

D.2 Attachment 2 – Background Investigation Procedure and Documents

Background Investigation Procedure and Documents

1. **STEP ONE: Complete Background Investigation Request Worksheet:** Within five business days of receiving this letter, the contractor shall submit a completed **Background Investigation Request Worksheet (Form #1)** that lists all contractor employees who will be working on the Radiation Therapy 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 in this letter 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 **VHA Special Agreement Check (SAC) Memorandum (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.
5. **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 Learning Management System (LMS), please contact the COR.



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6100 Oak Tree Blvd #500
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VSCSecurity@va.gov

VSC PERSONNEL SECURITY SERVICES OVERVIEW

The VHA Service Center Personnel Security Office offers a comprehensive service which ensures that contractor security requirements are met in accordance with OPM and federal regulations from initiation to completion. Communication is maintained between the VSC, the contracting officer, the COR and the contracting company point-of-contact at all times during the process.

This service includes the below:

Fingerprint submission and adjudication:

This involves ensuring that contractors submit fingerprints for background screening and adjudication of fingerprint/background screening results. After the results are confirmed or adjudicated, the National Criminal History Check (NCHC) Form would be sent to all contacts via email.

Existing investigations:

Verifying existing investigation information and collecting the required documents for reciprocity. The required documentation would include the OF306 Form and Self-Certification Form. These documents would be provided upon confirmation of investigation through the OPM Portal.

New investigations:

Upon receipt of the Contract Security Services Request, our office will obtain and submit all required documents to request an investigation through Little Rock Security Investigations Center (SIC) and monitor the progress through completion.

PIV Badges:

Our office can also manage and sponsor the PIV badges as required, as soon as the investigations are released from Little Rock SIC and scheduled by OPM.

To begin the process, please follow the below guidelines:

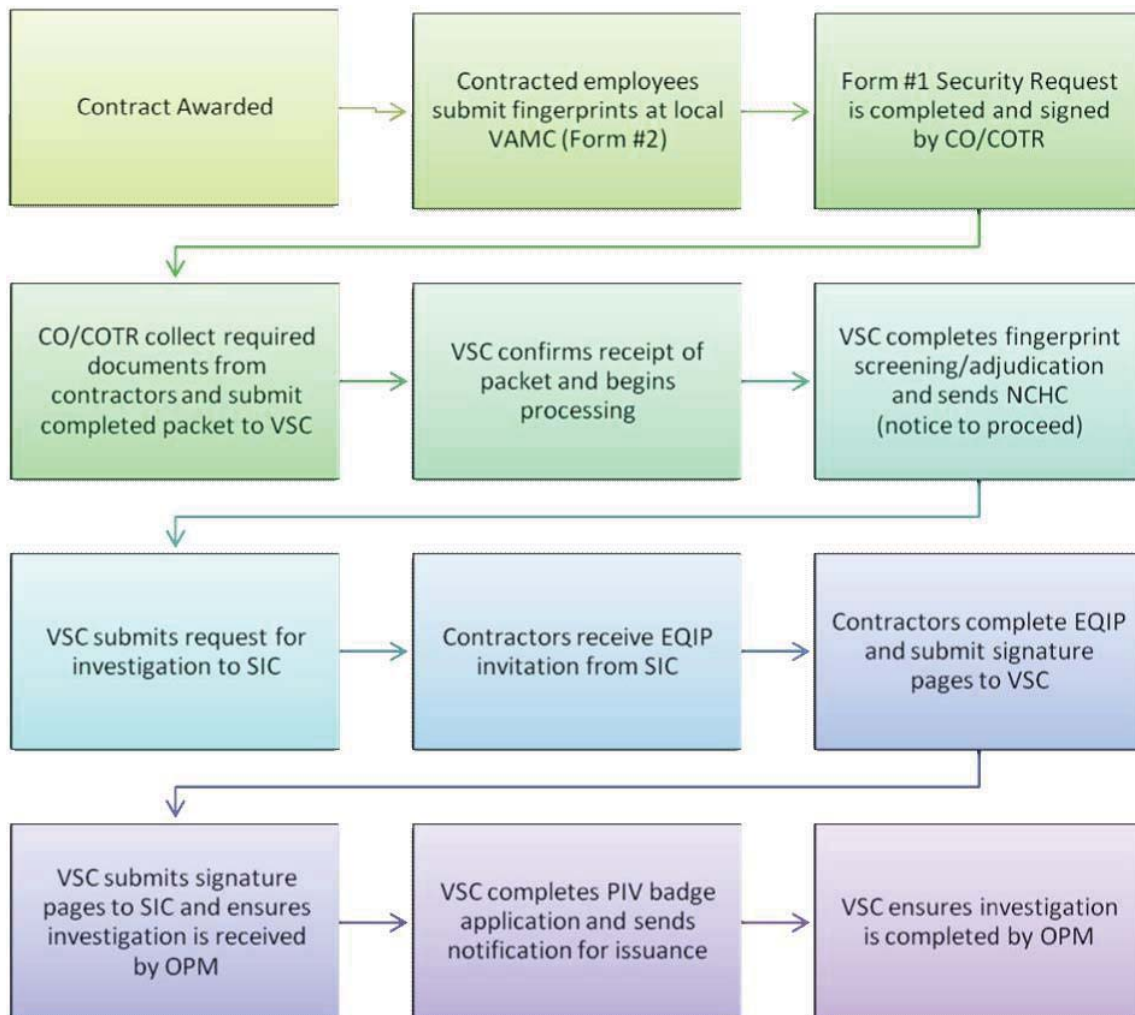
1. Upon notification of contract award, make appointments for fingerprinting. Ensure contractors bring Form #2 Fingerprint Request Form and photo ID to their appointment. If fingerprints are to be taken manually, please refer to the mailing instructions on the bottom of Form #2.
2. Contracting officers, CORs complete and sign Form #1 in its **entirety**. All information is required. The packet will be rejected if this form is not complete.
3. Have employees complete all required documentation based on their risk level.

