



Ex. 13 B

U.S. General Services Administration

Vendor Training



Vendor Training Agenda



Policy / Vendor Expectations



POLICY



Requesting Official Approval List



Contractor Information Worksheet



Fitness Determination

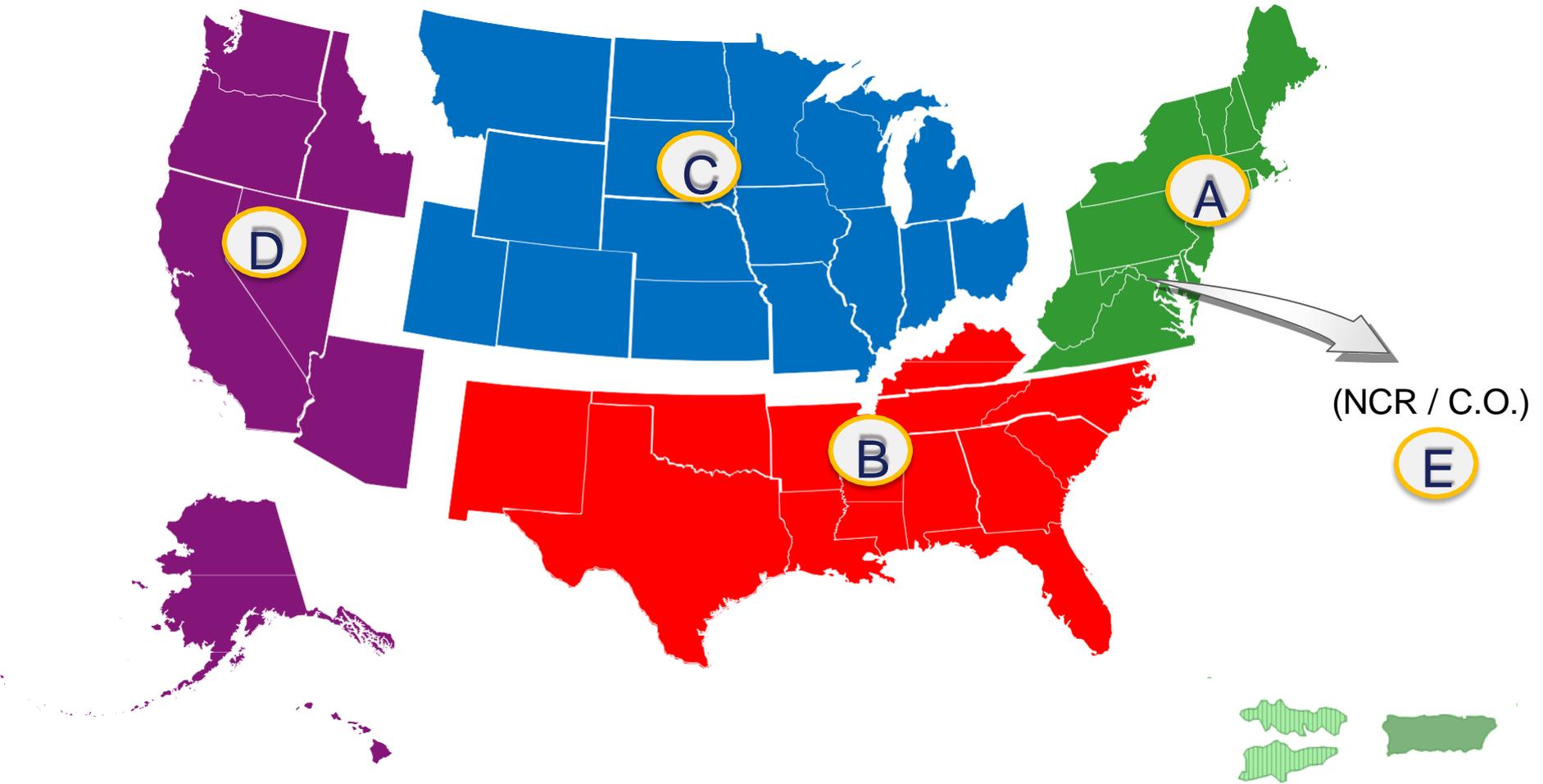


Forms (CIW / OF306 / e-QIP)

