## Standard Operating Security Procedures for New Contractor Personnel

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<td>Originating Office:</td>
<td>IBC Personnel Security Branch</td>
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<tr>
<td>Point of Contact:</td>
<td>Lynette M. Murray, Chief Security, Drug &amp; Alcohol Testing Division</td>
</tr>
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<td><a href="mailto:Lynette_M_Murray@ibc.doi.gov">Lynette_M_Murray@ibc.doi.gov</a>, 303-969-5456</td>
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1. PURPOSE

The purpose of this document is to identify the general personnel security procedures for the Personnel Security Branch (PSB) and the Contracting Officer Representative (COR). The Standard Operating Procedure (SOP) is intended to serve as guidance and/or reference, and is not a rigid standard. Unless specifically noted, deviations may be permitted for a variety of reasons, including PSB, COR, and supervisory judgment and discretion.

2. SCOPE

The procedures identified in this document are used to determine an applicant’s fitness to work as a contractor employee providing services to the Interior Business Center (IBC) and its clients.

3. DEFINITIONS

3.1 Access. The ability to enter and/or pass through an area or a facility; or the ability or authority to obtain information, monetary or material resources. In relation to classified information, it means the ability, authority, and/or opportunity to obtain knowledge of classified information.

3.2 Adjudication. An examination of a person’s conduct over a sufficient period of their life designed to make an affirmative determination as to their fitness for employment or for their retention in employment.

3.3 Background Investigation (BI). A term generically used to describe various types of investigations into an applicant’s personal history that are used to determine the individual’s fitness for contract employment. These investigations are conducted using a variety of methods, which include completion of questionnaires, electronic inquiries, written or telephone inquiries, or through personal contact with references. See Section 3.17 below for the various types of background investigations and their scope.
3.4 **Contract.** As defined in the Federal Acquisition Regulations (FAR), a contract is a mutually binding legal relationship obligating the vender to furnish the supplies or services (including construction) and the buyer to pay for them. It includes all types of commitments that obligate the Government to an expenditure of funds and that, except as otherwise authorized, are in writing. In addition to bilateral instruments (undertaken by or affecting two sides equally or binding on both parties), contracts include, but are not limited to, awards and notices of awards; job orders or task letters issued under basic ordering agreements; letter contracts; orders, such as purchase orders, under which the contract becomes effective by written acceptance or performance; and bilateral contract modifications. Contracts do not include grants and cooperative agreements covered by 31 U.S.C. § 6301, et seq.

3.5 **Contractor.** An individual performing a service under an agreement or contract with a prescribed vendor.

3.6 **Contracting Officer Representative (COR).** A person who has been delegated authority by a contracting officer to perform specific functions in managing a contract and/or business arrangement. The COR provides technical direction within the confines of the agreement, monitoring performance, ensuring requirements are met within the terms of the contract, and maintaining a strong relationship with the Contracting Officer (CO). The CO and COR work together to ensure the contract requirements are clearly communicated to the contractor.

3.7 **Derogatory Information.** Information that indicates employment or continuing employment of an individual may not reasonably be expected to promote the efficiency of the Federal service or expected to be clearly consistent with the interests of national security.

3.8 **DOI Access.** Department of the Interior’s front end system for input into US Access Smartcard Credentialing System for issuance of DOI Personal Identity Verification (PIV) Card.

3.9 **Affiliate Workforce Tracking System (AWTS), formerly eCStaffing (eCS).** The AWTS system was designed to track an Agency’s contractor staff. AWTS allows Contracting Officer Representatives (COR) to enter, track, and report data on contract staff, their HSPD-12 information, history of assignment to contacts, history of work recorded by organization, assignment/status of security training, and assignment/status of access to systems. AWTS is role based and is primarily used by COR’s or their designated representatives. Additional roles in the system include Contracting Officer AWTS uses single sign on (SSO) to authenticate users following setup in the AWTS system by the IBC HRD SDATD Operations & Systems Branch (OSB). Two/multi-factor authentication is required for authentication to the AWTS system.

3.10 **Entry on Duty (EOD) Determination.** All contractor personnel assigned to work in positions requiring access to facilities, information or IT systems are required to
undergo a pre-employment screening to determine their fitness for employment. If the completed pre-employment screening results are favorable, prospective contractor personnel are allowed to enter on duty prior to completion and adjudication of the more in-depth personnel security background investigation.

