## Federal Investigations Notice

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**Notice No. 14-01**                                                    **Date: January 31, 2014**

**SUBJECT: Changes to the Central Verification System in Support of Executive Order 13549, "Classified National Security Information Program for State, Local, Tribal, and Private Sector Entities"**

**Background**

The Office of Personnel Management (OPM) owns and operates the Central Verification System (CVS) in accordance with the Intelligence Reform and Terrorism Prevention Act of 2004, Section 3001 (3)(e)(1). CVS collects and shares data necessary for agencies to make reciprocal determinations based on existing security clearances, background investigations, suitability, fitness, and Homeland Security Presidential Directive (HSPD) 12 Personal Identity Verification (PIV) credentialing determinations.

Executive Order 13549, "Classified National Security Information Program for State, Local, Tribal, and Private Sector Entities" (SLTPS) required the Department of Homeland Security to "document and track the final status of security clearances for all SLTPS personnel in consultation with the Office of Personnel Management, the Department of Defense, and the Office of the Director of National Intelligence."[1] The Order also states, "all clearances granted to SLTPS personnel... shall be accepted reciprocally by all agencies and SLTPS entities."[2]

For these reasons, OPM modified its CVS to collect and display additional data fields relevant to security clearances. This Notice outlines recent system modifications and agency responsibilities.

**New Data Fields**

To enhance reciprocity data sharing, CVS is now capable of collecting and displaying the government affiliation of the clearance record as: Federal Civilian Employee, Federal Contractor, U.S. Military (Active Duty and Reserve Forces), Other Federal Affiliate, State Government Employee, Local Government Employee, Tribal Government Employee, or Private Sector (Including State, Local, Tribal Contractors). All agencies are encouraged to report this field to CVS on all active clearance records to assist OPM and ODNI in analyzing the makeup of the cleared workforce. Agencies may now report a "sponsoring agency" on a clearance record, if the granting/reporting agency sponsored the clearance record on behalf of another agency.

To satisfy EO 13549, CVS now accepts data elements unique to SLTPS security clearances. Agencies with cleared SLTPS personnel must report the additional attributes on these clearances

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[1] Executive Order 13549, August 23, 2010.

[2] Ibid.

to CVS, in keeping with the Implementing Directive published for E.O. 13549 in February 2012.[3]

**New Screen Designs and Updates to the File Layout**
This Notice introduces updates to the file layouts for CVS, to collect the additional data fields mentioned above (see also Attachment 1). These file formats align the data collected via the CVS batch process with the data fields available through the online CVS menu. Agencies may find it more efficient to submit large amounts of data using the attached file layout. To submit smaller quantities of data, agencies may continue to use the online CVS menu.

Effective with this deployment, OPM will utilize a single batch upload file by discontinuing use of the Refresh file upload. The requirement to revalidate clearances on a monthly basis and the requirement to report updates and changes to clearances to CVS remains the same. Also, the batch process will soon recognize the clearance type conversion capability which is currently available through the online CVS Menu. This process allows agencies to post and manage clearances as interim, denied or final.

**Agency Responsibilities and Reminders**
Agencies must use either the online or flat file method to submit data to CVS. To obtain instructional materials on CVS, agencies should refer to the CVS folder located on OPM's Secure Portal Library. Access to the material is controlled by OPM-FIS System Access Support at 724-794-5612, ext. 4600.

In support of security clearance reciprocity, agencies must submit daily updates to their information to report any changes, such as: adding new clearances, noting revocations, denials, suspensions, and those clearances which were administratively withdrawn. Agencies must revalidate all clearance records at least monthly.

For additional information on CVS, see the related FINs 10-04, "Enhancements to the Central Verification System for Reciprocity" and 11-02, "New Data File for Central Verification System." As always, agencies may contact the System Access Support Helpline at 724-794-5612, extension 4600, option 3 for assistance with any CVS related matters.

Merton W. Miller
Associate Director
Federal Investigative Services

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Inquiries: OPM-FIS, Agency Liaison, 724-794-5612
Distribution: SOIs
Notice Expires: When superseded
Attachment: Updated CVS Flat File Version 03

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[3] Implementing Directive, Classified National Security Information Program for State, Local, Tribal, and Private Sector Entities, February 2012.

