

Federal Investigations Notice

Notice No. 06-04

Date: June 8, 2006

SUBJECT: HSPD 12 - ADVANCED FINGERPRINT RESULTS

This notice provides helpful information to use when requesting advance fingerprint results for any reason, to include issuing Personal Identity Verification (PIV) credentials as required by Homeland Security Presidential Directive 12 (HSPD 12). HSPD 12, "Policy for a Common Identification Standard for Federal Employees and Contractors", requires the development and implementation of a mandatory, government-wide standard for secure and reliable forms of identification for Federal employees and contractors.

As required by HSPD 12, the Department of Commerce, National Institute of Standards and Technology (NIST), issued Federal Information Processing Standard 201 (FIPS 201) which provides implementation guidelines for PIV credentials. On August 5, 2005, the Office of Management and Budget (OMB) issued Memorandum M-05-24 "Implementation of [HSPD] 12 – Policy for a Common Identification Standard for Federal Employees and Contractors" available at <http://www.whitehouse.gov/omb/memoranda/fy2005/m05-24pdf>. In March 2006, NIST issued FIPS 201-1, "Personal Identity Verification (PIV) of Federal Employees and Contractors" available at <http://csrc.nist.gov/piv-program/fips201-support-docs.html>.

The latest guidelines require a National Agency Check with Inquiries (NACI) as the minimum investigation required for the PIV credential, except for military and contractor personnel cleared at the secret level or below where the credential may be issued based on an existing National Agency Check with Law and Credit (NACLIC). For compliance with PIV the investigation must be initiated ("scheduled" if OPM is the investigation service provider) and, at a minimum, the FBI National Criminal History Check (fingerprint check) completed before a credential may be issued. Credentials issued to individuals without a completed investigation must be electronically distinguishable from identity credentials issued to individuals who have a completed investigation. The PIV credential may later be revoked if the results of the completed investigation so justify.

The Office of Personnel Management (OPM), Federal Investigative Services Division (FISD), has developed a service that enables our customers to obtain a report of the fingerprint results in advance of the completed investigation.

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 either hardcopy submissions or electronic submissions via e-QIP (see figures 1-1 and 1-2). This code will provide for priority processing of your request and will trigger an Advanced Fingerprint Report to be generated the day after completion of the criminal history check.

Manual Submissions:

Standard Form 86 (EG) Revised September 1995 U.S. Office of Personnel Management 5 CFR Parts 731, 732, and 736		QUESTIONNAIRE FOR NATIONAL SECURITY POSITIONS				Form approved: OMB No. 3208-0007 NSN 7540-00-834-4036 88-111				
Part 1 Investigating Agency Use Only		Codes R				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		Month	Day	Year
G Geographic Location	H Position Code		I Position Title							

Fig. 1-1

E-QIP Submissions:

Edit Agency Use Block Information [Help](#)

If applicable, provide the appropriate Agency Use Block information below and click the 'Submit' button.

Agency Use Block for OPM CIS/IS (ID:1) / Form SF86 [1995-09]

FIPC Codes

Codes **R**

A) Type of Investigation

Case Type

Service

B) Extra Coverage

Codes

Fig. 1-2

The fingerprint results are updated in OPM’s Personnel Investigations Processing System (PIPS) within hours after scheduling the investigation, the advanced fingerprint feature provides for results to be sent to you automatically, eliminating the need for you to conduct a Security-Suitability Investigations Index (SII) search or case status search on PIPS for each individual request. This service is available on any case type at no additional cost, and the report can be sent to you either hardcopy or electronically:

Mailed: If you routinely receive your closed cases through the mail from OPM, the Advance Fingerprint Report will also be sent by mail to the Security Office listed on the investigative submission.

Electronic Transmission: If you have dial-up access to PIPS, you can receive the Advance Fingerprint Report via the Documents Print or Download function. This report can be printed by itself or along with a variety of other PIPS generated case documents.

