

Administrative Handbook
of
Standard Processes

Updated
November 2008



Operations and Technical Support Contractor for
the National Cancer Institute at Frederick

Please note: hard copies of this Manual are considered UNCONTROLLED

**ADMINISTRATIVE HANDBOOK
OF
STANDARD PROCESSES**

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Updated: November 2008

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Section A: Contracts and Administration (C&A)

STANDARD PROCESS

Section A: Contracts and Administration (C&A)

Number/Title: **A001/Administrative Handbook of Standard Processes**

Date Issued: November 2003

Revision:

SP Contact: Project Coordinator, Project Coordination Dept., FAS, 301-846-5667

I. Purpose

The *Administrative Handbook of Standard Processes* is designed to be a working guide for supervisory and staff personnel in day-to-day administration and to orient employees to the SAIC-Frederick, Inc., standard processes (SPs). Additionally, it delineates the processes for successful interaction of SAIC-Frederick, Inc., with government and other contractor employees.

II. References

SP A002/Preparation of Standard Processes

III. Definitions

SP: Standard Process

IV. Scope

The *Handbook* is prepared for use with SAIC-Frederick, Inc., activities in support of the National Cancer Institute at Frederick (NCI-Frederick). The SPs generally apply to all employees of NCI-Frederick unless otherwise noted in the Scope of a specific SP.

V. Processes/Guidelines

A. This handbook is provided to SAIC-Frederick, Inc., employees as a brief guide to the standard processes in effect at the time of publication. All terms and conditions of employment are not set forth in the handbook. Processes can be changed or modified at any time by SAIC-Frederick, Inc. The NCI-Frederick *Policy and Procedures Manual*, which is available from your supervisor, the Human Resources Department or the NCI Web site, also provides a brief guide regarding processes.

Please note that this handbook, and any other statements of policy or processes, do not constitute expressed or implied contracts of employment. Furthermore, no one at the company has the authority to make any arrangements with the employee to the contrary. The employment relationship between the employee and the company is “at will,” which means the company or the employee may terminate the employment relationship with or without cause or notice.

B. Upon approval and distribution of the *Handbook* and subsequent SPs, the processes provided herein will be considered an “Advanced Action Directive”; as such, these processes will supersede existing related “formal” and “informal” processes for immediate implementation.

STANDARD PROCESS

Number/Title: **A001/Administrative Handbook of Standard Processes (continued)**

- C. SPs will be prepared for publication in the *Handbook* in accordance with SP A002/Preparation of Standard Processes.
- D. Distribution of the *Handbook* will be made in accordance with the approved distribution list. Each recipient will be responsible for distribution within his or her respective area, as needed.
- E. A glossary is included to provide a quick reference in defining abbreviations used throughout the *Handbook* (Attachment 1, “Glossary”).

VI. Attachments

Attachment 1, Glossary

VII. Records

(N/A)

ABCC	Advanced Biomedical Computing Center
ALS	Acquisition and Logistical Services
A/V	Audio/visual
AWD	Area wage determination
BDP	Biopharmaceutical Development Program
C&A	Contracts and Administration
CCR	Center for Clinical Research
CE	Capital equipment
CFR	Code of Federal Regulations
CMRP	Clinical Monitoring Research Program
COA	Contracting officer approval
CV	Curriculum vitae
CY	Contract year
DCA	Director, Contracts and Administration
E-mail	Electronic mail
EHS	Environment, Health, and Safety
EM	Equipment maintenance
FAR	Federal Acquisitions Regulation
FAS	Financial and Administrative Systems
FLSA	Fair Labor Standards Act
FME	Facilities Maintenance and Engineering
FMLA	Family Medical Leave Act
FTR	Federal Travel Regulations
FY	Fiscal year
GCP	Good Clinical Practices
GMP	Good Manufacturing Practices
HR	Human Resources
IMPAC	International Merchant's Purchase Authorization Card
IRS	Internal Revenue Service
ITIN	Individual taxpayer identification number
ITS	Information Technology Services
LAN	Local Area Network
LASP	Laboratory Animal Sciences Program
LMT	Laboratory of Molecular Technology
M&S	Materials and supplies
MSR	Maintenance service request
NNMC	National Naval Medical Center

OHS	Occupational Health Services
OSHA	Occupational Safety and Health Administration
OTS	Operations and Technical Support
P&P	Policy and Procedure
PC	Process coordinator
PCA	Prime contract administrator
PDA	Personal digital assistant
PI	Principal investigator
POC	Point of contact
POV	Privately owned vehicle
PR	Personnel requisition
RCHSPP	Regulatory Compliance and Human Subject Protection Program
RM	Records management
RPP	Respiratory Protection Program
RSO	Radiation safety officer
RTP	Research Technology Program
SCA	Service Contract Act
SOW	Statement of Work
SP	Standard process
SPGM	Scientific Publications, Graphics & Media
SSN	Social security number
VCMP	Vaccine Clinical Materials Program
VTC	Video conferencing
WORM	Work Order Review Meeting

STANDARD PROCESS A002

Section A: Contracts and Administration (C&A)
Number/Title: **A002/Preparation and Approval of Standard Processes**
Date Issued: November 2003
Revision: October 2008
SP Contact: Business Process and Policy Development Office, gnuschkea@mail.nih.gov

I. Purpose

This Standard Process (SP) establishes the format, process, and assignment of responsibility for the creation, revision, and control of SPs for SAIC-Frederick, Inc. The SPs define the responsibilities and methodology for planning, organizing, performing, reporting, and controlling activities in a consistent, timely, and exemplary manner, in accordance with identified requirements.

II. References

(NONE)

III. Definitions

Director, Contracts and Administration (DCA): DCA, SAIC-Frederick, Inc., or designee

OTS: Operations and Technical Support

Point of Contact (POC): The individual within a directorate/department who is responsible for originating, preparing, and coordinating SPs for the organization

Principal Investigator (PI): PI, OTS Contract, SAIC-Frederick, Inc., or designee

Responsible Directorate/Department: The directorate/department responsible for initiating and maintaining each specific SP for the organization through a designated POC

SPGM: Scientific Publications, Graphics & Media Department

Standard Process (SP): Approved process for application throughout SAIC-Frederick, Inc. Only the PI, DCA, or a designee may grant waivers or exceptions to an SAIC-Frederick, Inc., SP.

Standard Process (SP) Coordinator: Coordinates the logistics of processing an SP

Business Process and Policy Development Office (BPPDO): Coordinates the logistics of processing an SP

Conformance, Compliance, and Conflict Review: BPPDO review of an SP to make sure it conforms to standard SP format, complies with government regulations and contract requirements, and does not conflict with current standing SPs.

DMS: Data Management Services

IV. Scope

This process applies to all SPs prepared for use with SAIC-Frederick, Inc., activities in support of the National Cancer Institute at Frederick (NCI-Frederick).

STANDARD PROCESS

Number/Title: **A002/Preparation of Standard Processes (continued)**

V. Processes/Guidelines

A. Developing and Submitting

1. Using the format outlined in the “Standard Process Format and Guidance” attachment, a directorate or department POC may initiate new or revised SPs.
2. When revising an SP, POC’s may contact the BPPDO to request an electronic copy of the SP to edit. Revised SPs should be accompanied by a completed “SP Revision and Change Form” (Attachment 3) to identify what has been changed and the reason for the change.
3. Using the guidance provided in the “Standard Process Document Review Guide,” Attachment 2, the POCs will review the process and solicit comments from their program staff on the adequacy of the SP.
4. The responsible POC will forward the new or revised SP to the BPPDO. (POCs will be responsible for addressing questions and recommended edits throughout the SP approval process.)
5. Upon receipt of the new or revised SP from the POC, the BPPDO will perform a conformance, compliance, and conflict review of the SP. If the SP is new, the BPPDO will assign it a new SP number.
6. The BPPDO will then send the draft of the SP to SPGM for conversion to the SP format (if applicable) and for initial editing.
7. An SPGM editor works directly with the POC to develop the final draft. The POC sends the final draft to the BPPDO to initiate the approval process.

B. Approval Process

1. The BPPDO will begin the approval process by submitting the new or revised SP to the OTS Management Committee via e-mail for review.
2. The POC or OTS Management Committee Directorate Representative addresses questions and recommendations of the committee at the next scheduled OTS Management Committee Meeting. If the committee is in agreement with the SP, the chair of the OTS Management Committee will sign the “SAIC-Frederick, Inc. Standard Process Signature Document” (Attachment 4) at the meeting.
3. If the next OTS Management Committee Meeting is cancelled, committee members are responsible for providing comments and questions to the POC by the end of the week of the originally scheduled OTS Management Committee Meeting. If the POC does not receive a response from committee members, the SP will be considered acceptable by the committee and forwarded along for editing. In this instance, the POC will be responsible for obtaining the chair of the OTS Management Committee’s signature on the “SAIC-Frederick, Inc. Standard Process Signature Document” (Attachment 4).

STANDARD PROCESS

Number/Title: **A002/Preparation of Standard Processes (continued)**

4. Signed copies of the “SAIC-Frederick, Inc. Standard Process Signature Document” are to be sent to the BPPDO.

C. Editing Process

1. The POC incorporates edits discussed at the OTS Management Committee Meeting into the SP and sends the approved SP to the SPGM editor who performed the initial edits, and cc’s the BPPDO. The POC must highlight edits made to the document.
2. The SPGM editor will edit the SP in conjunction with the POC.
3. The POC will approve the final edited text of the SP.

D. Publication and Distribution

1. SPGM document processors format the SP and send it to the BPPDO for final approval prior to inclusion in the *Administrative Handbook*.
2. Upon BPPDO approval, SPGM document processors send the final formatted version of the SP to DMS to update the *Administrative Handbook* web site.
3. SPGM will notify the BPPDO when the *Administrative Handbook* web site has been updated with the final formatted version of the SP.
4. The BPPDO will notify employees on the supervisory/managers’ e-mail list of all new or revised SPs

E. Biennial Review

1. SPs will be reviewed by the directorate or department that originated the SP on a biennial basis (from the date issued or revision date, whichever is applicable).
2. The BPPDO maintains a list of SP issue dates and notifies the POC when the SP is ready for review.
3. If revisions are required, follow the process that begins in step V.A.2.

VI. Attachments

Attachment 1, Standard Process Format Sample and Guidance

Attachment 2, Standard Process Document Review Guide

Attachment 3, Standard Process Revision and Change Form

Attachment 4, SAIC-Frederick, Inc. Standard Process Signature Document

VII. Records

SPGM maintains the up-to-date *Administrative Handbook*.

STANDARD PROCESS FORMAT SAMPLE AND GUIDANCE

Section: Major program areas are defined in the *SP Handbook*
Number/Title: **SP# (Assigned by BPPDO if new)/SP Title**
Date Issued: Original issue date
Revision: Date revised
SP Contact: Title, department, phone #, e-mail address optional

I. Purpose

Clearly identifies the intent of the process. The purpose should refer to a quality system or management requirement that drives the implementation of the process.

II. References

Specifies any additional processes, policies and procedures, plans, or other items that are referred to in the body of the SP.

III. Definitions

Defines any terms specific to the application of the SP.

IV. Scope

Specifies the SAIC-Frederick, Inc., activities that the SP affects.

V. Processes/Guidelines

Defines the process to be followed to effectively meet the purpose of the SP. If appropriate, each step (or group of steps) should state the responsible party and follow a logical progression. The SP should not be overly prescriptive and should simply state the process to be followed. Flowcharting the process can assist the originator in determining the best method for satisfying the requirements and documents the actual process that is being implemented so that the reader fully understands the requirements the SP is intended to fulfill.

VI. Attachments

Identifies any attached forms or flowcharts that will assist the user in implementing the SP.

VII. Records

Identifies the records to be maintained and the retention periods of those records.

