

For: State and County Offices

**Background Investigation Processing for Lessor’s Personnel and Contractors
(Janitors, Maintenance Personnel, etc.) With Access to Government-Leased Space**

Approved by: Deputy Administrator for Management



1 Overview

A Background

The Emergency Preparedness Division (EPD) is responsible for the Farm Service Agency’s (FSA’s) personnel security program, which includes all employees and contractors for personnel security investigations as required by OPM guidelines. To protect the integrity of FSA’s personnel security program, state and county offices are required to submit background investigation documents to EPD for all lessor’s personnel and contractors (janitors, maintenance personnel, etc.) with routine access to government-leased space.

Note: The investigation process applies to locations where FSA is the lead leasing agency of the building.

B Purpose

This notice provides guidance to the state and county offices for submitting background investigation documents to EPD for the lessor’s personnel and contractors who will have access to government-leased space and that have not been previously submitted to EPD.

C Contact

For questions regarding this notice, contact Rob Haughton, EPD Director, by either of the following:

- e-mail to robert.haughton@wdc.usda.gov, or
- telephone at 202-720-0135.

Disposal Date	Distribution
January 1, 2016	State Office; State Offices relay to County Offices

Notice SEM-53

2 Action

A State and County Office Action

State and county offices must coordinate with their real property leasing officer (RPLO) for the submission of the required investigative forms.

State and county offices shall submit the following:

- FSA-789, Applicant Background Investigation Processing Checklist,
- OF-306, Declaration of Federal Employment, and
- two completed FD-258's or SF-87 Fingerprint Charts with the signatures and dates of both the applicant and the individual trained in the fingerprinting process.

Note: Due to EPD's transition to electronic fingerprint submissions, the FD-258 and SF-87 are both acceptable for electronic processing. Fingerprint charts and OF-306s must be dated within 120 calendar days of submitting them to EPD.

B Submission of Required Documents

State offices shall work with county offices to ensure that all required documents are submitted to EPD electronically via the personnel security mailbox at:

RA.DCWashing2.FSA.EPD.PerSecDC@wdc.usda.gov.

All documents must be encrypted with the password provided to the state by EPD.

If documents cannot be sent electronically, state offices shall submit documents via the United Parcel Service (UPS) to the following address:

USDA, FSA, EPD
ATTN: Director, EPD
1400 Independence Ave SW
South Building, Room 0092-S
STOP 0543
Washington, DC 20250-0543

2 Action (Continued)

C Mailing Background Investigation Documents

Background investigation documents contain personally identifiable information (PII) and must be properly protected when shipped through a physical transportation system. The physical transportation system (shipping vendor such as UPS or the United States Postal Service) used for shipping protected data must offer a positive chain of custody and the ability to track the shipment's pickup, transfer, and delivery.

When sending background investigation documents through a physical transportation system, the sending office must prepare and use two opaque containers (envelope, pouch, package, and/or box) for each shipment. Each shipment shall have one inner container and one outer container (double seal requirement). Prepare the containers as follows:

- label both containers (inner and outer) with name and address of recipient and sender,
- ensure that both containers are sealed to prevent inadvertent opening and to readily show any signs of tampering, and
- under no circumstances should the inner or outer container be externally labeled to indicate or identify the shipment contains background investigation documents.

When shipping background investigation documents, the sending office must follow-up to ensure that the shipment was received by EPD. Follow-up must occur within one workday after the scheduled or anticipated delivery date. Follow-up may be accomplished by personal contact (e-mail or telephone) with EPD or confirmation of receipt as received from the automated tracking system offered by the shipping vendor (for example, e-mail delivery receipt notification or delivery notification posted on a web site).

If delivery of the background investigation documents is confirmed, the sending office does not need to take further action. If delivery of the background investigation documents is **not** confirmed within two workdays after the scheduled or anticipated delivery date and an acceptable explanation for the delay has not been obtained or provided (for example, UPS truck was delayed), the sending office must notify EPD of the circumstances by:

- e-mail to **RA.DCWashing2.FSA.EPD.PerSecDC@wdc.usda.gov**, or
- telephone at 202-720-7696.