

**Performance-Based Statement of Work
Strategic Communication Executive Education and Facilitation Services
Center for Executive Education
Naval Postgraduate School**

1.0 Background/Introduction:

The Center for Executive Education (CEE) at the Naval Postgraduate School (NPS) provides an array of executive-level education courses and workshops for senior leaders within the Department of the Navy (DON), to include Navy Admirals and Captains, members of the Senior Executive Service (SES), and other senior Navy civilian employees. These courses and workshops are conducted under the direction of the Chief of Naval Personnel (CNP) through the Navy Executive Development Program (NEDP), and CEE is responsible to CNP for matters related to executive development within the Navy. CEE delivers various NEDP programs through a combination of on-site and distant-learning options relying on a blend of Navy instructors, and instructor and facilitator services provided through prominent universities and executive learning centers. CEE's Strategic Communication Workshop (SCW) is a three-day course for US Navy Admirals, Captains, Commanders and equivalent civilians that require supporting instructor and facilitator services provided by a Contractor.

2.0 Scope:**Strategic Communication Program Overview and Objectives**

The NEDP comprises a continuum of executive education courses and workshops designed to develop the strategic level of understanding required by senior Navy leaders beyond the operational aspects of their professional development. NEDP learning objectives are focused on decision-making, risk management and assessment, innovation and creativity, and total ownership cost and financial literacy. NEDP courses are ultimately aimed at breaking down cultural barriers existing between various naval warfare areas and are designed to transform senior Navy officers and senior civilians into responsible Navy-wide corporate citizens. NEDP programs include courses and workshops involving strategic thinking, strategic planning, strategic communication (SC), strategic negotiations, strategic execution, etc.

SCW Purpose: The SCW is designed for Navy enterprise organizations in support of Navy and Joint operations. Participants expect to gain expertise in SC and apply this knowledge within their various commands. Expertise includes knowledge about strategic communication planning, organizational change and leadership as it pertains to SC, organizational communication, new media, development and analysis of narratives, crisis communication, and metrics. Participants who attend the SCW expect to acquire cutting-edge SC knowledge that is grounded in the latest communication research. They also expect to learn best SC practices from both the private and public sector. In addition to attaining new knowledge, they expect to take away an actionable product that uses a variety of SC –related analytical tools and procedures. The desired outcome of the SCW is to assist participants in developing actionable SC products and to help them develop an organizational culture that recognizes the value of communication and effectively integrates strategic communication into policy development, operational planning, execution and assessment to advance DoD and national interests. The desired outcome is accomplished in two ways: 1) instruction in SC principles and processes; and, 2) facilitation of individual teams in developing individualized SC plans and processes for their unique organization and issues. (NOTE: SCW IS NOT A WORKSHOP DESIGNED FOR DEVELOPING INTERPERSONAL COMMUNICATION, WRITING, SPEAKING, TEAMBUILDING SKILLS OR PUBLIC RELATIONS CAMPAIGNS.)

SCW Program Overview: NPS CEE is responsible for the overall implementation and oversight of this contract and will coordinate all SCW-related activities with the Contractor. CEE's SCW Program Manager (SCW PM) will be authorized to work directly with the Contractor when implementing the specific terms and conditions of this contract. The SCW PM will be responsible for reviewing all Contractor-submitted reports and will participate in all required meetings and conference calls with the Contractor. In turn, the Contractor will provide task orders and delivery orders in a timely fashion to assure smooth delivery of services in support of the SCW Program. Details regarding CEE's SCW Program follow:

- Offerings: SCW offerings are determined by participant demand. Each SCW is 3 days in length. **The first workshop is scheduled for 27-29 June 2016. A second workshop is scheduled for 9-11 August 2016. A third workshop is scheduled for 13-15 September 2016.**
- Duration of each SC Workshop: Three days of instruction and facilitation, usually running from 0730-1800.
- Venue: Monterey, CA or other Navy location such as Norfolk, San Diego, Pearl Harbor, Washington State, or Washington DC.
- Participants: Usually 20-30 total participants per SCW. Target audience is Navy Admirals, Captains, Commanders and senior Navy civilians who come as a team from a command.

- Number of teams per SCW: Usually 3-7 teams, with 3-7 people per team. Each team is usually led by a Navy Admiral or Captain with team members selected based on their responsibilities and functions relative to the team's issue.
- Number of instructional modules per SCW: Usually 9-10 total. CEE will teach two to four modules, and the Contractor will instruct six modules (details provided in 3.1 below).
- Break-out facilitation and consultation for SCW Teams: Contractor will provide consultation and facilitation skills for up to 3 SCW teams (details provided in 3.2 below).