STANDARD PROCESS DOCUMENT REVIEW GUIDE

PEER/TECHNICAL REVIEW

1. Verify that the process provides adequate and logical direction and timeliness for a qualified user to accomplish the stated purpose.
2. Verify that the process adequately addresses management policies, applicable codes, regulations, and standards.
3. Verify that compliance to the procedural steps in the sequence specified will result in acceptable results.
4. Verify that the process does not affect the standing processes of another department. If it does, communication with the affected department must occur to mitigate the conflict.

DEPARTMENT MANAGER/ DIRECTOR REVIEW

1. Verify that peer/technical comments have been adequately resolved.
2. Verify that the purpose and scope of the process addresses management's objectives.
3. Verify that management responsibilities and procedurally required actions are appropriate and provide the necessary management checks to produce the desired results.

BPPDO REVIEW

1. Perform conformance, compliance, and conflict review of an SP to make sure it conforms to the standard SP format, complies with government regulations and contract requirements, and does not conflict with current standing SPs.

SP #: _____ **ORIG. APPROVAL DATE** _____

SP TITLE: _____

SP REVISION AND CHANGE FORM

REVISION NO.	REVISION DATE	CHANGE SUMMARY

Notice: This document was printed on WEDNESDAY, OCTOBER 01, 2008 and is an uncontrolled copy.
This document expires within 24 hours of the above date.

SAIC-Frederick, Inc. Standard Process Signature Document

For Entries into the SAIC-Frederick, Inc. Administrative Handbook

SP #: _____

SP Title: _____

New SP

Revised SP

Revision #: _____

Revision Date: _____

Prepared by: _____
Author or Reviser of SP

Date: _____

Approved by: _____
Chair, OTS Management Committee

Date: _____

Control Copy No. _____

STANDARD PROCESS

Section A: Contracts and Administration (C&A)
Number/Title: **A003/SAIC-Frederick, Inc., Off-Site Employees**
Date Issued: November 2003
Revision: November 2005
SP Contact: Project Coordinator, Contract Management Office, FAS, 301-846-5667

I. Purpose

This Standard Process (SP) provides employees and their managers/supervisors with general and workplace-specific guidelines so that they can perform their work in a safe and efficient manner at all off-site locations.

II. References

NCI-Frederick *Policies and Procedures Manual*; <http://web.ncifcrf.gov/campus/administrative/policies/>

SAIC-Frederick, Inc., *EHS Reference for Off-Site Employees*; <http://home.ncifcrf.gov/ehs/ehs.asp?id=35>

SAIC-Frederick, Inc., *Administrative Handbook of Standard Processes*; <http://web/campus/sahsp/>

III. Definitions

EHS: Environment, Health, and Safety

HR: Human Resources

OHS: Occupational Health Services

Off-site Employee: Any class of employees who are assigned to work outside the boundaries of NCI-Frederick

Policy and Procedure (P&P): Approved policies and procedures for application throughout NCI-Frederick by all contractors. The NCI Contracting Officer must approve the P&Ps.

SCA: Service Contract Act

SP: Standard Process.

IV. Scope

This SP applies to all SAIC-Frederick, Inc., off-site employees. Off-site employees are defined as any class of employees who are assigned to work outside the boundaries of NCI-Frederick.

V. Processes/Guidelines

A. Off-site employees are governed by the NCI-Frederick *Policies and Procedures Manual* (P&P) and SPs in effect during the off-site assignment. SAIC-Frederick, Inc., is responsible for compliance with all applicable federal, state, and local laws and regulations for its off-site employees. The P&P can be viewed at <http://web.ncifcrf.gov/campus/administrative/policies/>.

STANDARD PROCESS

Number/Title: **A003/SAIC-Frederick, Inc., Off-Site Employees (continued)**

- B.** Off-site employees also are subject to policies and procedures in effect at the off-site workplace, especially those pertaining to safety, security, and occupational health.
- C.** All off-site employees will have an identified SAIC-Frederick, Inc., supervisor who is responsible for their assignment of work, assessment of performance and resulting pay adjustments, and working conditions. Non-exempt (Service Contract Act [SCA]) off-site employees will be assigned to an SAIC-Frederick, Inc., supervisor located at the off-site location.
- D.** SAIC-Frederick, Inc., supervisors are responsible for the safety of their off-site employees and for the enforcement of all safety policies and procedures, and standard processes. All off-site employees are to familiarize themselves with the emergency procedures and telephone numbers specific to the off-site facility. The supervisor for the off-site facility will fill out emergency and contact telephone numbers (*EHS Reference for Off-Site Employees*, page 4) for the employees.
- E.** All occupational injuries, illnesses or exposure to hazardous materials must be reported to the SAIC-Frederick, Inc., appropriate supervisor, Environment, Health, and Safety (EHS), and to Occupational Health Services (OHS), as specified in the *EHS Reference for Off-Site Employees*.
- F.** Off-site employees using radioisotopes will be authorized users under the off-site facility radiation license. Radiation safety training is required and is the responsibility of the Radiation Safety Officer for the off-site facility license.
- G.** Off-site employees at facilities with existing environmental compliance and waste management programs shall follow policies and procedures developed for the off-site facility. SAIC-Frederick, Inc., off-site supervisors are responsible for ensuring that their employees follow the host facility's procedures.
- H.** It is the policy of SAIC-Frederick, Inc., to provide and maintain a drug-free workplace for all employees, including those working at off-site locations, in compliance with the Drug-Free Workplace Act of 1988.
- I.** In accordance with the Department of Health and Human Services (HHS) directive, the NCI-Frederick campus is a tobacco-free workplace. Use of tobacco in any form is prohibited on the entire NCI-Frederick campus. This includes personal vehicles while on NCI-Frederick property and all government vehicles, regardless of their location.

This policy applies to all employees, Government and Contractor, visitors, subcontractors, vendors, and guests of the NCI-Frederick, and extends to all HHS-owned or leased facilities and properties external to the NCI-Frederick campus where the sole tenant(s) are HHS and/or SAIC-Frederick, Inc., employees.

STANDARD PROCESS

Number/Title: **A003/SAIC-Frederick, Inc., Off-Site Employees (continued)**

- J.** All off-site employees are required to follow administrative procedures established for the accurate reporting of hours worked, absences, and other administrative matters consistent with NCI-Frederick policies and procedures and the statement of work for the off-site agreement or contract.
- K.** It is the responsibility of supervisors to ensure that all off-site employees complete the termination checkout procedures in accordance with NCI-Frederick policies and procedures and site-specific regulations upon termination of employment.
- L.** Questions and requests for information should be directed to the SAIC-Frederick, Inc., supervisor assigned to the off-site location, the EHS Directorate, or the Human Resources (HR) Department.
- M.** SAIC-Frederick, Inc., representatives will conduct reviews at least annually of all off-site locations to ensure compliance with policies and procedures, laws, and regulations required in the conduct of business at the off-site location.

VI. Attachments

(NONE)

VII. Records

The HR Department will maintain employment records, EHS will maintain safety and environmental records, and OHS will maintain health records. The directorate responsible for an off-site facility will maintain its program-related records.

STANDARD PROCESS

Section A: Contracts and Administration (C&A)
Number/Title: **A004/NCI Contracting Officer Approval Requirements**
Date Issued: January 2005
Revision: April 2008
SP Contact: Manager, Financial Operations, FAS, 301-846-1533

I. Purpose

The Operations & Technical Support Contract (SAIC-Frederick, Inc.) requires that the request for specific items be forwarded to the NCI contracting officer for written authorization. The purpose of the two matrices is to list the contracting officer approval (COA) requirements as noted in the contract and the policies and procedures, the request mechanisms for those requirements, the contact person who coordinates the COA process, and the time frames in which the initial request or notification is required to be made to the contact person. This effort ensures that the COA process for each item is efficient and timely.

II. References

(NONE)

III. Definitions

COA: Contracting officer approval

IV. Scope

This Standard Process (SP) applies to requirements of NCI-Frederick.

V. Processes/Guidelines

The process of obtaining COA can be time-consuming, due to the number of parties involved in the approval process. Therefore, it is required that requests for the events listed on the matrices be submitted to the appropriate contact person according to the time frames referenced. **The event cannot commence until written approval has been received from the NCI Contracting Officer.** Keep in mind that if all required information is not available in the request, the COA process will be delayed; therefore, it is important that all necessary information be included in the initial request.

VI. Attachments

Attachment 1, NCI Contracting Officer Approval Requirements, as noted in the Contract

Attachment 2, NCI Contracting Officer Approval Requirements, as noted in the *Policies and Procedures Manual*

VII. Records

(N/A)

NCI Contracting Officer Approval Requirements As noted in the Contract

It is an Operations & Technical Support Contract (SAIC-Frederick, Inc.) requirement that the request for the items below be forwarded to the NCI Contracting Officer for written authorization. The process of obtaining Contracting Officer Approval (COA) can be time consuming due to the number of parties involved in the approval process. Therefore, it is required that requests for the events below be submitted to the appropriate contact person according to the time frames referenced. **The event can not commence until written approval has been received from the NCI Contracting Officer.** Keep in mind that if all required information is not available in the request, the COA process will be delayed; therefore, it is important that all necessary information be included in the initial request.

	Contact Person Who Coordinates COA Process	Request Mechanism	Timeframe Initial Request or Notification is Required to be made to Contact Person
Purchase or Lease of Real Property	Tim Tewalt, Team Lead, Construction Contracts Chad Hildebrand, Manager, Construction Contracts	Corporate Real Estate Request Form / Purchase Request	An Acquisition team develops timeframes for each acquisition by considering the complexity and dollar amount of the acquisition. The one constant timeframe is the COA process of 2 weeks.
Subcontract Requirements (Renovation, Alteration, Construction)	Chad Hildebrand, Manager, Construction Contracts	Purchase Request	An Acquisition team develops timeframes for each acquisition by considering the complexity and dollar amount of the acquisition. The one constant timeframe is the COA process of 2 weeks.
Maintenance Service Requests greater than \$50,000	Sue Keilholtz, FME	Maintenance Service Request Form	An Acquisition team develops timeframes for each acquisition by considering the complexity and dollar amount of the acquisition. The one constant timeframe is the COA process of 2 weeks.
Consultant Agreements / Advisory and Assistance Services	Greg Davis, Manager, Research Subcontracts Bonnie Beard, Associate Subcontracts Specialist	Consultant/Advisory and Assistance Services Request Form/Purchase Request Form	Procurement processing time - 1 to 2 weeks COA processing time - 2 weeks
Recruitment actions to fill new positions	Jill Sugden, Director, Human Resources	Justification memo signed by Directorate Head and personnel requisition sent to Jill Sugden	4 Weeks prior to requisition posting date
Position Upgrades	Jill Sugden, Director, Human Resources	Justification memo signed by Directorate Head and sent to Jill Sugden	4 Weeks prior to when upgrade is to take effect
Guest Researchers	Jill Sugden, Director, Human Resources	Request Memo, Curriculum Vitae, Guest Researcher Agreement, Guest Researcher Addendum	6 Weeks prior to arrival of guest researcher
Domestic Travel	Kristen Scotto, Travel Department	Travel Package	At least 4 Weeks prior to travel departure date and/or prior to deadline requirements (i.e. registration)
Foreign Travel	Allison Eyler, Travel Department	Travel Package	At least 8 Weeks prior to travel departure date and/or prior to deadline requirements (i.e. registration)

NCI Contracting Officer Approval Requirements As noted in the Contract

It is an Operations & Technical Support Contract (SAIC-Frederick, Inc.) requirement that the request for the items below be forwarded to the NCI Contracting Officer for written authorization. The process of obtaining Contracting Officer Approval (COA) can be time consuming due to the number of parties involved in the approval process. Therefore, it is required that requests for the events below be submitted to the appropriate contact person according to the time frames referenced. **The event can not commence until written approval has been received from the NCI Contracting Officer.** Keep in mind that if all required information is not available in the request, the COA process will be delayed; therefore, it is important that all necessary information be included in the initial request.

