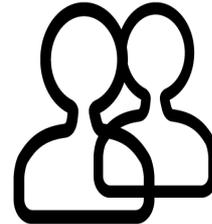


INTERIOR BUSINESS CENTER

U.S. DEPARTMENT OF THE INTERIOR

# CONTRACTING OFFICER REPRESENTATIVE (COR) TRAINING Fiscal Year 2020

IBC Security and Drug & Alcohol Division





# Training Objectives

- Educate and train COR community on IBC shared services provider customer personnel security processes
- Provide an in-depth understanding of the PSB contractor on-boarding process and responsibilities of all involved
- Obtain “Buy-In” from COR community
- Reduce timeframe for contractor receipt of PIV credential
- Provide instruction regarding recommended COR use of Affiliate Workforce Tracking System (AWTS), and improve COR use and understanding of Affiliate Workforce Tracking System (AWTS) system
- Provide instruction regarding recommended COR use of the OPM Position Designation Tool (PDTool), and improve COR use and understanding of the importance of this tool, with the awarded contract Statement of Work (SOW) to ensure proper position designation and position sensitivity for the work being done.
- Provide instruction regarding COR use of DOI Access “de-provisioning” module



# Security Directives & Mandates

- Homeland Security Presidential Directive 12 (HSPD-12)
- Federal Information Processing Standards 201(FIPS 201) as amended
- Agency Manuals, policies and regulations regarding Personnel Security
- M-19-17 Office of Management & Budget memo regarding enabling mission delivery through improved Identity, Credential, and Access Management (ICAM)



# HSPD-12

On August 27, 2004, the White House issued Homeland Security Presidential Directive 12 (HSPD-12) which directed Federal agencies to create a process to verify the identity of each employees and contractor who is required to process a Federal identity card. The directive also required that the National Institute of Standards and Technology (NIST) develop a standard for identity verification, the result of which is the Federal Information Processing Standard (FIPS) 201, *Personal Identity Verification of Federal Employees and Contractors*.

# FIPS 201

## **The primary requirements of the FIPS 201 standard are:**

- Everyone issued an HSPD-12 identification card must have a favorable background investigation including an FBI fingerprint check.
- All personnel who require a Federal identity must be “identity proofed,” by going through the process defined in FIPS 201.
- This document describes the policies and identifies who needs PIV credentials, the responsibilities of each role in the process, and the procedures to follow in a step-by-step process.

# OMB Memo M-19-17

- <https://www.whitehouse.gov/wp-content/uploads/2019/05/M-19-17.pdf>
- Agencies shall follow the requirements issued by OPM regarding the eligibility to issue, suspend, and revoke PIV credentials.
- Agencies shall require PIV credentials (where applicable in accordance with OPM requirements) as the primary means of identification and authentication to Federal information systems and Federally controlled facilities and secured areas by Federal employees and contractors.
- Each agency shall define and maintain a single comprehensive ICAM policy, process, and technology solution roadmap, consistent with agency authorities and operational mission needs. These items should encompass the agency's entire enterprise, align with the Government-wide Federal Identity, Credential, and Access Management (FICAM) Architecture and CDM requirements, incorporate applicable Federal policies, standards, playbooks, and guidelines, and include roles and responsibilities for all users.
- Each agency shall outline agency-wide performance expectations for security and privacy risk management throughout the identity lifecycle. These performance expectations shall support Government-wide management requirements, such as the President's Management Agenda (PMA) Cross Agency Priority (CAP) goals.

# The “basics”

The Security Drug & Alcohol Division web pages have all data CORs need to onboard a contractor:

- <https://ibcnet.bc.doi.net/hr/personnel-security>
- <https://ibc.doi.gov/HRD/COR>
- Contractor records for DOI are dependent upon COR staff required actions to ensure proper onboarding, updates (as needed) and exit clearances.
- Please work with the assigned PSB Assistant and Specialist for any contractor onboarding, status questions, data updates or exit clearance questions.