SCW Learning Objectives: Each SCW will be accomplished using a variety of adult learning styles to include case studies, lectures, seminars, simulations and group work as appropriate. All materials must be grounded in the latest communication-related research. Each participating US Navy team will bring their strategic plans or change initiatives to an SCW that require a strategic communication component. In addition to gaining executive-level strategic communication concepts and principles, each team is expected to take away a working knowledge of SC and draft SC plans and processes. Specific learning objectives are as follows:

- Analyze an organization's leadership, systems, and change readiness as it relates to its Strategic Communication capability;
- Complete a detailed stakeholder analysis and associated stakeholder map;
- Develop a SC plan and associated process for a key organizational initiative;
- Understand communication theory as it relates to SC competence;
- Use DoD's Effects-Based approach to articulate Commander's Intent;
- Show how to align external and internal SC processes;
- Develop message strategies aligned with key stakeholders;
- Identify various media approaches including various social media options;
- Analyze key narratives in terms of stakeholder alignment or divergence;
- Develop metrics to measure SC effectiveness at multiple levels.

3.0 Tasks:

The Contractor will conduct three primary tasks in support of the SCW program: 1) develop SC modules and materials and provide executive-level strategic communication instruction to SCW participants; 2) provide associated command team SC consultation and facilitation services; and, 3) participate in CEE's SCW quality assurance and course improvement processes. This contract shall be performed in accordance with the terms and conditions contained within this Performance Work Statement. The following services are required for the functioning and oversight of this contract:

3.1. Task 1: Develop SC Modules and Materials and provide Instructional Delivery

The Contractor shall develop and present CEE-approved course materials to participants at each SCW, using established executive-level teaching technologies and methods. The Contractor shall develop SC Modules and Materials one time in the Base Year.

3.1.1. SC Modules and Materials Development: The Contractor will develop, draft and finalize all documents and materials for lectures (to include slides, handouts, suggested read ahead materials, cases and any reference materials) for six different modules: 1) Principles of SC theory; 2) SC Planning Processes and Stakeholder Analysis; 3) SC Leadership and Change; 4) Mediated Narrative Development and Analysis; 5) SC Capability Development, including strengths/weaknesses and recommendations for capability building; and, 6) assessment and development of SC Metrics using a wide variety of methods.

3.1.1.1. Specific content for each module follows:

- Principles of SC theory will include brief description of the evolution of communication theory highlighting the difference between conduit-type communication versus current theory that stresses shared understanding and theory such as communication constitutes organizations (CCO). Participants will understand the pitfalls of using a transmission metaphor to think about SC. Current communication theories serve as grounding for all subsequent modules. (45 minutes including lecturette, relevant examples, and discussion.)
- SC Planning Processes and Stakeholder Analysis will include the basic elements of SC planning – situational analysis, commander's intent using effects-based approach, stakeholder analysis, communication goals,

