



UNITED STATES OFFICE OF PERSONNEL MANAGEMENT  
Washington, DC 20415



National Background  
Investigations  
Bureau

**Federal Investigations Notice**

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**Notice No. 17-01**

**Date: November 29, 2016**

**Subject: FY 2018 Initial Estimated Pricing**

The National Background Investigations Bureau (NBIB) is committed to publishing investigative prices as early as possible so that agencies are best able to account for investigation costs in their budget planning.

The NBIB is providing the attached document titled "FY 2018 Initial Estimated Pricing and Customer Agency Budget Guidance" to help customer agencies develop their FY 2018 budget for NBIB services. Please note all FY 2018 prices in the attached document are initial estimates only, based on anticipated costs to be recovered, workload projections received from agencies, and historical trends. We plan to continue to refine our FY 2018 costs and work with our customers with the goal of providing final FY 2018 pricing by February 2017. We appreciate the engagement of all stakeholders throughout this process and look forward to working with you on future initiatives to promote quality, effectiveness, and cost efficiency in our investigative program.

Charles S. Phalen, Jr.  
Director

National Background Investigations Bureau

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Code:	736, Investigations
Distribution:	SOIs/SONs
Notice Expires:	September 30, 2019, unless superseded
Attachment:	FY 2018 Initial Estimated Pricing and Customer Agency Budget Guidance

# FY 2018 Initial Estimated Pricing and Customer Agency Budget Guidance

## Section 1: FY 2018 Initial Estimated Prices

Case Type		Case Type Code	FY 2018 Initial Estimated Prices		FY 2017 Prices* (10/1/2016 – 09/30/2017)	
			Case Service Standard	Case Service Priority	Case Service Standard	Case Service Priority
NAC	National Agency Check	06	\$154	Not Available	\$153	Not Available
T1	Tier 1	63	\$194	Not Available	\$176	Not Available
T2S	Tier 2 with a Subject Interview	57	\$1,550	\$1,674	\$1,515	\$1,636
T2RS	Tier 2 Reinvestigation with a Subject Interview	58	\$1,261	\$1,362	\$1,204	\$1,300
T3	Tier 3	64	\$433	Not Available	\$421	Not Available
T3R	Tier 3 Reinvestigation	65	\$417	Not Available	\$397	Not Available
T4	Tier 4	66	\$4,218	\$4,555	\$4,051	\$4,375
T4R	Tier 4 Reinvestigation	67	\$2,646	\$2,858	\$2,565	\$2,771
T5	Tier 5	70	\$5,596	\$6,043	\$5,389	\$5,820
T5R	Tier 5 Reinvestigation	71	\$3,065	\$3,310	\$2,951	\$3,187
RSI	Reimbursable Suitability/Security Investigation	43	FY 2018 Initial Estimated RSI and SAC Prices are based on the FY 2017 RSI and SAC prices published in FIN 16-06		See FIN 16-06	
SAC	Special Agreement Check	92				
Major Expanded Coverage Fees			FY 2018 Initial Estimated Prices		FY 2017 Prices* (10/1/2016 – 09/30/2017)	
<b>International Coverage</b> <i>Expansion Criteria: International coverage is defined as any casework conducted outside of the United States and its territories.</i>			\$950		\$950	
<b>Triggered Enhanced Subject Interview (TESI) for Tier 3 and Tier 3R</b> <i>Expansion Criteria: Applied to each case when a TESI is added to a Tier 3 or Tier 3R investigation. The TESI must be completed for charges to apply.</i>			\$993		\$1,014	

**Note:** For T2S/T2RS, T4/T4R and T5/T5R case types, priority service (Case Service Code "A") will be available at the higher base price shown. This service prioritizes the processing of the casework ahead of standard service cases. All other case types will be available in standard service only.

\*FY 2017 Prices shown for ease of reference

# FY 2018 Initial Estimated Pricing and Customer Agency Budget Guidance

## Section 2: Customer Agency Budget Guidance

The guidance in this section is intended to provide customer agencies with tools needed to develop their FY 2018 background investigations budgets. The following sections outline recommendations for estimating an agency's FY 2018 initial costs for NBIB-produced background investigations, to include accounting for additional fees and adjustments.

### Estimating Initial Costs for NBIB Background Investigation Products and Services

Case prices shown in Section 1 are applied to an agency's monthly invoices upon receipt of the complete investigation request. Therefore, although the actual final charge may vary based on the actual work conducted, NBIB recommends multiplying your anticipated requests for each case type by the "FY 2018 Initial Estimated Price" shown in Section 1. In addition to the case types shown in Section 1, two additional case types should be considered when estimating costs:

- 1) Reimbursable Suitability/Security Investigation (RSI) – Case Type 43
  - a. NBIB prices and applies RSI requests to monthly invoices according to the specific RSI codes requested by the customer.
    - i. Upon the scheduling of an RSI request, the customer will receive an invoice for the processing fee; itemized fees for requested work completed will be invoiced when the items are completed and the RSI is closed.
  - b. Estimating the costs associated with RSI requests can be difficult since one cannot anticipate the specific RSI codes that will be needed. For this reason, NBIB recommends using an average of \$1,100 per RSI request in FY 2018.
- 2) Special Agreement Check (SAC) – Case Type 92
  - a. SAC requests are priced and applied to monthly invoices according to the specific SAC codes requested by the customer.
  - b. Over 95% of SAC requests are electronic fingerprint submissions.
  - c. If a fingerprint SAC is submitted in advance of the higher level investigation on the same subject, a credit may be applied to the higher level case in the amount of the initial fingerprint SAC. To receive this credit, the requester must:
    - i. Submit the fingerprint SAC at least 1 day, but no greater than 120 days, in advance of the higher level investigation, and
    - ii. Include FIPC Code "I" (letter i) on the higher level investigation.
  - d. Since many SAC requests will ultimately be credited for on a higher level investigation, agencies should only budget for SAC requests that will not link to a higher level investigation.
  - e. NBIB recommends using an average of \$21 per "Standalone" SAC request in FY 2018.

### Accounting for Additional Fees and Adjustments

While most additional fees and adjustments are nominal and would have little impact on your overall budget estimate, two major expanded coverage fees should be considered:

- 1) International Coverage
  - a. Applied to each case when casework is conducted outside of the United States and its territories
    - i. May be applied to all case types, excluding SAC requests
  - b. Applied no more than one time per case
  - c. Estimate the percentage of all cases that will receive casework conducted outside of the United States and its territories and apply the estimated fee shown in Section 1
- 2) Triggered Enhanced Subject Interview (TESI) for Tier 3 and Tier 3R
  - a. Applied to each case when a TESI is completed on a Tier 3 or Tier 3R investigation
  - b. Applied no more than one time per case
  - c. Estimate the percentage of T3 and T3R cases that will receive a completed TESI and apply the estimated fee shown in Section 1
    - i. NBIB recommends using a percentage ranging from 25% to 35% of all T3 and T3R cases an agency expects to submit

See "FY 2018 Budget Guidance Worksheet" to further assist in developing your FY 2018 budget estimate.

# FY 2018 Initial Estimated Pricing and Customer Agency Budget Guidance

## FY 2018 Budget Guidance Worksheet

### Step 1: Estimate Base Case Costs

Line	Product		Case Type/ Service Code	Calculation				
				Base Price	x	Cases Ordered	=	Cost
1	NAC	Standard	06A	\$154	x	=		
2	T1	Standard	63B	\$194	x	=		
3	T2S	Priority	57A	\$1,674	x	=		
4	T2S	Standard	57C	\$1,550	x	=		
5	T2RS	Priority	58A	\$1,362	x	=		
6	T2RS	Standard	58C	\$1,261	x	=		
7	T3	Standard	64B	\$433	x	=		
8	T3R	Standard	65B	\$417	x	=		
9	T4	Priority	66A	\$4,555	x	=		
10	T4	Standard	66C	\$4,218	x	=		
11	T4R	Priority	67A	\$2,858	x	=		
12	T4R	Standard	67C	\$2,646	x	=		
13	T5	Priority	70A	\$6,043	x	=		
14	T5	Standard	70C	\$5,596	x	=		
15	T5R	Priority	71A	\$3,310	x	=		
16	T5R	Standard	71C	\$3,065	x	=		
17	<b>Subtotal: Base Case Costs</b> (sum "Cost" amount from lines 1 through 16)						=	

### Step 2: Estimate RSI and SAC Costs

Line	Product		Calculation				
			Avg Cost	x	Cases Ordered	=	Cost
18	RSI - Case Type 43		\$1,100	x	=		
19	SAC - Case Type 92 (*see note below)		\$21	x	=		
20	<b>Subtotal: RSI and SAC Costs</b> (sum "Cost" amount from lines 18 through 19)					=	

*\*Due to the Fingerprint SAC Credit, only include "Standalone" SAC requests not linked to higher-level investigations*

### Step 3: Estimate International Coverage Fee Costs

21	Enter the projected number of cases ordered to receive International Coverage	
22	International Coverage Fee Amount	\$950
23	<b>Subtotal: International Coverage Fee Costs</b> (multiply line 21 by line 22)	

### Step 4: Estimate TESI on T3 and T3R Costs

24	Total T3/T3Rs ordered (sum "Cases Ordered" from lines 7 & 8)	
25	Enter the estimated percent of T3/T3Rs to receive a TESI (recommend 25% to 35%)	
26	Number of TESI adjustments (multiply line 24 by line 25, round up to whole number)	
27	TESI on T3 and T3R Fee Amount	\$993
28	<b>Subtotal: TESI on T3 and T3R Costs</b> (multiply line 26 by line 27)	

### Step 5: Estimate Total Cost for NBIB Orders in FY 2018

29	<b>Grand Total Cost Estimate: Sum lines 17, 20, 23 and 28</b>	
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\*\*\*\*Available in MS Excel 2010 format upon request \*\*\*\*