# ROLES & RESPONSIBILITIES

- Contracting Officer (CO)
- Contracting Officer Representative (COR)
- Contractors
- Personnel Security Branch (PSB)



## Contract Officer Responsibilities (CO)

- Contracting Officer ensures all contracts contain the correct period of performance and security requirements (DOI AAAP-0081)
- Provides support to COR regarding the enforcement of the contract criteria
- Input of contract information into Affiliate Workforce Tracking System (AWTS): \*\*\*\*
  - Vendor Name and DUNS number
  - Contract number and period of performance dates
  - Contracting Officer Representative (COR) assigned
- \*\*\*\*Currently completed by IBC PSB upon COR submission/request



# Contract Language

DOI-AAAP-0081, 'Implementation of HSPD-12 at DOI for Contractors and Recipients, August 4, 2016', rescinds both DIAPR 2006-03 and DIAPR 2010-04

- Provide example Statement of Work (SOW)/Performance Work statement language for HSPD-12 requirements
- All contractors must be vetted prior to EOD
- Submission of required security information
- Level of Investigation to be completed
- Who will pay for the finger prints and investigation
- Contractors may be removed at anytime



# Recommended time buffer to build into contracts – Why?

- CORs are not to authorize a contractor start date until official authorization is received from the IBC PSB advising the individual has been cleared for pre-employment screening.
- IBC PSB recommends that the contract award date and the work start date be separated by *at least* two weeks; this gives COR staff the needed time to work with the vendor at award to receive the contractor names and get these staff working on the required IBC PSB paperwork and other IT paperwork and training *prior* to the contract work starting.
- If a contractor has issues and is not initially cleared for pre-employment, this provides a time buffer to mitigate contractor issues.



## Time buffer information (continued)

- PIV credentials take 5 – 10 days to be created, batched and shipped to the appropriate location once the contractor is cleared to EOD by IBC PSB.
- Additional time is needed for the applicant to pickup and activate the PIV credential.
- IBC PSB ships the PIV credential to the location indicated on the Cover Sheet. If this is incorrect, this may be an added expense and time delay to the Directorate/Division/Branch. Please be specific initially about where the contractor will be performing the work for the contract.
- If a contractor is working in a remote location, please provide IBC PSB the specific address of the remote location on the cover sheet. IBC PSB staff work to find the closest appropriate location to ship the PIV credential to ensure prompt, accurate delivery.

# COR Responsibilities

- Know Who You Are Hiring
  - Convey to the applicant to be honest and up front about any issues
- Provide an accurate and complete security packet for pre-employment processing, including a recent PD Tool assessment, with the PSP cover page
- Assist PSB with obtaining additional information from the applicant, if needed
- Read DOI-AAAP-0081 – released 8/2016
  - Reflects COR responsibility for on-boarding and off-boarding of contract personnel
  - Use of DOI Access “de-provisioning” module

**\*\*\*CORs are not to authorize a start date until official authorization is received from IBC PSB\*\*\***



# COR Responsibilities

## 2. Information Technology Center package and process

This process is Agency specific but may include:

- Open Help desk ticket for new user
- Network Access Request form for new user (effective 8/3/2020 OCIO-20 is ONLINE)
- Rules of Behavior (ROB) – To be read and signed by contractor
- Security Awareness Training (SAT) as required

# COR Responsibilities

## Separating Contractors

1. Initiate an Exit Clearance for terminated or suspended contractors (Utilize bureau/office Exit Clearance Process and Documents)
  - Declination – Declined employment offer
  - Suspension – Account placed in pending status (Contractor may return from Leave of Absence (LOA), contract renewal, etc.)
  - Termination – Separating from duty (not returning)
2. Update AWTS system regarding departure of contractor
3. Complete a DOI Access De-provisioning request
4. GFE: Collect PIV Credential and forward to PSB for temporary retention OR destruction to **Attn:** DOI IBC SDAT Operations & Systems Branch, Interior Business Center, Operations & Systems Branch (OSB), 7401 W Mansfield Ave, Mail Stop D-2050, Denver CO 80235





