

Tier 3 Implementation of Federal Investigative Standards

In December 2012, the Office of the Director of National Intelligence (ODNI) and Office of Personnel Management (OPM) jointly issued revised federal investigative standards on the conduct of background investigations for individuals that work for or on behalf of the federal government in order to bring consistency to investigative quality expectations. In early fiscal year 2016, the Tier 3 investigation is being implemented as part of the phased approach for implementation of the federal investigative standards. As a result, the investigation types National Agency Check with Law and Credit (NACLC) and Access National Agency Check with Written Inquiries + Credit Check (ANACI) are being replaced with the Tier 3 investigation when Confidential or Secret access to classified information is required.

Effective 24 October 2015, users may notice the Tier 3 investigations versus NACLC/ANACI when reviewing investigative information in JPAS, for example, an investigation line may appear as "T3 From OPM, Case #: 16000000 RECEIVED, Closing Action: , Seriousness: , File Available: N" vice "NACLC From OPM, Case #: 16000000 RECEIVED, Closing Action: , Seriousness: , File Available: N". Periodic Reinvestigation will be designated as "T3R" to represent Tier 3 Reinvestigation.

OPM INV 41

For Tier 3 Investigations, a written request is the primary means of gathering information about a person's character, conduct and employment history. In these cases, FIS may send a written inquiry (INV 41, Investigative Request for Employment Data and Supervisor Information) to the employer in order to verify the subject's employment history, and gather relevant character and conduct information. For other types of investigation FIS must send an Investigator to personally obtain this information. Your complete and timely response to a written request is just as important as your complete and timely response to Investigators who arrive in person.

In all cases your cooperation helps to ensure the Government is able to fill critical positions without delay. Failing to respond to an INV 41 may delay the investigative process. For additional information concerning the INV 41, please visit the OPM website (<https://www.opm.gov/investigations/background-investigations/cooperation-in-investigations/#url=EmployerBusinesses>).

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Tiered Investigations

Tiered Investigation Standards							
Why We Investigate	Public Trust			National Security			
Reason	Suitability			Access to Classified Information			
Position	Low-Risk	Moderate Risk	High Risk	Confidential	Secret	Top Secret	SCI
Position Sensitivity	Non-Sensitive			Non-Critical Sensitive		Critical Sensitive	Special Sensitive
Tiered Investigation Associated	Tier 1	Tier 2	Tier 4	Tier 3	Tier 3	Tier 5	Tier 5
Current Type Investigation	NACI	MBI	BI	NACLIC/ANACI		SSBI	
Standard Form Used	SF-85	SF-85P		SF-86			
Who Submits	Government Agencies (not NISP contractors)			FSOs			

- Three basic reasons for conducting background investigations
 - National Security – access to classified
 - Suitability / Fitness for government employment
 - Personal Identity Verification in support of credentialing
 - Homeland Security Presidential Directive 12 (HSPD-12)
 - Physical access to facilities and or logical access to systems