3.11 Electronic Questionnaire for Investigation Processing (e-QIP). A web-based automated system that allows individuals to electronically enter, update and transmit their personal investigative data over a secure Internet connection.

3.12 Fitness. A determination based on an individual’s character and/or conduct that may have an impact on the integrity and/or efficiency of the individual’s employment. A fitness determination is required for all positions and is a process separate and distinct from a security determination which determines an individual’s eligibility for assignment to, or retention in, a sensitive national security position. The Adjudicative standards listed in 5 CFR 731.202 are used in making fitness determinations on contractors.

3.13 HSPD-12/HSPD-12 Card. Presidential Directive which requires all government employees, contractors and associates to have a background investigation and fingerprint check for issuance of a PIV.

3.14 Investigative Tiers.

3.14.1 Tier 1. Investigations conducted to this standard are for positions designated as low risk, non-sensitive, and for physical and/or logical access, pursuant to Federal Information Processing Standards Publication 201 and Homeland Security Presidential Directive-12, using Standard Form 85, or its successor form.

3.14.2 Tier 2. Investigations conducted to this standard are for non-sensitive positions designated as moderate risk public trust, using Standard Form 85P, or its successor form.

3.14.3 Tier 3. Investigations conducted to this standard are for positions designated as non-critical sensitive, and/or requiring eligibility for “L” access or access to Confidential or Secret information. This is the lowest level of investigation acceptable for access to classified information, using Standard Form 86, or its successor form.

3.14.4 Tier 4. Investigations conducted to this standard are for non-sensitive positions designated as high risk public trust, using Standard Form 85P, or its successor form.

3.14.5 Tier 5. Investigations conducted to this standard are for positions designated as critical sensitive, special sensitive, and/or requiring eligibility for “Q” access or access to Top Secret or Sensitive Compartmented Information (SCI), using Standard Form 86, or its successor form.
3.15 I-9 documentation. I-9 documentation is required to be verified and CORs sign certifying the primary employer (vendor) has completed required I-9 documentation and processes.

3.16 National Security Position. Designation of a position at a national security sensitivity level (Special Sensitive, Critical Sensitive or Non-Critical Sensitive) based on the degree of damage that an individual, by virtue of the occupancy of the position, could do to national security. Designations are assigned to ensure appropriate screening under Executive Order (EO) 10450 and 12968.

3.17 Personal Identity Verification (PIV). The Personal Identity Verification (PIV) card is a United States Federal smart card that contains the necessary data for the cardholder to be granted to Federal facilities and information systems and assure appropriate levels of security for all applicable Federal applications.

The criteria for PIV cards were established by Federal Information Processing Standard (FIPS) 201, which was formally entitled Personal Identity Verification of Federal Employees and Contractors. FIPS 201 was developed to satisfy the requirements of HSPD 12, which requires a common identification standard for all Federal employees and contractors.

FIPS 201, which is intended to be a living document, specifies the interface and data elements of the PIV card, the technical acquisition and formatting requirements for biometric data on the card and acceptable cryptographic algorithms and key sizes.

3.18 Personnel Security Investigations (PSI) for Contractor Personnel. Investigations conducted on contractor personnel that serve as the basis for determinations of fitness for employment and eligibility for access to facilities, information or IT systems. These investigations focus on an individual’s character and past conduct that may have an impact on the integrity and efficiency of an agency. Types of investigations are as follows.

3.18.1 Special Agreement Check (SAC). A special agreement between the Office of Personnel Management’s Office of Federal Investigations (OPM/OFI) and a department or agency which provides for OPM/OFI to conduct special specific record checks. These checks include a criminal background history.

3.18.2 National Agency Check (NAC). This is a basic component of all standard investigations and includes a review of the records of the FBI-HQ (name check), FBI-ID (fingerprint check), SII (OPM’s Security and Investigations Index), JPAS (DoD’s Joint Personnel Adjudication System), and records of other federal agencies, as appropriate, plus an Interpol record check on all non-military personnel who resided outside the U.S. for six months or more within the past five to ten years (depending on the type of investigation) or when there is information indicating they may have engaged in criminal activity overseas.
3.18.3 National Agency Check and Inquiries (NACI). This investigation is composed of a NAC plus written inquiries to current and past employers, schools, references, and local law enforcement agencies covering the past five years and if applicable, of the appropriate agency for any identified arrests.

