



EVER VIGILANT

**GENERAL SERVICES ADMINISTRATION**

**FEDERAL SUPPLY SERVICE**

**AUTHORIZED FEDERAL SUPPLY SCHEDULE PRICE LIST**

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**Multiple Award Schedule (MAS)**

*SIN 561611: HR Support: Pre-Employment Background Investigations/Pre-Adjudication (FSC/PSC Code: R799)*

*SIN OLM: Order Level Materials (OLMs)*

**Contract Number:** 47QSEA19D00A9

**Modification Number PO-0014:** October 5, 2020

For more information on ordering from Federal Supply Schedules click on the FSS Schedules button at:

[www.fss.gsa.gov](http://www.fss.gsa.gov)

**Contract Period:**

July 23, 2019 through July 22, 2024

**CACI, INC.–FEDERAL**

**14370 Newbrook Drive**

**Chantilly, VA 20151**

**Phone: 703-679-4177**

**Fax: 703-679-3101**

**Web Address:** [www.cacigsa@caci.com](mailto:www.cacigsa@caci.com)

**Business Size:** Large

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# 1 CUSTOMER INFORMATION

## 1a. Awarded Special Item Number(s) with Cross-Reference to Item Descriptions and Awarded Price(s)

The CACI, INC.–FEDERAL (CACI) GSA Multiple Award Schedule (MAS) contract includes the following services:

| Service Descriptions   | Item Description Reference | Awarded Price Reference                    |
|--|----------------------------|--|
| <b>SIN 561611: HR Support: Pre-Employment Background Investigations Case Types</b> | <b>Section 2</b>           | <b>Section 4</b>                           |
| • Tier 2 (with a Subject Interview) (T2S)  | Section 2.1                | Section 4                                  |
| • Tier 2 Reinvestigation (with a Subject Interview) (T2RS)                         | Section 2.2                | Section 4                                  |
| • Tier 3 (with a Subject Interview) (T3)   | Section 2.3                | Section 4                                  |
| • Tier 3 Reinvestigation (with a Subject Interview) (T3R)                          | Section 2.4                | Section 4                                  |
| • Tier 4 (T4)  | Section 2.5                | Section 4                                  |
| • Tier 4 Reinvestigation (T4R)   | Section 2.6                | Section 4                                  |
| • Tier 5 (T5)  | Section 2.7                | Section 4                                  |
| • Tier 5 Reinvestigation (T5R)   | Section 2.8                | Section 4                                  |
| • Triggered Enhanced Subject Interview (TESI)                                      | Section 2.9                | Section 4                                  |
| • Additional Lead Activity (ADL) – Individual Subject Re-Contact                   | Section 2.10               | Section 4                                  |
| • Additional Lead Activity (ADL) – Individual Telephonic Subject Re-Contact        | Section 2.11               | Section 4                                  |
| • Additional Lead Activity (ADL) – Individual Source Interview                     | Section 2.12               | Section 4                                  |
| • Additional Lead Activity (ADL) – Individual Telephonic Source Interview          | Section 2.13               | Section 4                                  |
| • Additional Lead Activity (ADL) – Individual Record Check                         | Section 2.14               | Section 4                                  |
| • Additional Lead Activity (ADL) – Individual Telephonic/Fax/Online Record Check   | Section 2.15               | Section 4                                  |
| <b>SIN OLM: Order Level Materials (OLMs)</b>                                       | <b>Section 3</b>           | <b>At the Task or Delivery Order Level</b> |

## 1b. Pricing Tables

The pricing table in the Services Price List for SIN 561611, provided in Section 4, includes a range of prices based on the case type offered.

## 1c. Hourly Rates

| Service Descriptions   | Item Description Reference | Awarded Price Reference |
|--|----------------------------|-------------------------|
| <b>SIN 561611: HR Support: Pre-Employment Background Investigations/ Pre-Adjudication Labor Categories</b> | <b>Section 2</b>           | <b>Section 4</b>        |
| • Program Manager  | Section 2.16               | Section 4               |
| • Project Control Analyst  | Section 2.17               | Section 4               |
| • Industrial Security I  | Section 2.18               | Section 4               |
| • Industrial Security II   | Section 2.19               | Section 4               |
| • Industrial Security III  | Section 2.20               | Section 4               |
| • Case Review I  | Section 2.21               | Section 4               |
| • Case Review II   | Section 2.22               | Section 4               |
| • Case Review III  | Section 2.23               | Section 4               |

**2. Maximum Order**

The maximum order is as shown below:

| Special Item Number   | Maximum Order |
|---|---------------|
| SIN 561611: HR Support: Pre-Employment Background Investigations/Pre-Adjudication | \$1,000,000   |
| SIN OLM: Order-Level Materials (OLMs)   | \$100,000     |

**3. Minimum Order**

The minimum order designated is \$100.

**4. Geographic Coverage (Delivery Area)**

The geographic coverage for this Schedule/Price List covers the United States (all 50 states) and the District of Columbia.

**5. Point(s) of Production (City, County, and State or Foreign Country)**

The primary services under this Schedule/Price List are located in Chantilly, Virginia. However, if during the performance of any order under this contract, CACI uses one or more facilities located at a different address than in this price list, the place of performance will be specified in the individual order.

**6. Discount from List Prices or Statement of Net Price**

Prices shown are NET prices; basic discounts have been deducted based on volume ordered.

**7. Quantity Discounts**

The quantity discounts will be determined at the task order level.

**8. Prompt Payment Terms**

CACI terms are net 30 days, upon receipt of invoice for each case completed. Case completion is returning the report of investigation to the ordering agency.

Information for Ordering Offices: Prompt payment terms cannot be negotiated out of the contractual agreement in exchange for other concessions.

**9a. Government Purchase Cards Below the Micro-Purchase Threshold**

CACI will accept Government purchase cards for orders below the micro-purchase threshold of \$3,500.

**9b. Government Purchase Cards Above the Micro-Purchase Threshold**

Purchase cards are not accepted for payment above the micro-purchase threshold of \$3,500.

**10. Foreign Items**

Not applicable.

**11a. Time of Delivery**

The time of delivery for initial cases for SIN 561611 is based on 40 calendar days from receipt by CACI. Reinvestigations under SIN 561611 will be 60 calendar days from receipt. Delivery can be modified by customer requirements and may require a modification of price.

**11b. Expedited Delivery**

Items available for expedited delivery are noted in this price list; specifically, the case types with a 40-day delivery are considered expedited as offered. CACI may provide further expedited delivery as negotiated at the task order level.

**11c. Overnight and 2-Day Delivery**

Overnight/2-day delivery will be negotiated on a case-by-case basis. The customer may contact CACI GSA Sales to affect a faster delivery.

**11d. Urgent Requirements**

When the Federal Supply Schedule contract delivery period does not meet the bona fide urgent delivery requirements of an ordering agency, agencies are encouraged, if time permits, to contact the Contractor for the purpose of obtaining accelerated delivery. The Contractor shall reply to the inquiry within 3 workdays after receipt. (Telephonic replies shall be confirmed by the Contractor in writing.) If the Contractor offers an accelerated delivery time acceptable to the ordering agency, any order(s) placed pursuant to the agreed upon accelerated delivery time frame shall be delivered within this shorter delivery time and in accordance with all the other terms and conditions of the contract to include the negotiated price adjustment.

**12. F.O.B. Point(s)**

Delivery FOB Destination – All 50 States, all United States Territories, and the District of Columbia.

**13a. Ordering Address(es)**

For mailed orders:

CACI, INC.–FEDERAL  
Attention: GWAC GSA PMO  
14370 Newbrook Drive Chantilly, VA 20151

For orders by email: [cacigsa@caci.com](mailto:cacigsa@caci.com) for orders by facsimile transmission:

CACI, INC.–FEDERAL  
Attention: GWAC GSA PMO  
Fax: 703-679-3101  
To Verify Transmission: 703-679-4177

**13b. Ordering Procedures**

For supplies and services, the ordering procedures and information on Blanket Purchase Agreements (BPAs) are found in Federal Acquisition Regulation (FAR) 8.405-3.

**14. Payment Address(es)**

Payment of invoices shall be made to the following address:

CACI, INC.–FEDERAL  
P.O. Box 418801  
Boston, MA 02241-8801

**15. Warranty Provision**

Limitation of Liability: The Contractor will not be liable to the customer agency for changes in public records as related to SIN 561611.

**16. Export Packing Charges**

As stated on individual orders.

**17. Terms and Conditions of Government Purchase Card Acceptance**

CACI will accept the Government Purchase Card for payments equal to or less than the micro-purchase threshold of \$3,500.