	Contact Person Who Coordinates COA Process	Request Mechanism	Timeframe Initial Request or Notification is Required to be made to Contact Person
Training where costs exceed \$250 per person	Kristen Scotto, Travel Department (Employee Travel)	Travel Package	At least 4 Weeks prior to travel departure date and/or prior to deadline requirements (i.e. registration)
	Greg Davis, Manager, Research Subcontracts Bonnie Beard, Associate Subcontracts Specialist	Purchase Request	Procurement processing time - 1 day to 4 weeks COA processing time - 2 weeks
Symposia, seminars, and conferences	Karen Kochersberger, Conference and Events Planner	Request for Conference Form	At least 4 weeks prior to finalization of any arrangements
Awards to Contractors or parent organization or other NCI- Frederick contractors	Greg Davis, Manager, Research Subcontracts	Purchase Request	Procurement processing time - 1 day to months depending on scope of work COA processing time - 2 weeks to months
Foreign and legal services subcontracts	Greg Davis, Manager, Research Subcontracts	Purchase Request	Procurement processing time - 1 week to 1 month COA processing time - 2 weeks
Media Contact - COA required for all press releases or other dealings with the press	Dr. Larry Arthur, Principal Investigator, OTS Contract	Media Contact Approval Form	3 Weeks prior to media contact

****Note:** Any questions regarding the request mechanism or timeframes should be addressed with the contact person referenced.

10/01/07

NCI Contracting Officer Approval Requirements As noted in the Policies and Procedures

It is an Operations & Technical Support Contract (SAIC-Frederick, Inc.) requirement that the request for the items below be forwarded to the NCI Contracting Officer for written authorization. The process of obtaining Contracting Officer Approval (COA) can be time consuming due to the number of parties involved in the approval process. Therefore, it is required that requests for the events below be submitted to the appropriate contact person according to the time frames referenced. **The event can not commence until written approval has been received from the NCI Contracting Officer.** Keep in mind that if all required information is not available in the request, the COA process will be delayed; therefore, it is important that all necessary information be included in the initial request.

	COA Requirement	Contact Person Who Coordinates COA Process	Request Mechanism	Timeframe Initial Request or Notification is Required to be made to Contact Person
Visitors to NCI-Frederick Facilities and Laboratories (P&P 309)	COA required for visitors which include scientists, educators or recognized public interest groups	Dave Butfer, Director Contracts & Administration	Report of Visitor(s) Form	4 Weeks prior to visit
Contractor Telecommuting (P&P 313)	COA required for Telecommuting Agreements	Dr. Larry O. Arthur Office of the Principal Investigator	Telecommuting Agreement	4 Weeks prior to when telecommuting is to begin
Property Disposal (P&P 405)	COA required for requests to dispose of property	Byron Bowie, Manager Logistics Support Department	Excess Property Listing Property Disposal Listing	3 Weeks prior to disposing of excess property
Loan of Government-Owned Property (P&P 704)	COA required when Gov't owned property is to be loaned and removed from the facility	Byron Bowie, Manager Logistics Support Department	NCI-Frederick Temporary Loan Document	3 Weeks prior to when item will be removed from the facility
Parking (P&P 651)	COA required for requests for reserved parking spaces	Tom Gannon-Miller, Manager Protective Services	E-mail	3 Weeks prior to when parking space is required

****Note: Any questions regarding the request mechanism or timeframes should be addressed with the contact person referenced.**

STANDARD PROCESS

Section A: Contracts and Administration (C&A)
Number/Title: **A005/Customer Concern Resolution Process**
Date Issued: July 2007
Revision: Initial Issue
SP Contact: Director, Quality Assurance, non-cGMP, 301-228-4003

I. Purpose

This Standard Process (SP) defines the administrative process for the documentation, resolution and reporting of concerns expressed by customers as they relate to services provided by SAIC-Frederick, Inc.

II. References

(NONE)

III. Definitions

Customer: Any employee of the National Cancer Institute at Frederick (NCI-Frederick) or any individual working through NCI-Frederick, who is the recipient of products or services provided by SAIC-Frederick, Inc.

Customer concern: Any issue related to the services provided by SAIC-Frederick, Inc., that is perceived by the customer as having a negative impact on the level of service required to meet their expectations.

QA Office: Office of Quality Assurance, SAIC-Frederick, Inc.

IV. Scope

This SP applies to all SAIC-Frederick, Inc., activities in support of operations at NCI-Frederick.

V. Processes/Guidelines

- A.** The customer should initially contact the manager or program director who has day-to-day operational responsibility for the work area providing the service that is causing concern.
- B.** The manager/program director will work with the customer, and other SAIC-Frederick, Inc., groups as required, to address the concern. If the issue is resolved at this level, the concern is not documented, tracked, or reported as described in this process. This is the desired outcome.
- C.** If, however, the concern has not been addressed to the satisfaction of the customer, the concern is documented using the "Customer Contact Form," which can be accessed through the SAIC-Frederick, Inc., Customer Support link under the Services listing on the NCI-Frederick web site. When the completed form is submitted, the QA Office is notified that a concern has been registered.
- D.** The QA Office will then forward the information to the responsible director, who will meet with the customer to discuss their concern.

STANDARD PROCESS

Number/Title: **A005/Customer Concern Resolution Process (continued)**

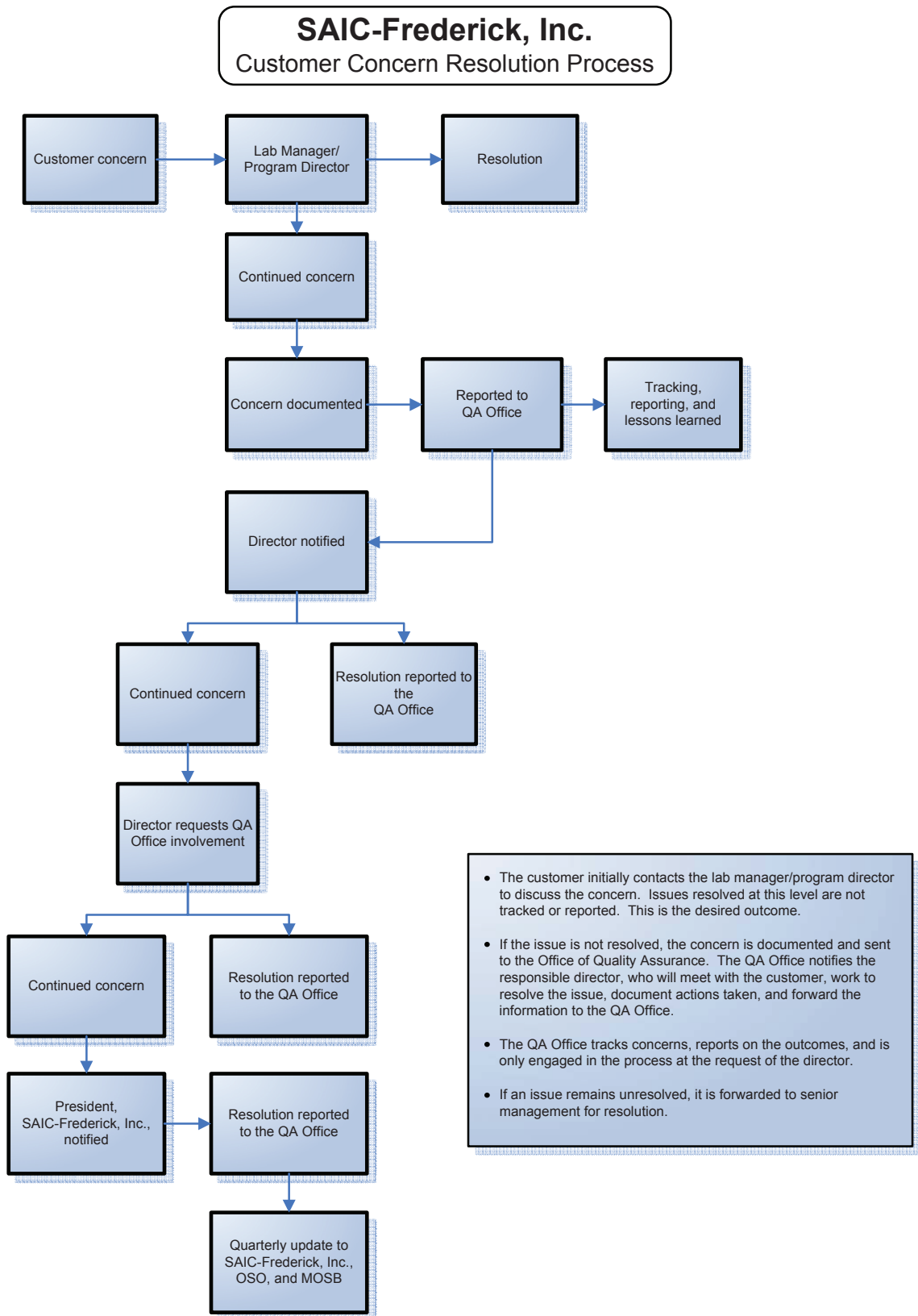
- E.** If the issue is resolved, the responsible director documents the resolution and sends the information to the QA Office. The director of QA will include this information in a report that is forwarded to the president, SAIC-Frederick, Inc., on a quarterly basis.
- F.** If the concern has not been addressed to the satisfaction of the customer, the responsible director will ask the director of QA to assist with resolution of the concern.
- G.** If the issue is resolved, the director of QA documents the resolution and includes the information in the next quarterly report.
- H.** If the concern still has not been addressed to the satisfaction of the customer, the director of QA will forward the concern to the president, SAIC-Frederick, Inc.
- I.** The president, SAIC-Frederick, Inc., will involve the necessary resources to ensure that the concern has been effectively addressed. The president, SAIC-Frederick, Inc., documents the actions taken and forwards the information to the QA Office for inclusion in the next quarterly report.
- J.** Quarterly reports are prepared by the QA Office in March, June, September, and December of each calendar year. Reports are then sent to the president, SAIC-Frederick, Inc.
- K.** The reports are reviewed by the president, SAIC-Frederick, Inc, who then forwards the report to the Office of Scientific Operations (OSO) and the Management Operations and Support Branch (MOSB), NCI-Frederick.

VI. Attachments

Attachment 1, Customer Concern Resolution Process flow chart.

VII. Records

The QA Office will retain quarterly customer concern reports for three years.



STANDARD PROCESS

Section A: Contracts and Administration (C&A)
Number/Title: **A006/Collection and Protection of Personal Information**
Date Issued: April 2008
Revision:
SP Contact: Director, Quality Assurance, non-cGMP, 301-228-4003

I. Purpose

This Standard Process (SP) is to define the requirements and methods used for the collection and protection of personal information.

II. References

THE PRIVACY ACT of 1974 5 U.S.C. § 552a as amended
HHS Chapter 45-13 in the General Administrative Manual
NIH Policy on the Protection of Personally Identifiable Information (PII)
NIH Privacy Awareness Course; <http://irtsectraining.nih.gov/>
Federal Information Security Management Act
OMB Circular-A130
SAIC Administrative Policy SG-8

III. Definitions

Personal Information: Any information about an individual, including, but not limited to, education, financial transactions, medical history, criminal or employment history, and information that can be used to trace the identity of the individual, such as a name, Social Security number, address, home phone number, or other identifying number, symbol, or photograph.

Record: Terminology used in the Privacy Act to reference personal information.

System Manager: The individual with overall responsibility for the maintenance and use of a System of Records.

System of Records: A grouping of any records under the control of SAIC-Frederick, Inc., from which information is retrieved by the name of the individual or by some identifying number or identifying particular assigned to the individual, such as a finger or voice print, or a photograph. This does not include a collection of records maintained as a result of management discretion, e.g., personnel records or training files.

System of Records Notice: A document that describes a System of Records. The notice is published in the Federal Register and informs the public as to the types of records maintained and how the records are used, accessed, disclosed, and safeguarded.

IV. Scope

This process applies to all SAIC-Frederick, Inc., activities that require the collection of personal information in support of operations at the National Cancer Institute at Frederick.