Escort Procedures

Authorization Documents

OMA Zonal Operations



Contacting the Help Desk

Zone A – (Regions 1, 2, 3)

Lead: Tom Heinze

Phone: 617-565-2051

Email: zoneA-hspd12@gsa.gov

Zone B – (Regions 4, 7)

Lead: Cheri Tow

Phone: 404-331-1002

Email: zoneB-hspd12@gsa.gov

Zone C – (Regions 5, 6, 8)

Lead: Connie Chidester

Phone: 312-886-1189

Email: zoneC-hspd12@gsa.gov

Zone D – (Regions 9, 10)

Lead: Kristy Frost

Phone: 415-844-9759

Email: zoneD-hspd12@gsa.gov



- RO Approval Lists
- CIW Template
- CIW for Applicants



- Help Desk Assistance
- e-QIP / Enrollment

Zone E – (NCR , Central Office)

Deputy Division Director: Phil Ahn

HSPD-12 Branch

Phone: 202-501-4459

Email: hspd12.security@gsa.gov

Background Overview



Why? **Consistency and Efficiency**

Objective: Standardize processes

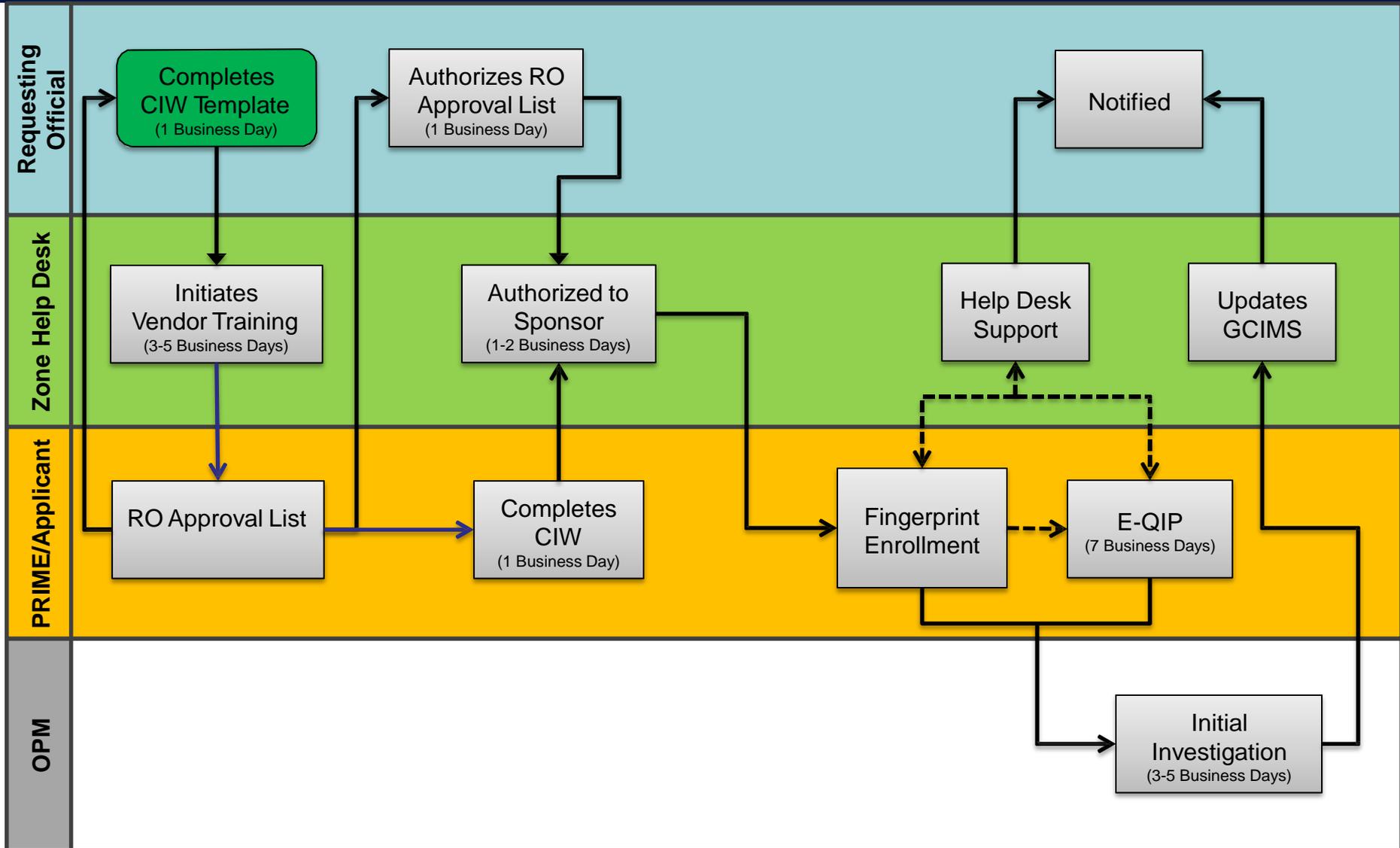
Objective: Decrease Enter on Duty timeframe