- stakeholder desired effects, risk assessment, communication measurement system, and implementation strategy. Participants should be able to apply the elements and planning process to their own organizations. They should also know how to conduct an in-depth stakeholder analysis including an impact and sentiment assessment that represent communication risk and resource management. (90 minutes, lecturette, a relevant case that serves as a best practice for planning elements and process, and discussion),
- SC Leadership and Change will include the leadership required to develop a culture that is conducive to embedding SC in the culture of the organization. Concepts such as leading up and influencing without authority are key to this instruction. Instruction about change includes elements necessary to moving to a culture that values a communication-centric element for strategy development and implementation (e.g. CCO). (90 minutes including a case-based relevant example, lecturette, and discussion.)
 - Narrative in a Mediated World will include insight into how narratives are created and shaped in an increasing mediated world. Important elements include how media attention is created, the importance of framing, authenticity, and legitimacy. Knowledge about research regarding media in various regions and countries is required (e.g. China, the Middle East, Africa). Specific US Navy and DoD-related examples should be used to demonstrate relevance to the participants. Participants should understand the strategic aspects of analyzing and developing overarching narratives. (90 minutes including lecturette, relevant examples, and discussion.)
 - SC Capability Development will cover diagnostic skills needed to determine the command's current SC capability and the desired SC capability. Participants are asked to use common organizational levers to develop a roadmap for improving the command's SC capability. This lecture provides the participants with a SC Capability action plan that they can use at their commands. (60 minute lecturette and facilitated exercise with class, includes case study where participants diagnose an organization's SC capability and then demonstrate their ability to develop an action plan for their own organization.)
 - SC Metrics will impart knowledge of those metrics that are directly related to SC. Concepts to be covered include leading, lagging, coincident measures, social network analysis, semantic network analysis, content analysis, and trend analysis. The lecture must be appropriate for those who are new to metrics as well as for those who have more advanced skill in this domain. Specific examples of various analytical tools relevant to SC are required. Participants expect an extensive list of references such as recommended relevant surveys, tools, social media analytics, etc. Metric instruction should demonstrate link to DoD's Observe, Orient, Decide, Act (OODA) loop which is taught by NPS SME's earlier in the course. (120 minute lecturette, including relevant examples, a 30-minute facilitated working exercise where participants begin developing a framework for their metrics, and discussion.)
- 3.1.1.2. Content for each module must demonstrate a grounding in the latest communication research and SC best practices.
- 3.1.1.3. All module materials (e.g. PowerPoint slides, case studies, vignettes, exercises, readings, resources) will be emailed by the Contractor to NPS CEE 36 calendar days prior to the first workshop. The Contractor will provide a one-page overview for the six modules describing each module's relevant communication grounding theory and related best/worst practice examples. All module-related documents and material will be created and delivered electronically in Microsoft Office format, version 7.0 or higher (e.g. Word, PowerPoint, or Excel). The Department of Navy will have government purpose rights to all developed SCW course materials under this contract. Upon receipt of module materials from the Contractor, NPS CEE will review for the materials for quality and adherence to the specifications described above. NPS CEE will provide feedback for revision to the Contractor within 10 calendar days of receipt.
- 3.1.1.4. Contractor will revise and return materials addressing all NPS CEE feedback within 10 days of receipt. If course module materials do not meet NPS CEE's requirements as specified in the feedback, NPS CEE reserves the right to cancel future services under this contract.

3.1.2. SC Instruction delivery: The overall intent of the SCW is to assist commands in developing their own SC capability and specific SC plans and processes. Some command teams will be new to this SC instruction, while others will have more advanced knowledge. The Contractor must be able to work with a wide range of participants and knowledge levels. No matter what their skill level, each SC team will expect to take away new materials and tools that will advance their command's SC efforts.

3.1.2.1. A sample course agenda for the SCW will be provided by NPS CEE to the Contractor upon contract award. NPS CEE reserves the right to make changes to the schedule as needed. The Contractor will email to NPS CEE all revised and final Contractor-provided instructor presentation materials, read-aheads, cases, exercises and other resources for their respective modules NLT 13 calendar days prior to course start date to permit NPS CEE posting of finalized materials on the NPS course web portal.

3.1.2.2. The Contractor SCW Lead will arrive at the SCW location NLT 45 minutes prior to the workshop start time in order to coordinate any details with the SCW PM and the Contractor-provided instructors and facilitators, and the Contractor SCW Lead will remain present on site throughout the entire SCW. Each Contractor-provided instructor will arrive at the SCW location a minimum of 45 minutes prior to their scheduled lecture times and will deliver their assigned Contractor-developed modules and materials at the workshop.

3.2. Task 2 – SCW Consultation and Facilitation: In addition to developing and delivering the six instructional modules (Task 1 above), the Contractor will provide facilitators who can conduct customized consultation and facilitation for their assigned SCW team. While SCW modules and instruction are designed to impart SC concepts and to introduce SC tools, dedicated consultation and facilitation is required to assess the command's current SC capability and to assist them in developing customized SC plans, processes and roadmaps for building a SC capability. Each SCW includes five or six team break-out sessions and will require a dedicated facilitator to assist each command team in developing customized SC plans and processes. These sessions allow each team to apply the concepts that are learned in the lectures.

3.2.1 - The Contractor will provide up to three experienced facilitators at each workshop.

3.2.1.1. NPS CEE will identify the actual number of Contractor-provided facilitators needed approximately 11 calendar days prior to SCW start.

3.2.1.2. NPS CEE will introduce each facilitator via email to their assigned team during the week prior to SCW start.

3.2.1.3. Contractor-provided facilitators will contact their assigned teams' POC prior to the SCW to become familiar with the team's command and problem that the team plans to address at the SCW. Typical familiarity activities include: understanding the basics about the command's mission, vision, organization chart; suggesting data that the team might bring to the workshop; and understanding the roles and responsibilities of the team members.