3.18.4 National Agency Check with Local Agency Check and Credit (NACLC)(Tier 3R). This investigation is composed of a NAC plus credit search and checks at local law enforcement agencies where the subject has lived, worked, and/or attended school within the last 5 years, and if applicable, of the appropriate agency for any identified arrests.

3.18.5 Tier 3. This investigation is composed of a NACLC plus an Enhanced Subject Interview (ESI) and written inquires to current and past employers, schools, and references covering past 5 years.

3.18.6 Moderate Risk Background Investigation (MBI). This investigation is composed of a NACLC plus an Enhanced Subject Interview (ESI) and written inquires to employers, schools, and references for past 5 years.

3.18.7 Background Investigation (BI). This investigation is composed of a NACLC plus an ESI; interviews at employment, schools, and residences for the past 5 years; and review of any court actions for past 5 years.

3.18.8 Periodic Reinvestigation (PRI). This investigation is composed of a NACLC plus ESI and written inquiries to references.

3.18.9 Single Scope Background Investigation (SSBI). This investigation is composed of a NAC plus credit search; ESI; NAC on spouse or cohabitant; interviews at employment for past 7 years; interviews at schools and residences covering the past three years; review of any court actions covering the past 10 years; interview of any former spouse divorced within the past 10 years, interviews of 4 social references who collectively cover at least the past 7 years; checks at local law enforcement agencies where the subject lived, worked, and/or attended school within the last 10 years, and if applicable, of the appropriate agency for any identified arrests; verification of citizenship or legal status of foreign-born applicant, immediate family members, and cohabitant.

3.18.10 SSBI Periodic Reinvestigation (SSBI-PR). This investigation is composed of a NACLC plus ESI; NAC on new spouse or cohabitant; interview of a former spouse if the divorce occurred after the last investigation; employment and social reference interviews covering past 5 years; interview of neighbors at current residence; review of any court actions covering the past 5 years; and a check of the Department of Treasury’s Financial Crimes Enforcement Network (FinCEN) database.
3.18.11 **Phased Periodic Reinvestigation (PPR).** This investigation is used in place of an SSBI-PR when there is no unfavorable information in certain sections of the SF86. It is the same as an SSBI-PR minus the interviews of social references and neighborhood references. If unfavorable information surfaces during the investigation, the PPR is upgraded to an SSBI-PR.

3.19 **Pre-Employment Determination:** A pre-employment determination is a security based risk decision that allows the contract employee/applicant to commence work before the required background investigation is completed or accepted via reciprocity. Pre-employment checks normally include a credit report, fingerprint check and a review of completed security questionnaires and forms. The pre-employment determination does not substitute for the required background investigation.

3.20 **Public Trust Position:** Designation of a position at a level of risk based on the degree of damage that an individual, by virtue of the occupancy of the position, could do to the Federal service.

3.21 **Reciprocity:** Executive Order and suitability regulations that set the criteria for reciprocal acceptance of prior favorable fitness determinations.

3.22 **Security Process.** The security process is intended to prevent employment of contractor personnel with fitness issues, thus if a person’s background (fingerprint check or credit report) reveals potential risk factors, individual situations can be assessed earlier in the process to determine whether to hire the selectee. The entire security process can take anywhere from 5 - 30 days or longer depending on each individual selectee’s situation (e.g., selectee schedules an appointment or completes e-QIP in a timely manner, selectee lives in a remote location, the availability and location for fingerprint appointment and if the selectee responds to the Personnel Security Specialist’s request for information in a timely manner, etc.). The aforementioned situations can delay the security process and the COR’s ability to confirm an EOD date. In all situations, the COR and management are kept informed of any delays.

3.23 **Standard Form 85 and 85P (SF85; SF85P), Questionnaire for Public Trust Positions.** Used to collect information for public trust positions.

3.24 **Standard Form 86 (SF86), Questionnaire for National Security Positions.** Used to collect information for national security positions.