Objective: Improve accountability

Vendor Prime Expectations

- Identify a Company Point of Contact that will manage the Fitness Determination process for company employees and subcontractors working on GSA projects. (POC identified in section 2 of the CIW)
- Know your GSA Requesting Official (RO identified on CIW)
- Vendor POC responsible for assisting applicants through the fitness determination process, to include Vendor Prime subcontract personnel.
- Vendor POC will receive correspondence from GSA to include rejection notifications, determination notices, etc.
- Applicants will coordinate questions related to fitness determination process through the Vendor POC, and Zone Help Desk

Fitness Determinations Overview

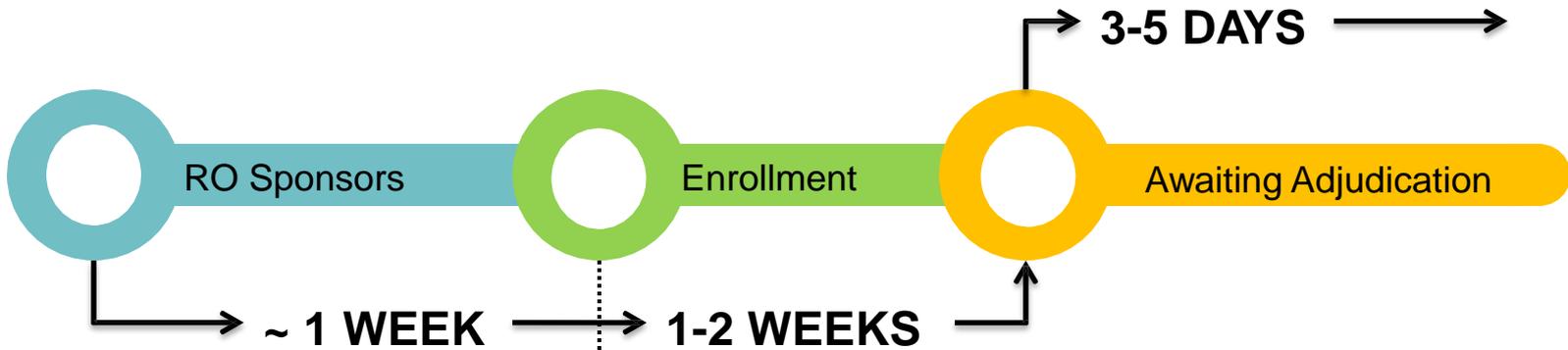


Fitness Timeline

Background Investigation Requested

45 DAYS*
*(Projected / currently under review)

Authorized to work on Government Contract



Applicant submits complete CIW
Applicant Enrolls at MSO Station
Applicant completes E-QIP

* E-QIP and enrollment most common delay

Who needs a background investigation?

- Individuals needing access to an occupied federal facility for greater than 15 days.
- All GSA contractors (both long-term working more than 6 months and short-term working less than 6 months) who need routine access to GSA facilities. Routine access is defined as a regularly scheduled need to access the facility.
- Any GSA contractor who requires regularly scheduled access to one or more GSA–controlled facilities, even under multiple contracts, should be treated as having routine access to GSA facilities. Individuals who completed an investigation previously with another agency must still complete the investigation process before working in GSA facilities.

