



Center for Federal Investigative Services Products and Services

Working for America

UNITED STATES OFFICE OF PERSONNEL MANAGEMENT



Message from the President

“An organization needs a good idea and a good product or a good service. It certainly needs a good strategic plan. But more than anything, it needs good people – men and women of integrity, who understand their duties to each other and to the public interest.”

- George W. Bush



Message from the Director

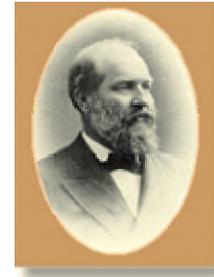


“The Office of Personnel Management establishes the regulatory policies and procedures that govern how Federal agencies manage their civil service employees, and it holds those agencies accountable for complying with those principles and rules through its oversight and audit function.”

- Kay Coles James

History of the Office of Personnel Management and the Investigations function

- **1881** - President Garfield was assassinated by an unsuccessful office seeker.
- **1883** - Civil Service Act established the Civil Service Commission (CSC).



- **1953 - Executive Order 10450** gave CSC oversight authority for the civilian Federal Government's personnel security program. The primary focus was/is National Security and Suitability Investigations.
- **Atomic Energy Act of 1954** established the requirement for investigations for those with access to nuclear material. It gave the Office of Personnel Management (OPM) the authority to conduct these background investigations (formerly done by the FBI).



Our History

(continued)

- **1977**- Investigations consolidated operations from four major cities to Boyers, Pennsylvania.
- **1979** - CSC was reorganized as OPM.
- **1984** - Phase I of automated processing was implemented.
- **1989** - Phase II (automated scheduling) goes on-line.
- **1991** - Automated investigations reporting was fully implemented.
- **July 8, 1996** - OPM's Investigation function was privatized and a new company, *US Investigations Services, Inc.* was created.



CFIS Mission



The Center for Federal Investigative Services (CFIS) is responsible for the delivery of effective and cost-efficient investigative products and related services that help ensure that Federal agencies have the information needed to make a security clearance or suitability decision as required by Executive Order 10450, 12968, and other related executive orders, rules and regulations.



OPM-CFIS Authority

- Title 5 CFR - Chapters 731, 732, 736
- E. O. 10450
- E. O. 12968
- Atomic Energy Act



CFIS Products

- Background Investigations
- Suitability Determinations
- Merit System Cases
- Trust Fund Cases
- Post-Appointment Arrests
- Freedom of Information/Privacy (FOI/P)
- Security/Suitability Investigations Index (SII)
- Informational Reports Profiling Investigations
- Consultation Services



Our Customers

**2,000 Agency
Security
Components**

**12,000
Personnel/HR
Components**

100 Federal Agencies

Such as:

Military Personnel
for DoD



Astronauts for
NASA



Doctors for
the VA



Workloads (FY 03)

National Security Investigations - 231,330

Investigation for persons performing, or seeking to perform, duties for the Federal Government requiring access to classified information as mandated by Executive Order 12968 or the Atomic Energy Act.

Public Trust Investigations - 162,137

Investigation for persons that have the potential to affect adversely the integrity, efficiency, effectiveness, or delivery of public service, and for certain sensitive positions that do not require access to classified information.

Non-Sensitive Investigations - 97,713

Minimum investigative standard for Federal employment under Executive Order 10450.

Special Agreement Checks/Other - 558,953

A limited investigation (or series of checks) to meet an agency's specific needs by special agreement with OPM, including access to national security installations and US Postal Service applicants.



Investigative Forms

(Also referred to as security case papers or questionnaires)

- **SF 85:** “Questionnaire for Non-Sensitive Positions” - Used for Non-Sensitive and Low-Risk Public Trust positions.
- **SF 85P:** “Questionnaire for Public Trust Positions” - Used for Public Trust and sensitive positions with no clearance (Moderate Risk and High Risk).
- **SF 85P-S:** “Supplemental Questionnaire” for selected Public Trust positions.
- **SF 86:** “Questionnaire for National Security Positions” - Used for National Security Positions with a need for access.



Fair Credit Reporting Act

CREDIT RELEASE:

On September 30, 1997, the Fair Credit Reporting Act was amended. OPM asked for certification the agency is maintaining a copy of the signed releases. The credit release should be obtained for every investigation that includes a credit report.