**18. Terms and Conditions of Rental, Maintenance, and Repair**

Not applicable.

**19. Terms and Conditions of Installation**

Not applicable.

**20. Terms and Conditions of Repair Parts**

Not applicable.

**20a. Terms and Conditions for Other Services**

Not applicable.

**21. List of Service and Distribution Points**

Not applicable.

**22. List of Participating Dealers**

Not applicable.

**23. Preventive Maintenance**

Not applicable.

**24a. Special Attributes**

Not applicable.

**24b. Section 508 Compliance Information**

Not applicable.

**25. Data Universal Number System (DUNS) Number**

The DUNS number for CACI, INC.–FEDERAL is 11-489-6066.

**26. Notification Regarding Registration in System for Award Management (SAM) Database**

CACI confirms that it is registered in SAM at [www.sam.gov](http://www.sam.gov) and all information is current.

**27. SIN 561611 Cancellation Policy**

Investigations cancelled prior to completion will result in the following billing rates expressed as a percentage of full per-unit case prices based on the number of days that the investigation has been in progress at the time of receiving written notification of cancellation from the customer agency.

| All Case Types  |         |
|-----------------|---------|
| Calendar Days   | Percent |
| 1 – 4 Days      | 25%     |
| 5 – 11 Days     | 75%     |
| 12 Days or More | 100%    |



## 2 SIN 561611, BACKGROUND INVESTIGATION CASE TYPE & PRE-ADJUDICATION LABOR CATEGORY DESCRIPTIONS

### 2.1 Tier 2 (with a Subject Interview) (T2S)

**Product Description:** The Tier 2S is conducted for Non-Sensitive positions designed as Moderate Risk Public Trust. The Tier 2S consists of an Enhanced Subject Interview (ESI) and law enforcement agency checks. Additional record checks may also be required. Expandable Focused Investigation (EFI) Flags will be resolved before the case is returned to the adjudicating facility.

**Scope and Coverage:** Specific scope and coverage requirements are contained in the Tiered Investigation Guide, dated 06/25/2018, and Handbook Revision Notices. Extra coverage factors, as outlined in the Office of Personnel Management (OPM) Investigator's Handbook, with overlay dated December 2015 and Handbook Revision Notices, may also be requested by agencies for certain positions. Information validated in a prior investigation, the results of which are not expected to change (e.g., verification of education degree), shall not be repeated as part of subsequent investigations.

**Subject Contact:** Conducted if Subject needs to be contacted outside of the ESI or Triggered Enhanced Subject Interview (TESI).

**State and/or Local Law Enforcement Agency Checks:** Record for all developed locations where Subject has lived, worked, or attended school for any consecutive period of 6 months or more within the last 5 years. Record with disposition for any listed or developed arrest, charge, or conviction (exception: fines of less than \$1,000 for traffic offenses that do not involve alcohol or drugs) within the last 5 years when not covered via inquiry. Record with disposition for all arrests, charges, or convictions that involve felonies, firearms, or domestic violence regardless of date of occurrence when not covered via inquiry. Additional record checks may also be required when an inquiry is pending at Case Review/Case Close or an inquiry is returned indicating a check was not conducted, referred to another location, or the result was inconclusive.

**EFI Flag Resolution:** Record and personal sources obtained as specified by the EFI Flag. Issues previously investigated or adjudicated do not qualify as a current flag or need additional follow-up unless there is new information or the issue extends into the current period of investigation.

### 2.2 Tier 2 Reinvestigation (with a Subject Interview) (T2RS)

**Product Description:** The Tier 2RS is a reinvestigation conducted for Non-Sensitive positions designed as Moderate Risk Public Trust. The Tier 2S consists of an Enhanced Subject Interview (ESI) and law enforcement agency checks. Additional record checks may also be required. EFI Flags will be resolved before the case is returned to the adjudicating facility.

**Scope and Coverage:** Specific scope and coverage requirements are contained in the Tiered Investigation Guide, dated 06/25/2018, and Handbook Revision Notices. Extra coverage factors, as outlined in the OPM Investigator's Handbook, with overlay dated December 2015 and Handbook Revision Notices, may also be requested by agencies for certain positions. Information validated in a prior investigation, the results of which are not expected to change (e.g., verification of education degree), shall not be repeated as part of subsequent investigations.

**Subject Contact:** Conducted if Subject needs to be contacted outside of the ESI or TESI.

**State and/or Local Law Enforcement Agency Checks:** Record for all developed locations where Subject has lived, worked, or attended school for any consecutive period of 6 months or more since the Date of the Last Investigation (DOLI), not to exceed 7 years. Record with disposition for any listed or developed arrest, charge, or conviction (exception: fines of less than \$1,000 for traffic offenses that do not involve alcohol or drugs) since the DOLI, not to exceed 7 years, when not covered via inquiry. Record

with disposition for all arrests, charges, or convictions that involve felonies, firearms, or domestic violence regardless of date of occurrence when not covered via inquiry if not covered in a previous investigation. Additional record checks may also be required when an inquiry is pending at Case Review/Case Close or an inquiry is returned indicating a check was not conducted, referred to another location, or the result was inconclusive.

**EFI Flag Resolution:** Record and personal sources obtained as specified by the EFI Flag. Issues previously investigated or adjudicated do not qualify as a current flag or need additional follow-up unless there is new information or the issue extends into the current period of investigation.

### 2.3 Tier 3 (with a Subject Interview) (T3)

**Product Description:** The Tier 3 is conducted for Non-Critical Sensitive, Military Accessions, and/or Requiring Eligibility for “L” access to Confidential or Secret Information. The Tier 3 consists of law enforcement agency checks. Additional record checks may also be required. EFI Flags will be resolved before the case is returned to the adjudicating facility.

**Scope and Coverage:** Specific scope and coverage requirements are contained in the Tiered Investigation Guide, dated 06/25/2018, and Handbook Revision Notices. Extra coverage factors, as outlined in the OPM Investigator’s Handbook, with overlay dated December 2015 and Handbook Revision Notices, may also be requested by agencies for certain positions. Information validated in a prior investigation, the results of which are not expected to change (e.g., verification of education degree), shall not be repeated as part of subsequent investigations.

**Subject Contact:** Conducted if Subject needs to be contacted outside of the TESI.

**State and/or Local Law Enforcement Agency Checks:** Record for all developed locations where Subject has lived, worked, or attended school for any consecutive period of 6 months or more within the last 5 years. Record with disposition for any listed or developed arrest, charge, or conviction (exception: fines of less than \$1,000 for traffic offenses that do not involve alcohol or drugs) within the last 5 years when not covered via inquiry. Record with disposition for all arrests, charges, or convictions that involve felonies, firearms, or domestic violence regardless of date of occurrence when not covered via inquiry. Additional record checks may also be required when an inquiry is pending at Case Review/Case Close or an inquiry is returned indicating a check was not conducted, referred to another location, or the result was inconclusive.

**EFI Flag Resolution:** Record and personal sources obtained as specified by the EFI Flag. Issues previously investigated or adjudicated do not qualify as a current flag or need additional follow-up unless there is new information or the issue extends into the current period of investigation.

### 2.4 Tier 3 Reinvestigation (with a Subject Interview) (T3R)

**Product Description:** The Tier 3R is a reinvestigation conducted for Non-Critical Sensitive, Military Accessions, and/or Requiring Eligibility for “L” access to Confidential or Secret Information. The Tier 3R consists of law enforcement agency checks. Additional record checks may also be required. EFI Flags will be resolved before the case is returned to the adjudicating facility.

**Scope and Coverage:** Specific scope and coverage requirements are contained in the Tiered Investigation Guide, dated 06/25/2018, and Handbook Revision Notices. Extra coverage factors, as outlined in the OPM Investigator’s Handbook, with overlay dated December 2015 and Handbook Revision Notices, may also be requested by agencies for certain positions. Information validated in a prior investigation, the results of which are not expected to change (e.g., verification of education degree), shall not be repeated as part of subsequent investigations.

**Subject Contact:** Conducted if Subject needs to be contacted outside of the TESI.

**State and/or Local Law Enforcement Agency Checks:** Record for all developed locations where Subject has lived, worked, or attended school for any consecutive period of 6 months or more since the DOLI, not to exceed 7 years. Record with disposition for any listed or developed arrest, charge, or conviction (exception: fines of less than \$1,000 for traffic offenses that do not involve alcohol or drugs) since the DOLI, not to exceed 7 years, when not covered via inquiry. Record with disposition for all arrests, charges, or convictions that involve felonies, firearms, or domestic violence regardless of date of occurrence when not covered via inquiry if not covered in a previous investigation. Additional record checks may also be required when an inquiry is pending at Case Review/Case Close or an inquiry is returned indicating a check was not conducted, referred to another location, or the result was inconclusive.