3.2.1.4. Facilitators will be on site at SCW classroom NLT 30 minutes prior to start time of each SCW and will sit in on all SCW lectures with the SCW participants when not facilitating so that they can readily assist their assigned team in applying the lecture materials.

3.2.1.5. Facilitators will provide focused and action-oriented feedback to their assigned command teams during each SCW. Facilitators can expect up to 15 hours of facilitation per team per workshop.

3.3 Task 3 – Quality Assurance Processes and Required Documentation:

Following each workshop, the Contractor will receive feedback from SCW participants and the SCW PM on their individual instructors and facilitators. If any instruction or facilitation is rated as unsatisfactory, the Contractor will develop a remediation plan. Additionally, the Contractor will provide required documentation following each SCW and will attend annual review meetings.

3.3.1. Post-SCW Feedback and Review Process: Ten calendar days after each SCW, the Contractor will receive qualitative and quantitative feedback from participants and SCW PM on each of the Contractor-instructed modules and facilitated team working sessions.

3.3.1.1. Contractor SCW lectures, instructor, and facilitator must each attain a score of 4.0 or better (out of a scale of 5.0) based on participant and SCW PM evaluations to be considered viable for future courses.

3.3.2. Post-SCW Documentation and Reports: Following each SCW, the Contractor will provide a written report to the NPS CEE SCW Program Manager on the work performed under this contract.

3.3.2.1. The SCW Program Manager will supply the report template for this report upon contract award.

3.3.2.1.1. The report will include a breakdown of the activity against each task number, and also correlate that task number to its associated cost.

3.3.2.1.2. The reports will be submitted to NPS CEE no later than 15 calendar days following each workshop. Reports are to be supplied electronically in Microsoft Office format, version 7.0 or higher.

4.0 Deliverables:

The contractor shall be responsible for providing the following deliverables:

4.1 – Develop six SC Modules and Materials and provide Instructional Delivery of those six SC Modules

4.2 – Provide up to three experienced facilitators at each workshop who can conduct customized consultation and facilitation for their assigned SCW team.

4.3 – Following each SCW, the Contractor will provide a written report to the NPS CEE SCW Program Manager on the work performed under this contract.

Performance Measurement - Quality Assurance Plan

Task	Deliverable that will be inspected	Acceptable Quality Level (AQL)	Method	Frequency
3.1.1.3	Completed SC course module materials for the six different modules IAW PWS	Professional Academic Quality Course Materials in the agreed upon format	100% Inspection of Deliverables	One time, Base year only
3.1.1.4	Revised and Updated Course Material	Professional Academic Quality Course Materials in the agreed upon format	100% Inspection of Deliverables	One time, Base year only
3.1.2.1	Final version of full set of course materials ready for online posting	Delivery of deliverable during the scheduled timeframe	Personal observation by NPS	One time, based on demand
3.1.2.2	Instructor delivery of SC course modules and materials at SCW	Delivery of deliverable during the scheduled timeframe identified in each SCW course agenda	Personal observation by NPS at each SCW location	One time, based on demand

3.2.1.3	Pre-SCW facilitator coordination with assigned SCW teams	Delivery of line item during the scheduled timeframe	Feedback from SCW teams to NPS	One time, based on demand
3.2.1.4	Facilitators facilitating during entire SCW	Delivery of line item	Personal observation by NPS at each SCW location	One time, based on demand
3.2.1.5	Facilitators provide focused, action-oriented feedback to assigned SCW team	Delivery of line item	Personal observation by NPS during SCW team outbriefs	One time, based on demand
3.3.2	Post – SCW reports	Delivery of line item during the scheduled timeframe	100% Inspection of Deliverables	One time, based on demand

If performance falls below the AQL defined above, the Contracting Officer's Representative (COR) shall document the instance(s), coordinate with the Contracting Officer and advise the Contractor. The Contractor will be requested to review the documentation and provide a written response on how performance will be corrected in the future. Re-performance of any work for failure to perform in accordance with the specified AQL or task requirement shall be completed at the Contractor's own expense and at no additional cost to the Government.

