



**Department of  
Transportation**  
Office of the Secretary  
of Transportation

# ORDER

**1631.1**

**Subject:** GRANTING NEW FEDERAL AND CONTRACTOR EMPLOYEES ACCESS TO  
DEPARTMENT OF TRANSPORTATION FACILITIES, RESOURCES, AND  
SYSTEMS

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## 1. PURPOSE

This Order establishes minimum requirements for the onboarding process. It applies to new U.S. Department of Transportation (DOT) Federal employees and contractor employees as defined in Executive Order (EO) 12968. These employees, upon meeting the basic standards of suitability and fitness requirements for "enter-on-duty" (EOD), may be given access to DOT facilities, resources, sensitive information, and information technology systems.

## 2. BACKGROUND

Agencies conduct background investigations to determine whether new Federal or contractor employees' past conduct or behavior will have a negative impact within an Agency, and to deter occurrence of such negative impact upon employment. Previously, new Federal employees and contractor employees were given access to DOT facilities, sensitive information and information technology systems prior to completion of an initial suitability determination. Subsequent background investigations revealed suitability issues with some individuals hired as Federal employees or assigned to work on DOT contracts which precluded their retention.

## 3. SCOPE

This Order applies to all DOT Secretarial Offices and Operating Administrations (OAs) with the exception of the Federal Aviation Administration.

#### 4. REFERENCES

- a. Executive Order (EO) 10450, Security Requirements for Government Employment, as amended, dated April 27, 1953.
- b. Executive Order (EO) 12968, Access to Classified Information, August 4, 1995.
- c. 5 CFR Part 731, Suitability
- d. 5 CFR Part 732, National Security Positions
- e. 5 CFR Part 736, Personnel Investigations
- f. Homeland Security Presidential Directive 12 (HSPD-12), Policy for a Common Identification Standard for Federal Employees and Contractors, dated August 27, 2004.
- g. DOT Order 1630.2B, Personnel Security Management, dated May 30, 2001.

#### 5. POLICY

New Federal or contractor employees will be authorized to enter on duty and/or have access to any information technology system (excluding those available to the general public) only with specific authorization from the Office of Security (M-40), Office of the Secretary.

#### 6. DEFINITION

"Employee" (defined in E.O. 12968) means a person, other than the President and Vice President, employed by, detailed or assigned to an agency, including members of the Armed Forces; an expert or consultant to an agency; an industrial or commercial contractor, licensee, certificate holder, or grantee of an agency, including all subcontractors; a personal services contractor; or any other category of person who acts for or on behalf of an agency as determined by the appropriate agency head.

#### 7. RESPONSIBILITIES

- a. The Assistant Secretary for Administration (M-1) shall:
  - (1) Provide leadership and support necessary to ensure full implementation of the requirements of this Order.

- (2) Issue policies and procedures as necessary to ensure implementation of the requirements of this Order among all Secretarial Offices and Operating Administrations.
- b. The Director, Office of Security (M-40) shall:
    - (1) Ensure M-40 expeditiously takes the actions required by this Order, serving DOT organizations as an integral part of the process for the prompt onboarding of new Federal employees and assignment of contractor employees.
    - (2) Work closely with all DOT organizations to assist in effectively implementing the requirements of this Order.
  - c. The Director, Departmental Office of Human Resource Management (M-10) shall:
    - (1) Provide oversight of the hiring and onboarding process in accordance with the President's May 11, 2010 Hiring Reform Initiative.
    - (2) Issue policies and procedures as necessary to ensure implementation of the requirements of this Order among all Operating Administrations.
  - d. The Senior Procurement Executive (M-60) shall:
    - (1) Provide leadership and support necessary for full implementation of the requirements of this Order within the contracting and assistance community in the Secretarial Offices and in the Operating Administrations.
    - (2) Issue policies, guidance, and procedures as necessary to ensure implementation of the requirements of this Order with regard to procurement and assistance agreements.
  - e. The Chief Information Officer (S-80) shall:
    - (1) Provide leadership and support necessary for full implementation of the requirements of this Order by all information technology specialists in the Secretarial Offices and in the Operating Administrations.
    - (2) Issue policies and procedures as necessary to ensure implementation of the requirements of this Order with regard to Federal employee and contractor employee access to information technology systems.
  - f. Heads of Secretarial Offices and Operating Administrations shall:
    - (1) Provide leadership and support necessary for full implementation of the requirements of this Order within their respective organizations.

