special questioning required)
	6	Law Enforcement attributes (special questioning required)
	7	Special Attachments: 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.
	8	Child Care NACI 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 101-647. An additional fee is charged for these searches.
X	A	Investigator Positions
X	B	Astronaut Positions
X	C	Fellow Positions
X	CC	Catch 'Em in Conus
X	CL	Catch 'Em Linguists
X	CT	Catch 'Em in Training
X	D	Executive Exchange Positions
	H	Used on NAC/NACLC to request Citizenship and Immigration Services (CIS) check to verify the subject's immigration status if not a U.S. Citizen or citizenship status if a naturalized U.S. Citizen.

	I	Citizenship and Immigration Services Check of Spouse/Cohabitant/Immediate Family Members: Used on NAC/NACLC/ANACI/MBI to request verification of the foreign-born spouse's immigration status if not a U.S. Citizen or citizenship if a naturalized U.S. citizen. (Check of foreign born-spouse/cohabitant/immediate family members is automatically conducted for national security investigations when access code 3, 4, or 5 is reflected on the investigation request).
	J	Selective Service
	K	State Department Security: Used to request check of previous background investigations conducted by State Department.
	L	Bureau of Vital Statistics (BVS): Used to request verification of birth record information on file at listed State of Birth.
	M	Used to request Periodical Search
X	N	Pre-appointment investigation
	Q	Bar Association License Checks: Used to request verification of state bar membership for attorney positions
	R	Indicates Reinvestigation
	S	Advance Verbal results of subject interview
X	T	Official Personnel Folder (OPF): Used to request OPF review. (This search is scheduled automatically for the SSBI-PR, and the SSBI; it is scheduled automatically for the BI when the location of the OPF is at NPRC.)
X	V	Federal Security File: Used to request review of the Federal agency security folder maintained by the SOI. (This search is automatically scheduled for the BI and SSBI.)
	W	Military checks
	X	FP/FBI items; Agency will reimburse OPM
	Z	<p>Criminal Justice Position – FBI user fee exemption: The FBI charges user fees for processing Federal fingerprint and name search requests that are not specifically for criminal justice or law enforcement purposes.</p> <p>Positions eligible for exemption of the FBI user fee must support the agency's criminal justice mission. According to the FBI in 42 U.S.C. 14616, Article V(6) , criminal justice includes activities relating to the detection, apprehension, detention, pre-trial release, post-trial release, prosecution, adjudication, correctional supervision, or rehabilitation of accused persons or criminal offenders. The administration of criminal justice includes criminal identification activities and the collection, storage, and dissemination of criminal history records. The extra coverage code Z is to be utilized on those positions exempt from the FBI user fee.</p> <p>Contractor positions are not eligible for exemption even if they are in a position supporting the contracting agency's criminal justice position.</p> <p>For additional information regarding the FBI user fee exemptions, please contact OPM-FIPC at 724-794-5612.</p>

APPENDIX C
Availability of Extra Coverage Codes 1 - 8

Type of Investigation X = Available F = Available for Additional Fee			Extra Coverage Codes 1- 8							
			Overseas Attributes	Credit Search	Advance NAC	Managerial Supervisory Attributes	Public Contact Attributes	Law Enforcement Attributes	Special Attachments	Child Care NACI
			1	2	3	4	5	6	7	8
NACI	<i>National Agency Check and Inquiries</i>	02	-	F	X	-	-	-	X	X
NAC	<i>National Agency Check</i>	06	-	F	X	-	-	-	X	-
NACLC	<i>National Agency Check with Law and Credit</i>	08	-	-	X	-	-	-	X	-
ANACI	<i>Access National Agency Check and Inquiries</i>	09	-	-	X	-	-	-	X	-
PRI	<i>Periodic Reinvestigation</i>	11	-	-	X	-	-	-	X	-
MBI	<i>Moderate Risk Background Investigation</i>	15	-	-	X	-	-	-	X	-
SSBI-PR	<i>Periodic Reinvestigation for SSBI</i>	18	F	-	X	-	-	-	X	-
PPR	<i>Phased Periodic Reinvestigation (basic or upgrade from basic)</i>	19	F	-	X	-	-	-	X	-
BI	<i>Background Investigation</i>	25	F	-	X	F	F	F	X	-
SSBI	<i>Single Scope Background Investigation</i>	30	F	-	X	F	F	F	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 and 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)
X	E	Most significant supervisor obtained (ANACI only)
	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
X	M	Subject interview, current residence, current supervisor obtained (ANACI only)
X	P	Subject interview obtained (NACLC and ANACI only)
	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
	1A	Spouse/Cohabitant NACs not conducted

APPENDIX E

Types of Investigation Notices and Forms Sent to the SON

Investigation Notices Received by SON	Description
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.
Unacceptable Case Notice	Case papers are returned when not completed correctly or missing essential information about the person to be investigated. If the SON electronically submitted the request, the applicant will need to be reinitiated and the submission process will need to be repeated (including the rescanning of any attachments). For manual resubmissions, the SON should return the FIPC 45A with the original case papers to the OPM address shown on page 3.
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.
<i>INV 60 - 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: Closed-Complete: Provides results of a fully completed case. Closed-Pending: 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	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.
OFI Form 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 the Central Verification System (CVS).



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OFFICE OF PERSONNEL MANAGEMENT
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