**EFI Flag Resolution:** Record and personal sources obtained as specified by the EFI Flag. Issues previously investigated or adjudicated do not qualify as a current flag or need additional follow-up unless there is new information or the issue extends into the current period of investigation.

## 2.5 Tier 4 (T4)

**Product Description:** The Tier 4 is conducted for Non-Sensitive positions designed as High Risk Public Trust. The Tier 4 consists of an Enhanced Subject Interview (ESI), residence, education, employment, law enforcement agency checks, financial, and public record coverage. Additional record checks may also be required. EFI Flags will be resolved before the case is returned to the adjudicating facility.

**Scope and Coverage:** Specific scope and coverage requirements are contained in the Tiered Investigation Guide, dated 06/25/2018, and Handbook Revision Notices. Extra coverage factors, as outlined in the OPM Investigator's Handbook, with overlay dated December 2015 and Handbook Revision Notices, may also be requested by agencies for certain positions. Information validated in a prior investigation, the results of which are not expected to change (e.g., verification of education degree), shall not be repeated as part of subsequent investigations. Best sources will be used for activity coverage. A best source is one who has substantive knowledge of the activity or component being covered by that source. At a minimum, sources will cumulatively provide direct coverage for the majority (at least half) of the timeframe the component covers.

**Subject Contact:** Conducted if Subject needs to be contacted outside of the ESI or TESI.

**Residence:** One neighbor who covers at least 6 months of the current residence except for temporary residences for employment training of less than 6 months duration, such as military basic training or law enforcement academies. Additionally, if the current residence is less than 6 months, one neighbor for the most recent residence of 6 consecutive or cumulative months or more.

**Education:** Record for the most recent degree regardless of the date it was awarded if not verified via inquiry. Two personal sources for all educations that were the primary activity in the most recent 3 years, regardless of duration, except for online education.

**Non-Military Employment:** Record for all employments (including self-employment, paid and unpaid internships, and primary volunteer activities) within the last 5 years. For Federal civilian employment, records obtained if not obtained via the Electronic Official Personnel Folder (eOPF) system. Two personal sources for all employments (including self-employment, paid and unpaid internships, and primary volunteer activities) cumulatively 6 months or more within the last 5 years. One of these sources will be the onsite supervisor or someone in a supervisory capacity located onsite. For short term employments with the same employer that cumulatively total more than 6 months where no individual period is 6 months or more, the most recent employment sources shall be interviewed. Personal sources at different locations with the same employer are not required if the source obtained has direct knowledge of Subject's conduct and character at each location.

**Unemployment:** All periods of unemployment 4 consecutive months or more within the last 5 years will be corroborated through a personal source.

**Military Employment:** Two personal sources who collectively cover the majority (at least half) of the most recent duty station of 6 months or more within the last 5 years. One of these sources will be the onsite supervisor or someone in a supervisory capacity located onsite. If there is no duty station of 6 months or more, and Subject has been in the military for 6 months or more within the last 5 years, the two personal sources will be obtained for the most recent duty station regardless of length.

**State and/or Local Law Enforcement Agency Checks:** Record for all developed locations where Subject has lived, worked, or attended school for any consecutive period of 6 months or more within the last 7 years. Record for a developed current residence location regardless of length. Record for a developed current employment location regardless of length. Record with disposition for any listed or developed arrest, charge, or conviction (exception: fines of less than \$1,000 for traffic offenses that do not involve alcohol or drugs) within the last 7 years. Record with disposition for all arrests, charges, or convictions that involve felonies, firearms, or domestic violence regardless of date of occurrence. Additional record checks may also be required when an inquiry is pending at Case Review/Case Close or an inquiry is returned indicating a check was not conducted, referred to another location, or the result was inconclusive.

**Public Record (Financial Records):** Record for all financial civil actions (e.g., judgments/foreclosures, liens, child support, etc.) within the last 5 years. Record for all bankruptcies within the last 5 years (to include a trustee's report if applicable).

**Public Record (Civil Court Records):** Record for all civil court actions within the last 5 years when Subject is named the defendant. If Subject is named the plaintiff, the record will be obtained only when there is an indication that the information is pertinent to the investigation. Record for filed or completed divorces/annulments/legal separations will be obtained only when issues or discrepancies are present.

**EFI Flag Resolution:** Record and personal sources obtained as specified by the EFI Flag. Issues previously investigated or adjudicated do not qualify as a current flag or need additional follow-up unless there is new information or the issue extends into the current period of investigation.

## 2.6 Tier 4 Reinvestigation (T4R)

**Product Description:** The Tier 4R is a reinvestigation conducted for Non-Sensitive positions designed as High Risk Public Trust. The Tier 4R consists of an Enhanced Subject Interview (ESI), employment, law enforcement agency checks, financial, and public record coverage. Additional record checks may also be required. EFI Flags will be resolved before the case is returned to the adjudicating facility.

**Scope and Coverage:** Specific scope and coverage requirements are contained in the Tiered Investigation Guide, dated 06/25/2018, and Handbook Revision Notices. Extra coverage factors, as outlined in the OPM Investigator's Handbook, with overlay dated December 2015 and Handbook Revision Notices, may also be requested by agencies for certain positions. Information validated in a prior investigation, the results of which are not expected to change (e.g., verification of education degree), shall not be repeated as part of subsequent investigations. Best sources will be used for activity coverage. A best source is one who has substantive knowledge of the activity or component being covered by that source. At a minimum, sources will cumulatively provide direct coverage for the majority (at least half) of the timeframe the component covers.

**Subject Contact:** Conducted if Subject needs to be contacted outside of the ESI or TESI.

**Non-Military Employment:** Record for all employments (including self-employment, paid and unpaid internships, and primary volunteer activities) since the DOLI, not to exceed 7 years. For Federal civilian employment, records obtained if not obtained via eOPF. Two personal sources for all employments (including self-employment, paid and unpaid internships, and primary volunteer activities) cumulatively 6

months or more since the DOLI, not to exceed 7 years. One of these sources will be the onsite supervisor or someone in a supervisory capacity located onsite. For short term employments with the same employer that cumulatively total more than 6 months where no individual period is 6 months or more, the most recent employment sources shall be interviewed. Personal sources at different locations with the same employer are not required if the source obtained has direct knowledge of Subject's conduct and character at each location.

**Unemployment:** All periods of unemployment 4 consecutive months or more since the DOLI, not to exceed 7 years, will be corroborated through a personal source.

**Military Employment:** Two personal sources who collectively cover the majority (at least half) of the most recent duty station of 6 months or more since the DOLI, not to exceed 7 years. One of these sources will be the onsite supervisor or someone in a supervisory capacity located onsite. If there is no duty station of 6 months or more and Subject has been in the military for 6 months or more since the DOLI, not to exceed 7 years, the two personal sources will be obtained for the most recent duty station regardless of length.

**State and/or Local Law Enforcement Agency Checks:** Record for all developed locations where Subject has lived, worked, or attended school for any consecutive or cumulative period of 6 months or more since the DOLI, not to exceed 5 years. Record with disposition for any listed or developed arrest, charge, or conviction (exception: fines of less than \$1,000 for traffic offenses that do not involve alcohol or drugs) since the DOLI, not to exceed 5 years. Court record for criminal court action beyond 5 years since the DOLI, not to exceed 7 years, if disposition is not already obtained by record. Record with disposition for all arrests, charges, or convictions that involve felonies, firearms, or domestic violence regardless of date of occurrence if not covered in a previous investigation. Additional record checks may also be required when an inquiry is pending at Case Review/Case Close or an inquiry is returned indicating a check was not conducted, referred to another location, or the result was inconclusive.

**Public Record (Financials):** Record for all financial civil actions (e.g., judgments/foreclosures, liens, child support, etc.) since the DOLI, not to exceed 7 years. Record for all bankruptcies since the DOLI, not to exceed 7 years (to include a trustee's report if applicable).

**Public Record (Civil Court Records):** Record for all civil court actions since the DOLI, not to exceed 7 years, when Subject is named the defendant. If Subject is named the plaintiff, the record will be obtained only when there is an indication that the information is pertinent to the investigation. Record for filed or completed divorces/annulments/legal separations will be obtained only when issues or discrepancies are present.