STANDARD PROCESS

Number/Title: **A006/Collection and Protection of Personal Information (continued)**

V. Processes/Guidelines**A. Responsibilities**

1. Each employee who collects, uses or controls access to personal information has the responsibility for compliance with the requirements specified in this procedure.
2. Managers must ensure that all employees collecting, using, or controlling access to personal information receive appropriate training to understand and fulfill their duties and obligations with respect to privacy and confidentiality.
3. For Systems of Records, each designated System Manager has the responsibility for establishing and implementing appropriate safeguards for an assigned System of Records.
4. The System Manager is responsible for identifying personnel who will have access to system records and ensuring that appropriate training has been provided to these individuals.
5. The System Manager has responsibility for updating the System of Records Notice to reflect any changes to the safeguards used to ensure the security and confidentiality of records contained within each assigned system.

B. Collection of Personal Information

1. Whenever possible, personal information should be collected directly from the subject individual.
2. The subject individual will be informed of the authority for collecting the information, the intended use of the information, and the effect of not providing the requested information.
3. Only the minimum information required to accomplish a specified function should be collected.
4. The subject individual shall be informed that he or she has the right to access and correct and/or amend the information collected.

C. Access Restrictions

1. Only those employees who have an immediate need for the records in order to perform their assigned duties are to have access to the records.
2. Hard copy format
 - a. Access to the personal information must be controlled by physically locating the information in an area that is not accessible to unauthorized personnel.
 - b. An authorized person will be stationed at key access locations during normal business hours.
 - c. Authorized users of the personal information must present proper identification (i.e., employee ID badge) prior to receiving access to the information.

STANDARD PROCESS

Number/Title: **A006/Collection and Protection of Personal Information (continued)**

- d. When in use, personal information should not be left unattended. All material should be turned faced down in the presence of visitors or employees who are not authorized users.
- 3. Electronic format
 - a. Access to systems and data must be protected by a password system.
 - b. When in use, the device containing personal information should not be left unattended.
 - c. Remote access to systems containing personal information requires a 2-factor authentication, i.e., username and password.

D. Storage Requirements

- 1. Hard copy format.
 - a. Personal information is not to be left unattended and exposed at any time unless the entire work area can be secured from entry by unauthorized persons.
 - b. Personal information in hard copy format is to be stored in lockable metal file cabinets or in a secured room at all times when not in use during normal business hours, and at all times during non-business hours.
- 2. Electronic format
 - a. Personal information is to be stored on devices located in a secured area.
 - b. The device should incorporate a time-out function that requires re-authentication after 30 minutes of inactivity.
 - c. Personal information should not be stored on portable devices.

E. Transfer of Records

- 1. Personal information is to be transferred in such a way that accidental dissemination will not occur. Sealed opaque envelopes can be used to transfer small volumes of hard copy records. Sealed boxes must be used to transfer large volumes of hard copy records.
- 2. Personal information must not be transmitted by any electronic means unless it is encrypted and the recipient employee's identity has been fully established.
- 3. Personal information may not be downloaded to a portable device unless encryption is employed.
- 4. Personal information may not be printed to a remote printer.

STANDARD PROCESS

Number/Title: **A006/Collection and Protection of Personal Information (continued)**

F. Disaster Plan

1. A written plan for protecting and recovering personal information in the event of a natural disaster or other emergency situation should be maintained. The plan should define processes and procedures for back-up capability to ensure continuity of office operations in the event of an emergency.

VI. Attachments

(NONE)

VII. Records**A. Training Records**

1. Any SAIC-F employee who collects, accesses or uses personal information must complete the NIH Privacy Awareness Course found at <http://irtsectraining.nih.gov/>. Upon completion of the course, the certificate should be printed and placed in the employee's individual training file.
2. Training records are retained for three years after termination of employment, at which time all records are destroyed.

B. System of Records Notices

1. If the collection of records constitutes a System of Records as defined in the Privacy Act, System of Records Notices will be prepared/updated as defined in the standard process entitled, "Preparing and Review of System of Records Notices."
2. Notices are maintained as long as the system is active. Notices are stored in the Contracts Management Office.

STANDARD PROCESS

Section A: Contracts and Administration (C&A)
Number/Title: **A007/Correction or Amendment of Individual Records Contained in Systems of Records**
Date Issued: April 2008
Revision:
SP Contact: Director, Quality Assurance, non-cGMP, 301-228-4003

I. Purpose

This Standard Process (SP) is to define the administrative procedures to be followed by employees when requesting that records contained in Systems of Records maintained by SAIC-Frederick, Inc. be corrected or amended.

II. References

THE PRIVACY ACT of 1974 5 U.S.C. § 552a as amended

III. Definitions

Record: Any information about an individual that is maintained by SAIC-Frederick, Inc., including, but not limited to; education, financial transactions, medical history, criminal or employment history, and contains the individual's name, address, home phone number, or other identifying number, symbol or photograph.

System Manager: The individual with overall responsibility for the maintenance and use of a System of Records.

System of Records: A grouping of any records under the control of SAIC-Frederick, Inc., from which information is retrieved by the name of the individual or by some identifying number or identifying particular assigned to the individual, such as a finger or voice print, or a photograph. This does not include a collection of records maintained as a result of management discretion, e.g., personnel records or training files.

IV. Scope

This process applies to any SAIC-Frederick, Inc. employee who wants to correct or amend individual records that are maintained in a System of Records.

V. Processes/Guidelines

- A. If an employee wishes to have a record corrected or amended, the request shall be made to the System Manager.
- B. The request must be made in writing unless the individual makes the request in person and the System Manager agrees that the record is incorrect and corrects or amends the record at that time.
- C. A written request must include:
 1. The System of Records from which the record is retrieved.
 2. The particular record that is to be corrected or amended.

Number/Title: **A007/Correction or Amendment of Individual Records Contained in Systems of Records (continued)**

3. Whether the individual is seeking an addition to, substitution of, or deletion of the record.
 4. The reason for requesting the correction or amendment.
- D.** If the System Manager agrees that the record is incorrect, the record will be corrected or amended within 10 business days after receipt of the request and the subject individual will be notified of the actions taken.
- E.** If, however, the System Manager does not agree that the record should be corrected or amended, the employee will be notified within 10 business days of the refusal in writing and provided with the reason for refusal. The employee will also be informed that he/she may appeal the decision to the President, SAIC-Frederick, Inc.
- F.** If the President agrees that the record subject to the appeal should be corrected or amended, the appropriate action will be taken immediately and the subject individual will be notified.
- G.** If, however, the President does not agree that the record should be corrected or amended, the employee will be informed in writing within 30 business days that the appeal has been denied, and that he/she may provide a concise statement of disagreement to be associated with the record in question and disclosed whenever the record is disclosed. The employee will also be informed of the provision for judicial review as outlined in the Privacy Act.
- H.** The System Manager may also provide a concise statement of the appeal authority's reasons for denying the subject individual's appeal. This statement will also be associated with the record and disclosed whenever the record is disclosed.

VI. Attachments

(NONE)

VII. Records

A. Request for Record Access

1. Written requests for correction or amendment of records are retained for three years, after which time the requests are destroyed.
2. Appeals are retained for three years, after which time the requests are destroyed.

STANDARD PROCESS

Section A: Contracts and Administration (C&A)

Number/Title: **A008/Employee Access to Individual Records Contained in Systems of Records**

Date Issued: April 2008

Revision:

SP Contact: Director, Quality Assurance, non-cGMP, 301-228-4003

I. Purpose

This Standard Process (SP) is to define the administrative procedures to be followed by employees when requesting access to records contained in Systems of Records maintained by SAIC-Frederick, Inc.

II. References

THE PRIVACY ACT of 1974 5 U.S.C. § 552a as amended.

III. Definitions

Record: Any information about an individual that is maintained by SAIC-Frederick, Inc., including, but not limited to, education, financial transactions, medical history, and criminal or employment history, and contains the individual's name, address, home phone number, or other identifying number, symbol, or photograph.

System Manager: The individual with overall responsibility for the maintenance and use of a System of Records.

System of Records: A grouping of any records under the control of SAIC-Frederick, Inc., from which information is retrieved by the name of the individual or by some identifying number or identifying particular assigned to the individual, such as a finger or voice print, or a photograph. This does not include a collection of records maintained as a result of management discretion, e.g., personnel records or training files.

IV. Scope

This process applies to any SAIC-Frederick, Inc., employee who wants to confirm the existence of individual records or wants to request access to his or her individual records that are maintained in a System of Records.

V. Processes/Guidelines

- A.** An employee making a request for confirmation of or access to a record(s) shall address the request in writing to the System Manager. The request should specify the System of Records to be searched and/or the record(s) to be accessed. The request may also identify a person of the employee's choosing to accompany him or her to review the record(s).
- B.** If the request is hand delivered by the employee and the System Manager does not personally know the employee, the employee will be required to verify his or her identity before the requested information can be provided.

Number/Title: **A008/Employee Access to Individual Records Contained in Systems of Records (continued)**

- C.** If the employee does not make the request in person, the request shall be notarized to verify the identity of the requestor.
- D.** The System Manager will respond within 10 business days of receipt of the request. If the System Manager determines that there will be a delay in responding to the request, the requesting individual must be notified in writing as to when the requested information will be made available.
- E. Transfer of Records**
 - 1. Records are to be transferred in such a way that accidental dissemination will not occur. Sealed, opaque envelopes can be used to transfer records to an individual.
 - 2. Information from records must not be transmitted by any electronic means unless the recipient employee's identity has been fully established and encryption is employed.

VI. Attachments

(NONE)

VII. Records

A. Request for Record Access

- 1. Requests for record access are retained for three years, after which the request is destroyed.

STANDARD PROCESS

Section A: Contracts and Administration (C&A)
Number/Title: **A009/Preparation and Review of Privacy Act System of Records Notices**
Date Issued: April 2008
Revision:
SP Contact: Director, Quality Assurance, non-cGMP, 301-228-4003

I. Purpose

This Standard Process (SP) is to define the procedures for the preparation and review of system notices which are used to describe a Privacy Act System of Records.

II. References

THE PRIVACY ACT of 1974 5 U.S.C. § 552a as Amended.

OTS Contract NO1-CO-12400, Section H, Article 7 and Section III, Section J.3.

III. Definitions

Record: Any information about an individual that is maintained by SAIC-Frederick, Inc., including but not limited to; education, financial transactions, medical history, criminal or employment history and contains the individual's name, address, home phone number or other identifying number, symbol or photograph.

System Manager: The individual with overall responsibility for the maintenance and use of the System of Records.

System of Records: A grouping of any records under the control of SAIC-Frederick, Inc., from which information is retrieved by the name of the individual or by some identifying number or identifying particular assigned to the individual, such as a finger or voice print, or a photograph. This does not include a collection of records maintained as a result of management discretion, e.g., personnel records or training files.

System of Records Notice: A document that describes a System of Records. The notice is published in the Federal Register and informs the public as to the types of records maintained and how the records are used, accessed, disclosed and safeguarded.

IV. Scope

This process applies to all SAIC-Frederick, Inc. activities in support of the National Cancer Institute at Frederick (NCI-Frederick).

V. Processes/Guidelines

A. Preparation of a System of Records Notice

1. If a System of Records is identified in the Operation and Technical Support (OTS) contract or is created in the course of executing the statement of work defined in the OTS contract, a notice of the existence and character of the system must be completed.

Number/Title: **A009/Preparation and Review of Privacy Act System of Records Notices (continued)**

2. Using the format outlined in the “SAIC-Frederick, Inc. Privacy Act System of Records System Notice” attachment, a System Manager or other designated individual should document the components and characteristics that define the system.
3. The completed notice is then forwarded to the Contract Management Office (CMO) for review. A copy is appropriately filed within the CMO.
4. After review, the CMO will forward the system notice to the Office of Scientific Operations (OSO) and the Management Operations and Support Branch (MOSB), NCI-Frederick for review. If the notice defines a new System of Records and it is deemed appropriate by NCI-Frederick, the System of Records will be added to the OTS contract.