3.26 **Vendor.** Vendors are periodically invited to DOI facilities for brief product or service demonstrations. These demonstrations do not require the IBC PSB to clear these individuals. Additionally, vendors send staff to DOI facilities to replace equipment, or to provide guidance or instruction about products or services. These vendor staff may be
issued visitor badges for duration of up to five (5) business days without IBC PSB security packet submission. If the vendor staff will require access to work in positions requiring access to facilities, information or IT systems, the IBC PSB security packet submission is a requirement no matter the visit duration.

4. ROLES AND RESPONSIBILITIES

4.1 Personnel Security Branch (PSB). To ensure and maintain integrity in the workforce. PSB is responsible for the following actions:

4.1.1 Working with IBC program offices and external clients to develop specific procedures for incorporating contractor personnel fitness screening requirements into the procurement and contract oversight process.

4.1.2 Receiving and processing security packages to make pre-employment decisions and to initiate required background investigations of contractor personnel.

4.1.3 Sponsoring contractor personnel in DOI Access and initiating the e-QIP no later than three business days of receiving a complete security package.

4.1.4 Notifying contractor personnel to enroll through US Access in order to be fingerprinted and to be issued a PIV. This process is required even when contractor personnel do not need a physical PIV credential. A pre-employment decision cannot be made until enrollment is completed. The COR will be notified at specific intervals (4, 8, and final 15 day notifications) if the contractor has not enrolled.

4.1.5 Notifying contractor personnel to complete the e-QIP. This should be completed in a timely manner, within 14 days upon being notified, so PSB can make a pre-employment decision and schedule the appropriate background investigation. The COR will be notified at specific intervals (4, 8, and final 15 day notifications) if the contractor has not completed the e-QIP. Pre-employment processing will be discontinued due to non-action or response after 18 days.

4.1.6 Adjudicating the results of pre-employment checks and background investigations and advising the COR and other offices on a need-to-know basis of the adjudication.

4.1.7 PSB may notify the COR when: 1) contractor personnel have completed their HSPD-12 enrollment by visiting a General Services Administration issuing office; 2) contractor personnel have submitted their background investigation information through the e-QIP system; and will notify the COR via email when 3) the PSB has favorably adjudicated their security packages for pre-employment.
4.1.8 Conducting or arranging for additional investigation, when necessary, to resolve actionable issues.

4.1.9 Providing contractor personnel an opportunity to respond to unfavorable information developed during an investigation prior to taking any unfavorable action based on that information.

4.1.10 Notifying the COR, as appropriate, in writing to deny employment to contractor personnel who have an unfavorable fitness determination made.

4.1.11 Tracking background investigations and maintaining security files on contractor personnel.

4.1.12 Coordinating, as appropriate, with the COR on actions to take whenever reasonably credible information is received that appears to raise a question concerning the fitness of contractor personnel.

4.2 COR or Designated Representative.

4.2.1 Ensuring that the contract company submits completed security packages and information on behalf of each of its contractor personnel (including prospective subcontract employees) subject to a security investigation as required by the applicable contract. Security Packages must include all documents listed under Section 6, Security Package.

* Incomplete security packages will not be processed and will be rejected to the COR.

4.2.2 Initiating/Entering all initial contractor personal information into the Affiliate Workforce Tracking System (AWTS), formerly known as eCStaffing system. All data must be accurate when entered into the system to include the full legal name. If the contractor does not have a middle name, then enter NMN in place of the middle name in the AWTS system: https://ecs.ibc.doi.gov/ECS/admin/welcome.cfm?action=welcome

4.2.3 Ensuring that contractor personnel have enrolled with US Access and completed the e-QIP in a timely manner.

4.2.4 Ensuring the forms required for investigations of contractor personnel are completed and submitted to the PSB in a timely manner.

4.2.5 Completing all building or facility access forms for contractor personnel, if required.

4.2.6 Ensuring that the PSB is notified whenever contractor personnel have completed the work as required under the contract or their position has been
discontinued by the vender. All Exit Clearance procedures must be followed and completed.

4.2.7 Coordinating with the CO to ensure, at the direction of the PSB, that appropriate actions are taken to address any questions that arise regarding the fitness of any contractor personnel. Appropriate actions may include, but are not limited to, temporarily denying the contractor personnel access to facilities, information or IT systems pending resolution of the issue(s).