**EFI Flag Resolution:** Record and personal sources obtained as specified by the EFI Flag. Issues previously investigated or adjudicated do not qualify as a current flag or need additional follow-up unless there is new information or the issue extends into the current period of investigation.

## 2.7 Tier 5 (T5)

**Product Description:** The Tier 5 is conducted for Critical Sensitive, Special Sensitive, and/or requiring eligibility for "Q" access or access to Top Secret or Sensitive Compartmented Information. The Tier 5 consists of an Enhanced Subject Interview (ESI), residence, education, employment, law enforcement agency checks, former spouse, and public record coverage. Additional record checks may also be required. EFI Flags will be resolved before the case is returned to the adjudicating facility.

**Scope and Coverage:** Specific scope and coverage requirements are contained in the Tiered Investigation Guide, dated 06/25/2018, and Handbook Revision Notices. Extra coverage factors, as outlined in the OPM Investigator's Handbook, with overlay dated December 2015 and Handbook Revision Notices, may also be requested by agencies for certain positions. Information validated in a prior investigation, the results of which are not expected to change (e.g., verification of education degree), shall not be repeated



as part of subsequent investigations. Best sources will be used for activity coverage. A best source is one who has substantive knowledge of the activity or component being covered by that source. At a minimum, sources will cumulatively provide direct coverage for the majority (at least half) of the timeframe the component covers.

**Subject Contact:** Conducted if Subject needs to be contacted outside of the ESI or TESI.

**Residence:** One neighbor who covers at least 6 months of the current residence except for temporary residences for employment training of less than 6 months duration, such as military basic training or law enforcement academies. Additionally, if the current residence is less than 6 months, one neighbor for the most recent residence of 6 consecutive or cumulative months or more.

**Education:** Record for the highest degree regardless of the date it was awarded. If no degree was awarded, record for the most recent attendance at an educational institution beyond high school within the last 7 years. Record for high school diploma when high school is the only educational activity within the last 7 years. Two personal sources for all educations that were the primary activity in the most recent 3 years, regardless of duration, except for online education.

**Non-Military Employment:** Record for all employments (including self-employment, paid and unpaid internships, and primary volunteer activities) within the last 7 years. For Federal civilian employment, records obtained if not obtained via eOPF. Two personal sources for all employments (including self-employment, paid and unpaid internships, and primary volunteer activities) cumulatively 6 months or more within the last 5 years. One of these sources will be the onsite supervisor or someone in a supervisory capacity located onsite. For short term employments with the same employer that cumulatively total more than 6 months where no individual period is 6 months or more, the most recent employment sources shall be interviewed. Personal sources at different locations with the same employer are not required if the source obtained has direct knowledge of Subject's conduct and character at each location.

**Unemployment:** All periods of unemployment 4 consecutive months or more within the last 5 years will be corroborated through a personal source.

**Military Employment:** Two personal sources who collectively cover the majority (at least half) of the most recent duty station of 6 months or more within the last 5 years. One of these sources will be the onsite supervisor or someone in a supervisory capacity located onsite. If there is no duty station of 6 months or more and Subject has been in the military for 6 months or more within the last 5 years, the two personal sources will be obtained for the most recent duty station regardless of length.

**Social Reference:** One listed or developed social reference will be obtained to provide cumulative knowledge of the Subject within the last 5 years.

**State and/or Local Law Enforcement Agency Checks:** Record for all developed locations where Subject has lived, worked, or attended school for any consecutive period of 6 months or more within the last 7 years. Record for a developed current residence location regardless of length. Record for a developed current employment location regardless of length. Record with disposition for any listed or developed arrest, charge, or conviction (exception: fines of less than \$1,000 for traffic offenses that do not involve alcohol or drugs) within the last 7 years. Record with disposition for all arrests, charges, or convictions that involve felonies, firearms, or domestic violence regardless of date of occurrence. Additional record checks may also be required when an inquiry is pending at Case Review/Case Close or an inquiry is returned indicating a check was not conducted, referred to another location, or the result was inconclusive.

**Former Spouse:** Former spouse will be interviewed when a divorce or annulment has been completed within the last 5 years.

**Public Record (Divorce Records):** Record for all divorces/annulments filed or completed within the last 7 years.

**Public Record (Financial Records):** Record for all financial civil court actions (e.g., judgments, foreclosures, liens, child support, etc.) within the last 7 years. Record for all bankruptcies within the last 7 years to include a trustee's report if applicable).

**Public Record (Civil Court Records):** Record for all civil court actions within the last 7 years when Subject is named the defendant. If Subject is named the plaintiff, the record will be obtained only when there is an indication that the information is pertinent to the investigation. Record for filed or completed divorces/annulments/legal separations will be obtained only when issues or discrepancies are present. Record for all legal separations within the last 7 years.

**Public Record (Police Records):** Record for all charges or convictions that involve felonies, firearms, or domestic violence, regardless of the date they occurred when the State and/or Local Law Enforcement Agency Checks record does not include the disposition. Record for all criminal court action (exception: fines of less than \$1,000 for traffic offenses that do not involve alcohol or drugs) within the last 7 years when the State and/or Local Law Enforcement Agency Checks record does not include the disposition.

**EFI Flag Resolution:** Record and personal sources obtained as specified by the EFI Flag. Issues previously investigated or adjudicated do not qualify as a current flag or need additional follow-up unless there is new information or the issue extends into the current period of investigation.

## 2.8 Tier 5 Reinvestigation (T5R)

**Product Description:** The Tier 5R is a reinvestigation conducted for Critical Sensitive, Special Sensitive, and/or requiring eligibility for "Q" access or access to Top Secret or Sensitive Compartmented Information. The Tier 5R consists of an Enhanced Subject Interview (ESI), employment, law enforcement agency checks, former spouse, and public record coverage. Additional record checks may also be required. EFI Flags will be resolved before the case is returned to the adjudicating facility.

**Scope and Coverage:** Specific scope and coverage requirements are contained in the Tiered Investigation Guide, dated 06/25/2018, and Handbook Revision Notices. Extra coverage factors, as outlined in the OPM Investigator's Handbook, with overlay dated December 2015 and Handbook Revision Notices, may also be requested by agencies for certain positions. Information validated in a prior investigation, the results of which are not expected to change (e.g., verification of education degree), shall not be repeated as part of subsequent investigations. Best sources will be used for activity coverage. A best source is one who has substantive knowledge of the activity or component being covered by that source. At a minimum, sources will cumulatively provide direct coverage for the majority (at least half) of the timeframe the component covers.

**Subject Contact:** Conducted if Subject needs to be contacted outside of the ESI or TESI.

**Non-Military Employment:** Record for all employments (including self-employment, paid and unpaid internships, and primary volunteer activities) since the DOLI, not to exceed 7 years. For Federal civilian employment, records obtained if not obtained via eOPF. Two personal sources for all employments (including self-employment, paid and unpaid internships, and primary volunteer activities) cumulatively 6 months or more since the DOLI, not to exceed 7 years. One of these sources will be the onsite supervisor or someone in a supervisory capacity located onsite. For short term employments with the same employer that cumulatively total more than 6 months where no individual period is 6 months or more, the most recent employment sources shall be interviewed. Personal sources at different locations with the same employer are not required if the source obtained has direct knowledge of Subject's conduct and character at each location.

**Unemployment:** All periods of unemployment 4 consecutive months or more since the DOLI, not to exceed 7 years, will be corroborated through a personal source.

**Military Employment:** Two personal sources who collectively cover the majority (at least half) of the most recent duty station of 6 months or more since the DOLI, not to exceed 7 years. One of these sources will be the onsite supervisor or someone in a supervisory capacity located onsite. If there is no duty station of 6 months or more and Subject has been in the military for 6 months or more since the DOLI, not to exceed 7 years, the two personal sources will be obtained for the most recent duty station regardless of length.

**State and/or Local Law Enforcement Agency Checks:** Record for all developed locations where Subject has lived, worked, or attended school for any consecutive period of 6 months or more since the DOLI, not to exceed 7 years. Record for a developed current residence location regardless of length. Record for a developed current employment location regardless of length. Record with disposition for any listed or developed arrest, charge, or conviction (exception: fines of less than \$1,000 for traffic offenses that do not involve alcohol or drugs) since the DOLI, not to exceed 7 years. Record with disposition for all arrests, charges, or convictions that involve felonies, firearms, or domestic violence regardless of date of occurrence if not covered in a previous investigation. Additional record checks may also be required when an inquiry is pending at Case Review/Case Close or an inquiry is returned indicating a check was not conducted, referred to another location, or the result was inconclusive.

