

Attachment – 2 Background Investigation and Documents

Background Investigations and Documents

Each contract employee must submit to and pass a background investigation. Therefore, all of the following items must be completed by each contract employee, including any subcontract employees, prior to commencing work under this contract. _____ at the _____ VAMC will be coordinating the credentialing. To submit the background investigation process, please follow the instructions below and also keep _____ and the Contracting Officer informed of when the information is submitted and accepted.

1. **STEP ONE: Complete Background Investigation Request Worksheet:** Within five business days of receiving the Award Letter, the contractor shall submit a completed **Background Investigation Request Worksheet (Form #1 and Form #1b if needed for additional names)** that lists **all** contractor employees who will be working on this Contract to the VHA Service Center (VSC) Personnel Security Office via password protected or encrypted e-mail to VSCSecurity@va.gov or fax to (216) 447-8020. **Note:** due to the personal information contained in the Background Investigation Request Worksheet, the information must be sent in a secure manner. Please **DO NOT** e-mail a document containing social security number unless the e-mail is encrypted.

Within five business days of receiving the Background Investigation Request Worksheet, the VSC Personnel Security Office will enter a background investigation request into the VA Security Investigation Center (SIC) Contractor Request Database (CRD) for each contractor employee. When the request is entered, an automated “initial” e-mail is sent to the contractor point of contact listed on the Background Investigation Request Worksheet. The automated e-mail identifies the background investigation level requested and provides a website link with further instructions.

If a contractor employee has a background investigation from another federal agency, it may be reciprocated as long as the background investigation meets the appropriate level designated in the current statement of work and has occurred within the last five years with a favorable adjudication and no break in service. Please be aware that any public trust case that is older than two years and does **not** have a favorable adjudication cannot be reciprocated unless it was a no issue case.

VSC Personnel Security Office staff will coordinate with the VA Security and Investigations Center (SIC) staff to verify reciprocity. If the contractor employee receives the automated e-mail from the VA SIC CRD and believes he/she may be eligible for reciprocity, please contact the VA SIC using the contact information in the e-mail. Reciprocity is **NOT** automatic. If a background investigation can be reciprocated, the VA SIC will send an e-mail notification to the contractor.

Note: As contract personnel are added to the contract or order, the Background Investigation Request Worksheet must be updated and submitted to the VSC Personnel Security Office so that a background investigation can be initiated. The additional contract employee cannot start work until all security requirements listed herein are completed.

2. **STEP TWO: Complete Special Agreement Check (SAC) (Fingerprinting):** ALL contractor employees are required to be fingerprinted within 14 calendar days of this notice, except for those who received an e-mail from the VA SIC confirming reciprocity. Courtesy electronic fingerprints can be obtained at some VA facilities. Please contact the Contracting Officer's Representative (COR) to schedule a fingerprinting

appointment at a VA facility as soon as possible. Each contractor employee shall take a copy of the **Contractor/Employee Fingerprinting Request (Form #2)** to the fingerprinting appointment and complete it. Completed forms shall be faxed to the VSC Personnel Security Office at (216) 447-8020 the same day the contractor employee is fingerprinted.

OPM sends the results of the SAC to the VSC Personnel Security Office within 5 days. The VSC Personnel Security Office reviews the results and makes an adjudication recommendation to the CO within 10 days, who will inform the Contractor POC of the outcome.

3. **STEP THREE: Complete and Submit Background Investigation Documents:** Upon receipt of the automated e-mail from the VA SIC CRD (see Step One), each contractor employee who did not receive a reciprocation notice, must complete and submit the required documents to the VA SIC **within five business days**. The submission address will be provided in the automated e-mail. Do not send completed documents to the VA SIC before being fingerprinted or before receiving the initial automated e-mail – THE DOCUMENTS WILL BE RETURNED.

The VA SIC reviews the documents within seven business days for completion and accuracy. If the documents do not contain any errors, the VA SIC forwards them to the Office of Personnel Management (OPM) to conduct the background investigation. If the documents contain errors, the VA SIC will return them to the contractor with corrective instructions. The corrections must be made immediately and sent back to the VA SIC. Once the documents are completed correctly and VA SIC forwards them to OPM, an automated e-mail is sent to the contractor point of contact stating that the background investigation has been **initiated**.

On the 20th day, if the VA SIC has not received a completed package, the Contractor POC will receive an e-mail notification that the request is still pending and has not been initiated. On the 40th day, if the VA SIC has not received a completed package, the Contractor POC will receive an email stating that the request has been terminated and the contractor employee must be replaced due to non-compliance with security requirements and a new background investigation request will need to be submitted.

4. **STEP FOUR: Obtain Personal Identity Verification (PIV) Card (Security Badge):** Each contractor employee is required to obtain a PIV Card. In order to be eligible to receive a PIV Card, the contractor employee must have both a favorable SAC completion and an initiated background investigation (or reciprocation). **Within five business days** of reciprocation or receiving notice of initiated background investigation and favorable SAC adjudication, the contractor employee must complete the **VHA Service Center Contractor PIV Sponsorship Form (Form #3)** and submit it to the VSC Personnel Security Office via e-mail at VSCSecurity@va.gov or fax it to (216) 447-8020.
 - a. **STEP FIVE: Complete Required Training and Sign Contractor Rules of Behavior:** All contractor employees shall complete the training indicated in the solicitation. The contractor shall provide copies of training certificates and signed Contractor Rules of Behavior for each employee within five business days of reciprocation or receiving notice of initiated background investigation and favorable SAC adjudication contractor and annually thereafter to the Contracting Officer and the COR. In order to obtain access to the VA training via the VA's Talent Management System (TMS), please contact the COR. The VA will pay for eight (8) hours of training so the contract employees can be compliant with VA rules, regulations and adhere to the privacy and security requirements.

Please refer to the hyperlink below for the documents required for the Background Investigation:



VSC Security
Request Packet_Com