5.0 Minimum Technical Requirements:

The Contractor will provide subject matter experts in strategic communication with experience teaching the specified modules outlined above to senior-level executives. Contractor will provide educators or seasoned lecturers with prior experience running senior executive federal, DoD or US Navy executive educational programs. It is highly desirable that the educators have experience with Navy senior executives in order to understand the specific context of various US Navy strategic communication efforts. Contractor must provide documentation that shows how each instructor and facilitator meets the qualifications. Specific qualifications:

5.1 Education and/or Experience for Delivery of Instructional Modules

- Contractor will provide instructors with at least 5 years of recent demonstrated successful performance teaching DoD or Navy executive education specifically related to strategic organizational communication (can include but not substitute interpersonal, writing, speaking, teambuilding or public relations).
- Contractor will provide instructors who have a PhD-level education in communication with emphasis in strategic communication, organizational communication, rhetoric, public diplomacy, and/or new media to be able to have a deep knowledge base of accepted communication models, concepts and theory in the course of their teaching.
- Contractor will provide instructors experienced and/or knowledgeable about public and private sector strategic communication best practices that are relevant to the US Navy participants.
- Contractor will provide instructors who can demonstrate knowledge in current research fields related to strategic communication. Ideally the educators are also conducting research in this field.
- Competence with respect to strategic communication will be demonstrated in Curriculum vitae, statements of experience, and recent executive education executive education teaching evaluations. Contractor will provide

documentation for each instructor and facilitator. NPS CEE will use documentation to validate instructor and facilitator requirements specified in this PWS.

- Contractor will provide instructors familiar with complex issues typically faced by large organizations such as DOD and the US Navy.
- Contractor will provide instructors familiar with the unique organizational context faced by the US military.

5.2 Education and Experience for Facilitation

- Contractors will provide facilitators who have, at a minimum, a Masters (preferably PhD) in a communication-related field and who are familiar with recent research in the following disciplines: strategic communication, organizational communication, rhetoric, public diplomacy, and/or new media. This knowledge is required in order to assist teams in the application of the SC concepts that are presented in the lectures.
- The Contractor will provide facilitators who can work closely with their assigned Navy team prior to each workshop to diagnose their assigned team's SC capability and assist the team in preparing for the workshop.
- The Contractor will provide facilitators who have demonstrated skills in organizational diagnosis and measurement as it relates to strategic communication and organizational effectiveness. The knowledge is required to assess their assigned Navy team's SC capability and assist them in building a SC roadmap for the future.
- The Contractor will provide facilitators who have demonstrated successful experience facilitating executive-level organizational teams in the development of SC plans and processes. Participating Navy teams have a variety of experience working with one another. Often teams have complex issues and have not worked well with one another. Contractor will provide facilitators who have experience dealing with executive level team conflict.
- Contractor will provide facilitators able to work complex issues typically faced by DOD and the US Navy.
- Contractor will provide facilitators familiar with the unique organizational context faced by the US military.

6.0 Period of Performance:

The Period of Performance (POP) shall run from 6 June 2016 to 2 August 2016 with the possibility of two additional SC Workshop course options in FY2016, potentially extending the period of performance through 30 September 2016.

7.0 Place of Performance:

Work will be completed either at NPS or at designated education centers located at various Navy bases as determined by emerging requests for SCW.

8.0 Government Furnished Property:

The government shall provide appropriate office space, supplies and equipment to perform tasks at NPS or at designated Navy distant learning centers. Any Government-provided property and information shall be used for official Government business only. Any applicable documents that are authorized for use in performance of these services shall be provided, in accordance with security and contract terms and conditions.

9.0 Work Week and Hours of Operation:

The Contractor shall provide services during normal working hours excluding federal holidays. Normal working hours are 0730-1630, Monday through Friday, unless requirements dictate otherwise. Exceptions can be permitted by the COR upon request and at the COR's discretion.

Following is a list of holidays observed by the Government.

<u>Name of Holiday</u>	<u>Time of Observance</u>
New Year's Day	1 January
Martin Luther King Jr. Day	Third Monday in January
President's Day	Third Monday in February
Memorial Day	Last Monday in May
Independence Day	4 July
Labor Day	First Monday in September
Columbus Day	Second Monday in October
Veteran's Day	11 November

Thanksgiving Day
Christmas Day

Fourth Thursday in November
25 December

If any of the above holidays occur on a Saturday or a Sunday, then such holiday shall be observed by the Contractor in accordance with the practice as observed by the assigned Government employees at the using activity

10.0 Travel:

Travel will be in accordance with the Joint Travel Regulations (JTR) and will be reimbursed by the government on an as-incurred basis.

