

# Submitting Background Investigations to SIC

## A Guide For Contracting Officer & Representatives



# Topics

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# Policies

**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**
- **IAW VA Directive / Handbook 0710, the SIC does not process / adjudicate contractors for National Security**
- **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

# Position Designation Automated Tool

- 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>

The screenshot shows the OPM.gov website interface for the Position Designation Tool. The header includes the OPM logo, navigation links (ABOUT, POLICY, INSURANCE, RETIREMENT, INVESTIGATIONS, AGENCY SERVICES, NEWS), and a search bar. The main content area is titled "Investigate" and features a "Position Designation Record" form with fields for Agency, Position Title, Series and Grade/Pay Band, Position Description Number, and Designator's Name & Title. Below the form, there is a section for "Step 1: National Security" with sub-section "A. National Security Requirements of the Position:" and a detailed paragraph explaining the requirements for national security positions.

# SIC Resource Site

New CORs must request access to the Contractor's Database by sending the SIC Help Desk an email [vhaitbackgroundinvestigations@va.gov](mailto:vhaitbackgroundinvestigations@va.gov)

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

**Security and Investigations Center**  
VA Enterprise Centers

SIC Resource Site

SIC Resource Site | TestTeam

SIC Resource Site

Surveys

Documents

TestTeam

Recycle Bin

All Site Content

## Security and Investigations Center Resource Site

Background Investigation Request Forms

VA Employee Background Investigation Request Form

**Federal Contractor Background Investigation Request Worksheet**

Federal Contractor CNACI/Re-Investigation Request Worksheet

SAC Request Form *(Information)*

Research and Reports Request Form *(Information)*

Allow 5 business days after submitting a Request before contacting the SIC Helpdesk. Notice of e-QIP in documentation.

Document Upload Links:

**Upload here: Requests and Supporting Documents**

Upload here: Self-Certification Documents

Upload here: Adjudication ONLY Documents

Blank Forms:

OPM Optional Form 306

VA Form 0710

# 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

**Background Investigation Request Worksheet**  
If you need assistance, please call: 501.257.4017

**VA Organization:**

*Please complete the following fields on all applicants:*

Station where applicant will work -  
Station Name - City:  State:  Station #:

Station to be billed for clearance -  
Station Name - City:  State:  Station #:

*Please complete the following fields on each VA or Contract Employee:*

Applicant Name - Last:  First:  Middle:  *If none (NMN)*

Place of Birth - City:  State:  Country:

Contractor Occupation:

Are you asking for a low risk clearance on a foreign national?  Yes  No

Type of Investigation requested:  High Risk (BI)  Moderate Risk (MBI)  Low Risk (NACI)

*Please complete the following fields on all Contractor Personnel:*

Contracting Officer/COTR:  COTR Phone:  COTR Email:   
*Format: User@Domain.com*

Complete Address:  State:  Zip Code:

Contracting Company Name:

Contracting Company POC:  POC Phone:  POC Email:   
*Format: User@Domain.com*

Complete Address:  State:  Zip Code:



# Special Agreement Check (SAC)

**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**



# 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:

	Documents Required for Contractor Background Investigations						
	Tier 1 (NACI)	Tier 2S (MBI)	Tier 2RS (NACLC)	Tier 3 (ANACI)	Tier 3R	Tier 4 (BI)	Tier 4R (PRI)
<b>STEP #1:</b>	<b>Complete, Print, Sign, and Date Supporting Documents</b>						
Optional Form 306	✓	✓	Note 1	✓	Note 1	✓	Note 1
Self Certification	✓	✓	✓	✓	✓	✓	✓
VA Form 0710	✓	✓	✓	Note 2	Note 2	✓	✓
Fingerprints	✓	✓	✓	✓	Note 3	✓	✓
<b>STEP #2:</b>	<b>Complete the Contractor Request Worksheet Form</b>						
Request Worksheet	✓	✓	✓	✓	✓	✓	✓
<b>Additional Info:</b>	<b>eQIP Form Required</b>						
	SF85	SF85P	SF85P	SF86	SF86	SF85P	SF85P

- 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



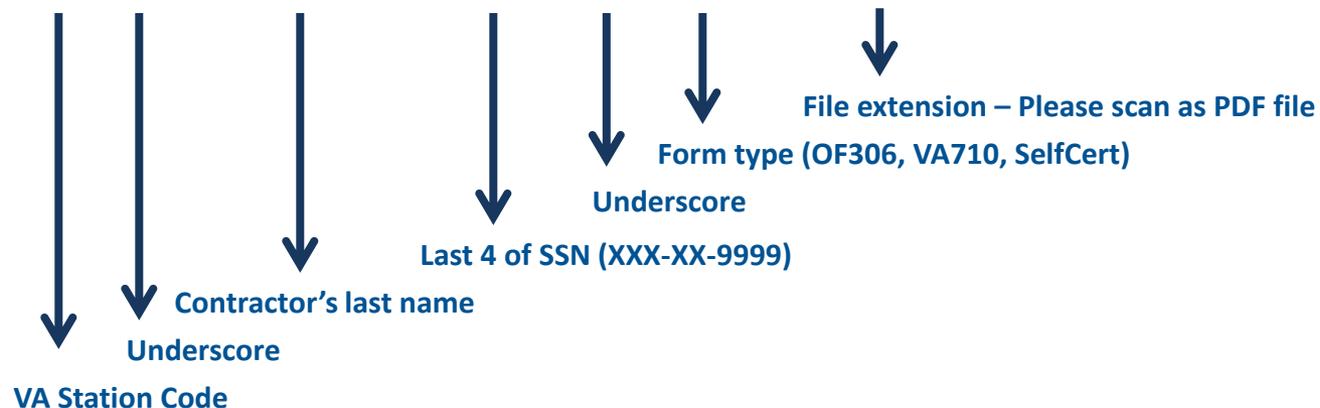
# Support Document Naming Convention

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

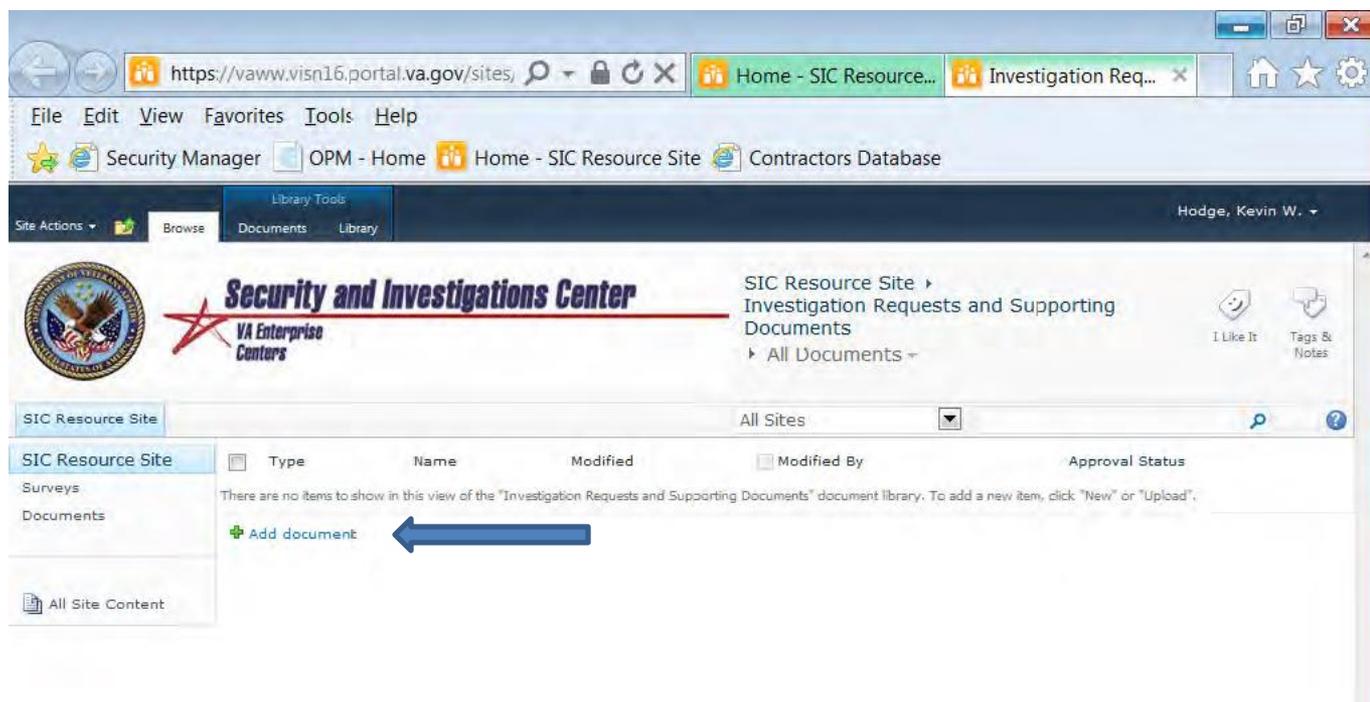
## 101\_smith9999\_306.pdf



# Document Upload Instructions

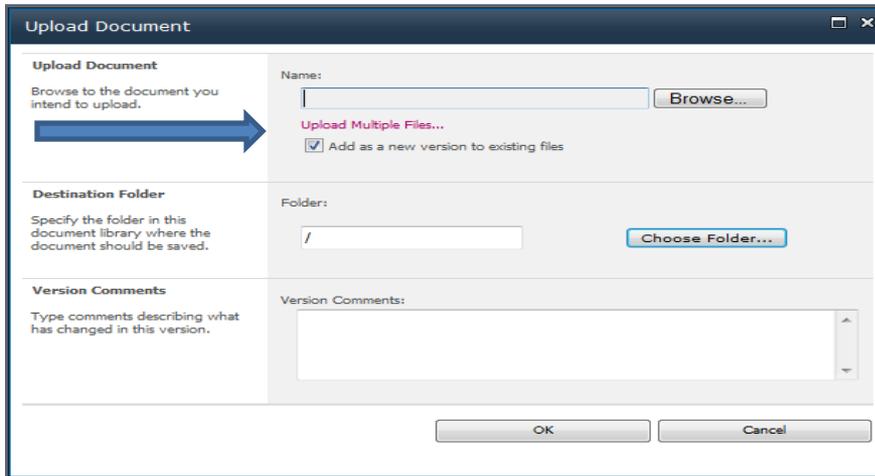
Access SIC Resource Site, click on **Upload here: Requests and Supporting Documents** (refer to slide #6)

- Click “Add Document”



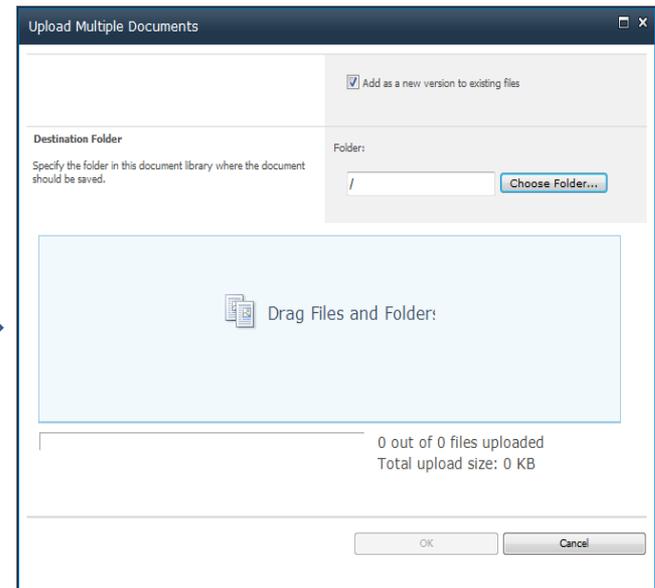
# Document Upload Instructions

- Click “Upload Multiple Files”



The screenshot shows the 'Upload Document' dialog box. It has three main sections: 'Upload Document', 'Destination Folder', and 'Version Comments'. In the 'Upload Document' section, there is a 'Name:' field with a 'Browse...' button and a link for 'Upload Multiple Files...'. A blue arrow points to this link. Below the link is a checked checkbox labeled 'Add as a new version to existing files'. The 'Destination Folder' section has a 'Folder:' field with a 'Choose Folder...' button. The 'Version Comments' section has a text area for 'Version Comments:'. At the bottom are 'OK' and 'Cancel' buttons.

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



The screenshot shows the 'Upload Multiple Documents' dialog box. It has a 'Destination Folder' section with a 'Folder:' field and a 'Choose Folder...' button. Below this is a large light blue area with a document icon and the text 'Drag Files and Folder'. At the bottom, it shows '0 out of 0 files uploaded' and 'Total upload size: 0 KB'. There are 'OK' and 'Cancel' buttons at the bottom right.



# 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

Upload Multiple Documents

Add as a new version to existing files

**Destination Folder**  
Specify the folder in this document library where the document should be saved.

Folder: /

Type	Name	Size	Status
	101_smith123_306.pdf	3 MB	Remove

0 out of 1 files uploaded  
Total upload size: 3 MB

- 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

## 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**



# SIC Help Desk

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](mailto:vhalitbackgroundinvestigations@va.gov)**

**Security and Investigations Center**

**2200 Fort Roots Drive Bldg #192**

**North Little Rock, AR 72114**