# CVS Flat File Version 03

The following is the layout of the CVS Flat File for agency use when reporting multiple Clearance (including SLTPS), HSPD-12 and Polygraph records to CVS. (Note: Individual records may be added or updated by using the PIPS/CVS agency menu.)

## Record Type 'C' – Clearance Determination

| Position | Field Length | Mandatory Clearance Type | | | Description |
|---|---|---|---|---|---|
| | | **Denied** | **Interim** | **Final** | |
| 01-09 | 9 | | Yes | | **SSN of the Subject** |
| 10-13 | 4 | | Yes | | **SOI of the Granting Authority** |
| 14-14 | 1 | | Yes | | **Clearance Level\*** Valid values are: C = Confidential L = L Q = Q S = Secret T = Top Secret |
| 15-15 | 1 | | Yes | | **Record Type** C = Clearance/Eligibility Data |
| 16-23 | 8 | | Yes | | **Granted or Denied Date** Format YYYYMMDD |
| 24-43 | 20 | | Yes | | **Subject's Last Name** |
| 44-51 | 8 | | Yes | | **Subject's Date of Birth** Format YYYYMMDD |
| 52-53 | 2 | | Yes, if born in U.S. or U.S. Territory | | **Subject's Place of Birth** U.S. State or U.S. Territory |
| 54-73 | 20 | | Yes, if foreign born | | **Subject's Place of Birth – Foreign Country** Must be left blank if born in the U.S. |
| 74-74 | 1 | Blank | Blank | Yes, if Exceptions exist | **Exceptions** Valid values are: Y = Yes, if any Bond Amendments, Conditions, Deviations or Waivers exist N = No Blank = Blank |

| Position | Field Length | Mandatory | | | Description |
|---|---|---|---|---|---|
| | | Clearance Type | | | |
| | | Denied | Interim | Final | |
| 75-75 | 1 | Yes 'D' | Yes 'I' | Yes 'F' | **Clearance Type\*\*** Valid Values are: D = Denied I = Interim F = Final |
| 76-81 | 6 | Blank | Blank | Optional | **Access Reported** Valid Values are: SAP = Special Access Programs SAPNT = SAP and NATO SAPSCI = SAP and SCI SCI = Sensitive Compartmented Information SCINT = SCI and NATO SPSCNT = SAP, SCI, and NATO NATO = NATO N = No Blank = Blank |
| 82-82 | 1 | Blank | Blank | Optional | **Standard** Standard used to grant clearances A = E.O. 12968 B = DCID C = ICD 704 Blank = Blank |
| 83-83 | 1 | Optional | Blank | Yes, if an Exception exists in position 94; otherwise optional | **Contact Granting Authority \*\*\*** Indicates if the granting authority reporting the clearance wishes to be contacted by any authority that is considering granting a Clearance or perm cert based on this clearance record Valid values are: Y = Yes Blank = Blank |
| 84-84 | 1 | Blank | Blank | Optional | **Non-U.S. Immediate Family Member(s)** Indicates the subject with the clearance has current non-U.S. immediate family member(s) Valid values are: Y = Yes N = No Blank = Blank |

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|---|---|---|---|---|---|
| 85-85 | 1 | Optional | Blank | Optional | **Eligibility Level**<br>Valid values are:<br>B = SCI<br>C = Confidential<br>L = L<br>Q = Q<br>S = Secret<br>T = Top Secret |
| 86-93 | 8 | Yes, if providing an Eligibility Level in position 85 | Blank | Yes, if providing an Eligibility Level in position 85 | **Eligibility Date**<br>Format YYYYMMDD |
| 94-97 | 4 | Blank | Blank | Yes, if an Exception exists, otherwise blank | **Exception Type** – up to four one character codes<br>Valid values are:<br>B = Bond Amendment(s)<br>C = Condition(s)<br>D = Deviation(s)<br>W = Waiver(s) |
| 98-105 | 8 | Blank | Blank | Optional | **Adjudication Start Date**<br>Format YYYYMMDD |
| 106-113 | 8 | Blank | Yes, only for Revoked, Suspended, Administratively Withdrawn in position 170 | | **Status Date**<br>Format YYYYMMDD<br>Cannot be a future date |
| 114-115 | 2 | Optional | | | **Affiliation**<br>Refer to CVS folder on OPM Secure Portal Library for valid values. |
| 116-119 | 4 | Optional | | | **Sponsoring Agency**<br>Refer to CVS folder on OPM Secure Portal Library for valid values. |
| 120-164 | 45 | N/A | | | Blank |
| 165-166 | 2 | Optional | | | **Clearance Conversion Type**<br>Valid values are:<br>DI = Denied to Interim<br>DF = Denied to Final<br>ID = Interim to Denied<br>IF = Interim to Final |