B. Updating a System of Records Notice

1. If for any reason the characteristics of the system change, the system notice must be updated to reflect the change.
2. The system manager is responsible for updating the notice and forwarding the revised notice to the CMO for review. A copy is appropriately filed within the CMO.
3. The updated notice is then forwarded to the OSO and MOSB, NCI-Frederick.

C. System Review

1. The System Manager is responsible for conducting a biannual review of the System of Records notice to ensure that each notice accurately describes the corresponding System of Records.
2. If any discrepancies are noted, the notice is updated as described in Section B of this standard process.
3. The “Review of NIH Privacy Act Systems of Records” form as provided by the NIH, must be completed, signed and forwarded to the CMO. A copy is appropriately filed within the CMO.
4. The completed form is then forwarded to the OSO and MOSB, NCI-Frederick.

VI. Attachments

Attachment 1, SAIC-Frederick, Inc. Privacy Act System of Records System Notice Template.
Attachment 2, Review of NIH Privacy Act Systems of Records form.

VII. Records

System of Records Notices and “Review of NIH Privacy Act Systems of Records” forms are retained in the CMO and replaced with updated reviews every two years.

SAIC-Frederick, Inc.
Privacy Act System of Records
System Notice

SYSTEM NAME: (Descriptive terminology defining the System)

SYSTEM LOCATION: (Generally the same as the location of the System Manager)

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM: (The individuals or groups of individuals included in the System)

CATEGORIES OF RECORDS IN THE SYSTEM: (List all records included in the System)

PURPOSE(S): (Define the purpose for maintaining the System)

ROUTINE USE OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

1. (Describe the use by SAIC-Frederick personnel. If there are multiple uses, identify each. Items #2 and #3 are specified by the DHHS)
2. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of the individual.
3. The Department of Health and Human Services (HHS) may disclose information from the system of records to the Justice Department, or to a court or other tribunal, when (a) HHS, or any component thereof; or (b) any HHS official in his or her official capacity; or (c) any HHS employee in his or her individual capacity where the Department of Justice (or HHS, where it is authorized to do so) has agreed to represent the employee; or (d) the United States or any agency thereof where HHS determines that the litigation is likely to affect HHS or any of its components, is a party to litigation or has any interest in such litigation, and HHS determines that the use of such records by the Department of Justice, or court or any other tribunal is relevant and necessary to the litigation and would help in the effective representation of the governmental party provided, however, that in each case, HHS determines that such disclosure is compatible with the purpose for which the records were collected.

STORAGE: (Additional information may be added however, DHHS requires the following information) Records are stored in electronic media and in paper files in secure containers. Hard copy documents and electronic records are maintained in accordance with Chapter 45-13 of the HHS General Administration Manual, "Safeguarding Records Contained in Systems of Records," and the HHS Information Security Program Policy and Handbook.

RETRIEVABILITY: (Identify which records are used to retrieve all System records relative to an individual)

SAFEGUARDS: (Additional information may be added however, DHHS requires the following information) All NCI-Frederick information systems comply with Federal laws, guidance, and policies for information security. These include, but are not limited to: the Federal Information Security Management Act (FISMA), the Privacy Act, the Computer Security Act, OMB Circular A-130, and HHS and NIH IT security policies.

Each system ensures a level of security commensurate with the level of sensitivity of the data, risk, and magnitude of the harm that may result from the loss, misuse, disclosure, or modification of the information contained in the system.

Management, operational, and technical safeguards are implemented in accordance with OMB, HHS, and NIH policy. Information is backed up in accordance with NIST guidelines.

Personnel having access to records have been trained in Privacy Act and information security requirements and are knowledgeable about how to protect individually identifiable information.

RETENTION AND DISPOSAL: (Indicate how long records are maintained and what method is used to destroy records prior to disposal)

SYSTEM MANAGER(S) AND ADDRESS: (Identify the individual with overall responsibility for oversight and use of the System)

NOTIFICATION PROCEDURE: Contact the system manager to determine if a record exists. The requester must verify his or her identity and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Privacy Act.

RECORD ACCESS PROCEDURE: Same as the notification procedure. Requesters should also reasonably specify the record contents being sought. Individuals may also request listings of documented disclosures that have been made of their records.

CONTESTING RECORD PROCEDURE: Contact the system manager and reasonably identify the record and specify the information to be contested, the corrective action sought, and the reason for the correction with supporting information to how the record is inaccurate, incomplete, untimely or irrelevant.

RECORD SOURCE CATEGORIES: (State who provides the information, generally, it should be the individuals included in the System)

NOTIFICATION: NCI-Frederick will report any security incidents involving the disclosure of personally identifiable information to the Institute and Center Information Systems Security Officer (ISSO), the NIH Incident Response Team, HHS, and U.S. Computer Emergency Readiness Team (U.S. CERT) within one hour of discovery. Incidents will be remediated in accordance with NIH incident handling procedures. Individuals whose personal information is compromised will be notified by telephone or email within 24 hours of the incident.

REVIEW OF NIH PRIVACY ACT (PA) SYSTEMS OF RECORDS

System Notice Number: 09-25- __ __ __ __

System Notice Title: _____

Name of System Manager: _____

IC: _____

Mailing Address: _____

Phone/Fax Numbers: _____

1. System Review: I have reviewed the System Notice above for changes in each of the following areas:

- The system has not been altered by the application of new technology, changes in function or changes in organizational structure.
- Records collected are only those that are relevant and necessary to accomplish an agency purpose.
- The records are protected by appropriate administrative, technical and physical safeguards to ensure security and confidentiality.
- The routine uses are still justified and compatible with the purpose of the system or records.
- With the exception of disclosures made within the agency on a need-to-know basis, or required by the Freedom of Information Act, all other disclosures are accurately accounted for.
- The records from this system have not been inappropriately combined with records from other PA Systems.
- The System Notice is up-to-date, accurate and complete, e.g., the locations are correct/complete, the text does not require editorial changes, the storage medium reflects automation of records (if appropriate); and the safeguard measures are correct.

Based on this review, I certify the following (check only one)

- No changes to the System Notice are required.
- The System is no longer active and should be deleted.
- Changes are required; (Indicate changes directly on the attached Notice or on a separate attachment).

2. Training: Within the past 3 years

I have not attended an NIH training course on the Privacy Act.

I have attended an NIH training course on the Privacy Act:

Course Name and Completion Date: _____

I have reviewed the online training at URL <http://oma.od.nih.gov/ms/privacy/pa-training/index.asp>

Completion Date: _____

I have attended a non-NIH course on the Privacy Act:

Course Name and Completion Date: _____

SIGNATURE OF SYSTEM MANAGER

DATE

System Managers who have questions about this review process should call their IC Privacy Act Coordinator or Karen Plá, NIH Privacy Act Officer (402-6201).

STANDARD PROCESS A010

Section A: Contracts and Administration (C&A)

Number/Title: **A010/Preparation and Approval of NCI-Frederick Policies and Procedures**

Date Issued: October 2008

Revision:

SP Contact: Business Process and Policy Development Office, gnuschkea@mail.nih.gov

I. Purpose

This Standard Process (SP) establishes the document format and SAIC-Frederick, Inc. internal process for the creation, revision, and submittal of Policies and Procedures (P&Ps) into the NCI-Frederick Policy and Procedure Manual.

II. References

(NONE)

III. Definitions

Point of Contact (POC): The individual within a directorate/department who is responsible for originating, preparing, and coordinating P&Ps for the organization

OTS: Operations and Technical Support

SPGM: Scientific Publications, Graphics & Media Department

Policy and Procedure (P&P): NCI-approved policy for application throughout NCI-Frederick

Business Process and Policy Development Office (BPPDO): Coordinates the logistics of processing and submitting a P&P for NCI approval

Conformance, Compliance, and Conflict Review: BPPDO review of P&P to make sure it conforms to standard P&P format, complies with government regulations and contract requirements, and does not conflict with current standing P&Ps

C&SS: Computer & Statistical Services Contractor

IV. Scope

This process applies to all P&Ps prepared by SAIC-Frederick, Inc. for submittal into the NCI-Frederick Policy and Procedure Manual.

V. Processes/Guidelines

A. Development, Revision, and Submittal

1. Upon direction from NCI or SAIC management or when it is recognized that a policy needs to be documented, a directorate or department POC will initiate a new P&P using the format outlined in the "P&P Format and Guidance" (Attachment 1).

Number/Title: **A010/Preparation and Approval of NCI-Frederick Policies and Procedures (continued)**

2. If revising an existing P&P, POCs may contact the BPPDO to request an electronic copy of the P&P to edit. Revised P&Ps should be accompanied by a completed “P&P Revision and Change Form” (Attachment 3) to identify what has been changed and the reason for the change.
3. The responsible POC will forward the new or revised P&P to the BPPDO. (POCs will be responsible for addressing questions and recommended edits throughout the P&P approval process.)
4. Upon receipt of the new or revised P&P from the POC, the BPPDO will perform a conformance, compliance, and conflict review of the P&P. If the P&P is new, the BPPDO will assign a new P&P number.
5. The BPPDO will then send the draft P&P to SPGM for conversion to the P&P format (if applicable) and for initial editing.
6. An SPGM editor works directly with the POC to develop the final draft. The POC sends the final draft to the BPPDO to initiate the approval process.

B. Internal Approval Process

1. The BPPDO will begin the internal approval process by submitting the new or revised P&P to the OTS Management Committee via e-mail for review.
2. The POC or OTS Management Committee Directorate Representative addresses questions and recommendations of the committee at the next scheduled OTS Management Committee Meeting. If the committee is in agreement with the P&P, the chair of the OTS Management Committee will sign the “SAIC-Frederick, Inc. P&P Internal Signature Document” (Attachment 2) at the meeting.
3. If the next OTS Management Committee Meeting is cancelled, committee members are responsible for providing comments and questions to the POC by the end of the week of the originally scheduled OTS Management Committee Meeting. If the POC does not receive a response from committee members, the P&P will be considered acceptable by the committee and the POC should notify the BPPDO that the P&P can be prepared for submittal to NCI. In this instance, the POC will be responsible for obtaining the chair of the OTS Management Committee’s signature on the “SAIC-Frederick, Inc. P&P Internal Signature Document” (Attachment 2).
4. Signed copies of the “SAIC-Frederick, Inc. P&P Internal Signature Document” are to be sent to the BPPDO.

C. Editing Process

1. The POC incorporates edits discussed at the OTS Management Committee Meeting into the P&P, sends the approved P&P to the SPGM editor who performed the initial edits, and cc’s the BPPDO. The POC must highlight edits made to the document.
2. The SPGM editor will edit the P&P in conjunction with the POC.
3. The POC will approve the final edited text of the P&P.

D. NCI Approval, Publication, and Distribution

1. The SPGM editor sends the final edited version of the P&P to the BPPDO for submittal to NCI for approval.
2. The BPPDO prepares a cover memo for submittal of the P&P for NCI approval.
3. The BPPDO provides the P&P to the NCI Contracting Officer's office for review and approval.
4. Upon approval, the NCI Contracting Officer signs and returns the P&P document to the BPPDO for publication and distribution.
5. The BPPDO sends the electronic version of the P&P to the C&SS Contractor to post on the NCI-Frederick P&P web site.
6. The C&SS Contractor notifies the BPPDO when the P&P web site has been updated with the P&P document.
7. The BPPDO notifies employees on the supervisory/managers' e-mail list of all new or revised P&Ps.

E. Biennial Review

1. P&Ps will be reviewed by the directorate or department that originated the P&P on a biennial basis (from the Contracting Officer signature/approval date).
2. The BPPDO maintains a list of P&P issue dates and notifies the POC when the P&P is due for review.
3. If revisions are required, follow the process that begins in step V.A.2.

VI. Attachments

Attachment 1, P&P Format Sample and Guidance

Attachment 2, SAIC-Frederick, Inc. P&P Internal Signature Document

Attachment 3, P&P Revision and Change Form

VII. Records

The BPPDO, SAIC-Frederick, Inc. maintains the up-to-date NCI-Frederick Policy and Procedure Manual and hard copies of the "SAIC-Frederick, Inc. P&P Internal Signature Documents." The documents will be retained until the next scheduled revision has occurred. The C&SS Contractor maintains the NCI-Frederick Policy and Procedure Manual web site.