# COR Responsibilities

## Onboarding (aka Intake and pre employment process)

- Personnel Security Branch (PSB) – Security Package submission and entry into Affiliate Workforce Tracking System (AWTS). NOTE: *Security Package should be submitted at least 2 weeks prior to desired start date of applicant and must now include a recent OPM Position Designation Tool (PD Tool) result*

## Modifications for contractors

- Moving between DOI Bureaus and offices – AD UPN and email changes needed
- Moving between contracts (change of Vendor and/or contract number) – AWTS updates need to be completed by COR
- Employed under more than one contract situations
- Contract change – AWTS updates needed
- Contractor suspensions (don't terminate, do suspend) – card fees versus time off contract
- Contractors being hired as Federal employees (Affiliation change)

## Off-boarding (aka Exit Clearance)

- Proper notification and record updates are critical to avoid unneeded monetary charges to your organization
- DOI Access system de-provisioning request required
- Exit Clearance forms are to be utilized
- AWTS system updates required
- Beside money expenditure, the contractor counts are inaccurate if contractor departures are not reported



# Contractor Roles

- Complete PIV credential Enrollment Process
  - All contractors will be fingerprinted during the enrollment process at a shared US Access Credentialing Center or Fixed or Mobile Credentialing Unit (FCU/MCU) location; this needs to be completed as soon as possible following sponsorship by IBC SDATD PSB and applicant notification
  - Complete eQIP for scheduling of background investigation as soon as possible (if required)
  - Must pick up and activate the PIV credential (if card is required)
  - Must renew PIV credential or update PIV credential when required
  - PIN resets or unlocks if needed
- Complete all information within established deadlines
- Be honest and truthful in completing eQIP, OF-306 and other security forms



# PSB Responsibilities

US Access and DOI Access system role administration

- Will serve in Sponsor, Adjudicator and Security Officer roles for the US Access program
- Will initiate and sponsor all requests in DOI Access and/or US Access (This will initiate the enrollment process)
- Ensure the accuracy of contractor data in all systems
- Will provide status of submitted PIV credential requests
- Will “Terminate” exiting contractors in US Access and DOI Access
- Completes system check in and destruction or retention of PIV credential

# PSB Responsibilities

- Will process all contractor pre-employment security packets in a timely manner
- Personnel Security Specialist will adjudicate contractor pre-employment security packets and final background investigations
- Expected turnaround time for pre-employment determination is approximately 10 business days with no issues (provisional adjudication)
- Send email notification to COR and facilities staff (as directed) for favorable pre-employment determinations or unfavorable determination notification
- Expected turnaround time for fitness determination (post background investigation) once investigation has been completed by DCSA is 90 days



# PSB Responsibilities

All contractors must be enrolled, fingerprinted, favorably adjudicated provisionally, and have a scheduled background investigation prior to authorizing an official start date.

**This is a condition of employment.**



# PSB Responsibilities

## **Favorable Pre-Employment Determination**

The Personnel Security Specialist will review the pre-employment security packet for issues. When a favorable determination is made, PSB will provide notification to the COR. The notification will be made via email within 24 hours of the determination with confirmation/authorization for the contractor to enter on duty.

# PSB Responsibilities

## Delayed Pre-employment determinations

- COR will be notified via email that a pre-employment determination has been delayed pending information from OPM or from the applicant
- The applicant will be afforded due process before a final determination is made
  - Letter of Interrogatory (LOI) is issued allowing 7 days to respond
  - Extensions granted for extenuating circumstances, must be approved by IBC PSB personnel security specialist
- A Letter of Advisement (LOA) may be issued to applicant
- No contractor is confirmed to start working until written PSB authorization is received advising contractor is cleared to enter on duty