**Former Spouse:** Former spouse will be interviewed when a divorce or annulment has been completed since the DOLI, not to exceed 7 years.

**Public Record (Divorce Records):** Record for all divorces/annulments filed or completed since the DOLI, not to exceed 7 years.

**Public Record (Financial Records):** Record for all financial civil court actions (e.g., judgments, foreclosures, liens, child support, etc.) since the DOLI, not to exceed 7 years. Record for all bankruptcies since the DOLI, not to exceed 7 years, to include a trustee's report if applicable).

**Public Record (Civil Court Records):** Record for all civil court actions since the DOLI, not to exceed 7 years, when Subject is named the defendant. If Subject is named the plaintiff, the record will be obtained only when there is an indication that the information is pertinent to the investigation. Record for filed or completed divorces/annulments/legal separations will be obtained only when issues or discrepancies are present. Record for all legal separations since the DOLI not to exceed 7 years.

**Public Record (Police Records):** Record for all charges or convictions that involve felonies, firearms, or domestic violence, regardless of the date they occurred, when the State and/or Local Law Enforcement Agency Checks record does not include the disposition if not covered in a previous investigation. Record for all criminal court action (exception: fines of less than \$1,000 for traffic offenses that do not involve alcohol or drugs) since the DOLI, not to exceed 7 years, when the State and/or Local Law Enforcement Agency Checks record does not include the disposition.

**EFI Flag Resolution:** Record and personal sources obtained as specified by the EFI Flag. Issues previously investigated or adjudicated do not qualify as a current flag or need additional follow-up unless there is new information, or the issue extends into the current period of investigation.

## 2.9 Triggered Enhanced Subject Interview (TESI)

**Product Description:** A Triggered Enhanced Subject Interview (TESI) is a focused interview that gathers additional information regarding the discrepancies, omissions, or issues that were flagged as areas of concern in the EFI model, questions Subject regarding the relevant adjudicative criteria, and resolves any additional issues per the EFI model.

For cases that contain an ESI, a TESI will be conducted when there are indications of an EFI Flag that requires a TESI and the information was not addressed at the time of the ESI. For cases that do not contain an ESI, a TESI will be conducted when there are indications of an EFI Flag that requires a TESI.

A subsequent TESI will be conducted when there are indications of an EFI Flag that requires a TESI that developed after the ESI or TESI.



## 2.10 Additional Lead Activity (ADL) – Individual Subject Re-Contact

The following is a general description of the work requirements for this ADL. Complete processing instructions are contained in Chapter 4 v18.3 (27 June 18), the Tiered Investigation Guide v.12.1 dated 06/05/2020, Federal Investigative Standards dated 12/14/2012, Executive Correspondences, and Handbook Revision Notices.

**ADL Description:** The Individual Subject Re-Contact is completed in person when the Subject needs to be contacted outside the Initial Interview, Periodic Reinvestigation Interview, or Triggered Interview.

**Scope and Coverage:** The Individual Subject Re-Contact will be conducted in person in the following situations:

- To obtain new information not related to what was discussed in an Initial Interview or Periodic Reinvestigation Interview.
- To obtain new information, not related to what was discussed in a Triggered Interview, that is C-level or D-level issue information for concerns that are not solely related to recruiter falsification or material falsification.
- When the Subject requests to be re-contacted in person.

This ADL will not be completed when the Subject is located overseas or OCONUS.

## 2.11 Additional Lead Activity (ADL) – Individual Telephonic Subject Re-Contact

The following is a general description of the work requirements for this ADL. Complete processing instructions are contained in Chapter 4 v18.3 (27 June 18), the Tiered Investigation Guide v.12.1 dated 06/05/2020, Federal Investigative Standards dated 12/14/2012, Executive Correspondences, and Handbook Revision Notices.

**ADL Description:** The Individual Telephonic Subject Re-Contact is completed via telephone or Zoom for Government Software when the Subject needs to be contacted outside the Initial Interview, Periodic Reinvestigation Interview, or Triggered Interview.

**Scope and Coverage:** The Individual Telephonic Subject Re-Contact will be conducted via telephone or Zoom for Government Software in the following situations:

- Subject insists to conduct the re-contact by telephone or Zoom for Government Software.
- To obtain additional information regarding what was discussed in an Initial Interview, Periodic Reinvestigation Interview, or Triggered Interview (e.g., homework given to Subject such as leads, issue resolution question missed for issue discussed, etc.) regardless of the issues present in the case.
- To obtain new information not already discussed in the Triggered Interview unless the case involves C-level or D-level issues that are not solely related to material falsification or recruiter falsification.
- To address documentation obtained from the Subject after the Initial Interview, Periodic Reinvestigation Interview, or Triggered Interview was conducted.

This ADL will not be completed when the Subject is located overseas or OCONUS.

## 2.12 Additional Lead Activity (ADL) – Individual Source Interview

The following is a general description of the work requirements for this ADL. Complete processing instructions are contained in the OPM Investigator's Handbook with overlay dated December 2015, the Tiered Investigation Guide v.12.1 dated 06/05/2020, Federal Investigative Standards dated 12/14/2012, Executive Correspondences, and Handbook Revision Notices.

**ADL Description:** The Individual Source Interview is an interview completed in person to assess the potential of an applicant to serve in a position involving National Security, Sensitive, or Public Trust capacity. All Individual Source Interviews will query the source on the following information:

- Length and nature of association with the applicant.
- Background information and personal attributes regarding the applicant.
- The applicant's character, reputation, habits, personal conduct, honesty, integrity, judgement, reliability, financial responsibility, ability to properly handle/safeguard classified or other sensitive information, and compliance with rules and regulations.
- Applicant's mental and emotional stability.
- Whether the applicant has misused information technology, illegal/prescription drugs, or alcohol.
- Whether the applicant has been associated with questionable persons, organizations, and other affiliations.
- Whether the applicant has been involved in civil court actions or questionable criminal activities.
- Questionable criminal activities.
- Applicant's foreign connections, influence, preference, and loyalty to the United States.
- Applicant's susceptibility to blackmail, coercion, pressure, or duress and whether the source recommends the applicant for a position involving National Security or Public Trust.
- Other questions as the need arises.

**Scope and Coverage:** An Individual Source Interview will be conducted when required for the specific case type as outlined in the Federal Investigative Standards and Tiered Investigation Guide. Sources that can verify the applicant's residence, education, employment, and/or social activities will be selected when required for the specific case type as outlined in the Federal Investigative Standards and Tiered Investigation Guide. Sources that can resolve issues will be selected when required per the EFI model and Tiered Investigation Guide. The interview will be conducted in person when the case involves C-level or D-level issues, or when the source requests to be interviewed in person.

This ADL will not be completed when the source is located overseas or OCONUS.

### 2.13 Additional Lead Activity (ADL) – Individual Telephonic Source Interview

The following is a general description of the work requirements for this ADL. Complete processing instructions are contained in the OPM Investigator's Handbook with overlay dated December 2015, the Tiered Investigation Guide v.12.1 dated 06/05/2020, Federal Investigative Standards dated 12/14/2012, Executive Correspondences, and Handbook Revision Notices.

**ADL Description:** The Individual Telephonic Source Interview is an interview completed via telephone or Zoom for Government Software to assess the potential of an applicant to serve in a position involving National Security, Sensitive, or Public Trust capacity. All Individual Telephonic Source Interviews (except to have a medical provider complete the Authorization for Release of Medical Information) will query the source on the following information:

- Length and nature of association with the applicant.
- Background information and personal attributes regarding the applicant.
- The applicant's character, reputation, habits, personal conduct, honesty, integrity, judgement, reliability, financial responsibility, ability to properly handle/safeguard classified or other sensitive information, and compliance with rules and regulations.
- Applicant's mental and emotional stability.
- Whether the applicant has misused information technology, illegal/prescription drugs, or alcohol.
- Whether the applicant has been associated with questionable persons, organizations, and other affiliations.
- Whether the applicant has been involved in civil court actions or questionable criminal activities.
- Questionable criminal activities.
- Applicant's foreign connections, influence, preference, and loyalty to the United States.
- Applicant's susceptibility to blackmail, coercion, pressure, or duress and whether the source

recommends the applicant for a position involving National Security or Public Trust.

- Other queries will be completed as the need arises.

