



Approved for Release
William J. Fleming
Director for Human Resources Management and
Deputy Chief Human Capital Officer

Dec 4, 2012

Date

DEPARTMENT OF COMMERCE
OFFICE OF HUMAN RESOURCES MANAGEMENT

HUMAN RESOURCES (HR) BULLETIN #163, FY13

SUBJECT: Pre-appointment Investigations

EFFECTIVE DATE: Effective upon release of this HR Bulletin

EXPIRATION DATE: Effective until cancelled or superseded

SUPERSEDES: HR Bulletin #013, FY06, "Pre-appointment Investigations," dated October 27, 2005

AUTHORITY:

- Department of Commerce (DOC) "Manual of Security Policies and Procedures," Chapter 11.3G;
- Executive Order 13467, "Reforming Processes Related to Suitability for Government Employees, Fitness for Contractor Employees, and Eligibility for Access to Classified National Security Information," Part 2 – Alignment, Reciprocity, and Governance;
- Executive Order 13488, "Granting Reciprocity on Excepted Service and Federal Contractor Employee Fitness and Reinvestigating Individuals in Positions of Public Trust," January 16, 2009; and
- Title 5, Code of Federal Regulations (CFR) 713.104(a)

BACKGROUND: HR Bulletin #013, FY06, "Pre-appointment Investigations," provided guidance governing the pre-employment process for employees in regarding suitability. Since the publication of HR Bulletin #013, FY06, the Office of Personnel Management (OPM) issued revised regulations on investigations and suitability determinations and the President issued Executive Orders 13467 and 13488 on the reciprocity of investigations and suitability determinations. This bulletin provides updated guidance incorporating the new regulations and the Executive orders.

PURPOSE: The purpose of this bulletin is to provide current guidance on the pre-employment processes for individuals entering Low, Moderate, and High Risk positions.

- In accordance with Chapter 11.3G.1 of the DOC “Manual of Security Policies and Procedures,” most Low Risk and Moderate positions do not require a pre-appointment check prior to appointment.¹
- High Risk positions and Moderate positions in the information technology (IT) occupations and those with “global access” to an automated information system require favorable pre-appointment checks prior to appointment. (See footnote 1.)
- Pre-appointment investigations are required for Moderate and High Risk positions when the employee must be brought on board before the regular investigation can be completed. (See footnote 1.)
- Servicing Human Resources Offices (SHROs) are to use form SF-85, “Questionnaire for Non-Sensitive Positions,” to request investigations for Low Risk positions.
- SHROs are to use the SF-85P, “Questionnaire for Public Trust Positions” to request investigations for Moderate and High Risk positions since these positions are public trust positions and not sensitive positions.
- SHROs must use the OPM e-QIP system to complete the SF-85 and the SF-85P.

REFERENCES: Executive Order 13488, “Granting Reciprocity on Excepted Service and Federal Contractor Employee Fitness and Reinvestigating Individuals in Positions of Public Trust,” January 16, 2009; Executive Order 13467, “Reforming Processes Related to Suitability for Government Employment, Fitness for Government Contractors, and Eligibility for Access to Classified National Security Information”; Title 5, CFR § 713.104(a); Department of Commerce “Manual of Security Policies and Procedures,” Chapter 11.3G

OFFICE OF POLICY AND PROGRAMS: Tracy Schulberg, Director, tschulberg@doc.gov, 202-482-0056

PROGRAM MANAGER CONTACT INFORMATION: Frank Milman, fmilman@doc.gov, 202-482-3321

¹ SHROs may not require a pre-employment investigation or make a new suitability determination if the individual being appointed is a current Federal employee and is being appointed to a position of similar level of trust and has been serving for at least one continuous year in their current position. See 5 CFR 713.104(a)