- (2) Ensure adherence to the requirements of this Order, particularly regarding access to DOT facilities, sensitive information, and information technology systems.

## 8. REQUIREMENTS AND PROCEDURES

### a. General

These procedures are designed to minimize the risk of removing a newly hired Federal employee or contractor employee who is deemed to be unsuitable for employment after entrance-on-duty at DOT. Additionally, these procedures will ensure new Federal employees and contractor employees are eligible to receive identification cards and access to information technology systems on their EOD date. These procedures are designed to avoid imposing unnecessary hiring delays and additional costs.

### b. Conditions for Office of Security concurrence with prospective Federal employee or contractor employee entrance-on-duty:

- (1) M-40 must either: (a) confirm the prospective Federal employee or contractor employee has a completed background investigation meeting the requirements for their position and finds the investigation results to be satisfactory; or (b) complete a preliminary review of the documentation the prospective Federal employee or contractor employee has submitted for the required background investigation and favorably adjudicate the results of a criminal history check.
- (2) Whenever an investigation is required, the prospective Federal employee or contractor employee must promptly provide information electronically through Electronic Questionnaires for Investigations Processing (e-QIP), submit any other documentation required (e.g., release forms), and provide fingerprints for a criminal history check. M-40 will not provide concurrence for the individual to enter-on-duty until the prospective employee has submitted all required documentation and M-40 has completed a preliminary review.
- (3) In cases where M-40 is able to verify the prospective Federal employee or contractor employee has a completed background investigation meeting the requirements for their position at DOT, no questionable suitability information exists, nor additional investigation is necessary, M-40 will provide concurrence for the individual to EOD.

### c. Processing

For all prospective Federal employees and contractor employees, DOT Form 1600.8, Personnel Security Action Request and Notification, must be completed and signed by the Personnel Security Coordinator for the assigned organization in which the individual will be employed. The completed Form 1600.8 will be submitted through

the Workforce Transformation Tracking System (WTTS) for Federal employees once this process is fully functional. The Personnel Security Coordinator (or other trained person) will contact the individual to begin the process to initiate an investigation or conduct the appropriate check to confirm an existing investigation.

(1) Federal Employees

Whenever any preliminary review is required and when it is completed, M-40, in consultation with the servicing Human Resources (HR) Office, shall make a determination as to whether the individual appears to meet the basic suitability standards for employment. When there is no information raising suitability issues, M-40 will notify the employing organization's Personnel Security Coordinator that it concurs with the individual's entry-on-duty. Once a favorable determination is made, the HR office may arrange a start date for the new employee.

(2) Contractor Employees

M-40 will notify the appropriate Contracting Officer's Representative (COR), through the Personnel Security Coordinator, of concurrence or non-concurrence for entrance-on-duty for a contractor employee.

d. Actions Required of DOT Secretarial Offices and Operating Administrations

- (1) The Personnel Security Coordinator or HR office of a DOT Secretarial Office or OA must send (a) the completed DOT Form 1600.8; (b) the Declaration for Federal Employment (Optional Form 306); (c) the e-QIP signature pages; and (d) the applicant's resume to M-40 as soon as the organization has selected an individual for a position as a Federal employee and the individual has accepted a tentative offer. The Personnel Security Coordinator must also send to M-40 these same completed forms as soon as it has identified an individual as a prospective contractor employee who will be working at a DOT facility or who requires access to sensitive information, information technology systems, or other DOT resources.
- (2) HR offices and CORs, as applicable, shall work closely with M-40 in advance of proposed EOD dates. Personnel Security Coordinators should serve as the primary liaison among HR offices, hiring managers, contracting officials, prospective Federal and contractor employees, and M-40.
- (3) When a Federal employee is transferring to DOT from another Federal agency and may already have a completed background investigation meeting the requirements for the employee's DOT position, the Personnel Security Coordinator or HR office shall use the Central Verification System (CVS) to verify and then notify M-40 as soon as possible in order to allow sufficient time to obtain information about the employee's previous investigation. If M-40 finds

the employee does not have a completed investigation meeting the requirements for the DOT position, M-40 will instruct the Personnel Security Coordinator to initiate an investigation.

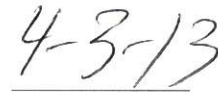
- (4) When a prospective contractor employee already has a completed background investigation meeting the requirements for the individual's new DOT assignment, contracting officials shall notify M-40, through the Personnel Security Coordinator, as soon as possible in order to allow sufficient time to obtain information about the individual's previous investigation. If M-40 finds the individual does not have an investigation meeting the requirements for the work assignment at DOT, M-40 will instruct the Personnel Security Coordinator to initiate an investigation.
- (5) DOT Secretarial Offices and OAs shall complete forms listed in Appendix 1. The appendix contains a list of the submissions required by M-40 to process a background investigation on a prospective Federal employee or contractor employee.
- (6) Timely personnel security processing will occur when M-40 has received all required information, including electronic submissions, forms, and fingerprints. HR representatives, hiring managers and contracting officials must stress to prospective Federal employees and contractor employees the importance of providing these items in an expeditious manner and responding promptly to any M-40 requests for additional information.
- (7) M-40 cannot continuously monitor every case individually; therefore, it is imperative that HR offices, hiring managers, contracting officials, and Personnel Security Coordinators stay in contact with prospective Federal employees and contractor employees, as appropriate, to ensure they are completing forms, reporting for fingerprinting and submitting information electronically as required. Failure to comply could result in onboarding delays.
- (8) Contracting officials must ensure contracts requiring contractor employees to have access to DOT facilities, sensitive information, resources, and/or information technology systems contain appropriate clauses to fully implement the provisions of this Order. As contracts are awarded, DOT Secretarial Offices and OAs shall remind contractors that M-40 must favorably adjudicate the preliminary results of background investigations for their personnel, or confirm they already have completed investigations meeting the requirements of the positions staffed under the contract, before DOT will grant contractor personnel access to DOT facilities, sensitive information, resources, or information technology systems.
- (9) Contractor employees who do not require regular access to a DOT facility and do not need access to sensitive information, information technology systems, or

DOT resources normally do not require an investigation. If these persons visit a DOT facility occasionally, they should be treated as visitors and subject to any escort requirements in effect at the facilities they visit. However, any contractor employee who does need regular access to a facility is subject to investigation and should not be regularly treated as a visitor, even if escorted.

ASSISTANT SECRETARY FOR ADMINISTRATION

A handwritten signature in black ink, appearing to be "B. J. D.", written over a horizontal line.

Signature

A handwritten date "4-3-13" in black ink, written over a horizontal line.

Date

## APPENDIX 1

### REQUIRED SUBMISSIONS TO THE OFFICE OF SECURITY (M-40)

For all new Federal employees and contractor employees:

- Completed DOT Form 1600.8, Personnel Security Action Request and Notification, signed by the Personnel Security Coordinator for the organization where the individual will be working.

If a background investigation must be initiated by the Personnel Security Coordinator, it requires the following:

Federal employee:

- Completion of investigation questionnaire in e-QIP (by employee)
- Fingerprints (employee reports per M-40 instructions)
- E-QIP release forms and certification statement (from employee)
- OF-306, Declaration for Federal Employment (from servicing human resources organization)
- Resume (from HR organization)
- Any additional information or documentation M-40 might request following review of the above documents and the results of the criminal history check

Contractor employee:

- Completion of investigation questionnaire in e-QIP (by individual)
- Fingerprints (individual reports per M-40 instructions)
- E-QIP release forms and certification statement (from individual)
- OF-306, Declaration for Federal Employment (from Personnel Security Coordinator, when required)
- Any additional information or documentation M-40 might request following review of the above documents and the results of the criminal history check