All Individual Telephonic Source Interviews to have a medical provider complete the Authorization for Release of Medical Information will query the source on the following information:

- Whether applicant has a condition that could impair his or her judgment, reliability, or ability to properly safeguard classified National Security information.
- When the medical provider answers negatively, the source will be queried on the dates of treatment and whether the medical information obtained can be released directly to the Subject or only through another healthcare provider.
- When the medical provider answers positively, the source will be queried on the nature of the condition, the extent and duration of the impairment or treatment, the prognosis, the dates for the entire treatment period, and whether the medical information obtained can be released directly to the Subject or only through another healthcare provider.

**Scope and Coverage:** An Individual Telephonic Source Interview will be conducted when required for the specific case type as outlined in the Federal Investigative Standards and Tiered Investigation Guide. Sources that can verify the applicant's residence, education, employment, and/or social activities will be selected when required for the specific case type as outlined in the Federal Investigative Standards and Tiered Investigation Guide. Sources that can resolve issues will be selected when required per the EFI model and Tiered Investigation Guide. The Individual Telephonic Source Interview will be conducted via telephone or Zoom for Government Software based on the investigator's discretion when the case does not involve C-level or D-level issues.

This ADL will not be completed when the source is located overseas or OCONUS.

#### 2.14 Additional Lead Activity (ADL) – Individual Record Check

The following is a general description of the work requirements for this ADL. Complete processing instructions are contained in the OPM Investigator's Handbook with overlay dated December 2015, the Tiered Investigation Guide v.12.1 dated 06/05/2020, Federal Investigative Standards dated 12/14/2012, Executive Correspondences, and Handbook Revision Notices.

**ADL Description:** The Individual Record Check is a review of record information completed in person to corroborate or refute information furnished either by the applicant or by other sources to assess the potential of an applicant to serve in a position involving National Security, Sensitive, or Public Trust capacity. Multiple record types are offered, as described below: Education, Residence, Security File, Employment/Personnel, Official Personnel Folder (OPF), Military Service, Law Enforcement, Courts, Bankruptcy, Medical (mental, psychiatric, emotional), Divorce, and Drug and Alcohol Treatment. Other records or record information will be sought if necessary, for issue resolution or at the specific request of an agency.

- **Education Record:** The information sought from this record includes dates of attendance, major area of study, full or part-time status, degrees earned/awarded, other schools attended, other degrees earned, and disciplinary actions. Additional records that may be obtained at the education institute include the Dean's Record and Campus Police Record.
- **Residence Record:** The information sought from this record includes dates of residence, rental address, household members and occupants, complaints by or about the applicant or roommates, collections, lease details, and lease holder plus monthly rental payment record.
- **Security File:** The information sought from this record includes date and level of security clearance, granting authority, determination basis, date terminated, reason for termination, date and type of previous investigation(s), conducting agency, and security violations.
- **Employment/Personnel Record:** The information sought from this record includes dates of

employment, full or part-time status, work site location(s), position(s) held, major duties, reason for leaving, reemployment eligibility, disciplinary actions, breaks in service, outstanding achievements, salary information (if pertinent to the position sought or to resolve issues), and information about notification and circumstances of any termination, being fired, or resigning in lieu of being fired. Applicant information (job history, degree claims, admitted arrests/convictions, etc.) will be checked for discrepancies.

- **Official Personnel Folder (OPF):** The information sought from this record includes disciplinary actions, discrepant/derogatory information, initial appointment (or initial action in OPF if initial appointment is not shown), all breaks in service, all changes in Federal employers, and information about notification and circumstances of any termination, being fired, or resigning in lieu of being fired. Applicant information (job history, degree claims, admitted arrests/convictions, etc.) will be checked for discrepancies. The following information will be sought for each position held within the basic coverage period: full or part-time status, position(s) held, agency/office name and changes, work site location(s), major personnel actions such as promotions, change in duty stations, change in agency name, or change in position title, and latest SF50 information (if different).
- **Military Service Record:** The information sought from this record includes dates and locations of service, branch(es), rate/rank at discharge, highest rate/rank held, service number, type of separation, reserve service, prior active duty, security clearance, disciplinary actions, and significant variances in personal history.
- **Law Enforcement Record:** The information sought from this record includes date of arrest, reason for arrest, co-arrestee if any, victims if available, location of crime, disposition including fines, restitution, and terms of probation, incident report, and arresting officer if available.
- **Court Records:** The information sought from this record includes docket (case) number, complaint/charge, parties, applicant's identifying information, significant court actions and dates, disposition, and subsequent court activity.
- **Bankruptcy Record:** The information sought from this record includes date filed, type of bankruptcy (Chapter 7, Chapter 11, Chapter 13, etc.), total amount of liabilities and assets, total amount paid to creditors, terms of payment if a Chapter 11 or 13, factors that contributed to the bankruptcy, case status if not discharged, date of discharge or dismissal if received, reaffirmed debts, and a list of discharged creditors to include account numbers and the discharged debt.
- **Medical (mental, psychiatric, emotional) Record:** The information sought from this record includes dates of treatment including previous and post treatment by others, initial complaint/reason for treatment, medication and treatment prescribed or recommended, whether the applicant followed all prescribed or recommended treatment, the diagnosis and prognosis, whether and to whom the applicant was referred, whether and from whom the applicant was referred, any indication of the potential for the applicant's condition or treatment to impact his or her ability to properly safeguard sensitive or classified information, any indication of the potential for the applicant's condition or treatment to impact his or her judgment or reliability, and any indication whether the applicant has or may engage in any violent or otherwise reckless or aberrant behavior because of his or her condition or treatment. Attempts will be made to determine whether this information can be released directly to the applicant or only through a healthcare professional.
- **Divorce Record:** The information sought from this record includes the status of the applicant (defendant, plaintiff, etc.), date of action, cause of action, alimony or support, division of assets and liabilities if issues are present, and final disposition.
- **Drug and Alcohol Treatment Record:** The information sought from this record includes dates of treatment including previous and post treatment by others, initial complaint (which includes court orders) or condition, diagnosis and prognosis, medication and treatment prescribed, evidence of rehabilitation, and attendance during program.

**Scope and Coverage:** An Individual Record Check will be conducted when required for the specific case type as outlined in the Federal Investigative Standards and Tiered Investigation Guide. The Individual Record Check will be conducted in person when the record cannot be obtained via approved website, telephone, fax, DoD SAFE, or Zoom for Government Software, or when the record provider insists the record be obtained in person.

This ADL will not be completed when the record is located overseas or OCONUS.

## 2.15 Additional Lead Activity (ADL) – Individual Telephonic/Fax/Online Record Check

The following is a general description of the work requirements for this ADL. Complete processing instructions are contained in the OPM Investigator's Handbook with overlay dated December 2015, the Tiered Investigation Guide v.12.1 dated 06/05/2020, Federal Investigative Standards dated 12/14/2012, Executive Correspondences, and Handbook Revision Notices.

**ADL Description:** The Individual Telephonic/Fax/Online Record Check is a review of record information completed via approved website, telephone, fax, DoD SAFE, or Zoom for Government Software to corroborate or refute information furnished either by the applicant or by other sources to assess the potential of an applicant to serve in a position involving National Security, Sensitive, or Public Trust capacity. Multiple record types are offered, as described below: Education, Residence, Security File, Employment/Personnel, Official Personnel Folder (OPF), Military Service, Law Enforcement, Courts, Bankruptcy, Medical (mental, psychiatric, emotional), Divorce, and Drug and Alcohol Treatment. Other records or record information will be sought if necessary, for issue resolution or at the specific request of an agency.

- **Education Record:** The information sought from this record includes dates of attendance, major area of study, full or part-time status, degrees earned/awarded, other schools attended, other degrees earned, and disciplinary actions. Additional records that may be obtained at the education institute include the Dean's Record and Campus Police Record.
- **Residence Record:** The information sought from this record includes dates of residence, rental address, household members and occupants, complaints by or about the applicant or roommates, collections, lease details and lease holder plus monthly rental payment record.
- **Security File:** The information sought from this record includes date and level of security clearance, granting authority, determination basis, date terminated, reason for termination, date and type of previous investigation(s), conducting agency, and security violations.
- **Employment/Personnel Record:** The information sought from this record includes dates of employment, full or part-time status, work site location(s), position(s) held, major duties, reason for leaving, reemployment eligibility, disciplinary actions, breaks in service, outstanding achievements, salary information (if pertinent to the position sought or to resolve issues), and information about notification and circumstances of any termination, being fired, or resigning in lieu of being fired. Applicant information (job history, degree claims, admitted arrests/convictions, etc.) will be checked for discrepancies.
- **Official Personnel Folder (OPF):** The information sought from this record includes disciplinary actions, discrepant/derogatory information, initial appointment (or initial action in OPF if initial appointment is not shown), all breaks in service, all changes in Federal employers, and information about notification and circumstances of any termination, being fired, or resigning in lieu of being fired. Applicant information (job history, degree claims, admitted arrests/convictions, etc.) will be checked for discrepancies. The following information will be sought for each position held within the basic coverage period: full or part-time status, position(s) held, agency/office name and changes, work site location(s), major personnel actions such as promotions, change in duty stations, change in agency name, or change in position title, and latest SF50 information (if different).
- **Military Service Record:** The information sought from this record includes dates and locations of service, branch(es), rate/rank at discharge, highest rate/rank held, service number, type of separation,



reserve service, prior active duty, security clearance, disciplinary actions, and significant variances in personal history.

