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Statement of Work

Title: Pre-Employment Background Investigation

Revision Number: 4

Date: 8/25/2015

Statement of Work for *Pre-Employment Background Investigation*

1.0 INTRODUCTION / BACKGROUND

The Safeguards and Security (SAS) program provides the Mission Support Alliance (MSA) and its subcontractor customers with personal information on candidates for employment and for applicants for a U.S. Department of Energy Security Clearance. Within SAS, the Personnel Security department contracts with a private investigative service to provide pre-employment investigations (for non-security clearance holders) and pre-clearance suitability investigations (for security clearance holders). The private investigative service (hereafter referred to as the “subcontractor”) provides the results of their investigation (either pre-employment or pre-clearance suitability) to Personnel Security which, in turn, analyzes the information and then prepares summary reports to the appropriate Human Resource office.

2.0 OBJECTIVE

Provide the MSA or its subcontractor customers with accurate information concerning an individual’s past. The purpose for gathering this information is to determine if an individual is suitable for employment, continued employment, or to apply for a DOE security clearance if one is initially or subsequently required. The information gathered contributes greatly to employee safety, company, and DOE security.

3.0 DESCRIPTION OF WORK – SPECIFIC

The subcontractor shall conduct pre-employment and/or pre-clearance suitability inquiries as detailed below. An inquiry will be considered complete when all areas being reviewed are completed and the BTR is in receipt of the final report.

The subcontractor shall provide the BTR with a report that lists the results of each inquiry area.



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The subcontractor shall, as determined by the BTR, transmit a copy of the report either electronically, fax, or in writing via U.S. mail. Telephone changes, additions, and amendments to the basic report are acceptable if approved by the BTR.

The subcontractor shall maintain a tracking system that will enable it to provide the BTR with the current status of each investigation. These status checks shall be available via telephone or electronically during normal business hours.

The subcontractor shall be knowledgeable of, and remain in compliance with, the Department of Energy Acquisition Regulations (DEAR) Sub-part 970.2201 (b) (1) (ii), "Basic Labor Policies," and "Employment Standard." The MSA reserves the right to modify this statement of work at no cost to the MSA if the above-mentioned employment standard is modified by the U.S. Department of Energy.

The subcontractor shall comply with the Fair Credit Reporting Act and provide certification of compliance to the BTR.

The subcontractor shall re-verify any information requested by the BTR at no additional cost.

The subcontractor shall utilize current computer technology. When feasible, subcontractor shall utilize computer link/hookup with Federal, state and local information providers.

The subcontractor shall provide the BTR with the option of either inputting the request (applicant's information) directly into the subcontractor's database and/or telephonically faxing or email the request for a background or pre-suitability investigation directly to the subcontractor.

The subcontractor shall maintain multiple billing capabilities. Billing documentation shall include the following:

- Coversheet to include invoice date, due date, and total billing for each monthly invoice.
- Date subcontractor received request for investigative services
- Date subcontractor delivered a completed investigative report to BTR
- Applicant's name
- Applicant's Social Security Number (the last four digits)
- Name of the subcontractor's point of contact
- Total amount charged for each applicant
- Last page of billing will include totals



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The subcontractor will provide specific background investigation information that addresses each of the following Inquiry Areas:

Criminal History:

Inquire to all localities (county, state, federal) where the applicant has resided, worked, or attended an institution of higher learning for sixty (60) days or longer during the last ten (10) years, for information on arrests resulting in convictions when such checks are not prohibited by state or local law, statute, or regulation. Any convictions listed on the application that occurred within the last 10 years will also be verified. Excludes locations outside the United States unless specifically requested by the BTR.

Upon request of the BTR, the subcontractor shall provide, to the degree possible, supporting documentation of convictions as described above, i.e., court records, police reports, financial documents, etc. This documentation shall be provided at no additional cost.

Credit Check:

Depending on the position applied for, inquire as needed to determine financial/credit status from at least one accredited Credit Bureaus.

Education, Degree, Technical Certification, or Industry Accreditation Verification:

Inquiry to verify any claimed high school diploma, GED, or highest degree granted by an institution of higher learning, regardless of when the degree was obtained. When requested by the BTR, also inquire to verify any claimed technical skill certification, license, or industry accreditation/certification.

If the applicant claims a diploma, GED, or higher degree granted by an institution of higher learning located outside the United States, an international education verification will be attempted. To the degree possible, the subcontractor will advise the BTR if the institution of higher learning issuing the credential is itself, accredited, and/or recognized by a United States accreditation board, council, or institution of higher learning.

If the applicant claims completion of an apprenticeship program through a union, verification of the claim should be made through the appropriate union official.

If the applicant claims current enrollment at an institution, the current enrollment will be verified, in addition to verification of the highest degree/diploma already obtained.

When a degree or diploma appear to have been obtained through a “Diploma Mill,” alert the BTR to this situation and provide documentation as to why the institution is suspected of being a “Diploma Mill.”

Should an applicant claim multiple degrees, it may be necessary to verify all degrees earned if the degree applies to certain work scope or if the degree is directly related to the position for which they are applying.



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Driving Record: (Required for approximately 5 percent or less of cases)

Inquiry to determine any violation on an applicant's driving record from current State Department of Licensing (where not prohibited by state or local law, statute, or regulations).

Employment:

Normal cases require contacts with listed employers for the past five (5) years to verify claimed employment (excluding employment of less than sixty (60) days duration). Investigations on juvenile applicants shall include listed employments of less than sixty (60) days duration.