| | | | | | |
|---|---|---|---|---|---|
| 167 | 1 | Optional; valid only if Clearance Conversion Type exists in position 165-166 | | | **Clearance Conversion New Level \*\***<br>Indicates new clearance level associated with converted clearance<br>Valid values are:<br>C = Confidential<br>L = L<br>Q = Q<br>S = Secret<br>T = Top Secret |
| 168-169 | 2 | Yes | | | **Transaction File Version Number**<br>03 = this version |
| 170-170 | 1 | | | | **Status Updates**<br>Codes use to change the clearance status<br>See below for details of valid values : D, N, R, S, V, W and U |
| | | Yes, if the clearance record is new to CVS | N/A | N/A | **D = Denied**<br>Clearance denied following adjudication |
| | | N/A | Yes, if the clearance record is new to CVS | | **N = Notice of Clearance**<br>Determination based on adjudication or reciprocity to establish a new clearance |
| | | N/A | Yes, if the clearance record already exists in CVS, the record must show one of these statuses | | **R = Revoked**<br>Clearance revoked for cause |
| | | | | | **S = Suspended**<br>Clearance temporarily suspended for cause |
| | | | | | **V = Revalidated**<br>Clearance recertified to be valid, or to re-activate a clearance that is currently not active in CVS (revoked, suspended, administratively withdrawn or unknown) |
| | | | | | **W = Administratively Withdrawn**<br>Clearance withdrawn for non-prejudicial reasons; no negative inference should be made |
| | | Yes, if updating an existing record or converting a Denied to an Interim or Final | Only when converting an Interim to a Denied or Final | Yes, if updating an existing record | **General Updates:**<br>Code used to update non-clearance status information<br>**U = Update**<br>Change to immediate family member information, special access, exceptions, exception types, eligibility level or date, etc. |

Two key points to remember when converting a clearance to a DI, DF, IF or ID:

\*The clearance level *currently in CVS* must be in Position 14 while the *new* clearance level (if different from current clearance level) shall be reflected in Position 167.

\*\* The *new* clearance type must be reflected in Position 75. It must also match the clearance type in position 166. Position 165 must reflect the current clearance type in CVS.

\*\*\* Exceptions must be accompanied with a Please Call. However, an agency can invoke a Please Call without exceptions.

# Record Type 'H' – HSPD-12 Information

| Position | Field Length | Mandatory | Description |
|---|---|---|---|
| 01-09 | 9 | Yes | SSN of the Subject |
| 10-13 | 4 | Yes | SOI of the Reporting Agency |
| 14-14 | 1 | N/A | Blank |
| 15-15 | 1 | Yes | **Record Type**<br>H = HSPD-12 Data |
| 16-16 | 1 | Yes | **HSPD-12 Credential Issued**<br>Valid values are:<br>Y = Yes<br>N = No (To be used when a credential was not issued and/or was denied) |
| 17-24 | 8 | Yes, if Credential was issued; otherwise, leave blank | **Issued Date**<br>Format YYYYMMDD |
| 25-26 | 2 | Yes, if Credential Issued = 'Y'; or<br><br>Yes, if credential Issued = 'N' and reporting a Denied credential status of 'DE'; or<br><br>No, if Credential Issued = 'N' and was not denied | **HSPD-12 Credential Status**<br>Valid values are:<br>AC = Active<br>DE = Denied<br>RV = Revoked<br>SU = Suspended<br>AW = Administratively Withdrawn |
| 27-167 | 141 | N/A | Blank |
| 168-169 | 2 | Yes | **Transaction File Version Number**<br>03 = this version |
| 170-170 | 1 | Yes | **Action Code**<br>Valid values are:<br>N = New HSPD-12 data to be added<br>U = Update existing HSPD-12 with data provided |

