Submitting Background Investigations to SIC

A Guide For
Contracting Officer & Representatives
Topics

- Policies
- Investigation Tier Levels
- Position Designation Automated Tool (PDT)
- SIC Resource Site
- Submitting Contractor Request(s)
- Special Agreement Checks (SAC)
- Contractor Required Documents
- Support Documents Naming Convention
- Document Upload Instructions
- e-QIP Process
- Common Delays
- Step by Process (Recap)
- SIC Communication
5 CFR 731 and 5 CFR 732 are the adjudication standards and apply to Suitability and National Security respectively.

VA Directive and Handbook 0710 are the policy documents for Personnel Security and Suitability:

- Procedures apply to applicants, appointees, employees, and contract personnel within VA, for the accomplishment of the background investigation process in a timely and consistent manner.

- VA positions are subject to suitability considerations relating to promoting the efficiency and protecting the integrity of the Federal service.

- To establish a person's suitability for employment VA requires the person to undergo an investigation by OPM.

- IAW VA Directive / Handbook 0710, the SIC is required to adjudicate tier levels 2-5 (moderate risk, high risk and national security) background investigations.


- Per OPM Guidance, Special Agreement Checks (fingerprints) cannot be over 120 days old when requesting a new background investigation.
Investigation Tier Levels

Five Investigative Tiers

- **Tier 1**: (NACI - SF85) Investigations conducted to this standard are for positions designated as low risk, non-sensitive, and for physical and/or logical access, pursuant to Federal Information Processing Standards Publication 201 and Homeland Security Presidential Directive-12, using Standard Form 85, or its successor form.

- **Tier 2**: (MBI/NACLC - SF85P) Investigations conducted to this standard are for non-sensitive positions designated as moderate risk public trust, using Standard Form 85P, or its successor form.

- **Tier 3**: (ANACI/NACLC - SF86) Investigations conducted to this standard are for positions designated as non-critical sensitive, and/or requiring eligibility for “L” access or access to Confidential or Secret information. This is the lowest level of investigation acceptable for access to classified information, using Standard Form 86, or its successor form.

- **Tier 4**: (BI/PRI -SF85P) Investigations conducted to this standard are for non-sensitive positions designated as high risk public trust, using Standard Form 85P, or its successor form.

- **Tier 5**: (SSBI/SSBI-PR -SF86) Investigations conducted to this standard are for positions designated as critical sensitive, special sensitive, and/or requiring eligibility for “Q” access or access to Top Secret or Sensitive Compartmented Information (SCI), using Standard Form 86, or its successor form.

*Tier levels 2-5 have a periodic reinvestigation requirement of five years
*SIC will only process Non-Sensitive and Non-Sensitive Public Trust contractor investigations
• Determine level of background investigation required for the position(s) based on the risk level for the task role using the Position Designation Automated Tool (PDT)

• Use OPM’s website: [https://www.opm.gov/investigations/background-investigations/position-designation-tool/pdt/home/index](https://www.opm.gov/investigations/background-investigations/position-designation-tool/pdt/home/index)
New CORs must request access to the Contractor’s Database by sending the SIC Help Desk an email vhallitbackgroundinvestigations@va.gov

- Upload required documents
- CORs submit contractor request(s) by clicking identified link
Submitting Contractor Request(s)

Once access is granted, CORs may go to the SIC’s Resource Site: https://vaww.visn16.portal.va.gov/sites/lit/vasic/default.aspx

• Complete the Contractor Background Investigation Request Worksheet

- If errors, unable to complete submission

• Submit form

• Incomplete requests will be returned for corrections
VA Directive 0710: VA requires that all personnel be subject to an appropriate background screening (Special Agreement Check (SAC)) prior to permitting access to VA information and information systems.

Provide listing of locations to obtain fingerprints from the VA HSPD-12 Program web site. [http://vaww.va.gov/pivproject/piv_badge_offices.asp](http://vaww.va.gov/pivproject/piv_badge_offices.asp)

CORs advise contractor to:
- Complete the SIC Fingerprint Request Form
- Contact fingerprint locations to determine if an appointment is needed
- Hand carry the SIC Fingerprint Request Form to the fingerprint location to provide SIC’s SON / SOI and to have the facility information completed
- Retain a copy of the completed SIC Fingerprint Request Form
- Return the SIC Fingerprint Request Form to the Sponsor
Security and Investigation Center (SIC):

- Complete SIC Fingerprint Request Form
- Complete and submit Request for New SAC
- Upload Request for New SAC into SIC SharePoint Site
  
SAC Challenges

• SAC Request Forms not being sent to SIC. The SAC Request Form provides SIC with requestor information which enables SAC adjudication results to be returned to COR