Requesting Official (RO) Contractor Approval List

Requesting Official Contractor Approval List												
				GSA Requesting Official: <input type="text"/> Phone: <input type="text"/> E-Mail: <input type="text"/>				Contract/TO/DO/RWA # GS-xx-xx-xx-xxx-xxxx			Office Symbol: <input type="text"/>	
				Vendor Prime: <input type="text"/>				Prime POC: <input type="text"/>			Version Date: <input type="text"/>	
				POC E-Mail: <input type="text"/>								
Full Legal Name				Individual Specific				Escorting			Credentialing	
Last Name	First Name	Middle Name	Suf.	Position Title	Dates Required on Project	Date Removed from Project	Subcontractor Name	Name of Escort	Start Date	End Date	Investigation Type	GAC/PIV
Doe	John	Middle	Jr	Superintendent	01/01/17	04/01/17					Tier 1	Yes
Doe	Jane	Middle		Manager	02/01/17	03/15/17	Engineering	John Doe	02/01/15	02/05/17	Escort	No
Doe	Jane	Middle		Manager	02/01/17	03/15/17	Engineering	John Doe	03/10/17	03/15/17	Escort	No

1. Provided during Vendor Training
2. Vendor Prime initiates initial list and sends to Requesting Official
3. Approved by the Requesting Official and authorizes Zonal Help Desk to process CIWs received from Vendor Prime

Conflicts between RO Approval List and CIW

- Zonal Help Desk will defer to RO Approval List

Requesting Official (RO) Contractor Approval List

- If a CIW is received for an applicant that does not appear on this list, the CIW will not be processed and the vendor prime will be notified that he/she cannot be processed until their name appears on the approval list.
- All items on the RO Contractor Approval List are required for each contractor.
- **Adding / Removing Contractors:** RO Contractor Approval list must be updated, sent through the RO for approval.
- **Vendor Prime:** Facilitates RO Approval List and CIWs for all subcontractors.

Contractor Information Worksheet (CIW)

1. Contract Employee Information - To Be Completed By Contractor

Full Last Name(s) (Family)		Full First Name (Given)		Full Middle Name (or NMN if none)		Suffix	Gender
[Redacted]		[Redacted]		[Redacted]		[Redacted]	[Redacted]
Social Security Number	Date of Birth	Place of Birth (City)	Place of Birth (Country)	Place of Birth: U.S. State	Place of Birth: Mexico (State)/Canada (Province)		
[Redacted]	[Redacted]	[Redacted]	[Redacted]	[Redacted]	[Green]		
Home Street Address				Street Address (Line 2)			
[Redacted]				[Orange]			
City	Country	U.S. State		Mexico (State)/Canada (Province)		ZIP Code	
[Redacted]	[Redacted]	[Orange]		[Orange]		[Redacted]	
Phone Number (Work Cell)		Phone Number (Work Number)		Personal E-Mail Address		Position (Job) Title	
[Orange]		[Orange]		[Redacted]		[Redacted]	
Prior Investigation	Approximate Investigation Date	Agency Adjudicated Prior Investigation			U.S. Citizen		
[Orange]	[Orange]	[Orange]			[Redacted]		
Non-U.S. Citizens Only: Complete the following:							
U.S. Port of Entry City and State	Date of Entry	Less than 3 Years U.S. Resident	Alien Registration Number		Country of Citizenship		
[Green]	[Green]	[Green]	[Green]		[Green]		

Required Field (All Applicants)	If Applicable (All Applicants)
	Required Field (Non-U.S. Citizens)

Contractor Information Worksheet (CIW)

- The Requesting Official will initiate a CIW Template upon the award of any new contract, task order, lease, RWA and submit to the Zone Help Desk.
- The Zone Help Desk will contact the Vendor Prime to coordinate vendor training.
- The Vendor Prime will be provided the CIW Template during vendor training with the Zone Help Desk.
- Contractor Applicant (with support of the Vendor Prime) will complete section 1 of the CIW and submit to the Zone Help Desk.

Contractor Information Worksheet (CIW)

- CIW forms received for applicants not identified on the Requesting Official (RO) Contractor Approval List will be rejected.
- Any modifications to the contract that affect the contract end date, GSA or vendor POCs, contact information, etc. require a new CIW Template be submitted to the Zonal Help Desk.
- A CIW submission is required for every GSA work obligation that a contractor completes on behalf of GSA; ex. Credit card, task order, RWA.