Any unemployment period of six (6) months in duration or longer will be verified/confirmed by contact with an individual other than the applicant.

If the applicant claims several employment periods of less than sixty (60) days and several short unemployment periods, but these add up to a total in excess of 180 days, a source will be contacted to verify the applicant's general activities.

Employment Eligibility:

Provide the buyer with an accessible on line database whereby the individual's Social Security Number and/or other provided personal information obtained from list A, B, or C from the I-9 Form, may be entered as part of the Employee Information and Verification (E-Verify) process through access to United States Government databases that will determine if the individual is eligible for employment in the United States. Allow for printable reports.

Personal References:

Conduct inquiries with the two (2) personal references listed on the Pre-Employment application and conduct an inquiry with one (1) reference developed by the subcontractor.

- Length of time the reference has known the individual and in what capacity (e.g. neighbor, co-worker, student).
- Knowledge of criminal convictions.
- Knowledge of any use of illegal drugs or marijuana (regardless of legal status of the substance in the inquiry jurisdiction), or alcohol abuse.
- Knowledge of individual's reliability and discretion in relation to traits or behavior that might affect employee safety or National Security.
- Knowledge of individual's psychological or financial problems that would make them susceptible to coercion.
- Personal references must not be related to the subject and must have had contact with the applicant within the last year.



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4.0 REQUIREMENTS

General

4.1 Engineering Requirements - NONE

4.2 Environment, Safety, & Health (ES&H) Requirements

The subcontractor shall perform work safely, in a manner that ensures adequate protection for employees, the public, and the environment, and shall be accountable for the safe performance of work. The subcontractor shall comply with, and assist the Contract Specialist in complying with Environmental, Safety, Health, and Quality (ESH&Q) requirements of all applicable laws, regulations, and directives.

The subcontractor shall exercise a degree of care commensurate with the work and the associated hazards. The subcontractor shall ensure that management of ES&H functions and activities is an integral and visible part of the subcontractor's work planning and execution processes. As a minimum, the subcontractor shall:

- Thoroughly review the defined scope of work
- Identify hazards and ES&H requirements
- Analyze hazards and implement controls
- Perform work within controls
- Provide feedback on adequacy of controls and continue to improve safety management

The subcontractor shall flow down ESH&Q requirements to the lowest tier subcontractor performing work on the Hanford site commensurate with the risk and complexity of the work.

4.3 Quality Assurance (QA) Requirements - NONE

4.4 Government Property – NONE ANTICIPATED

5.0 PERSONNEL REQUIREMENTS

5.1 Training and Qualifications

Subcontractor shall ensure that its personnel meet and maintain the appropriate training, qualification and certification requirements.

5.2 Security and Badging Requirements

For any on site work, see Special Provisions – On Site Services for details.

Subcontractor employees will be required to submit to vehicle searches and not personally carry or transport certain prohibited articles.



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5.3 Work Location / Potential Access Requirements

Work is performed primarily at the subcontractor's corporate office in ~~Pleasant Hill, CA~~. No on-Site (Hanford) visit/work at Project Hanford is anticipated.

5.4 Site Access and Work Hours

Hanford personnel at the Hanford Site work a standard 4/10 schedule. The standard work week consist of ten (10) hours of work between 6:00 am and 4:30 pm, with one-half hour designated as an unpaid period for lunch, Monday through Thursday.

The awarded subcontractor must operate on Pacific Standard Time. If not physically located in that time zone, the subcontractor will have staff available to take subcontractor calls and process service requests between 8:00 AM and 5:00 PM Pacific Standard Time.

6.0 MEETINGS / SUBMITTALS

Subcontractor shall participate in all teleconference and/or video conferencing as may be required by the BTR. Subcontractor is responsible for providing teleconferencing and/or video conferencing technology and equipment at subcontractor's expense.

7.0 DELIVERABLES AND PERFORMANCE SCHEDULE REQUIREMENTS

7.1 Completion Times

Normal Request: Monthly average of no more than seven (7) working days. Normal requests will be completed in chronological sequence according to when they are received by the subcontractor.

Expedited Request: No more than three (3) working days. If the subcontractor does not provide a completed expedited report within the specified 3 working days, subcontractor will invoice the "Normal" Request price.

7.2 Measuring Completion Times

For the purpose of measuring case completion times, the subcontractor shall count the day of receipt if receipt of the request is before 10 a.m. subcontractor's local time. The day of receipt shall not be counted if the subcontractor receives the request after 10 a.m. Subcontractor's local time. The subcontractor shall count the day of case completion, if the case is completed and report provided to the BTR after 12 noon BTR's local time.

7.3 Written Reports

Computer generated report to be provided to BTR upon completion of inquiry. Report shall contain:



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- Name of agency
- Address and phone number
- Date of inquiry
- Name of person providing the information
- Results of each inquiry area to include negative results, (e.g. no record of criminal convictions found)
- Credit Bureau (s) contact information

7.4 Format of Reports

Each report will be clear, concise, and easy to understand. Each report will have a coversheet and summary identifying the following elements: name and the subject of the report; date of birth; social security number; home address; mailing address (if different from home address). The coversheet should also indicate if the report contains derogatory information.

Acceptance Criteria:

An inquiry will be considered complete when all areas of the inquiry are completed and the BTR is in receipt of the final report.

BTR: Steven J. Peterson (509) 376-1846

Technical Lead: Daniel G. Campbell (509) 376-3066