4. Submit complete packet to VSCSecurity@va.gov or fax: 216-447-8025. Incomplete packets will be rejected and returned. Complete packets will be assigned to a team member within 5-days. Subject line for the request submission email or fax cover sheet should be formatted as shown below.
 - a. New Request Packet** - Contracted Company VA000-00000
 - b. Addition to Existing Request** - Contracted Company VA000-00000
If there is a contact person in our office that is dealing with this specific contract, please put their name in the subject line as well.
 - c. Status Request** – Contracted Company VA000-00000 submitted on 00/00/0000
5. Do not submit new requests and additions more than once as this will result in duplicate assignments and wasted time. If you have not received a response to your request within 5-7 business days, send a status request to the mailbox using the above format.
6. If there is a change in the contracted personnel (resignation, declined appointment, etc) immediately notify the team member handling your request. The cancellation must be submitted via email.



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VSC Security Request Process





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CONTRACT SECURITY SERVICES REQUEST - INSTRUCTIONAL FORM 1A

Purpose: The Contract Security Services Request is submitted to VSC to initiate the contract security verification process. By submitting this form, our office will ensure that each individual listed have been fingerprinted, the fingerprints are adjudicated if necessary, background investigations are initiated or existing background investigations are current and PIV badges are managed and sponsored. This form should be completed and signed by the contracting officer. Please refer to the instructions below when completing the Contract Security Services Request Form #1.

Contracting Officer & Phone: Please provide the post-award contracting officer handling this contract and their phone number.

COR (COR) Name & Phone: Please list the Contracting Officer Representative (previously the Contracting Officer Representative) and phone number. The COR is the liaison between the contracting officer and contracted company.

Contract End Date: Please list the date in which the contract ends including all options to extend (for PIV badge expiration).

SAO Region: Please list the Service Area Office in which the contracting officer is associated with (East, West or Central).

Contract Number: Please list the contract number (VA000-C00000). Our database is based on tracking contracts by station. Should the contract number change at fiscal year end, please indicate on any future requests by listing the old contract number in parenthesis next to the new task number.

Contractor Position Description: Please provide a position title for all individuals (ex: physician, consultant, electrician).

Investigation Level: Please indicate the background security requirements as provided by the PDAT (Position Description Automated Tool). This would include background screening (SAC), low-level investigation (NACI), moderate-level investigation (MBI) and high-level investigation (BI). Please note that non-PIV badges (contract under 180-days) require at minimum a SAC, full PIV badges (over 180-days) require at minimum a NACI.

Contract Company Name: Please provide the name of the contracting company that will be providing the work under the contract. Please provide subcontractors in parenthesis.

Contractor Address: Please provide the contracting company address. This information is required for the Little Rock SIC investigation request.

Contractor POC Name & Phone: Please provide the main point-of-contact for the contracting company and contact information. This person may be contacted to provide additional information or documents in the process. All communication with this individual will include the contracting officer and COTR.

Contractor POC Email: Please provide the email address for the above mentioned point-of-contact. This email will be included in the investigation request submitted to Little Rock SIC.

Contracting Officer Signature: All requests must be signed by the contracting officer/specialist. This signature verifies that an official contract is in place prior to processing the applicants for investigation and badging.

Station Number: Please indicate the facility station number where the work is being performed/facility to be billed.

Network Access: Please indicate whether the individuals will be obtaining network access.

Employee Name: Please provide the full **legal** name of the individuals working on this contract.

SSN: Please provide complete social security numbers for all individuals listed.

Email Address: Please provide a valid email address for all individuals.

DOB: Please provide date of birth for all individuals listed.

Place of Birth: Please provide place of birth for all individuals listed, including **city, state** and country (if outside US).
For foreign-born individuals, please provide proof of citizenship.



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CONTRACT SECURITY SERVICES REQUEST FORM #1A

(Please see Instructional Form 1a for assistance in completing this form)

☐ New Request

☐ Addition

CONTRACTOR INFORMATION

A- VA Contracting Officer Name & Phone:

B- COR Name & Phone:

C -Contract End Date (**Including Options**):

D- SAO Region (East/West/Central):

E- Purchase Order/Contract Number:

F -Contractor Position Description:

M Station #:

G- Investigation Level (SAC/Low/Moderate/High):

N Network Access (Y/N):

H -Contract Company Name
(Subcontractor):

I- Contract Company Address:

J- Contractor POC Name &
Phone:

K- Contractor POC Email:

L- Contracting Officer
Signature:

*****This signature verifies that an official contract is in place prior to processing the applicants for badging*****

CONTRACTOR EMPLOYEE INFORMATION

O	P	Q	R	S
Employee Name (Full Legal Name)	SSN	Email Address	D.O.B.	Place of Birth (City, State/Country)

***Please use Supplemental Form 1b for additional individuals**

Revised Form April 2012



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CONTRACTOR / EMPLOYEE FINGERPRINT REQUEST INSTRUCTIONAL FORM 2A

Purpose: The Contractor/Employee Fingerprint Request is to assist individuals in obtaining fingerprinting services from VA Facilities nationwide, on behalf of the VSC. This form is required by Little Rock SIC before a request for investigation can be submitted.

Full Legal Name: Please provide full **legal** name of individual requiring fingerprints.

SSN Last Four: Please provide the last four of the individual's social security number.

Contractor (Yes/No): Please indicate whether the individual is a contractor. Contracted employees are considered contractors.

VAMC Location: Please provide the name and location of the VA Facility where the fingerprints were submitted.

Station Number: Please provide the station number of the VA Facility where the fingerprints were submitted.

Date Fingerprinted: Please provide the date that the fingerprints were submitted at the VA Facility.

Method of Fingerprinting: Please indicate whether the fingerprints were submitted electronically or if manual fingerprints were submitted with ink and fingerprint card.

Date Card Mail to OPM: If fingerprints were submitted manually, please provide the date the card was mailed to.

IMPORTANT NOTE:

If fingerprints are manually taken, please ensure the FD-258 Fingerprint Card is used and that it is mailed directly to OPM at the address below. Delivery confirmation is recommended.

OPM Rapid Response Team / OPM-FIPC
1137 Branchton Rd
Boyers, PA 16020

***All fields on the fingerprint card MUST be completed or the card will be destroyed.**



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CONTRACTOR/EMPLOYEE FINGERPRINTING REQUEST FORM #2

SON: 955C / SOI: VA08

IPAC/OPAC: 3600.1200

(Please see Instructional Form #2a for assistance in completing this form)

**** This form must be taken to the fingerprinting appointment ****

EMPLOYEE INFORMATION (PLEASE PRINT)

Full Legal Name (First Middle Last): _____

SSN Last Four: _____

Contractor(Yes/No): _____

FACILITY INFORMATION

VAMC Name & Location: _____

Station Number: _____

Date Fingerprinted: _____

Method of Fingerprinting: Electronically / Manually _____

Date Card Mailed to OPM*: _____

After finger prints are captured, return this completed form to your CO/COR for submission to VSC

***If fingerprints are manually taken, please ensure the FD-258 Fingerprint Card is used and that it is mailed directly to OPM at the address below, with this form. All fields on the fingerprint card MUST be completed. Please refer to Instructional Form #2a for an example of a completed fingerprint card. OPM will destroy all cards with incomplete fields. Delivery confirmation is recommended.**

**OPM Rapid Response Team / OPM-FIPC
1137 Branchton Rd
Boyers, PA 16020**



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PIV SPONSORSHIP INSTRUCTIONAL FORM 3A

Purpose: The PIV Sponsorship Form is used to complete the PIV badge application through the nationwide portal. All information is required to process a PIV badge. All fields are mandatory except the VA.GOV email address.

Full Legal Name: Please provide full legal name of individual as shown on driver's license or photo ID.

Date of Birth: Please provide the date of birth of the individual.

Social Security Number: Please provide the social security number of the individual.

Citizenship: Please provide the citizenship of the individual. All foreign-born individuals will be required to submit proof of citizenship.

Assigned Duty Station: Please provide the name of the individual's assigned duty station.

Address of Assigned Duty Station: Please provide the complete address of the assigned duty station.

VA.GOV Email Address: Please provide the va.gov email address of the individual. If the individual has not had the email address established, or will not be obtaining an email address, please indicate pending or not applicable.

Gender: Please provide gender of individual.

Race: Please provide race of individual.

Height: Please provide height of individual.

Weight: Please provide weight of individual.

Eye Color: Please provide eye color of individual.

Hair Color: Please provide hair color of individual.

Place of Birth: Please provide city, state and country of individual's place of birth. All foreign-born individuals will be required to provide proof of citizenship.

Position Title: Please provide position title of individual.

Contractor Company Name: Please provide the contracting company that the individual will be working under. If the individual is a VA employee, please indicate not applicable.

Contracting Company Address: Please provide the contracting company address. If the individual is a VA employee, please indicate not applicable.



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VHA SERVICE CENTER PIV SPONSORSHIP FORM #3

(Please see Instruction Form #3a for assistance in completing this form)

CONTRACTOR / EMPLOYEE INFORMATION

* All fields are mandatory except va.gov email *

Full Legal Name (First Middle Last):

Date of Birth (MM/DD/YYYY):

Social Security Number:

Citizenship:

(US Citizen, Naturalized, Non-Citizen)

Assigned Duty Station:

Address of Assigned Duty Station:

VA.GOV Email Address:

Gender: ®

Race:

Height: ®

Weight: ©

Eye Color:

Hair Color:

Place of Birth (City, State, Country):

Position Title:

Contractor Company Name:

Company Address:



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CONTRACT SECURITY VERIFICATION REQUEST SUPPLEMENTAL FORM #1B

(This form is used only when extra space is needed for large rosters.)

(Please reference Instructional Form #1b for assistance in completing this form)

A - Contracting Officer Name & Phone: _____

B - COR Name & Phone: _____

C - Contract Number: _____

D - Contract Company Name (Subcontractor): _____

E - Contractor POC Name & Phone: _____

F	G	H	I	J
Employee Name (Full Legal Name)	SSN	Email Address	D.O.B.	Place of Birth (City)



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**SECURITY VERIFICATION CONTINUATION
INSTRUCTIONAL FORM 1B**

(This form is used only when extra space is needed for large rosters.)

Contracting Officer Name & Phone: Please list the post-award contracting officer specialist handling this contract and phone number.

COR Name & Phone: Please list the Contracting Officer Representative and phone number. The COR is the liaison between the contracting officer and contracted company.

Contract Number: Please list the contract number (VA000-C00000). Our database is based on tracking contracts by station. Should the contract number change at fiscal year end, please indicate this on any future request worksheets by listing the old contract number in parenthesis.

Contract Company Name: Please provide the name of the contracting company that will be providing the work under the contract. Please provide subcontractors in parenthesis.

Contractor POC Name & Phone: Please provide the main point-of-contact for the contracting company and contact information. This person may be contacted to provide additional information or documents in the process. All communication with this individual will include the contracting officer and COR.

Employee Name: Please provide the full legal name of the individuals working on this contract. If the individual is working on multiple contracts, please list them again as our database tracks contract statistics.

SSN: Please provide complete social security numbers for all individuals listed.

Email Address: Please provide a valid email address for all individuals. This email address will be provided for EQIP communication.

DOB: Please provide date of birth for all individuals listed.

Place of Birth: Please provide place of birth for all individuals listed, including city, state and country. For foreign-born individuals, please provide proof of citizenship.