4.2.8 Ensuring, at the direction of the PSB, that appropriate action, which may involve excluding the contractor personnel from working on any aspect of a contract, is taken when contractor personnel are denied pre-employment or when an unfavorable fitness determination is made.

4.2.9 Ensuring the PSB is notified when derogatory information which may affect the status of any contractor personnel is revealed, discovered, or reported.

4.2.10 Ensuring AWTS system information is entered, updated/maintained and terminated regarding all contractor information for accurate reporting purposes.

*Note: COR’s will not allow access to buildings, systems, and/or information until an official pre-employment notification is received from the PSB.

5. PROCEDURE

5.1 Contract is awarded and labor is required to complete the contract. Contracting Officer Representative (COR) gathers complete Security Package and provides to the PSB. A complete security package must include the documents listed in section 10 shown below.

5.1.1 Complete package* gathered and submitted by COR to IBC PSB. Required Affiliate Workforce Tracking System (AWTS) system entry has been made by COR. COR has notified IBC PSB via email to PSB Section 1 Intake email group of the applicant awaiting pre-employment processing.

5.1.2 IBC Personnel Security Assistant (PSA) receives completed packet, verifies entry into AWTS system. PSA creates DOI Access sponsorship, electronic or physical file, or locates prior file, creates entry into PSB database, or updates prior entry and begins following IBC PSB Tracking Sheet.

5.1.3 Applicant is notified by PSA of required actions for pre-employment screening, including 1) Enrollment at shared US Access Credentialing Center or Light Credentialing Solution (LCS) station and; 2) Completion of OPM eQIP Application (if required) and submission of any additional required corrected/updated items. Every applicant is requested to complete these required actions within three business days to ensure onboarding timeliness. The IBC PSB
PSA will send via email notification 4, 8, and 12 day reminders if these items are not being completed, notifying COR in addition to applicant. At 15 days, if the applicant has not taken the required actions, the IBC PSB will discontinue pre-employment checks for this applicant, requesting COR in writing, of IBC PSB discontinuance. COR then has option to provide another applicant package for another contractor selection.

5.1.4 Once applicant has enrolled in US Access system, and completed eQIP (if required), the PSA will complete additional actions of running credit check and will submit the PSB file to the Personnel Security Specialist (PSS) for pre-employment review. PSS determines whether applicant is cleared for pre-employment or if applicant will be delayed. A memorandum/email is sent to COR by PSA regarding the determination of the PSS. If applicant is cleared to EOD, COR may set the Enter on Duty (EOD) date. If the applicant is delayed, the IBC PSB PSS will be in contact with the applicant or other entities (i.e., OPM) to obtain required additional information. Once the delay has been resolved, the COR will either receive a message that the applicant is cleared to EOD, or a request that they find another candidate as the original applicant cannot be cleared to work for DOI.

5.1.5 PSA and PSS will update all PSB database and file information, as well as DOI Access and US Access throughout the pre-employment screening process. The AD UPN and email (if required) are created by the PSA during the sponsorship step within DOI Access. Applicant records are only allowed to be made active in DOI Access and US Access systems as well as DOI Active Directory once the applicant has been cleared by IBC PSB PSS to EOD.

5.1.6 COR is required to submit all OS OCIO IT required forms, as well as building access forms, to the correct entity (i.e., Help Desk and Facilities groups), to allow the applicant to move forward in the account provisioning process. IBC PSB simply provides this information as a courtesy notification, this is not part of the on-boarding responsibility of IBC PSB.

5.1.7 Contractor applicant is required to activate PIV credential via US Access Shared Credentialing Center or Light Activation Station when slated by COR for EOD.

5.1.8 COR notifies IBC PSB office of all contractors declining positions during pre-employment processing, suspensions of contractor services to DOI, departures during the assignment, and/or the exit at the project completion. Additionally, CORs notify IBC PSB office of any contract changes (i.e., vendor changes that necessitate contract changes), contractor legal name changes for staff under their purview for required account modifications. COR modifies AWTS system regarding legal name changes and/or assignment terminations as they occur, while notifying IBC PSB.
5.1.9 IBC PSB processes legal name changes and exit clearances as submitted by COR.