**POLICY AND PROCEDURE
NCI-FREDERICK**

Policy No. (insert P&P #)

(Insert P&P Title)

Version No. (insert Version #); Issue Date XX/XX/08; Replaces XX/XX/08

POLICY

This section includes a concise statement that specifies the basis for the policy and states what requirements the policy establishes.

DEFINITIONS

This section defines any terms specific to the application of the policy.

PROCEDURES

This section defines the steps for implementing the policy. If appropriate, each step (or group of steps) should state the responsible party and follow a logical progression.

RESPONSIBILITIES

This section lists program areas, departments, and individual job titles for those who have responsibility for aspects of daily control and coordination of the procedure. This section also sets forth the scope of each entity's responsibilities.

REFERENCES

This section specifies any additional processes, policies and procedures, plans, or other items that are referred to in the body of the policy.

SAIC-Frederick, Inc. P&P Internal Signature Document

For Entries into the NCI-Frederick Policy and Procedure Manual

P&P Title: _____

P&P #: _____

New P&P

Revised P&P

Revision #: _____

Revision Date: _____

Prepared by: _____
Author or Reviser of P&P

Date: _____

Approved by: _____
Chair, OTS Management Committee

Date: _____

Control Copy No. _____

**NATIONAL CANCER INSTITUTE -
FREDERICK**

P&P TITLE:

NO. ORIG. APPROVAL DATE _____

P&P REVISION AND CHANGE FORM

REVISION NO.	REVISION DATE	CHANGE SUMMARY

Notice: This document was printed on WEDNESDAY, OCTOBER 01, 2008 and is an uncontrolled copy.
This document expires within 24 hours of the above date.

Section B: Financial and Administrative Systems (FAS)

STANDARD PROCESS

Section B: Financial and Administrative Systems (FAS)/General Accounting
Number/Title: **B101/NCI-Frederick Payment of Nonemployees**
Date Issued: December 2002
Revision: November 2005
SP Contact: Accountant III, FAS, 301-846-6537

I. Purpose

The Internal Revenue Service (IRS) enacted several changes affecting the types of payments that can be made to foreign national visitors and the related taxability of these payments. Consequently, specific information must be collected about visiting guest researchers, seminar speakers, and consultants in order to remain compliant with the IRS requirements. Information must be collected from foreign national visitors so that payments made to individuals can be properly taxed and the withheld tax can be reported to the IRS.

II. References

Forms can be accessed at: <http://home.ncifcrf.gov/saic/bpdocs/>. Click on the link for "Payment of Non-Employee Forms."

U.S. Citizen/Resident Aliens/Green Card Holders (<http://home.ncifcrf.gov/saic/neforms/>)
W-9 Form, Request for Taxpayer Identification Number and Certification

Non-U.S. Citizen Reimbursement of Expenses Only (<http://home.ncifcrf.gov/saic/neforms/>)
Cover Memo Template to Non-U.S. Citizen Reimbursement of Expenses Only
Foreign National Information Form (FNIF)
W-8 BEN, Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding

Non-U.S. Citizen Forms for Fee Only or Fee and Reimbursement of Expenses (<http://home.ncifcrf.gov/saic/neforms/>)

Cover Memo Template to Non-U.S. Citizen (Fee Only or Fee and Reimbursement of Expenses)

Foreign National Information Form (FNIF)

W-7 Form, Application for IRS Individual Taxpayer Identification Number

III. Definitions

FAS: Financial and Administrative Systems

IRS: Internal Revenue Service

ITIN: Individual taxpayer identification number

Nonemployee: Visitors to NCI-Frederick, including guest researchers, seminar speakers, and consultants

Policy administrator: Individual assigned to administer the program to provide payment to nonemployees for services performed at NCI-Frederick

SP: Standard Process

STANDARD PROCESS

Number/Title: **B101/NCI-Frederick Payment of Nonemployees (continued)**

SSN: Social security number

IV. Scope

This Standard Process (SP) applies to all nonemployee visitors to NCI-Frederick, including guest researchers, seminar speakers, and consultants.

V. Processes/Guidelines

The following processes must be completed when an honorarium (or other fee) or reimbursement of expenses is made to a seminar speaker, guest researcher, or consultant for effort performed on U.S. soil. If direct payment is not being made to an individual, the following requirements are not necessary. For instance, if we are paying expenses for airfare and hotel directly to the vendors on behalf of an individual, the following processes are not required.

Forms can be accessed at <http://home.ncifcrf.gov/saic/bpdocs/>

- A. Determine whether the nonemployee is a U.S. citizen (or has a green card) or a non-U.S. citizen. This will help the policy administrator determine the type of form required.
- B. If the individual is a U.S. citizen or green card-holder, complete the W-9 form and forward it to the policy administrator. No other forms are required.
- C. **Non-U.S. Citizens**
 1. **Step One:** Determine the type of payment the individual will receive (i.e., reimbursement of expenses, honorarium, or other fee).
 2. **Step Two:** Prepare the “Foreign National Information Form” (<http://home.ncifcrf.gov/saic/neforms/FNIF.pdf>).
 - a. Complete the top box of the “Foreign National Information Form.”
 - b. Check the appropriate purpose (i.e., seminar speaker, consultant, guest researcher, or other).
 - c. Estimate the amount of the fee and/or expenses to be incurred.
 - d. Provide dates of the visit.
 - e. Provide the program area contact information.
 3. **Step Three:** Forward the “Foreign National Information Form” (four pages) to the individual for completion.
 - a. The non-U.S. citizen must answer all 19 questions.
 - b. The non-U.S. citizen must provide copies of the required documents listed on page 3 of the form.
 - c. The non-U.S. citizen must sign at the bottom of the form.

STANDARD PROCESS

Number/Title: **B101/NCI-Frederick Payment of Nonemployees (continued)**

D. Paying an Honorarium or Other Fee

1. **Step One:** If a fee (honorarium or consultant) is to be paid, forward a W-7 form to the individual if he/she does not have a social security number (SSN) or an individual taxpayer identification number (ITIN).
2. **Step Two:** The individual must send the completed W-7 directly to the IRS.
Note: If the individual has an SSN or ITIN, the W-7 is not required.

E. Submitting Information to the Policy Administrator

1. **Step One:** Forward the “Foreign National Information Form” and all other applicable documents to the policy administrator (all forms must be legible).
2. **Step Two:** If a W-9 or W-8BEN form is required, the policy administrator will notify a representative in the program area.
3. **Step Three:** The program area representative will coordinate with the individual to complete the form and will then forward the completed form to the policy administrator.

F. The policy administrator determines tax liability.

G. Payment will be processed.

H. Points of Emphasis

1. Please remember to complete the top portion of the “Foreign National Information Form” with your name and your extension, along with the types and amounts of payments to be made to the individual.
2. Most communication with the guest researcher, seminar speaker, or consultant will be done via fax. All documents provided to the policy administrator must be legible. Be certain to ask for the original signed documents and send them to the policy administrator. Copies can be provided initially to begin the process; however, the original documents are required for audit purposes.
3. Please use the following Web site to access all forms and additional information on this SP: <http://home.ncifcrf.gov/saic/bpdocs/>. Click on the link for “Payment of Non-Employee Forms.”
4. Please use the above-referenced Web site to access cover memo templates and instructions for initially providing the forms to foreign individuals. There is one set of instructions for individuals who will receive a reimbursement of expenses only and one set of instructions for individuals who will receive a fee only or a fee and reimbursement of expenses.

STANDARD PROCESSNumber/Title: **B101/NCI-Frederick Payment of Nonemployees (continued)**

I. Responsibilities**1. Program Area**

- a. Determines whether or not the guest researcher, seminar speaker, or consultant is a U.S. citizen (or has a green card) or a non-U.S. citizen.
- b. Determines the kind of payment the individual will receive (i.e., reimbursement of expenses, honorarium, or other fee).
- c. Based on the above, provides the appropriate form(s) to the individual for completion.
- d. Provides the completed form(s) to the policy administrator.

2. Policy Administrator

- a. Analyzes the completed forms provided by the program area representative.
- b. Communicates with the program area point of contact if further paperwork is required.
- c. Responds to questions raised by the program area point of contact.
- d. Coordinates with the Accounting Department for the appropriate taxation of the guest researcher, seminar speaker, or consultant.
- e. Reports withheld taxes to the IRS.

VI. Attachments

(NONE)

VII. Records

The policy administrator, General Accounting Department, and Financial and Administrative Systems (FAS) will maintain all records.

STANDARD PROCESS

Section B: Financial and Administrative Systems (FAS)/Budget/Cost Management
 Number/Title: **B201/Cost Estimate Procedures**
 Date Issued: November 2002
 Revision: January 2007
 SP Contact: Manager, Office of Budget/Cost Mgmt., FAS, 301-846-1119

I. Purpose

The Cost Estimate Standard Process (SP) provides guidelines for preparing cost estimates for requests such as those through the yellow task and core service support mechanisms. These guidelines are provided to make the preparation and review of cost estimates standardized and more efficient.

II. References

Procedures and an electronic version of the Cost Estimate Worksheet can be found at <http://home.ncifcrf.gov/saic/bpdocs/>.

III. Definitions

FAS: Financial and Administrative Systems

OTS: Operations and Technical Support

SP: Standard Process

IV. Scope

This SP applies to SAIC-Frederick, Inc. Other contractors may have a different format for preparing cost estimates.

V. Processes/Guidelines

A. Direct Labor/Fringe

- Positions should be based on 2,080 hours for a full year. Budget open positions within the month the position is expected to be filled. Use the following guideline:

<u>Expected Month Hired</u>	<u>Hours Remaining</u>
October	2,080
November	1,920
December	1,760
January	1,560
February	1,400
March	1,240
April	1,040
May	880
June	720
July	520
August	360
September	200

STANDARD PROCESS

Number/Title: **B201/Cost Estimate Procedures (continued)**

2. When estimating the cost associated with a position, the midpoint salary of the grade level should be used.
3. For confidentiality purposes, the labor rate cannot be indicated on the final document for distribution. Therefore, the electronic version of the Excel cost estimate template provides a labor worksheet to the right of the cost estimate document to aid in the actual calculations to be generated based on the labor hours and rate. Fringe benefits should be calculated at the established/approved rate for the current year. The combination of labor and fringe in the worksheet is linked to allow the transfer of the total labor calculation to the cost estimate document for distribution. **When transmitting a cost estimate electronically, please hide the columns displaying the labor rate/fringe calculation.**
4. If the cost estimate expands over several years, a standard inflationary factor of 4% should be used when calculating labor.

B. Materials and Supplies/Other Direct Costs/Shared Services/Capital Equipment

1. These items will vary, depending on the task.
2. Please include all materials and supplies, other direct costs, shared services, and capital equipment necessary to support the requested work scope. It is important that all costs to be incurred by contractor personnel be accounted for against the work scope in order to account for the appropriate sales tax liability.
3. If the cost estimate expands over several years, and the subsequent year costs cannot be estimated by any other method, a standard inflationary factor of 2.5% should be used when calculating items other than labor.

Note: If the cost estimate expands over several years, please use a separate cost estimate sheet for each year. The electronic version of the Excel cost estimate template provides a second worksheet, which can be used for the subsequent years. In estimating the cost for subsequent years, the annualized cost for Year 1 should be increased by an inflationary factor, 4% for labor and 2.5% for items other than labor.

VI. Attachments

(NONE)

VII. Records

The Financial and Administrative Systems (FAS) Budget/Cost Management department will maintain all records.