# PSB Responsibilities

## Unfavorable Determinations

- PSB will inform COR via email if an unfavorable pre-employment determination has been made. A new selection can be made at any time during the process.
- PSB will inform COR via email if an unfavorable fitness determination (post-investigation) has been made. The notification will instruct the COR to have the contractor removed from the contract immediately.
- The applicant/contractor will receive official notification of the determination
- Questions regarding determinations or concerns regarding adjudication are to be referred to the IBC SDATD Personnel Security Branch

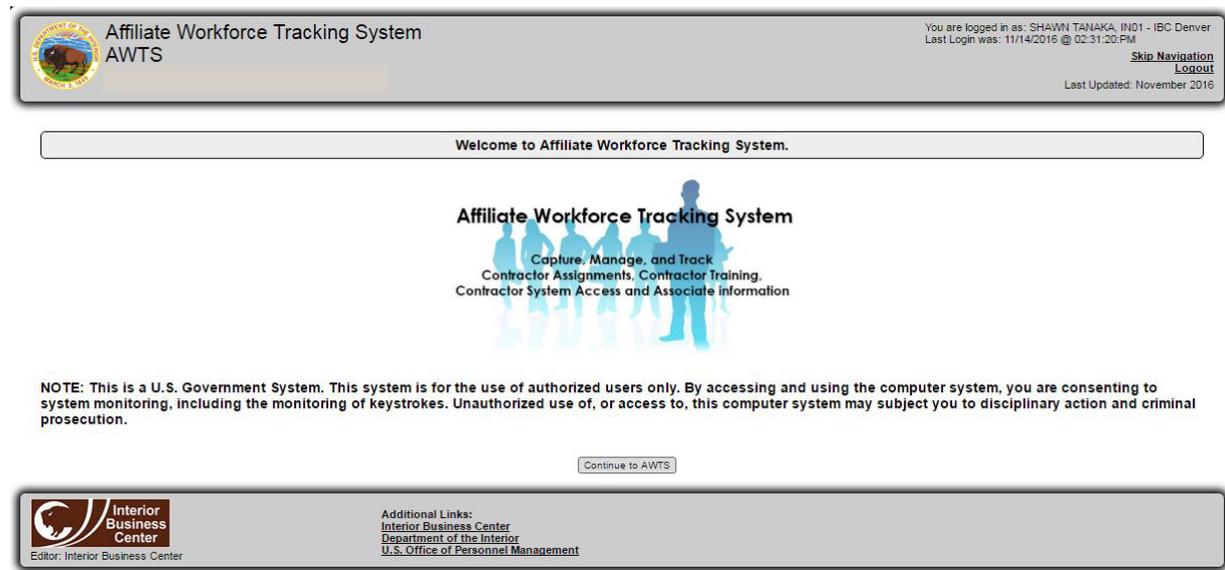


# Affiliate Workforce Tracking System (AWTS)

- COR needs to complete and have signed paperwork for account in this system ([OSB\\_Joint\\_Intake@ibc.doi.gov](mailto:OSB_Joint_Intake@ibc.doi.gov))
- System is Single Sign On (SSO) authentication instead of RACF ID use
- Contracts for each COR are added ***as requested by COR***
- Contractors entered into AWTS are to be assigned to the **proper** contract by COR
- Data is maintained by COR, including initial entry, updates, and terminations
- If contracts change, notification to IBC OSB is needed to update AWTS to enable COR to continue to keep data updated ([OSB\\_Joint\\_Intake@ibc.doi.gov](mailto:OSB_Joint_Intake@ibc.doi.gov))

# Affiliate Workforce Tracking System (AWTS)

## Initial Login Screen



The screenshot shows the initial login screen for the Affiliate Workforce Tracking System (AWTS). At the top, there is a header bar with the system logo on the left, the text "Affiliate Workforce Tracking System AWTS" in the center, and user information on the right: "You are logged in as: SHAWN TANAKA, IN01 - IBC Denver", "Last Login was: 11/14/2016 @ 02:31:20 PM", and links for "Skip Navigation" and "Logout". Below the header is a welcome message: "Welcome to Affiliate Workforce Tracking System." The main content area features the title "Affiliate Workforce Tracking System" above a graphic of silhouettes of people, with the subtitle "Capture, Manage, and Track Contractor Assignments, Contractor Training, Contractor System Access and Associate information". A disclaimer note is present: "NOTE: This is a U.S. Government System. This system is for the use of authorized users only. By accessing and using the computer system, you are consenting to system monitoring, including the monitoring of keystrokes. Unauthorized use of, or access to, this computer system may subject you to disciplinary action and criminal prosecution." A "Continue to AWTS" button is located below the note. At the bottom, there is a footer bar with the Interior Business Center logo and name on the left, and "Additional Links: Interior Business Center, Department of the Interior, U.S. Office of Personnel Management" on the right.

Affiliate Workforce Tracking System  
AWTS

You are logged in as: SHAWN TANAKA, IN01 - IBC Denver  
Last Login was: 11/14/2016 @ 02:31:20 PM  
[Skip Navigation](#)  
[Logout](#)  
Last Updated: November 2016

Welcome to Affiliate Workforce Tracking System.

**Affiliate Workforce Tracking System**  
Capture, Manage, and Track  
Contractor Assignments, Contractor Training,  
Contractor System Access and Associate information

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[Continue to AWTS](#)

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Additional Links:  
[Interior Business Center](#)  
[Department of the Interior](#)  
[U.S. Office of Personnel Management](#)



# Affiliate Workforce Tracking System (AWTS) features

## Single Sign On

- Logging into Affiliate Workforce Tracking System no longer requires a RACF ID and RACF password. Users will need their PIV credential and PIN to log into their workstation. Once they are logged into their workstations and they access the Affiliate Workforce Tracking System URL, their information will be authenticated against their department's Active Directory using Active Directory Federation Services (ADFS).

## All Modules (Vendor, Contract, Contractor, Reports)

- Turn All Select Fields Into Auto Complete Fields. Update all field labels to "Please make a selection"

## Contractor Module

- Added helpful text to remind CORs not to change an assignment if the Vendor and/or Contract information has changed. The assignment should be terminated and a new one created instead.
- Masked SSN
- Display the list of CORs on a Contract after the Vendor/Contract is selected

## Reports Module

- COR is able to run variety of reports to ensure data is accurate, and contractors are known and in proper status (initiated, active, suspended, terminated)

# Position Designation Tool Demonstration

**This tool is located at the OPM web site:**

**<https://www.opm.gov/suitability/suitability-executive-agent/position-designation-tool/>**





## **PSB recommendations/best practices**

- Run monthly AWTs reports for your contracts and contractors.
- Submit all exit clearance notifications timely; use de-provisioning module in DOI Access system.
- Communicate with the IBC PSB Assistant and Specialist processing your contractor pre-employment action as needed.
- If you have questions, call or email to ask; communication is key.
- If you receive emails from the sender 'HSPD12Admin@usaccess.gsa.gov' regarding a contractor, please pass the information on to that contractor to ensure compliance. If you are no longer the COR for the contractor, please notify IBC PSB and ensure that AWTs has been updated.



# IBC PSB has monthly calls

- Third Thursday at 8:00 am Mountain Time, held via Microsoft Teams in 2020
- Great time for questions, sharing of best practices, keeping updated on the latest and greatest information for onboarding contractors
- If you aren't part of the IBC PSB COR Communications Team, please send an email to [OSB\\_Joint\\_Intake@ibc.doi.gov](mailto:OSB_Joint_Intake@ibc.doi.gov) asking to be added



# PSB General Information and Contact Information

## Address:

Interior Business Center  
Personnel Security Branch, Mail Stop D-2050  
7401 West Mansfield Avenue, Room 120  
Denver, Colorado 80235

## General Office #:

303-716-4005

## Office Fax #:

303-969-7413

Updated 7/26/2020



# Questions?

