



UNITED STATES OFFICE OF PERSONNEL MANAGEMENT

Federal Investigative
Services

Federal Investigations Notice

Notice No. 13-04

May 15, 2013

Subject: New process for Investigation Service Providers to Report Background Investigations Data

This provides notice to all Investigative Service Providers (ISPs) of revised procedures for reporting the initiation, completion, and adjudication of background investigations to the Office of Personnel Management (OPM).

This also informs OPM system users of the data collected and revealed through this process. As ISPs migrate to this revised process, the community will benefit from the expanded data collection for reciprocity. OPM's system will share the ISP data collected at key investigation intervals, as explained below. When the need arises to consider an applicant or employee for an identity credential, fitness, suitability, or security clearance vetting, agencies must first check OPM's systems to determine if the required investigation and/or adjudication already exists or is currently underway, in promotion of reciprocity.

Background

OPM maintains investigative and adjudication data in the Security and Suitability Investigations Index (SII) and the Central Verification System (CVS) to support reciprocity throughout the Federal Government. The information shared through these systems enables the personnel security and suitability communities to validate the need for a new investigation, or exercise reciprocity on prior background investigations, adjudications, security clearances, and HSPD-12 credential determinations.

Investigating agencies are required to notify OPM of the investigations they conduct, and subsequently, to notify OPM of the adjudicative outcome of those investigations.¹ Agencies with investigative authority have traditionally used OPM's Form 79, "Notice of Personnel Investigation" to report investigation data to OPM.

The Performance Accountability Council created by Executive Order 13467 established milestones for the investigative process: initiate, complete, and adjudicate to satisfy the goals of the Intelligence Reform and Terrorism Prevention Act.² In response, OPM worked with investigating agencies to develop a three-step reporting process to collect data on the background investigations conducted by ISPs. This new three-step process requires agencies to report the data in the proper sequence: Step 1-investigation initiated; Step 2-investigation closed or

¹ See EO 10450, Sec. 14. (c) and 5 CFR 732.302

² IRTPA, SEC. 3001 (g)

discontinued; and Step 3-adjudication of investigation. The initiation, closing, and adjudication data points will now be displayed in OPM's CVS.

Responsibilities: Investigating Agencies and Corresponding Adjudicators

Agencies may report information to OPM in one of two ways: through data entry on the Personnel Investigations Processing System (PIPS) Agency Menu, or by submitting a file through secure messaging on the OPM Secure Portal. In order to perform this process through the PIPS Agency Menu, users must have a current PIPS user account with access to "Function 3." The file upload process through OPM's Secure Portal requires a portal account.

ISPs should ensure they have provided OPM-FIS with a list of the Security Office Identifiers (SOIs) authorized to report investigation initiation and closing information to OPM. When accepting initiation and closing information, OPM will validate the submitter's SOI against the authorized SOIs provided by the ISP. OPM's validation allows ISPs to decentralize the reporting capability to numerous SOIs, as appropriate to ISP workflow.

When an authorized investigating SOI notifies OPM that an investigation has been initiated, they will also be required to identify the corresponding "adjudicating SOI" for that investigation. Only users from the corresponding "adjudicating SOI" will be permitted to report the adjudicative information for that investigation, through access to the ISP "Function 3" on the PIPS Agency Menu.

The new process will provide ISPs the opportunity to edit these investigation entries up until the point of adjudication. Investigations previously reported as closed may be re-opened with this process, providing ISPs greater flexibility to ensure the OPM systems reflect the most accurate and up to date information to share within the suitability and security communities. Note, however, that an investigation record previously reported as "closed" may only be re-opened within a 2 year period after the date of closing.

Agencies must be prompt in reporting information to OPM so as to promote efficiency and reduce duplicative investigative effort across the government.

FIS Implementation Support

The new "batch" file layout developed by FIS to support this three-step process is provided as an attachment. In addition, OPM-FIS has created a new library for ISPs on OPM's Secure Portal in support of this process. The library houses instructional materials, supporting data tables, and relevant policy documents. For assistance with this process, agencies may contact OPM's Agency System and Liaison staff by telephone at 724-794-5612, ext. 4600, or by the Secure Portal message to the group "CVS Help."

Implementation Timeline

All ISPs will begin the three-step electronic reporting to OPM systems as soon as possible, but not later than September 30, 2013, to enable discontinuation of the paper form (OFI Form 79, 1991) processing. ISPs using the batch file to automatically report must conform to the new file layout by the end of Fiscal Year 2013.



Merton W. Miller
Associate Director
Federal Investigative Services

Attachment: (ISP) Investigations Transaction File Layout

Inquiries: OPM-FIS, Agency Liaison, 724-794-5612

Code: Investigations

Distribution: ISPs, SOIs, SONs

Notice Expires: When superseded

(ISP) Investigations Transaction File Layout**Record Type "1" – Subject Data**

Position if in text file	Field Length	Mandatory	Description
001-001	1	Yes	Record type. Always "1"
002-010	9	Yes	SSN of the Subject
011-030	20	Yes	Subject's last name
031-045	15	Yes	Subject's first name
046-060	15	Yes	Subject's middle name; if none, then "NMN"
061-065	5	No	Subject's suffix (Jr., Sr., III, etc.) Refer to suffix table on OPM Secure Portal
066-073	8	Yes	Subject's date of birth (yyyymmdd)
074-103	30	No	Subject's city of birth
104-133	30	No	Subject's county of birth
134-135	2	Yes, if born in US or US Territory	Subject's Place of Birth – State or US Territory Refer to state table in OPM Secure Portal
136-155	20	*Yes, if foreign born	Subject's Place of Birth – Foreign Country Must be left blank if born in the United States Refer to country table on OPM Secure Portal
156-198	43	No	Always blank (allows for future expansion)
199-200	2	Yes	Version number Valid value is: 02

Record Type "2" – AKA Data (Optional – from zero up to five records per subject)

Position if in text file	Field Length	Mandatory	Description
001-001	1	Yes, if providing AKAs	Record type. Always "2"
002-010	9	Yes, if providing AKAs	SSN of the Subject
011-030	20	Yes, if providing AKAs	Subject's last name (alias)
031-045	15	Yes, if providing AKAs	Subject's first name (alias)
046-060	15	Yes, if providing AKAs	Subject's middle name (alias)
061-065	5	No	Subject's suffix (Jr., Sr., III, etc.) (alias) Refer to suffix table on OPM Secure Portal
066-198	133	No	Always blank
199-200	2	Yes	Version number Valid value is: 02

Record Type "3" – Investigation Data

Position in text file	Field Length	Mandatory:			Description
		Step 1 only	Step 2 only	Step 1 & 2 combined	
001-001	1		Yes		Record type. Always "3"
002-010	9		Yes		SSN of the Subject
011-014	4		No		Requesting SOI
015-018	4		Yes		Investigating SOI
019-022	4		No		File Location SOI
023-026	4		Yes		Adjudicating SOI
027-027	1		No		File: Electronic Indicator Valid Values are: Y=Yes Blank = not reported
028-042	15		No		Agency file number (or other file identification)
043-043	1		Yes		Blank
044-045	2		Yes		Type of Investigation Valid values are: 02=NACI 06=NAC 08=NACLC 09=ANACI 11=PRI 12=PRIR 15=MBI 18=SSBI-PR 19=PHASED PERIODIC REINVEST. 20=LBI 25=BI 30=SSBI 35=PTSBI 90=Other
046-046	1		Yes		Position Sensitivity/Risk Valid Values are: 1=Non-sensitive/low risk (SF 85) 2=Non-critical sensitive (SF 86) 3=Critical sensitive (SF 86) 4=Special sensitive (SF 86) 5=Moderate risk (SF 85P) 6=High risk (SF 85P)
047-047	1	Only when Standard Form used is an SF-86			Applicant Affiliation Valid values are: C=Contractor F=Federal Civilian M=Military O=Other Blank=not reported
048-055	8		Yes		Investigation Initiated Date (yyyymmdd)

Position in text file	Field Length	Mandatory:			Description
		Step 1 only	Step 2 only	Step 1 & 2 combined	
056-063	8	N/A	Yes N/A when editing a case that is Initiated, but not yet closed	Yes, when investigation is being closed completed, discontinued or reopened	Date of Action (yyyymmdd) This date must correspond to the <u>Action</u> in Position 064—065 (CM, DC, RO) CM=Completed DC=Discontinued RO=Reopen (Valid only if Investigation
064-065	2	N/A	Yes N/A when editing a case that is Initiated, but not yet closed	Yes, when investigation is closed completed, discontinued or reopened	Action Valid values are: CM DC RO
066-066	1	Yes			Standard Form Used Valid values are: 1=OFI-79 SF 86 2=OFI-79 SF 85P 3=OFI-79 SF 85 4=OFI-79 Other
067-067	1	N/A	No	No Allowed only when investigation is closed completed, discontinued , or reopened.	Issues Valid values are: Y=Yes N=No Blank=Not reported
068-077	10	N/A	Yes	N/A	P # (number assigned to investigation in OPM's SII) (Assigned by OPM when Step 1 is accepted)
078-078	1	'I'	'E'	'I'	Process Indicator Valid Values are: I=Initiated: Step 1, Step 1 & 2 E=Edit: Step 2
079-198	120	N/A	Required if reporting a Re-open	N/A	Reason For Edit Free text field Re-open valid only if investigation previously completed or discontinued.
199-200	2	Yes			Version number Valid value is: 02

***If Process Indicator is 'E', all required field values must be present; any blank field values will override previously processed values.**

ISP Report of Adjudications Transaction File Layout

Record Type "4" and "5" – Adjudication Data

The following is the record layout to be used by Investigation Service Providers (ISP) to notify OPM of their adjudication results in an electronic format. This is step 3 in the three-step investigation notification process. This will be record types '4' and '5'. The following file layout describes the information that should be on each record:

Position if in text file	Field Length	Mandatory	Description
001-001	1	Yes	Record type. Always '4' or '5' 4=Adjudication 1 Data 5=Adjudication 2 Data
002-010	9	Yes	SSN of Subject
011-030	20	Yes	Subject's Last Name
031-038	8	Yes	Subject's Date of Birth (yyyymmdd)
039-048	10	Yes	P # (number assigned to investigation in OPM's SII)
049-052	4	Yes	Adjudicating SOI
053-054	2	Yes	Adjudication Action Valid values are: 01 FAV-SCTY/ELIG - 12968 02 FAV-SUIT/FIT – 731/EQIV 03 FAV-FIT – NOT 731/EQIV 04 RESIGNED/TERMINATED 05 SUBJ NOT APPT(SEC/SUIT) 06 SUBJ REMOVED(SEC/SUIT) 07 WARNING ISSUED 08 RETAINED - CLEAR. REVKD 09 SUSPENDED FROM DUTY 10 LOI DENY/REVOKE – 12968 (Record Type 4 only) 11 OTHER ACTION TAKEN
055-062	8	Yes	Adjudication Date Format: YYYYMMDD
063-070	8	No	Date Subject Notified of Action Format: YYYYMMDD
071-071	1	No	Adjudicator found issues in investigation Valid values are: 'Y' = Yes 'N' = No Blank=not reported
072-198	127	Required if reporting Adjudication Action 11	Adjudication Comments Free text field
199-200	2	Yes	Version number Valid value is: 02

Initiation Return Transaction File Layout (from OPM)

The following is the record layout used by OPM to notify Investigation Service Providers (ISP) of their Report of Initiation Case Numbers for Investigation Initiations (Process Indicator = I) successfully completed during the ISP Investigation batch load/update process. The record is a copy of the Record-type 3 record submitted by the agency with the P# (Case Number) field containing the P# assigned during the load process. The P# is required to close, edit, or adjudicate an existing open ISP-INV Investigation. This number must be provided to the Adjudicating SOI when the ISP is not also the Adjudicating SOI.

The following file layout describes the information that will be provided by OPM on each record:

Position in text file	Field Length	Mandatory Step 1	Mandatory Step 1 & 2 Combined	Description
001-001	1		Yes	Record type. Always "3"
002-010	9		Yes	SSN of the Subject
011-014	4		No	Requesting SOI
015-018	4		Yes	Investigating SOI
019-022	4		No	File Location SOI
023-026	4		Yes	Adjudicating SOI
027-027	1		No	File: Electronic Indicator Valid Values are: Y=Yes Blank = not reported
028-042	15		No	Agency file number (or other file identification)
043-043	1		Yes	Blank
044-045	2		Yes	Type of Investigation Valid values are: 02=NACI 06=NAC 08=NACLC 09=ANACI 11=PRI 12=PRIR 15=MBI 18=SSBI-PR 19=PHASED PERIODIC REINVEST. 20=LBI 25=BI 30=SSBI 35=PTSBI 90=Other

Position in text file	Field Length	Mandatory Step 1	Mandatory Step 1 & 2 Combined	Description
046-046	1	Yes		Position Sensitivity/Risk Valid Values are: 1=Non-sensitive/low risk (SF 85) 2=Non-critical sensitive (SF 86) 3=Critical sensitive (SF 86) 4=Special sensitive (SF 86) 5=Moderate risk (SF 85P) 6=High risk (SF 85P)
047-047	1	Only when Standard Form used is an SF 86		Applicant Affiliation Valid values are: C=Contractor F=Federal Civilian M=Military O=Other Blank=not reported
048-055	8	Yes		Investigation Initiated Date (yyyymmdd)
056-063	8	N/A	Yes, when investigation is closed completed, discontinued, or reopened	Date of Action (yyyymmdd)
064-065	2	N/A	Yes, when investigation is closed completed, discontinued, or reopened	Action Valid values are: CM=Completed DC=Discontinued RO=Reopen (Valid only if Investigation previously Completed or Discontinued).
066-066	1	Yes		Standard Form Used Valid values are: 1=OFI-79 SF 86 2 =OFI-79 SF 85P 3 =OFI-79 SF 85 4 =OFI-79 Other
067-067	1	N/A	No Allowed only when invest. is closed completed, discontinued, or reopened	Issues Valid values are: Y=Yes N=No Blank=Not reported
068-077	10	Yes		P # (number assigned to investigation in OPM's SII when Investigation is Initiated)
078-078	1	'I'		Process Indicator Valid Values are: I=Initiated: Valid Step 1, Step 1 & 2 combined

Position in text file	Field Length	Mandatory Step 1	Mandatory Step 1 & 2 Combined	Description
079-198	120	N/A	Required if user reported a Re-open	Reason For Edit Free text field Re-open valid only if Investigation previously Completed or Discontinued.
199-200	2		Yes	Version number Valid value is: 02