STANDARD PROCESS B301

Section B: Financial and Administrative Systems (FAS)/Payroll
Number/Title: **B301/Guidelines for Completing Time Cards**
Date Issued: October 1997
Revision: June 2008
SP Contact: Manager, Payroll, FAS, 301-846-1518

I. Purpose

This Standard Process (SP) is to define how timesheets are to be completed and approved to accurately document labor costs and comply with applicable federal and state regulations. Labor-related expenses account for a material amount of costs incurred under the SAIC-Frederick, Inc., contract with the National Cancer Institute at Frederick (NCI-Frederick). All of these expenses are paid using public funds.

The timesheet is the official record of an employee's work history. As such, it must accurately reflect the days and hours for which an employee is entitled to be paid. Labor costs that are billed to the government are generated from time records. Inaccuracies in the reporting of labor costs could be deemed a violation of federal law and, under certain circumstances, could subject the contractor and its employees to civil and criminal penalties.

II. References

Employee Time Entry Manual, accessible at: http://home.ncifcrf.gov/saic/bpdocs/Employee_Time_Entry_Manual.pdf

Policies & Procedures, accessible at: <http://web.ncifcrf.gov/campus/administrative/policies/>

Policy and Procedure No. 207.1, Timesheets

Policy and Procedure No. 312 Overtime Compensation

Policy and Procedure No. 313 Contractor Telecommuting-Alternative Work Sites

Policy and Procedure No. 314 Holidays

Policy and Procedure No. 315 Vacation Leave Benefit for Salaried Employees

Policy and Procedure No. 315A Vacation Leave Benefit for Employees Covered by the Service Contract Act

Policy and Procedure No. 316 Sick Leave

Policy and Procedure No. 317 Paid Absences

Policy and Procedure No. 318 Leave of Absence

Policy and Procedure No. 320 Alternate Work Schedules

Policy and Procedure No. 332 Charging Time During Periods of Closure

Time Entry Approver's Manual, accessible at: http://home.ncifcrf.gov/saic/bpdocs/Time_Entry_Approvers_Manual.pdf

STANDARD PROCESS B301

Number/Title: **B301/Guidelines for Completing Time Cards (continued)**

III. Definitions

Authorized approver: An individual designated by the directorate head to review timesheets for compliance with policies and procedures. As a general rule, this employee is a direct supervisor but can also be a designated individual who has knowledge of an employee's work efforts.

C&A: Contracts and Administration

Exempt employees: Employees who are exempt from the Fair Labor Standards Act, including overtime pay.

HR: Human Resources

Nonexempt employees covered by the Service Contract Act (SCA): Employees who, based on primary duties, are subject to the Fair Labor Standards Act, which governs wage and hour requirements, i.e., overtime pay.

SP: Standard Process

IV. Scope

This SP applies to all SAIC-Frederick, Inc., employees and approvers, and must be followed when documenting bi-weekly time charging of contract-related labor expenses.

V. Processes/Guidelines

A. Time Entry System

1. For instructions on accessing and recording hours in the time entry system, refer to the "Employee Time Entry Manual" (http://home.ncifcrf.gov/saic/bpdocs/Employee_Time_Entry_Manual.pdf).
2. It is the **responsibility** of each employee to secure and protect his or her password to the time entry system. Passwords should not be shared with anyone, including supervisors and timesheet approvers.
3. Each employee is **personally responsible** for maintaining an accurate record of hours worked and for preparing an electronic timesheet for each payroll period.
4. The time entry system will open for time entry on the first Monday morning of the pay period. Employees who have access to the time entry system should maintain a daily record of the number of hours worked. ***If the time entry system is not readily available to an employee, the actual hours worked should be recorded at least twice per workweek. For situations in which an employee cannot access the time entry system because of security parameters or other circumstances, please refer to #13.***
5. Employees must complete their own timesheets.
6. In the case of absence, or if an employee cannot access the time entry system, an authorized approver of the employee's timesheet is responsible for completing and submitting the employee's timesheet.

STANDARD PROCESS B301

Number/Title: B301/Guidelines for Completing Time Cards (continued)

7. Hours must not be entered on the timesheet in advance unless the employee is on company travel or scheduled leave. (Company travel must be indicated in the note section of the timesheet).
 - Since timesheets must be submitted by the employee for approval prior to the end of the pay period, the employee should estimate the hours that will be worked during the balance of the workweek (Thursday and Friday) and address any variance with the estimate in accordance with Section IV, Time Entry Processes/Guidelines (see #15 on page 4).
8. Exempt employees should record all labor charges up to, but not in excess of 80 hours per biweekly pay period, except as provided in *Policy and Procedure* No. 312, Overtime Compensation, and No. 320, Alternate Work Schedules. *Exempt employees who wish to record hours in excess of 80 within the pay period may do so in the note section of the timesheet.*
9. Nonexempt (SCA) employees must record all hours worked for each workweek. The Fair Labor Standards Act does not permit nonexempt employees to trade off hours between workweeks. Nonexempt (SCA) employees are not permitted to work from home (telecommute) and are not authorized to access their company e-mail account during nonwork hours. Any work performed during a period of closure must be pre-authorized by the employee's supervisor. Overtime is paid for actual hours worked in excess of 40 within each workweek. *Holiday hours are considered work hours in the calculation of overtime.*
10. When recording hours to the "Other Leave" accounts (jury duty, bereavement, etc.) on the timesheet, the appropriate code in the drop down box must be selected.
11. Timesheets **must not** be submitted before the second Wednesday of the pay period unless the employee is on scheduled leave or company travel. (Company travel must be indicated in the note section of the timesheet).
12. Employees must submit their own timesheets, but only after the timesheet is completed. **By submitting the timesheet, the employee certifies that the hours are accurately recorded in accordance with company policies and procedures.**
13. If an employee is not available to complete and/or submit his or her timesheet, an authorized approver must complete and/or submit the timesheet on behalf of the employee. The submitter of the timesheet certifies that, to the best of his or her knowledge, the timesheet information is accurate and in accordance with company policies and procedures. The reason for the employee's absence and expected date of return must be indicated in the note section of the timesheet. The authorized approver must:
 - Print a copy of the submitted timesheet and retain it for the employee to sign upon return to work. The employee must forward the signed copy to the Payroll Department within five business days of his or her return.

STANDARD PROCESS B301

Number/Title: **B301/Guidelines for Completing Time Cards (continued)**

Or

- Send an e-mail to the employee, stating that the employee should review the timesheet that was submitted on his or her behalf. If the employee agrees with the hours that were recorded, he or she must forward the e-mail to the Payroll Department at payroll@ncifcrf.gov with the statement “I agree with the hours reported on my timesheet for pay period ending 00/00/00.” If the employee does not agree with the hours recorded, he or she must forward the e-mail with the statement “Timesheet Adjustment Form to be submitted for pay period ending 00/00/00.”

Or

- E-mail a copy of the timesheet to the employee for review. If the employee agrees with the hours that were recorded, he or she must forward the e-mail to the Payroll Department at payroll@ncifcrf.gov with the statement “I agree with the hours reported on my timesheet for pay period ending 00/00/00.” If the employee does not agree with the hours recorded, he or she must forward the e-mail with the statement “Timesheet Adjustment Form to be submitted for pay period ending 00/00/00.”
14. The time entry system will be closed at 12:30 p.m. on Friday of each pay period for payroll processing.
 15. Timesheet corrections must be made as follows:
 - a. Before the time entry system is closed, corrections **must** be made to the timesheet in the time entry system. See the “Time Entry Approver’s Manual” for instructions. (http://home.ncifcrf.gov/saic/bpdocs/Time_Entry_Approvers_Manual.pdf)
 - b. After the time entry system is closed, adjustments must be made via a “Timesheet Adjustment Form” (Attachment 1). The “Timesheet Adjustment Form” must indicate the change(s) and must include an appropriate justification for the change. The “Timesheet Adjustment Form” requires both the employee’s and authorized approver’s signature.
 - c. ***If the employee is not available to sign the “Timesheet Adjustment Form,” the approver must complete, sign, and submit the form to the Payroll Department within two business days on behalf of the employee. A copy of the submitted “Timesheet Adjustment Form” must be retained by the authorized approver; upon the employee’s return to work, the employee must sign the “Timesheet Adjustment Form.” The signed form must then be forwarded to the Payroll Department within five business days.***
 16. Timesheets for employees receiving short-term disability benefits are coordinated with the Human Resources (HR) Department.

STANDARD PROCESS B301

Number/Title: **B301/Guidelines for Completing Time Cards (continued)**

17. All employees returning from a leave of absence must report to SAIC-Frederick, Inc., HR Department in order to be reactivated in the electronic time entry system.
18. In the event that an issue arises causing a deviation from the payroll processing schedule as described, all employees will receive an e-mail from the time entry system administrator.

B. Timesheet Approval

1. **Timesheets must be approved no later than 12:30 p.m. on Friday, but no earlier than Thursday of the processing week.**
2. For instructions on approving timesheets in the time entry system, see the current “Time Entry Approver’s Manual” (http://home.ncifcrf.gov/saic/bpdocs/Time_Entry_Approvers_Manual.pdf).
3. The approver of the timesheet certifies that, to the best of the approver’s knowledge, the timesheet information is accurate and in accordance with company policies and procedures.
4. **An employee’s immediate supervisor/authorized approver should approve the timesheet.** When an employee’s immediate supervisor/authorized approver is not available, a designated approver may approve the timesheet. **However, no approver should approve a timesheet without general knowledge of the employee’s work efforts.**
 - a. General knowledge should come from a combination of the following sources:
 - (1) Work at the same location.
 - (2) General knowledge of the employee’s work schedule, including actual daily arrival and departure times.
 - (3) General understanding of the employee’s work responsibilities.
 - (4) Instructions from or discussions with the employee’s direct supervisor concerning the time charges being approved.
 - b. The designated approver must be free from undue influence from the individual whose timesheet he or she is approving.
 - Example: An individual should not be the approver for his or her direct supervisor or an employee at a level of management higher than the level to which the individual reports.
 - (1) The director, as well as the deputy director, of Contracts and Administration (C&A) will have the authority to approve the timesheet of the president of SAIC-Frederick, Inc.
 - (2) Along with this authority, the director and deputy director of C&A will have the responsibility for reporting any time-charging discrepancies to the SAIC-Frederick, Inc., Internal Audit Department.

STANDARD PROCESS B301

Number/Title: **B301/Guidelines for Completing Time Cards (continued)**

5. If an employee's timesheet is not approved by 12:30 p.m. on Friday of the processing week, the timesheet will be approved by the time entry system administrator and the following procedure will take place:
 - a. A staff member of the Payroll Department will e-mail a copy of the timesheet to:
 - (1) The employee's immediate supervisor
 - (2) The alternate approver
 - (3) The directorate head
 - b. It is the immediate supervisor's responsibility to review and approve the timesheet provided in the e-mail from the Payroll Department.
 - c. The immediate supervisor must respond to the e-mail with the statement "Reviewed and approved" to indicate he or she is attesting to the accuracy of the hours submitted on the timesheet.
 - d. If a timesheet correction is required, it should be indicated in the e-mail with the statement "Approved with exception; Timesheet Adjustment Form required." A "Timesheet Adjustment Form" must be completed and submitted to the Payroll Department. Please refer to Section VI , Attachment 1.
 - e. In the event that the immediate supervisor is unavailable, the alternate approver is responsible for completing the above process.
6. The approval of timesheets will be monitored to ensure that immediate approvers are approving timesheets. Alternate approvers should not be approving timesheets more often than the immediate approver. Immediate approvers who do not fulfill their responsibilities with respect to timesheets will be reported to their directorate head.
7. A non-approving individual may be designated to act as a "timekeeper" to monitor the submission and approval of timesheets only. This individual will be given read-only access to the time entry system.
8. Any employee who is concerned that this policy is not being followed should immediately contact the Payroll Department (301-846-1518 or 301-846-1139); HR Department (301-846-1146); Internal Audit Department (301-846-7685); the local SAIC Employee Ethics Committee representative (301-846-6952); or the SAIC Ethics Hotline (800-435-4234).

VI. Attachments

Attachment 1, Timesheet Adjustment Form and Instructions

VII. Records

All records associated with this procedure are maintained in the Payroll Department. Timesheets and associated records will be retained for a period of five years.