- **Law Enforcement Record:** The information sought from this record includes date of arrest, reason for arrest, co-arrestee if any, victims if available, location of crime, disposition including fines, restitution, and terms of probation, incident report, and arresting officer if available.
- **Court Records:** The information sought from this record includes docket (case) number, complaint/charge, parties, applicant's identifying information, significant court actions and dates, disposition, and subsequent court activity.
- **Bankruptcy Record:** The information sought from this record includes date filed, type of bankruptcy (Chapter 7, Chapter 11, Chapter 12, Chapter 13, etc.), total amount of liabilities and assets, total amount paid to creditors, terms of payment if a Chapter 11 or 13, factors that contributed to the bankruptcy, case status if not discharged, date of discharge or dismissal if received, reaffirmed debts, and a list of discharged creditors to include account numbers and the discharged debt.
- **Medical (mental, psychiatric, emotional) Record:** The information sought from this record includes dates of treatment including previous and post treatment by others, initial complaint/reason for treatment, medication and treatment prescribed or recommended, whether the applicant followed all prescribed or recommended treatment, the diagnosis and prognosis, whether and to whom the applicant was referred, whether and from whom the applicant was referred, any indication of the potential for the applicant's condition or treatment to impact his or her ability to properly safeguard sensitive or classified information, any indication of the potential for the applicant's condition or treatment to impact his or her judgment or reliability, and any indication whether the applicant has or may engage in any violent or otherwise reckless or aberrant behavior because of his or her condition or treatment. Attempts will be made to determine whether this information can be released directly to the applicant or only through a healthcare professional.
- **Divorce Record:** The information sought from this record includes the status of the applicant (defendant, plaintiff, etc.), date of action, cause of action, alimony or support, division of assets and liabilities if issues are present, and final disposition.
- **Drug and Alcohol Treatment Record:** The information sought from this record includes dates of treatment including previous and post treatment by others, initial complaint (which includes court orders) or condition, diagnosis and prognosis, medication and treatment prescribed, evidence of rehabilitation, and attendance during program.

**Scope and Coverage:** An Individual Telephonic/Fax/Online Record Check will be conducted when required for the specific case type as outlined in the Federal Investigative Standards and Tiered Investigation Guide. The Individual Telephonic/Fax/Online Record Check will be conducted via approved website, telephone, fax, DoD SAFE, or Zoom for Government Software regardless of the type of record or issues present in the case.

This ADL will not be completed when the record is located overseas or OCONUS.

## 2.16 Program Manager

**Product Description:** Responsible for management across a single program or a program with multiple related projects or a portfolio of projects. This includes planning, organizing, and oversight for the successful completion of program level goals and objectives. Duties may include ensuring that all projects are delivered within scope, time, and budget constraints.

**Experience/Education:** High School diploma or GED, and 6 years of experience as a PM or 3 years of experience as a PM with a bachelor's Degree or higher.

### 2.17 Program Control Analyst

**Product Description:** Responsible for all program level financial analysis and reporting. Requirements may include: program cost control and management using cost baselines, revenue and profit recognition and forecasting, customer reporting and invoicing support, direct and indirect rate analysis, annual and multi-year planning, monthly forecasting, program compliance with FAR and GAAP regulations, and program initial set up to include project codes with work breakdown structure and billing set up.

**Experience/Education:** BA/BS and minimum 5 years of related work experience.

### 2.18 Industrial Security I

**Product Description:** Responsible for ensuring compliance with government regulations and policies for the protection of information. Scope extends to personnel clearance processes (Background Investigation and Pre-Adjudication), facility clearances, classified information systems, reporting associated with government industrial security requirements, responses to government compliance assessments, and relevant security training and awareness activities.

**Experience/Education:** High School diploma or GED and a minimum of 1 year of relevant work experience.

### 2.19 Industrial Security II

**Product Description:** Responsible for ensuring compliance with government regulations and policies for the protection of information. Scope extends to personnel clearance processes (Background Investigation and Pre-Adjudication), facility clearances, classified information systems, reporting associated with government industrial security requirements, responses to government compliance assessments, and relevant security training and awareness activities.

**Experience/Education:** High School diploma or GED and a minimum of 3 years of relevant work experience. BS/BA degree may be substituted for six months of experience.

### 2.20 Industrial Security III

**Product Description:** Responsible for ensuring compliance with government regulations and policies for the protection of information. Scope extends to personnel clearance processes (Background Investigation and Pre-Adjudication), facility clearances, classified information systems, reporting associated with government industrial security requirements, responses to government compliance assessments, and relevant security training and awareness activities.

**Experience/Education:** High School diploma or GED and a minimum of 5 years of relevant work experience. BS/BA degree may be substituted for six months of experience.

### 2.21 Case Review I

**Product Description:** Responsible for pre-review, execution and consultation in the performance of case reviews which may include last item inspection, tracking of closure and rework, and final customer submissions.

**Experience/Education:** High School diploma or GED, and 1 year progressively responsible experience providing security-related or administrative support.

**2.22 Case Review II**

**Product Description:** Responsible for pre-review, execution and consultation in the performance of case reviews which may include last item inspection, tracking of closure and rework, and final customer submissions.

**Experience/Education:** High School diploma or GED, and 3 years progressively responsible experience providing security-related or administrative support.

**2.23 Case Review III**

**Product Description:** Responsible for pre-review, execution and consultation in the performance of case reviews which may include last item inspection, tracking of closure and rework, and final customer submissions.

**Experience/Education:** High School diploma or GED, and 5 years progressively responsible experience providing security-related or administrative support.



### 3 SIN OLM, ORDER LEVEL MATERIALS (OLMs) DESCRIPTION

**SIN Description:** OLMs are supplies and/or services acquired in direct support of an individual task or delivery order placed against a Federal Supply Schedule (FSS) contract or FSS BPA. OLMs are not defined, priced, or awarded at the FSS contract level. They are unknown before a task or delivery order is placed against the FSS contract or FSS BPA. OLMs are only authorized for inclusion at the order level under a Time-and- Materials (T&M) or Labor-Hour (LH) Contract Line Item Number (CLIN) and are subject to a Not To Exceed (NTE) ceiling price. OLMs include direct materials, subcontracts for supplies, and incidental services for which there is not a labor category specified in the FSS contract, Other Direct Costs (ODCs) (separate from those under ODC SINs), and indirect costs. OLMs are purchased under the authority of the FSS Program and are not “open market items.”

Items awarded under ancillary supplies/services or ODC SINs are not OLMs. These items are defined, priced, and awarded at the FSS contract level, whereas OLMs are unknown before an order is placed. Ancillary supplies/services and ODC SINs are for use under all order type CLINs (Fixed-Price (FP), T&M, and LH), whereas the OLM SIN is only authorized for use under T&M and LH order CLINs.

The OLM SIN is only authorized for use in direct support of another awarded SIN. Price analysis for OLMs is not conducted when awarding the FSS contract or FSS BPA; therefore, GSAR 538.270 and 538.271 do not apply to OLMs. OLMs are defined and priced at the ordering activity level in accordance with GSAR clause 552.238-82 Special Ordering Procedures for the Acquisition of Order-Level Materials. Prices for items provided under the OLM SIN must be inclusive of the Industrial Funding Fee (IFF). The value of OLMs in a task or delivery order, or the cumulative value of OLMs in orders against an FSS BPA awarded under an FSS contract, cannot exceed 33.33%.