CIW - Full Legal Name / Place of Birth

Full Legal Name

1. Contract Employee Information - To Be Completed By Contractor						
Full Last Name(s) (Family) Doe		Full First Name (Given) John		Full Middle Name (or NMN if none) NMN	Suffix N/A	Gender Male
Social Security Number 123-45-6789	Date of Birth 01/01/1979	Place of Birth (City) Los Angeles	Place of Birth (Country) United States	Place of Birth: U.S. State CA - California	Place of Birth: Mexico (State)/Canada (Province)	

Middle Name: If no middle name **"NMN"**

- Blank and/or only Initial will delay applicant processing
- Indicate "Initial Only" if applicable

Full Middle Name (or NMN if none)
Full Middle Name (or NMN if none)
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Place of Birth

Place of Birth (City) Guadalajara	Place of Birth (Country) Mexico	Place of Birth: U.S. State Not Applicable - Non US	Place of Birth: Mexico (State)/Canada (Province) MX - Jalisco
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CIW – Non U.S. Citizens

U.S. Citizen
Yes

Country of Citizenship and U.S. Citizenship fields must be consistent

Non-U.S. Citizens Only: Complete the following:

U.S. Port of Entry City and State	Date of Entry	Less than 3 Years U.S. Resident	Alien Registration Number	Country of Citizenship



U.S. Location - <https://www.cbp.gov/contact/ports>

Date of Entry / 3 Years of U.S. Residency (<https://www.uscis.gov/>)

“Continuous residence” means that the applicant has maintained residence within the United States for the required period of time shown above.

Extended absences outside of the U.S. may disrupt an applicant’s continuous residence. Absences of more than six months but less than one year may disrupt an applicant’s continuous residence unless the applicant can prove otherwise, ([see legal basis](#), [see policy manual](#))

Alien Registration Number: "A" followed by eight numbers. For example: A12 345 678. Some recently-issued A numbers consist of an "A" followed by nine digits. For example: A 200 345 678.

Fitness Determination Types

No Investigation

Escort



Short-term work up to 15 days per 6 month period

Short-Term Investigation

SAC



Short-term investigation for contractors working less than 6 months

Long-Term Investigation

Tier 1

(or Above)



Investigation for contractors working more than 6 months

Tier 1 – (NACI – National Agency Check and Inquiries)

Tier 2s - MBI

Tier 4 - BI

Special Agreement Check (SAC)

- Contractors working less than 6 months.
- Expires at 180 days (6 months) from the date of the initial suitability determination.
- GSA currently has no identification requirement.
- Contracts will coordinate with their Requesting Official for any facility access requirements.

Short-Term Contractor Fitness Determination Process (Working less than six months)

No.	Process Step	Short-Term Contractor (less than 6 months)
1	Packet Requirements	<ul style="list-style-type: none"> •Contractor Information Worksheet (CIW) •Complete OF306 Declaration of Federal Employment •Fingerprint enrollment appointment at MSO station
2	Fingerprinting	Captured electronically at USAccess/MSO credentialing stations after sponsorship in the GSA GCIMS security database. Required for contractors within 100 miles of center. Any exceptions require approval from the Zonal Help Desk.
3	Fitness Results	Results returned typically between 3-5 business days. Sent by GSA email address to applicant's distribution list with Fitness Determination results in the email.

Tier 1 Background Investigation (National Agency Check and Inquiries)

- Contractors working more than 6 months or any contractor requiring GSA network access.
- No reinvestigation requirement; current GSA policy states that this suitability determination may be validated by the Office of Mission Assurance for new continuous contractual work requirements, unless there is a (2) year break in service.
- Contractor may be issued a GSA Access Card or may need to coordinate with their Requesting Official for facility access.

Long-Term Contractor Fitness Determination Process (Greater than six months)

No.	Process Step	Long-Term Contractor (more than 6 months)
1	Packet Requirements	<ul style="list-style-type: none"> •Contractor Information Worksheet (CIW) •OF306 Declaration of Federal Employment •GSA 3665 Form-Authorization to obtain credit report •SF85 via e-QIP invitation •Fingerprint enrollment appointment at MSO station
2	Fingerprinting	Captured electronically at USAccess/MSO credentialing stations after sponsorship in the GSA GCIMS security database.
3	e-QIP Process	Invites will be issued by OMA National Office. Form requirements will be the SF85, OF306 and the GSA3665; completed via the e-QIP questionnaire. Communications regarding e-QIP status will be sent to the GSA CO, COR, and Vendor company.
4	Fitness Results	Sent by GSA email address to applicant's distribution list with Fitness Determination results in the email.