Forms To Request National Security Investigations

- **New Federal Appointment:**
 - ✓ SF 86 (Original)
 - ✓ Resume/Equivalent
 - ✓ OF 306
 - ✓ SF 87
- **Contractor:**
 - ✓ SF 86 (Original)
 - ✓ FD 258
- **Reinvestigation:**
 - ✓ SF 86 (Original)
 - ✓ SF 87 (Federal) or
 - ✓ FD 258 (Contractor)
- **Update/Upgrade:**
 - ✓ SF 86 (Original)
 - ✓ SF 87 (Federal) or
 - ✓ FD 258 (Contractor)



Forms To Request Public Trust Investigations

- **New Federal Appointment:**
 - ✓ SF 85P (Original)
 - ✓ SF 85P-S (If Required)
 - ✓ Resume/Equivalent
 - ✓ OF 306
 - ✓ SF 87
- **Contractor:**
 - ✓ SF 85P (Original)
 - ✓ FD 258
- **Reinvestigation:**
 - ✓ SF 85P (Original)
 - ✓ SF 85P-S (If Required)
 - ✓ SF 87 (Federal) or
 - ✓ FD 258 (Contractor)
- **Update/Upgrade:**
 - ✓ SF 85P (Original)
 - ✓ SF 85P-S (If Required)
 - ✓ SF 87 (Federal) or
 - ✓ FD 258 (Contractor)



Forms To Request Non-Sensitive Investigations

- **New Federal Appointment:**
 - ✓ **SF 85 (Original)**
 - ✓ **Resume/Equivalent**
 - ✓ **OF 306**
 - ✓ **SF 87**
- **Contractor:**
 - ✓ **SF 85 (Original)**
 - ✓ **OF 306**
 - ✓ **FD 258**



Types and Scopes

- **SSBI** - Single Scope Background Investigation (7 years)
- **SSBI-PR** - Reinvestigation for Single Scope (5 years)
- **BI** - Background Investigation (5 years)
- **LBI** - Limited Background Investigation (3 Personal and 2 inquiry years)
- **MBI** - Minimum Background Investigation (5 years/inquiry)
- **ANACI** - Access National Agency Check w/Inquiry (5 years/inquiry)



Types and Scopes

(continued)

- **NACI** - National Agency Check w/Inquiry (5 years/inquiry)
- **PRI/R** - Periodic Reinvestigation for other BI products
- **NACLC** - National Agency check w/law and credit
- **NAC** - National Agency check
- **SAC** - Special Agreement check



Coverage Periods

COVERAGE PERIODS: Requirements of different case types determine the coverage periods and the methods used to obtain coverage. Coverage periods extend back from the scheduling date (SD), and several different types of coverage periods are used in each case:

- **Basic Coverage Period:** The number of years of the subject's background that the investigation covers.
- **Personal Coverage Period:** The number of years of the basic coverage period covered by personal contact.



Coverage Methods

COVERAGE METHODS: The following are the coverage methods used to obtain the scheduled items:

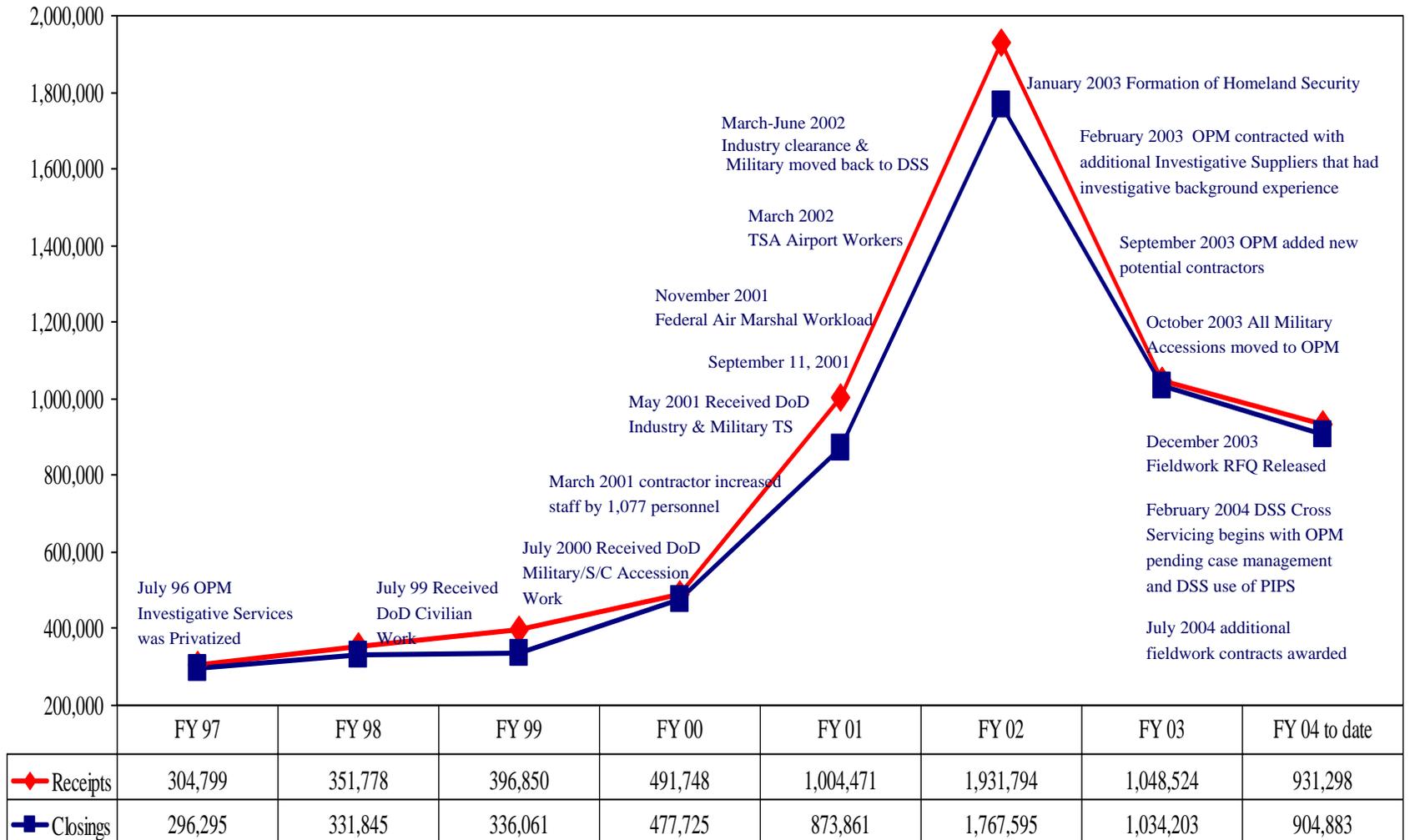
- **P - Personal**
- **R - Record**
- **I - Inquiry**
- **L - Linkage**

Note: Investigators may know firsthand the prospects for obtaining coverage in person. If so, they may decide another method is more appropriate, after giving careful consideration to whether issues or other circumstances are indicated for the case.



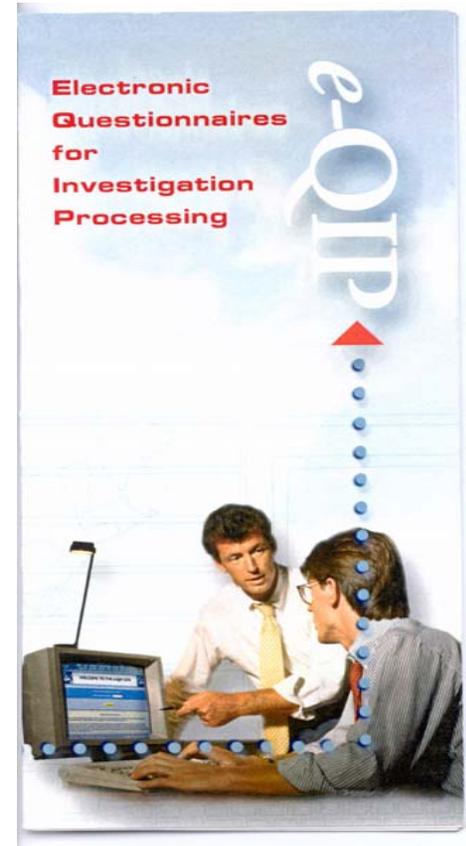
OPM Receipt/Closing Trends & Major Events

FY 97 through July 10, 2004



Electronic Questionnaires for Investigation Processing (e-QIP)

- For *Applicants*, e-QIP is a secure, web-based system to create, edit, retrieve, and update personal, investigative data.
- For *Agencies*, e-QIP streamlines data collection and communications in the background investigation process.



e-QIP Objectives

- Provide convenient electronic form for entering, editing, and submitting investigative form data
- Maintain consistency with the intent of the existing paper forms
- Conduct data validation as early as possible in the process (screen-by-screen)
- Control access to personal data
- Implement security controls to enable secure transmission of data
- Develop a system that is easy to maintain, modify, and enhance
- Support external interfaces to other Government Agency systems (DSS, FBI, other)

Standard Form 200
Revised September 1988
U.S. Office of Personnel Management
1-278 (Rev. 7-77) and 278

QUESTIONNAIRE FOR
NATIONAL SECURITY POSITIONS

Form approved
O.A.S. No. 5009-007
Only Form 200-004-000
88-114

Part 1
Agency Use Only (Complete items A through F using information provided by the investigating agency)

A. Type of Position
1. Temporary
2. Permanent
3. Career
4. Other

B. Title
1. Position Title
2. Grade
3. Pay Band

C. Location
1. Office
2. Field Office
3. Other

D. Date of Birth
1. Month
2. Day
3. Year

E. Social Security Number
1. Number
2. Area

F. Date of Birth
1. Month
2. Day
3. Year

G. Other Names Used
1. Name
2. Address
3. City
4. State
5. Zip

H. Telephone Numbers
1. Home
2. Office
3. Other

I. Citizenship
1. U.S. Citizen
2. Naturalized U.S. Citizen
3. Alien
4. Other

J. Other Information
1. Other Information
2. Other Information
3. Other Information

U.S. Passport
1. Number
2. Expiration Date

This may be either in current or expired U.S. Passport

Other Information
1. Other Information
2. Other Information
3. Other Information

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e-QIP: Next Steps



- Complete deployment of SF 86 to all remaining agencies by October 1, 2004
- Complete development of stand-alone SF 86 form software by early FY 2005
- Complete development and begin deployment of SF 85P, 85P-S, and SF 85 in FY 2005



e-Clearance: Files Imaging

- Investigative agencies are required to “image” closed personnel security investigations
- OPM online with imaged files beginning FY 2005
- Benefits of imaged files:
 - Faster and easier retrieval
 - Files move electronically desktop to desktop
 - Longer life (image does not degrade over time)
 - Less physical storage space required



e-Clearance: Clearance Verification System

- Includes a link between DoD's JPAS system and OPM's Security/Suitability Investigations Index
- Requires agencies to submit clearance data frequently. Updates ensure timely and accurate clearance data
- Allows agencies to retrieve information on-line or by phone
- Currently includes 181,255 active clearance records from over 50 agencies



Clearance Verification System Capabilities

- Instant access to active clearance information
- Improved ability to update clearance status
- Simplified maintenance of information
- Shared notification of negative actions
- Periodic revalidation of clearances



Clearance Verification System Capabilities

(continued)

Active Clearance Data

- Level of clearance
- Date clearance granted
- Date last validated
- Granting authority and phone number
- Temporary use certification (perm cert)



ADVANCE NACs

To obtain an Advance NAC Report, the SON/SOI must indicate Extra Coverage Code “3” in block “B” of the investigative form.

The Advance NAC Report will be sent to the SOI and will consist of an itemized list of the NAC results or search status (Note: Basic SII, DCII only - related files may not have been obtained).

ADVANCE FINGERPRINT

To obtain an Advance Fingerprint Report, the SON/SOI must indicate a Special Coverage Code of “R” in the Codes Block on the Agency Use Block of the SF86, SF 85P, or SF 85.

This report will be sent to the SOI and will provide the fingerprint results, as soon as the results are received. If the subject has an arrest record, a copy of the arrest record will also be provided.

Standard Form 86
Revised September 1995
U.S. Office of Personnel Management
5 CFR Parts 731, 732, and 736

**QUESTIONNAIRE FOR
NATIONAL SECURITY POSITIONS**

Form approved:
O.M.B. No. 3206-0007
NSN 7540-00-834-4036
86-111

Part 1		Investigating Agency Use Only		Codes	Case Number	
Agency Use Only. Complete Items A through P using instructions provided by the investigating agency.						
A Type of Investigation	B Extra Coverage	C Sensitivity Level	D Access	E Nature of Action Code	F Date of Action	
G Geographic Location	H Position Code	I Position Title		Month	Day	Year
J SON	K Location of Official Personnel Folder	None NPRC At SON		Other Address		
L SOI	M Location of Security Folder	None At SOI		Other Address		
N OPAC-ALC Number	O Accounting Data and/or Agency Case Number		ZIP Code			
P Requesting Official	Name and Title	Signature		Telephone Number		Date



CFIS's Web Site

www.OPM.gov/Extra/Investigate

• *Examples of information you will find:*

- Federal Investigations Notices (FINs)
- Organizational Structure
- Suitability Tips
- Relevant Executive Orders
- Attachment Pages for SF 86 and SF 85P
- Links to sites containing Standard Forms



Contact Information

For more information,
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www.OPM.gov

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