ACCESS TO PIPS

Access to PIPS allows OPM’s customers to have real time access to the latest information we have regarding prior and current investigative activity on subjects. You may conduct an SII Search to determine if a subject under consideration has had a prior investigation. The Case Status feature provides a way to check the status of searches, including fingerprints, within a pending or closed investigation. The Documents function allows customers to receive Investigation Scheduled Notices, Case Closing documents, and the Advance Fingerprint Report electronically from OPM.

These can be printed locally or downloaded to your own automated tracking system. By using the Download Case Status Function, you can receive a daily file of cases Received, Returned Unacceptable, Scheduled, NAC Advanced, FP Advanced, Closed, and Closed Pending. This file contains sufficient subject identifying information to establish a record in your tracking system. The Agency Adjudication function allows you to update investigations with OFI-79A, Agency Adjudication information.

Access to PIPS is available through either a dial-up connection or via the OPMIS Secure Portal. Currently, the Documents function and the Download Case Status Function via the Portal are under development and only available via dial-up access.

Dial-up: For Dial-up Access to PIPS, OPM provides agencies with software for secure, encrypted telecommunications. The agency is responsible for providing a PC, monitor and printer, and for arranging an "analog" telephone line and modular phone jack within close proximity to the PC that will be used to connect to PIPS. The PC must be a "stand-alone" machine, not connected to a LAN or any other networks at the agency, and should be used exclusively for PIPS access. This is to ensure security of the OPM system and elimination of the possibility of computer virus or other attacks on PIPS. Any exceptions to this policy must be approved by OPM-FISD. OPM may provide a PC with modem and the appropriate software to extensive users of PIPS if the agency does not have the required equipment available for stand-alone operation.

Secure Portal: The OPMIS Secure Portal can be accessed via the Internet securely, without the use of a dedicated terminal or additional equipment and provides secure communication for sensitive but unclassified information. Access to the portal is by invitation only. OPM will establish your agency on the portal, and your agency must provide an administrator for user access to the portal. Access to PIPS via the portal is controlled by OPM, and users must first be established on the Portal and within PIPS prior to being eligible to being granted access to PIPS via the Portal.

Please contact the Agency Support Group at 724-794-5612 for assistance in obtaining access for your agency.

FINGERPRINT ONLY SPECIAL AGREEMENT CHECK (FP SAC)

A Fingerprint Only SAC may be conducted prior to submission of any investigative request. The fingerprints may be captured electronically using livescan equipment and transmitted to OPM's Fingerprint Transaction System (FTS) or captured hardcopy and mailed to OPM. In either scenario, the fingerprint request is processed as a Special Agreement Check (SAC) investigation. Both methods provide the customer agency with timely results to fingerprint searches. If your request for a higher level investigation is received within 120 days of the fingerprint result, OPM will merge the results from the FP SAC into the new investigation. When using results from a FP SAC for the higher level investigation, indicate the letter "I" in the CODES block of the Agency Use Block of the SF85, SF85-P, or SF86:

QUESTIONNAIRE FOR
 NATIONAL SECURITY POSITIONS

Part 1		Investigating Agency Use Only		Code I	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	Month	Day	Year
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Fig. 1-3

Federal Investigations Notice 04-02 provides additional information regarding electronic fingerprint submission. It is available at www.opm.gov/extra/investigate.

TELEPHONE LIAISON

As always, Agency Security Offices may contact OPM’s Telephone Liaison Staff at 724-794-5228 for information regarding investigative results on specific individuals.

If you have any additional questions about this, please contact our Agency Liaison Group in Washington, DC at 202-606-1042 or our Agency Support Group in Boyers, PA at 724-794-5612.

Kathy L. Dillaman
 Associate Director
 Division for Federal Investigative Services

Inquiries: OPM/FISD, Agency Liaison Group (202) 606-1042
 OPM/FISD, FIPC Agency Support Group (724) 794-5612

Code: 731 Suitability, 736 Investigations, HSPD 12, Federal Information Processing Standard 201

Distribution: SOIs/SONs

Notice Expires: When superseded by subsequent issuances