Forms: OF-306

GENERAL INFORMATION

1. **FULL NAME** (Provide your full name. If you have only initials in your name, provide them and indicate "Initial only". If you do not have a middle name, indicate "No Middle Name". If you are a "Jr.," "Sr.," etc. enter this under Suffix. First, Middle, Last, Suffix)

◆ John "No Middle Name" Doe

Common mistakes:

John I Doe (Does not indicate Initial Only)

John Doe (No Middle Name)

Jonny Doe – (Nickname does not match legal name)

- 7a. Are you a male born after December 31, 1959? YES NO (If "NO", proceed to 8.)
- 7b. Have you registered with the Selective Service System? YES (If "YES", proceed to 8.) NO (If "NO", proceed to 7c.)
- 7c. If "NO," describe your reason(s) in item 16.

Unsure? Verify Online on the Selective Service System
(<https://www.sss.gov/Home/Verification>)



Forms: OF-306

Background Information

For all questions, provide all additional requested information under item 16 or on attached sheets. The circumstances of each event you list will be considered. However, in most cases you can still be considered for Federal jobs.

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9. During the last 7 years, have you been convicted, been imprisoned, been on probation, or been on parole? (Includes felonies, firearms or explosives violations, misdemeanors, and all other offenses.) *If "YES," use item 16 to provide the date, explanation of the violation, place of occurrence, and the name and address of the police department or court involved.*
-
10. Have you been convicted by a military court-martial in the past 7 years? (If no military service, answer "NO.") *If "YES," use item 16 to provide the date, explanation of the violation, place of occurrence, and the name and address of the military authority or court involved.*
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11. Are you currently under charges for any violation of law? *If "YES," use item 16 to provide the date, explanation of the violation, place of occurrence, and the name and address of the police department or court involved.*
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12. During the last 5 years, have you been fired from any job for any reason, did you quit after being told that you would be fired, did you leave any job by mutual agreement because of specific problems, or were you debarred from Federal employment by the Office of Personnel Management or any other Federal agency? *If "YES," use item 16 to provide the date, an explanation of the problem, reason for leaving, and the employer's name and address.*
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13. Are you delinquent on any Federal debt? (Includes delinquencies arising from Federal taxes, loans, overpayment of benefits, and other debts to the U.S. Government, plus defaults of Federally guaranteed or insured loans such as student and home mortgage loans.) *If "YES," use item 16 to provide the type, length, and amount of the delinquency or default, and steps that you are taking to correct the error or repay the debt.*

Forms: e-QIP Initiation

- How to Obtain the Registration Code: Each applicant must obtain a passcode that will enable him/her to access the e-QIP questionnaire.
- Fingerprint Enrollment Process: Each applicant must submit fingerprints to OPM as part of the fitness determination requirement prior to e-QIP certification.
- Completing the e-QIP: This section includes instructions for the applicant to complete the questionnaire, upload the completed OF-306 and GSA 3665 forms, electronically sign the certifications and submit the e-QIP to OPM.

Forms: e-QIP

- Required for Tier 1 and above: Strongly Recommend providing applicants an SF-85 (as a worksheet only) once an applicant is identified to receive a background check.
- Applicants should initiate e-QIP within **7 days**
- Contact Zone Help Desk for assistance
- Applicants must certify their responses and upload OF306 and GSA 3665



Forms: E-QIP Assistance

Most common delay during fitness determination process

Zonal Help Desk Services:

- Registration Codes
- Account Resets
- Provides assistance to the applicant

Applicants are provided 2 account re-initiations for terminated e-QIP applications. Subsequent requests will be denied for a period of 1 year since the initial application.

Forms: Encryption

In accordance with the 1974 Privacy Act. GSA recommends securing files categorized as Personally Identifiable Information (PII) and Controlled Unclassified information (CUI), also known as Sensitive But Unclassified information (SBU), by encrypting them. Personally Identifiable Information (PII) refers to information that can be used to distinguish or trace an individual's identity, such as an applicants date of birth, social security number, and personal email address.