Timesheet Adjustment Form Instruction

If, after the time entry system is closed, it is discovered that the hours recorded on a timesheet are incorrect, it is necessary to complete a “Timesheet Adjustment Form.”

To complete the “Timesheet Adjustment Form”:

Date Faxed/E-mailed: If the form is faxed or scanned and e-mailed to the Payroll Department, enter the date that this occurred.

Employee Number: Enter the five-digit SAIC-Frederick, Inc., employee number.

Employee Name: Enter the name of the employee for whom the adjustment is being made.

Phone Number: Enter a work phone number so if there are any questions, the employee can be contacted.

ECI: Check this box if the adjustment is for an **Emergency Call In** (reference *Policy and Procedure* No. 312, Overtime Compensation).

Essential: Check this box if the adjustment is for a **nonexempt (SCA) employee** who was required to work during a period of closure (reference *Policy and Procedure* No. 332, Charging Time During Periods of Closure).

Correction for Week Ending: Enter the week-ending date for which the correction is being made.

Under the Originally Reported section:

Date: Enter the date that is to be corrected.

OT: Check this box **only** if the hours to be corrected are overtime hours.

Hours: Enter the number of hours originally reported on the timesheet.

Center/Description: Enter the center number or leave account that was originally reported on the timesheet.

Under the Correction section:

Date: Enter the date that is to be corrected.

OT: Check this box **only** if the hours to be corrected are overtime hours.

Hours: Enter the number of hours that should have been reported on the timesheet.

Center/Description: Enter the center number or leave account that should have been reported on the timesheet.

Justification:

A justification for the change must be entered in the justification section of the “Timesheet Adjustment Form.”

Signatures:

The “Timesheet Adjustment Form” must be printed and signed by both the employee and the authorized approver of the timesheet.

In the event the employee is not available to sign the adjustment form:

- The approver must complete, sign, and submit the form to the Payroll Department within two business days on behalf of the employee.
- A copy of the submitted “Timesheet Adjustment Form” must be retained by the authorized approver. Upon the employee’s return to work, he or she must sign the adjustment form . The employee must then forward the form to the Payroll Department within five business days.

See attached examples:

Example 1: Hours employee recorded as worked changed to vacation leave after time entry system closed for processing.

Example 2: Hours employee recorded as worked changed to sick leave after time entry system closed for processing.

Example 3: Nonexempt employee (SCA) required to work overtime after time entry system closed for processing.

EXAMPLE 1: Vacation Adjustment

TIMESHEET ADJUSTMENT FORM

DATE FAXED/E-MAILED: _____

ECI Essential

EMPLOYEE NUMBER: 11111

EMPLOYEE NAME: J. J. Smith

PHONE NUMBER: 0000

CORRECTION FOR WEEK ENDING: 6/6/2008

ORIGINALLY REPORTED				CORRECTION			
DATE	OT	HOURS	CENTER/ DESCRIPTION	DATE	OT	HOURS	CENTER/ DESCRIPTION
6/6/2008		8	999999999	6/6/2008		4	101
				6/6/2008		4	999999999
Total		8		Total		8	

LEAVE CODES: CREDIT HOURS USED - 005; CREDIT HOURS ACCRUED - 007; VAC - 101; SICK - 102; HOLIDAY - 103; WORKERS' COMP PAID - 105; BEREAVEMENT - 109; WORKERS' COMP NON-PAID - 115; LWOP - 117

JUSTIFICATION: Employee requested 4.0 hours of leave after time sheet submitted.

EMPLOYEE SIGNATURE _____ DATE _____ APPROVER SIGNATURE _____ DATE _____

PREVIOUSLY SUBMITTED WITHOUT EMPLOYEE'S SIGNATURE.

FOR USE BY PAYROLL: _____ DATE ENTERED: _____ ENTERED BY: _____

STANDARD PROCESS

Section B: Financial and Administrative Systems (FAS)/Travel
Number/Title: **B401/NCI-Frederick Mileage Reimbursement Guidelines**
Date Issued: June 2003
Revision: August 2007
SP Contact: Operations Analyst II, FAS, 301-846-6952

I. Purpose

This Standard Process (SP) provides expense guidelines for situations where individuals use their privately owned vehicles (POV) for official business travel.

II. References

Federal Acquisition Regulations (FAR) <http://www.arnet.gov/far/>

Federal Travel Regulations (FTR) <http://www.gsa.gov/fttr>

General Expense Report <http://home.ncifcrf.gov/saic/bpdocs/ger.htm>

NCI-Frederick–NIH shuttle service schedule <http://web.ncifcrf.gov/about/shuttle.asp>

United States General Services Administration <http://www.gsa.gov/>

III. Definitions

FAS: Financial and Administrative Systems

Normal daily commute: Daily route an employee takes to work

POV: Privately owned vehicle

Primary duty station: Place of employment

SP: Standard Process

IV. Scope

This SP applies to all contractor employees, as well as to individuals such as consultants and seminar speakers providing a service to the contract.

V. Processes/Guidelines

A. Government/public funds are utilized to cover allowable expenses incurred in support of NCI-Frederick. The allowability of these costs is based on various regulations such as the Federal Acquisition Regulations (FAR) and the Federal Travel Regulations (FTR). In order to be in compliance with regulations regarding allowability of mileage expenses, the following guidelines are provided.

B. Mileage for use of a POV and associated costs, such as public transportation and parking, are reimbursable to employees and individuals such as consultants and seminar speakers providing a service to the contract. Examples include travel associated with administrative or scientific meetings, training classes, conferences, and seminars.

STANDARD PROCESS

Number/Title: **B401/NCI-Frederick Mileage Reimbursement Guidelines (continued)**

Note: All examples given below assume that the employee's primary duty station (place of employment) is located at NCI-Frederick. Other approved work locations to which an employee reports for his/her normal job responsibilities are considered the employee's primary duty station.

- C.** Mileage will be reimbursed for the distance between the employee's duty station and the location of the business function being attended. **Mileage will not be reimbursed for use of a POV at the employee's duty station (i.e., within the NCI-Frederick campus).** Mileage is based on the standard miles of the "shortest route" as indicated by commercially available Web sites providing driving directions. Please attach to the "General Expense Report" the printout from any Web site used which shows the resulting mileage. A Web site printout is not needed for those locations on the "Standard Local One-Way Mileage Allowances" (Attachment 1). The "General Expense Report" can be accessed at <http://home.ncifcrf.gov/saic/bpdocs/ger.htm>.

1. Example one

An individual travels from NCI-Frederick to NIH in Bethesda for a scientific meeting. The same individual then departs from NIH and travels to McLean, VA, for another meeting. Following this meeting, the individual departs from McLean and returns to NCI-Frederick. The individual is eligible for mileage reimbursement of 105 miles as follows:

NCI-Frederick to NIH: 38 miles

NIH to McLean: 13 miles

McLean to Frederick: 54 miles

Total: 105 miles

2. Example two

An individual travels from NCI-Frederick to an all-day conference in Reston, VA, and returns to NCI-Frederick that same evening. The employee is eligible for reimbursement of 104 miles (distance from Frederick to Reston and back = 104 miles [52 miles x 2 ways]).

- D.** If an employee departs from his/her residence on a normal workday, only the miles in excess of his/her normal daily commute can be claimed as an expense.

1. Example one

An individual's normal daily commute is from Bethesda, MD, to NCI-Frederick, approximately 38 miles. On a normal workday, the individual departs from his residence for a conference in College Park, MD, which is 15 miles from his home in Bethesda. The individual may not claim mileage reimbursement because the distance from his home in Bethesda to the conference in College Park is less than his normal daily commute to work.

STANDARD PROCESS

Number/Title: **B401/NCI-Frederick Mileage Reimbursement Guidelines (continued)**

2. Example two

An individual's normal daily commute is from Rockville, MD, to NCI-Frederick, approximately 32 miles. On a normal workday, the individual departs from his residence for a conference in Annapolis, MD, which is 46 miles from his home in Rockville, and returns to his home following the conference. The individual may claim mileage reimbursement for 28 miles, which is the difference between his normal daily commute and the commute to and from the conference (32×2 ways = 64-mile normal commute; 46×2 ways = 92-mile commute to conference; $92 - 64 = 28$ allowable miles).

- E.** If an employee departs from his/her duty station to attend a business function and, following the event, travels directly home, full mileage will be reimbursed for travel to the function and **only the miles in excess of his/her normal daily commute** will be reimbursed for travel from the function to the individual's home.

Example

An individual travels from his duty station at NCI-Frederick to McLean, VA, for an all-day scientific meeting. At the end of the day, the individual travels from McLean directly to his home in Rockville, MD. The individual is eligible for mileage reimbursement of 54 miles as follows:

NCI-Frederick to McLean, VA: 54 miles

McLean to Rockville: 15 miles

Normal daily commute from Rockville to Frederick: 32 miles

No mileage is allowable for commute from McLean to Rockville because that distance is less than his normal daily commute

Total allowable mileage: 54 miles

- F.** Mileage is reimbursed according to the POV reimbursement rates issued by the U.S. government. The current POV rate can be found by accessing the United States General Services Administration Web site at <http://www.gsa.gov>. Click on "Travel Management" under the "Policy" heading, and on the following screen, click on "POV Mileage Reimbursement Rates." Notification will be made when the rate changes.

G. Allowable Mileage Expenses

Mileage and related costs **are allowable** in the following situations:

1. Meeting attendance/training during working hours

The use of an individual's POV is sometimes necessary for alternate job locations or for attendance at scientific or administrative meetings, conferences, seminars, or training. Training represents costs associated with such job requirements as non-credited classes, instruction into new methods or procedures, and courses which provide guidance in performing one's job duties. Generally, information

STANDARD PROCESS

Number/Title: **B401/NCI-Frederick Mileage Reimbursement Guidelines (continued)**

provided at training courses is specialized or specific to a particular skill, task, or process. In order for an individual to receive mileage reimbursement, the meeting or training must be a requirement of the job.

2. **Course attendance due to requirement of job**

The course/class must be job-related and attendance must be a job requirement.

Example: Many individuals attend courses which are taken to stay on the cutting edge of industry technology and to keep abreast of changing regulatory requirements, which are mandatory to the work performed in their profession. Due to the necessity for knowledge of regulatory requirements, mileage reimbursement is allowed.

3. **Weekend/evening travel**

Weekend and evening travel are occasionally required in order for the employee to be in attendance at a meeting, training class, conference, or seminar on time. When an employee departs from his/her residence on a weekend or evening, the employee will be reimbursed mileage based on the distance from the employee's residence to the location.

H. **Unallowable Mileage Expenses**

Mileage and related costs **are not allowable** in the following situations:

1. **Educational assistance**

Educational assistance classes are taken by employees to continue their formal education at accredited institutions. Educational assistance classes benefit the employee by improving his/her skills and knowledge associated with the current job, outside of normal work hours. These classes are taken on an elective basis and are not a job requirement. Mileage in association with educational assistance classes **will not** be reimbursed.

2. **Elective continuing education/vocational training**

These include courses which are taken to enhance one's skills and are not a job requirement outside of normal work hours. These are considered elective in nature and are therefore similar to courses taken under the educational assistance program. When continuing education courses or vocational training taken by an employee are electively taken to enhance his/her skills and are not a requirement of the job, mileage **will not** be allowed.

3. **Use of POV for business at NCI-Frederick**

Mileage **will not** be reimbursed for use of one's POV traveling to job sites or meetings located at NCI-Frederick.

I. **Travel to NIH**

Employees are encouraged to use the NIH shuttle service as an alternate means of traveling between NCI-Frederick and NIH in Bethesda. The NCI-Frederick–NIH

STANDARD PROCESS

Number/Title: **B401/NCI-Frederick Mileage Reimbursement Guidelines (continued)**

shuttle service schedule can be accessed at <http://web.ncifcrf.gov/about/shuttle.asp>. It is recommended that travelers utilize the shuttle service or carpool when possible.

J. