



## UNITED STATES OFFICE OF PERSONNEL MANAGEMENT

Federal Investigative  
Services

### **Federal Investigations Notice**

---

**Notice No. 16-07**

**Date: September 26, 2016**

### **SUBJECT: Implementation of Federal Investigative Standards for Tier 4, Tier 4 Reinvestigation, Tier 5, and Tier 5 Reinvestigation**

The 2012 Federal Investigative Standards (FIS) established requirements for conducting background investigations to determine eligibility for logical and physical access, suitability for U.S. Government employment, fitness to perform work for, or on behalf of, the U.S. Government as a contract employee, and eligibility for access to classified information or to hold a sensitive position. The standards consist of five tiers with an Expandable Focused Investigation (EFI) model at each tier. The FIS Implementation Plan (Plan) issued by the Security and Suitability Executive Agents and the Performance Accountability Council directed a phased implementation according to a specified schedule.

#### **Implementation of Tier 4, Tier 4R, Tier 5, and Tier 5R**

In accordance with the Plan, the Office of Personnel Management (OPM) is implementing Tier 4 (T4), Tier 4 Reinvestigation (T4R), Tier 5 (T5), and Tier 5 Reinvestigation (T5R) effective FY2017. T4 is the investigation required for positions solely designated as high risk public trust. The T4R is the reinvestigation product required for the same positions. The Standard Form (SF) 85P is used to conduct these investigations.

T5 is the investigation required for positions designated as critical sensitive, special sensitive, and/or requiring eligibility for "Q" access or access to Top Secret or Sensitive Compartmented Information. The T5R is the reinvestigation product required for the same positions. The SF 86 is used to conduct these investigations.

#### **Naming Conventions**

References to these investigations will be identified in OPM's databases as follows:

- Tier 4 = T4 = case type code 66
- Tier 4R = T4R = case type code 67
- Tier 5 = T5 = case type code 70
- Tier 5R = T5R = case type code 71

Other investigative service providers (ISPs) that conduct T4, T4R, T5, and T5R investigations should report initiation of these investigations to OPM's Security and Suitability Investigations Index (SII). The updated naming conventions for T4, T4R, T5, and T5R will be added to the valid values listing in the Central Verification System (CVS) under the "Type of Investigation." For additional information on OPM's reporting process for ISPs, please refer to the private library maintained for ISPs on OPM's Secure Portal. The updated transaction file layout is available on the OPM Secure Portal and includes the new naming conventions.

**Other Changes**

Effective October 1, 2016, OPM will no longer offer the Background Investigation (BI), Periodic Reinvestigation (PRI), Single Scope Background Investigation (SSBI), SSBI-Periodic Reinvestigation (SSBI-PR), or the Phased Periodic Reinvestigation (PPR). This change is consistent with the Plan. Information regarding requirements for applying reciprocity in light of the implementation of T4, T4R, T5, and T5R will be provided under separate guidance.

Additional information is provided on the OPM Secure Portal for Federal agencies that request OPM investigations or conduct investigations under delegated investigative authority from OPM. For questions regarding this notice, please contact External Liaison at 724-794-5612.



Merton W. Miller  
Associate Director  
Federal Investigative Services

---

Inquiries: External Liaison 724-794-5612  
Code: 736, Investigations  
Distribution: SOIs/SONs  
Notice Expires: Until superseded