• SIC’s SON (430H) / SOI (VAS0) not being used when contractors are fingerprinted
  • The SIC cannot adjudicate SAC fingerprints if SIC SOI is not used

• SAC Request Form containing errors

• PIV stations entering incorrect personal data when fingerprinting contractors
Contractor Required Documents

- Support documents must be uploaded to the SIC Resource Site accurately & timely using SIC naming convention
  - Scanned as separate PDF files
- COR verifies and uploads required documents based on required level of investigation as shown below:

<table>
<thead>
<tr>
<th>Documents Required for Contractor Background Investigations</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tier 1 (NACI)</td>
</tr>
<tr>
<td>----------------</td>
</tr>
<tr>
<td><strong>STEP #1:</strong></td>
</tr>
<tr>
<td>Optional Form 306</td>
</tr>
<tr>
<td>Self Certification</td>
</tr>
<tr>
<td>VA Form 0710</td>
</tr>
<tr>
<td>Fingerprint</td>
</tr>
<tr>
<td><strong>STEP #2:</strong></td>
</tr>
<tr>
<td>Request Worksheet</td>
</tr>
<tr>
<td>Additional Info:</td>
</tr>
<tr>
<td>eqIP Form Required</td>
</tr>
</tbody>
</table>

Notes:
1. OF 306 is not required for reinvestigations
2. SF86 includes credit release; therefore, VA Form 0710 is not required for Tier 3
3. National Security reinvestigations do not require fingerprints if previous classifiable fingerprints exists

Additional:
- Tier 1 now includes conditional credit check; therefore, VA Form 0710 is now required
- Tier 2 & 4 includes credit check; therefore, VA Form 0710 is still required

Contractors working at VA/DoD consolidated facilities may be submitted for Tier 3/3R; however, will not receive security clearances
Scanned file naming convention ensures scanned PDF documents are properly tracked & processed by the SIC

- Example of file name: 101_smith9999_306.pdf

All OI&T Contractors will use Station 116

101_smith9999_306.pdf

- VA Station Code
- Contractor’s last name
- Underscore
- Last 4 of SSN (XXX-XX-9999)
- Underscore
- Form type (OF306, VA710, SelfCert)
- File extension – Please scan as PDF file
Access SIC Resource Site, click on "Upload here: Requests and Supporting Documents" (refer to slide #6)

- Click “Add Document”
Document Upload Instructions

- Click “Upload Multiple Files”

- A new box will appear. Drag and drop your files into the box
Document Upload Instructions

- Once you drag and drop your files, they will appear in box. After you are finished with all your files, click OK and they will appear in the SIC directory.

- Please ensure that only PDF files are uploaded using the SIC naming convention.
e-QIP Process

Contractor’s e-QIP Process

- Contractor’s e-QIP process begins when SIC receives contractor background request worksheet, required documents, and verification of a current SAC
  - e-QIP initiation email sent to all three contacts on the contractor background request worksheet
  - Contractor completes the e-QIP questionnaire and digitally signs e-QIP within 7 days of receipt of initiation email
  - The e-QIP questionnaire and signature pages are reviewed by the SIC and released to OPM for scheduling of investigation
  - An “investigation transmitted” to OPM notification is sent to all three contacts on the contractor background request worksheet
Common delays with contractor SACs / background investigations:

- Requests and documents contain errors
- No SAC fingerprints on record or SAC is expired
- Slow / No contractor response completing e-QIP questionnaire
- Contractor errors when completing e-QIP questionnaire
- OPM Timeliness of investigations
Step by Step Process (Recap)

The basic COR step by step process for submitting a contractor SAC / background investigation is below:

Step #1  Determine level of investigation using OPM PDT
Step #2  CORs ensure proper access to submit contractor background investigations has been granted by SIC
Step #2  Have contractor fingerprinted, submit SAC request to SIC via Resource Site
Step #3  Submit contractor background request worksheet on SIC Resource Site
Step #4  Verify and upload required support documents, use correct naming convention
Step #5  Ensure contractor completes e-QIP questionnaire
Step #6  Respond timely to SIC communication to avoid common SAC / background investigation delay
SIC Communication

- SIC will communicate with CORs during the contractor’s background investigation process as needed
- CORs will receive SAC adjudication results (if SAC request is submitted)
- CORs will receive emails when contractors are processed in e-QIP and released to OPM
- CORs will be contacted if there are errors with paperwork
The SIC Help Desk is staffed Monday – Friday 0630 to 1630 CST

If CORs have questions or need assistance with contractor background investigations, please call or email the SIC Help Desk

SIC Help Desk
501.257.4469/4490
vhalitbackgroundinvestigations@va.gov

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