Associated Task	From/To Travel Location	Duration of Trip	How Many Travelers
3.1.2.2	Vendor location/Washington State, Washington DC area, Monterey CA	4-5 days	3-6
3.1.2.4	Vendor location/Washington State, Washington DC area, Monterey CA	4-5 days	1-3

11.0 Transition Activities:

It is essential to the Government that services required under this PWS are performed without interruption. At the conclusion of any performance period, including option periods or extensions, the services provided under this PWS may be awarded to another contractor. The contractor in place shall be required to assist in the transition activities.

12.0 Security Requirements:

Contractor Key Personnel must be U.S. Citizens.

Contractors performing on this contract are required to familiarize themselves with, and participate in, the Naval Postgraduate School's OPSEC program. Must be familiar with and comply with NAVPGSCOLINST 3432.1B, the NPS Critical Information List, DoDI 5205.2E and their applicable references. The contractor will be required to complete OPSEC and counter-intelligence training within 30 days of beginning the work, or provide proof of OPSEC and counterintelligence training completed within the previous 12 months. The contractor may not publicly release any information about developmental work or curriculum at NPS without prior written approval from the Preliminary Investigator (PI).

13.0 Privacy Act Statement:

"Pursuant to Title 5 United States Code 552a(m)(1), the contractor and all employees of the contractor working under this contract are required to comply with the requirements of 5 U.S.C. 552a ("The Privacy Act of 1974")."

14.0 Identification of Contractor Employees:

In accordance with DFAR 211.106, there shall be a clear distinction between Government employees and service contractor employees. Service contractor employees shall identify themselves as contractor personnel by introducing themselves or being introduced as contractor personnel. Contractor personnel will be required to obtain and wear badges or other visible identification for meetings with Government personnel to provide a clear distinction between service contractor employees and Government personnel. In addition, contractor personnel shall appropriately identify themselves as contractor employees in telephone conversations and in formal and informal written correspondence. They must also ensure that all documents or reports produced by contractors are suitably marked as contractor products or that contractor participation is appropriately disclosed.

15.0 Non-Personal Services Statement:

Contractor employees performing services under this order will be controlled, directed, and supervised at all times by management personnel of the contractor. Contractor management will insure that employees properly comply with the performance work standards outlined in the SOW. Contractor employees will perform their duties independent of, and without the supervision of, any Government official or other Defense Contractor. The tasks, duties, and responsibilities set forth in the task order may not be interpreted or implemented in any manner that results in any contractor employee creating or modifying Federal policy, obligating the appropriated funds of the United States Government, overseeing the work of Federal employees, or otherwise violating the prohibitions set forth in Parts 7.5 and 37.1 of the Federal Acquisition Regulation (FAR). The Government will control access to the facility and will perform the inspection and acceptance of the completed work.

16.0 NAVSUP 5252.204-9400 Contractor Unclassified Access to Federally Controlled Facilities, Sensitive Information, Information Technology (IT) Systems or Protected Health Information (July 2013)

Homeland Security Presidential Directive (HSPD)-12, requires government agencies to develop and implement Federal security standards for Federal employees and contractors. The Deputy Secretary of Defense Directive-Type Memorandum (DTM) 08-006 – “DoD Implementation of Homeland Security Presidential Directive – 12 (HSPD-12)” dated November 26, 2008 (or its subsequent DoD instruction) directs implementation of HSPD-12. This clause is in accordance with HSPD-12 and its implementing directives.

APPLICABILITY

This clause applies to contractor employees requiring physical access to any area of a federally controlled base, facility or activity and/or requiring access to a DoN or DoD computer/network/system to perform certain unclassified sensitive duties. This clause also applies to contractor employees who access Privacy Act and Protected Health Information, provide support associated with fiduciary duties, or perform duties that have been identified by DON as National Security Position, as advised by the command security manager. It is the responsibility of the responsible security officer of the command/facility where the work is performed to ensure compliance.

Each contractor employee providing services at a Navy Command under this contract is required to obtain a Department of Defense Common Access Card (DoD CAC). Additionally, depending on the level of computer/network access, the contract employee will require a successful investigation as detailed below.

ACCESS TO FEDERAL FACILITIES

Per HSPD-12 and implementing guidance, all contractor employees working at a federally controlled base, facility or activity under this clause will require a DoD CAC. When access to a base, facility or activity is required contractor employees shall in-process with the Navy Command’s Security Manager upon arrival to the Navy Command and shall out-process prior to their departure at the completion of the individual’s performance under the contract.