5.1.10 IBC PSB also conducts required re-investigations for continued fitness determinations as mandated by OPM.

* The information and documents described in Section 5 and 10 may also be found on the IBC/Personnel Security Intranet: http://ibcnet.bc.doi.net/hr/personnel/index.cfm

6. RECORDS MANAGEMENT

The Interior Business Center SDAT PSB staff will retain copies of the policy/procedure and corresponding documents in accordance with general records schedule

7. AUTHORITY

- 5 CFR 731
- 441 DM 1 – 8

8. REFERENCES

- OMB M-11-11

9. EXCEPTIONS, LIMITATIONS

When a conflict with a higher level policy or regulation exists, the higher level policy will take precedence.

10. SECURITY PACKAGE DOCUMENTATION

10.1 Security Packages provided to the PSB must include the following documents listed below:

10.1.1 Cover Page for New Contractors, completed fully by COR (Appendix B)

10.1.2 Fair Credit Release Form (Attachment A).

10.1.3 Optional Form 306 (OF-306). Declaration for Federal Employment form completed and signed by Contractor.

10.2 A security clearance determination of whether contractor personnel should
be eligible for access to classified information is a process separate and distinct from the fitness determination. PSB should be consulted prior to the submission of a security package for a contractor who requires a security clearance.

11. VERSION CONTROL RECORD

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<td>Initial release - incorporates pre-existing procedures into a formal SOP document</td>
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<td>1.1.0</td>
<td>3/4/2014</td>
<td>Update of OPM Tool Information and attachments; Update of URL throughout document, update of some verbiage and attachments</td>
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<td>Addition of I-9 and Vendor definitions and information to clarify requirements of PSB security process; Update of URLs listed in 4.2.2 and 4.2.3; Updated number scheme in definitions, as well as table of contents</td>
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<td>1/26/2016</td>
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<td>12/19/2016</td>
<td>Modified process based on 10/1/2016 changes, updated Appendices A &amp; B, updated header/footer</td>
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12. ATTACHMENTS

Appendix A. Fair Credit Release Form
Appendix B. Cover Page for New Contractors

Approved:

[Signature]
Lynette M. Murray
Chief, Security, Drug & Alcohol Testing Division
Human Resources Directorate
Interior Business Center

12-21-16
Date
Appendix A. Fair Credit Release Form

United States Department of the Interior
Office of the Secretary

Fair Credit Reporting Release

Information provided by you will be furnished to the consumer reporting agency in order to obtain information in connection with personnel security screening to determine (1) Pre-Employment; (2) Suitability or fitness for employment; and/or (3) Security clearance or access. The information provided may be disclosed to other Federal agencies for the above purposes and in fulfillment of official responsibilities to the extent that such disclosure is permitted by law.

PLEASE TAKE NOTICE: One or more consumer credit reports may be obtained for employment purposes pursuant to the Fair Credit Reporting Act, as amended, 15 U.S.C., 1681 ET SEQ. The release is valid for one (1) year from the date signed or upon termination of your affiliation with the Federal Government, whichever is sooner. Should a decision to take any adverse action against you be made, based either in whole or in part in the consumer credit report, the consumer reporting agency that provided the report played no role in the agency’s decision to take such adverse action.

I hereby authorize the Department of the Interior, Interior Business Center to obtain such report(s) from any consumer/credit reporting agency for employment purposes.

Printed Name

Signature Date

Warning: This document may contain Privacy Act Data/Sensitive Data which is intended only for the use of the individual it is addressed or requested. It may contain information that is privileged, confidential or otherwise protected from disclosure under applicable laws.

Version: 7/22/2016
Appendix B. Cover Page for New Contractors

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<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Credential Required:</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>Credential Ship to City/State</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Contract Information**

<table>
<thead>
<tr>
<th>Vendor Name</th>
<th>Contract Number</th>
<th>Period of Performance</th>
</tr>
</thead>
</table>

**Verify all documents are included/system actions taken prior to submission**

- OF-306
- Resume (Federal only)
- Fair Credit Reporting Release
- eCStaffing (Contractor only):
  - Record Already Exists and Updated
  - New Record Entered

**Note:** By submitting this package you are verifying the I-9 or eVerify for this applicant has been completed or will be completed upon entry-on-duty.