# Record Type 'P' – Polygraph Information

| Position | Field Length | Mandatory | Description |
|---|---|---|---|
| 01-09 | 9 | Yes | SSN of the Subject |
| 10-13 | 4 | Yes | SOI of the Reporting Agency |
| 14-14 | 1 | N/A | Blank |
| 15-15 | 1 | Yes | **Record Type**<br>P = Polygraph Data |
| 16-23 | 8 | Yes | **Polygraph Test Date**<br>Date the Polygraph exam was administered<br>Format YYYYMMDD |
| 24-27 | 4 | Yes; blank if Administering Agency Acronym is provided | **Administering Agency SOI\*\*\*\***<br>SOI of the Agency that administered the polygraph exam. SOI should be populated if known. |
| 28-29 | 2 | Yes | **Polygraph Type**<br>Valid values are:<br>CI = Counterintelligence Scope<br>FS = Full Scope |
| 30-35 | 6 | Yes; blank if SOI of Administering Agency provided | **Administering Agency Acronym**<br>Acronym should only be used when SOI of Administering Agency is unknown.<br>Refer to CVS folder on OPM Secure Portal Library for valid values\*\*\* |
| 36-167 | 132 | N/A | Blank |
| 168-169 | 2 | Yes | **Transaction File Version Number**<br>03 = this version |
| 170-170 | 1 | Yes | **Action Code**<br>Indicates the type of action to be performed:<br>N = New polygraph data to be added<br>U = Update existing polygraph with data provided<br>D = Delete polygraph record |

\*\*\*\*Administering Polygraph agency shall be one or the other: SOI or acronym, but not both.

# Record Type 'S' – SLTPS Information

| Position | Field Length | Mandatory | Description |
|---|---|---|---|
| 01-09 | 9 | Yes | SSN of the Subject |
| 10-13 | 4 | Yes | SOI of the Clearance Granting Authority |
| 14-14 | 1 | Yes | **Clearance Level**<br>Valid values are:<br>C = Confidential<br>L = L<br>Q = Q<br>S = Secret<br>T = Top Secret |
| 15-15 | 1 | Yes | **Record Type**<br>S = Clearance SLTPS Data |
| 16-35 | 20 | Yes | Subject's Last Name |
| 36-37 | 2 | No | **SLTPS Program Office**<br>01 = State, Local, Tribal (SLT)<br>02 = Private Sector (PS) |
| 38-39 | 2 | No | **SLTPS Sector**<br>Refer to CVS folder in the OPM Secure Portal Library for valid values. |
| 40-42 | 3 | No | **SLTPS Duty Region**<br>TBD by clearance granting agency. |
| 43-82 | 40 | No | **SLTPS Office**<br>Corresponds to Sector; it's the office/company where the subject works or serves on a daily basis |
| 83-112 | 30 | No | **SLTPS City**<br>Corresponds to SLTPS Office (the location.) |
| 113-114 | 2 | No | **SLTPS State**<br>Corresponds to SLTPS Office (the location.) Refer to the CVS folder in the OPM Secure Portal Library for valid values. |
| 115-123 | 9 | No | **SLTPS ZIP Code**<br>Valid formats:<br>5 digit ZIP Code (i.e. 999990000) where positions 6 - 9 are equal to '0000';<br>9 digit ZIP Code<br>If SLTPS State is present and valid, ZIP Code must be valid for State. Refer to the CVS folder in the OPM Secure Portal Library for valid values. |
| 124-167 | 44 | N/A | Blank |
| 168-169 | 2 | Yes | **Transaction File Version Number**<br>03 = this version |
| 170-170 | 1 | Yes | **Action Code**<br>Indicates the type of action to be performed:<br>U = Add/Update clearance record with SLTPS data provided |