ACCESS TO DOD IT SYSTEMS

In accordance with SECNAV M-5510.30, contractor employees who require access to DoN or DoD networks are categorized as IT-I, IT-II, or IT-III. The IT-II level, defined in detail in SECNAV M-5510.30, includes positions which require access to information protected under the Privacy Act, to include Protected Health Information (PHI). All contractor employees under this contract who require access to Privacy Act protected information are therefore categorized no lower than IT-II. IT Levels are determined by the requiring activity’s Command Information Assurance Manager. Contractor employees requiring privileged or IT-I level access, (when specified by the terms of the contract) require a Single Scope Background Investigation (SSBI) which is a higher level investigation than the National Agency Check with Law and Credit (NACLC) described below. Due to the privileged system access, a SSBI suitable for High Risk public trusts positions is required. Individuals who have access to system control, monitoring, or administration functions (e.g. system administrator, database administrator) require training and certification to Information Assurance Technical Level 1, and must be trained and certified on the Operating System or Computing Environment they are required to maintain.

Access to sensitive IT systems is contingent upon a favorably adjudicated background investigation. When access to IT systems is required for performance of the contractor employee’s duties, such employees shall in-process with the Navy Command’s Security Manager and Information Assurance Manager upon arrival to the Navy command and shall out-process prior to their departure at the completion of the individual’s performance under the contract. Completion and approval of a System Authorization Access Request Navy (SAAR-N) form is required for all individuals accessing Navy Information Technology resources. The decision to authorize access to a government IT system/network is inherently governmental. The contractor supervisor is not authorized to sign the SAAR-N; therefore, the government employee with knowledge of the system/network access required or the COR shall sign the SAAR-N as the “supervisor”.

The SAAR-N shall be forwarded to the Navy Command’s Security Manager at least 30 days prior to the individual’s start date. Failure to provide the required documentation at least 30 days prior to the individual’s start date may result in delaying the individual’s start date.

When required to maintain access to required IT systems or networks, the contractor shall ensure that all employees requiring access complete annual Information Assurance (IA) training, and maintain a current requisite background investigation. The Contractor’s Security Representative shall contact the Command Security Manager for guidance when reinvestigations are required.

INTERIM ACCESS

The Navy Command's Security Manager may authorize issuance of a DoD CAC and interim access to a DoN or DoD unclassified computer/network upon a favorable review of the investigative questionnaire and advance favorable fingerprint results. When the results of the investigation are received and a favorable determination is not made, the contractor employee working on the contract under interim access will be denied access to the computer network and this denial will not relieve the contractor of his/her responsibility to perform.

DENIAL OR TERMINATION OF ACCESS

The potential consequences of any requirement under this clause including denial or termination of physical or system access in no way relieves the contractor from the requirement to execute performance under the contract within the timeframes specified in the contract. Contractors shall plan ahead in processing their employees and subcontractor employees. The contractor shall insert this clause in all subcontracts when the subcontractor is permitted to have unclassified access to a federally controlled facility, federally-controlled information system/network and/or to government information, meaning information not authorized for public release.

CONTRACTOR'S SECURITY REPRESENTATIVE

The contractor shall designate an employee to serve as the Contractor's Security Representative. Within three work days after contract award, the contractor shall provide to the requiring activity's Security Manager and the Contracting Officer, in writing, the name, title, address and phone number for the Contractor's Security Representative. The Contractor's Security Representative shall be the primary point of contact on any security matter. The Contractor's Security Representative shall not be replaced or removed without prior notice to the Contracting Officer and Command Security Manager.

BACKGROUND INVESTIGATION REQUIREMENTS AND SECURITY APPROVAL PROCESS FOR CONTRACTORS ASSIGNED TO NATIONAL SECURITY POSITIONS OR PERFORMING SENSITIVE DUTIES

Navy security policy requires that all positions be given a sensitivity value based on level of risk factors to ensure appropriate protective measures are applied. Navy recognizes contractor employees under this contract as Non-Critical Sensitive [ADP/IT-II] when the contract scope of work require physical access to a federally controlled base, facility or activity and/or requiring access to a DoD computer/network, to perform unclassified sensitive duties. This designation is also applied to contractor employees who access Privacy Act and Protected Health Information (PHI), provide support associated with fiduciary duties, or perform duties that have been identified by DON as National Security Positions. At a minimum, each contractor employee must be a US citizen and have a favorably completed NACLIC to obtain a favorable determination for assignment to a non-critical sensitive or IT-II position. The NACLIC consists of a standard NAC and a FBI fingerprint check plus law enforcement checks and credit check. Each contractor employee filling a non-critical sensitive or IT-II position is required to complete:

- SF-86 Questionnaire for National Security Positions (or equivalent OPM investigative product)
- Two FD-258 Applicant Fingerprint Cards (or an electronic fingerprint submission)
- Original Signed Release Statements

Failure to provide the required documentation at least 30 days prior to the individual's start date shall result in delaying the individual's start date. Background investigations shall be reinitiated as required to ensure investigations remain current (not older than 10 years) throughout the contract performance period. The Contractor's Security Representative shall contact the Command Security Manager for guidance when reinvestigations are required.

Regardless of their duties or IT access requirements ALL contractor employees shall in-process with the Navy Command's Security Manager upon arrival to the Navy command and shall outprocess prior to their departure at the completion of the individual's performance under the contract. Employees requiring IT access shall also check-in and check-out with the Navy Command's Information Assurance Manager. Completion and approval of a System Authorization Access Request Navy (SAAR-N) form is required for all individuals accessing Navy Information Technology resources. The SAAR-N shall be forwarded to the Navy Command's Security Manager at least 30 days prior to the individual's start date. Failure to provide the required documentation at least 30 days prior to the individual's start date shall result in delaying the individual's start date.

The contractor shall ensure that each contract employee requiring access to IT systems or networks complete annual Information Assurance (IA) training, and maintain a current requisite background investigation. Contractor employees shall accurately complete the required investigative forms prior to submission to the Navy Command Security Manager. The Navy Command's Security Manager will review the submitted documentation for completeness prior to submitting it to the Office of Personnel Management (OPM). Suitability/security issues identified by the Navy may render the contractor employee ineligible for the assignment. An unfavorable determination made by the Navy is final (subject to SF-86 appeal procedures) and such a

determination does not relieve the contractor from meeting any contractual obligation under the contract. The Navy Command's Security Manager will forward the required forms to OPM for processing. Once the investigation is complete, the results will be forwarded by OPM to the DON Central Adjudication Facility (CAF) for a determination.

If the contractor employee already possesses a current favorably adjudicated investigation, the contractor shall submit a Visit Authorization Request (VAR) via the Joint Personnel Adjudication System (JPAS) or a hard copy VAR directly from the contractor's Security Representative. Although the contractor will take JPAS "Owning" role over the contractor employee, the Navy Command will take JPAS "Servicing" role over the contractor employee during the hiring process and for the duration of assignment under that contract. The contractor shall include the IT Position Category per SECNAV M-5510.30 for each employee designated on a VAR. The VAR requires annual renewal for the duration of the employee's performance under the contract.

BACKGROUND INVESTIGATION REQUIREMENTS AND SECURITY APPROVAL PROCESS FOR CONTRACTORS ASSIGNED TO OR PERFORMING NONSENSITIVE DUTIES

Contractor employee whose work is unclassified and non-sensitive (e.g., performing certain duties such as lawn maintenance, vendor services, etc.) and who require physical access to publicly accessible areas to perform those duties shall meet the following minimum requirements:

- Must be either a US citizen or a US permanent resident with a minimum of 3 years legal residency in the United States (as required by The Deputy Secretary of Defense DTM 08- 006 or its subsequent DoD instruction) and
- Must have a favorably completed National Agency Check with Written Inquiries (NACI) including a FBI fingerprint check prior to installation access.

To be considered for a favorable trustworthiness determination, the Contractor's Security Representative must submit for all employees each of the following:

- SF-85 Questionnaire for Non-Sensitive Positions
- Two FD-258 Applicant Fingerprint Cards (or an electronic fingerprint submission)
- Original Signed Release Statements

The contractor shall ensure each individual employee has a current favorably completed National Agency Check with Written Inquiries (NACI) or ensure successful FBI fingerprint results have been gained and investigation has been processed with OPM.

Failure to provide the required documentation at least 30 days prior to the individual's start date may result in delaying the individual's start date. In order to maintain access to required systems, the contractor shall ensure completion of annual Information Assurance (IA) training, monitor expiration of requisite background investigations, and initiate reinvestigations as required.

* Consult with your Command Security Manager and Information Assurance Manager for local policy when IT-III (non-sensitive) access is required for non-US citizens outside the United States.