#### **Additional SIN Details:**

- The Maximum Order Threshold (MOT) for the OLM SIN is \$100,000. The MOT has no effect on the OLM cap of 33.33% of the total order value. OLMs are not limited to the MOT.
- See clauses 552.212-4 Contract Terms and Conditions - Commercial Items (JAN 2017) (Deviation - FEB 2018) (Alternate I - JAN 2017) (Deviation - FEB 2007) and 552.238-82 Special Ordering Procedures for the Acquisition of Order-Level Materials (JAN 2018) for additional information on inclusion of OLMs in task and delivery orders placed against a Schedule contract or BPA.
- OLMs are only authorized for inclusion at the order level under a T&M or LH CLIN and are subject to an NTE ceiling price.
- The OLM SIN contains no items or pricing, since by definition OLMs are unknown at the time of Schedule contract award. The ordering activity Contracting Officer is responsible for defining OLMs and determining proposed OLM pricing fair and reasonable for a particular order.
- The OLM SIN cannot be the only SIN awarded on a contract.
- The OLM SIN is exempt from Commercial Sales Practices disclosure requirements.
- The OLM SIN is exempt from the following clauses:
  - 552.216-70 Economic Price Adjustment - FSS Multiple Award Schedule Contracts
  - I-FSS-969 Economic Price Adjustment - FSS Multiple Award Schedule
  - 552.238-71 Submission and Distribution of Authorized FSS Schedule Pricelists, 552.238-75 Price Reductions.
- Terms and conditions that otherwise apply to the Schedule contract also apply to the OLM SIN. Examples include but are not limited to: Trade Agreements Act (TAA), sales reporting and IFF remittance, Environmental Attributes clauses, and AbilityOne Program Essentially the Same (ETS) compliance.
- The OLM SIN is subject to any Transactional Data Reporting (TDR) requirements in effect under the Schedule contract.

- For purposes of IFF and sales reporting, OLM products and services should be reported under the OLM SIN. All other products or services in the task or delivery order should be reported based on the SIN under which they are awarded.
- The following clause is added: 552.238-82 Special Ordering Procedures for the Acquisition of Order-Level Materials (JAN 2018).

#### 4 SERVICES PRICE LIST – BACKGROUND INVESTIGATIONS/PRE-ADJUDICATION (CONUS)

| SIN 561611, Background Investigation                                   | 06/01/2019 | 06/01/2020 | 06/01/2021 | 06/01/2022 | 06/01/2023 |
|--|------------|------------|------------|------------|------------|
| Case Type  | –          | –          | –          | –          | –          |
|  | 05/31/2020 | 05/31/2021 | 05/31/2022 | 05/31/2023 | 05/31/2024 |
| Tier 2 (with a Subject Interview) (T2S)                                | \$1,192.74 | \$1,229.71 | \$1,267.83 | \$1,307.13 | \$1,347.65 |
| Tier 2 Reinvestigation (with a Subject Interview) (T2RS)               | \$1,042.62 | \$1,074.94 | \$1,108.26 | \$1,142.62 | \$1,178.04 |
| Tier 3 (with a Subject Interview) (T3)                                 | \$1,350.66 | \$1,392.53 | \$1,435.70 | \$1,480.21 | \$1,526.10 |
| Tier 3 Reinvestigation (with a Subject Interview) (T3R)                | \$1,290.90 | \$1,330.92 | \$1,372.18 | \$1,414.72 | \$1,458.58 |
| Tier 4 (T4)  | \$4,139.79 | \$4,268.12 | \$4,400.43 | \$4,536.84 | \$4,677.48 |
| Tier 4 Reinvestigation (T4R)   | \$3,409.45 | \$3,515.14 | \$3,624.11 | \$3,736.46 | \$3,852.29 |
| Tier 5 (T5)  | \$6,253.58 | \$6,447.44 | \$6,647.31 | \$6,853.38 | \$7,065.83 |
| Tier 5 Reinvestigation (T5R)   | \$2,597.60 | \$2,678.13 | \$2,761.15 | \$2,846.75 | \$2,935.00 |
| Triggered Enhanced Subject Interview (TESI)                            | \$981.69   | \$1,012.12 | \$1,043.50 | \$1,075.85 | \$1,109.20 |
| ADL – Individual Subject Re-Contact                                    | \$140.60   | \$144.96   | \$149.45   | \$154.08   | \$158.86   |
| ADL – Individual Telephonic Subject Re-Contact                         | \$93.50    | \$96.40    | \$99.39    | \$102.47   | \$105.65   |
| ADL – Individual Source Interview                                      | \$205.06   | \$211.42   | \$217.97   | \$224.73   | \$231.70   |
| ADL – Individual Telephonic Source Interview                           | \$140.60   | \$144.96   | \$149.45   | \$154.08   | \$158.86   |
| ADL – Individual Record Check  | \$140.97   | \$145.34   | \$149.85   | \$154.50   | \$159.29   |
| ADL – Individual Telephonic/Fax/Online Record Check                    | \$114.74   | \$118.30   | \$121.97   | \$125.75   | \$129.65   |
| SIN 561611, Background Investigation/Pre-Adjudication Labor Categories | 06/01/2019 | 06/01/2020 | 06/01/2021 | 06/01/2022 | 06/01/2023 |
|  | –          | –          | –          | –          | –          |
|  | 05/31/2020 | 05/31/2021 | 05/31/2022 | 05/31/2023 | 05/31/2024 |
| Program Manager  | \$102.24   | \$105.41   | \$108.68   | \$112.05   | \$115.52   |
| Program Control Analyst  | \$132.64   | \$136.75   | \$140.99   | \$145.36   | \$149.87   |
| Industrial Security I  | \$77.38    | \$79.78    | \$82.25    | \$84.80    | \$87.43    |
| Industrial Security II   | \$88.44    | \$91.18    | \$94.01    | \$96.92    | \$99.92    |
| Industrial Security III  | \$97.98    | \$101.02   | \$104.15   | \$107.38   | \$110.71   |
| Case Review I  | \$56.09    | \$57.83    | \$59.62    | \$61.47    | \$63.38    |
| Case Review II   | \$67.62    | \$69.72    | \$71.88    | \$74.11    | \$76.41    |
| Case Review III  | \$83.93    | \$86.53    | \$89.21    | \$91.98    | \$94.83    |

#### 5 SERVICE CONTRACT ACT (SCA)

The SCA is applicable to this contract and it includes SCA applicable labor categories/services. The prices for the indicated (\*\*) SCA labor categories/services are based on the U.S. Department of Labor Wage Determination Number(s) identified in the SCA matrix. The prices awarded are in line with the geographic scope of the contract (i.e., nationwide).

| SCA Eligible Labor Category/Service**  | SCA Equivalent Code & Title     | Applicable Wage Determination |
|--|---------------------------------|-------------------------------|
| Tier 2 (with a Subject Interview)**  | 27006 – Background Investigator | WD 2007-0272 Rev. No. 24      |
| Tier 2 Reinvestigation (with a Subject Interview)**                              | 27006 – Background Investigator | WD 2007-0272 Rev. No. 24      |
| Tier 3 (with a Subject Interview)**  | 27006 – Background Investigator | WD 2007-0272 Rev. No. 24      |
| Tier 3 Reinvestigation (with a Subject Interview)**                              | 27006 – Background Investigator | WD 2007-0272 Rev. No. 24      |
| Tier 4**   | 27006 – Background Investigator | WD 2007-0272 Rev. No. 24      |
| Tier 4 Reinvestigation**   | 27006 – Background Investigator | WD 2007-0272 Rev. No. 24      |
| Tier 5**   | 27006 – Background Investigator | WD 2007-0272 Rev. No. 24      |
| Tier 5 Reinvestigation**   | 27006 – Background Investigator | WD 2007-0272 Rev. No. 24      |
| Triggered Enhanced Subject Interview**   | 27006 – Background Investigator | WD 2007-0272 Rev. No. 24      |
| Additional Lead Activity (ADL) – Individual Subject Re-Contact**                 | 27006 – Background Investigator | DCSA WD 2000-0309 Rev. 38     |
| Additional Lead Activity (ADL) – Individual Telephonic Subject Re-Contact**      | 27006 – Background Investigator | DCSA WD 2000-0309 Rev. 38     |
| Additional Lead Activity (ADL) – Individual Source Interview**                   | 27006 – Background Investigator | DCSA WD 2000-0309 Rev. 38     |
| Additional Lead Activity (ADL) – Individual Telephonic Source Interview**        | 27006 – Background Investigator | DCSA WD 2000-0309 Rev. 38     |
| Additional Lead Activity (ADL) – Individual Record Check**                       | 27006 – Background Investigator | DCSA WD 2000-0309 Rev. 38     |
| Additional Lead Activity (ADL) – Individual Telephonic/Fax/Online Record Check** | 27006 – Background Investigator | DCSA WD 2000-0309 Rev. 38     |