- Zip PII files (RO Contractor Approval List / CIW)
- Password Protect
- Send password in separate email

Escort Procedures

- Individuals needing escort-only access must be listed on the RO Contractor Approval List.
- To receive approval for escort-only access on a GSA project the applicant must submit a CIW as well as the full legal name of the individual doing the escorting and the dates of escort in the email containing their CIW.
- Contractors may be approved for escorted access up to 15 cumulative days within a 6-month period.
- Those working more than 15 days must complete the applicable fitness determination process.
- Individuals in the process of completing a GSA fitness determination are not allowed to be escorted.

Escort Procedures, cont.

- Applicants who have previously been found unfit or have received a notice to wait for a final fitness determination cannot be considered for escort-only access.
- The person doing the escorting must be either a federal employee, FPS security contractor, or GSA contractor who is in possession of a GSA issued PIV credential.
- Escorts are responsible for the whereabouts and activities of escorted personnel at all times, and must remain within line of sight of escorted individuals at all times while in non-public space.
- GSA PMs/CORs should consider the type of project and proximity to escorted contractors. It is suggested that 5-7 people per escort is typically manageable.

Contractors with Prior Investigations

- Current policy has no reinvestigation requirements for a Tier 1 investigation as long as the contractor has active work identified in their GCIMS security record.
- The contractor must be identified on the RO Contractor Approval List and a CIW submitted to the Zone Help Desk.
- If it has been more than 2 years since the individual has worked on a GSA contract/project, the prior investigation is invalid. The contractor must complete an updated CIW and undergo a new background investigation and receive their enter-on-duty determination prior to accessing the facility or receiving credentials.
- Before starting work the contractor must await results of new investigation and/or notification that individual is authorized to begin work on the new contractual requirements.

Fingerprinting and Enrollment

Locating a center: <http://www.fedidcard.gov/>

- Two forms of ID: Primary and Linking document requirements
- Select a “Shared” facility

Scheduling an “enrollment” appointment:

<https://app3.timetrade.com/tc/login.do?url=usaccess>



Fingerprinting and Enrollment

Outside the 100 mile radius & other exceptions:

Email exception request to the Zone Help Desk

Contractors requiring an HSPD-12 card will not be approved and **MUST** enroll at a credentialing center.

For approved exceptions, in lieu of the electronic fingerprint, two hard copies of the SF-87 fingerprint card will be required. Applicants may utilize their local law enforcement agency or a professional fingerprinting service. These may have a nominal fee.

Accessing GSA Facilities: Determinations

- SAC – for those working only up to 6 months.
- Enter On Duty – preliminary results for those working more than 6 months. May begin working while waiting on final.
- Must Wait for Final – individuals receiving this notice are not authorized to work, even with an escort.
- Final Fit – final results for those working more than 6 months.
- Final Unfit – individuals receiving this notice are not authorized to work, even with an escort. Must wait 1 year before reapplying to work on GSA contracts.

Contract Closeout



Provide GSA Point of Contact with Final RO Approval List

- Return GACs to GSA Requesting Official
- Documents Uncollectable / Lost / Missing GAC
- Identify Contractors with continuing Active GSA work



Summary

Process Change:

- Requesting Official Approval list, CIW and Zonal Help Desk
- Vendor Prime Accountability

Zone Help Desk Services

- Facilitate vendor training and provide direct applicant assistance
- Name Changes
- Place of Birth Corrections
- e-QIP Registration Code issuance
- Username / password resets
- Cancelling cases



Acronyms

CIW: Contractor Information Worksheet

e-QIP: Electronic Questionnaire for Investigation Processing

FAC: Facility Access Card (Issued for individual facilities)

GAC: GSA Access Card

GCIMS: GSA Credential & Identity Management System

HSPD-12: Homeland Security Presidential Directive 12

MSO: Managed Service Office

OMA: Office of Mission Assurance

OPM: Office of Personnel Management

PIV: Personal Identity Verification (PIV), also know as GAC, HSPD-12 Credential, etc.

RO: Requesting Official

SAC: Special Agreement Check

Questions?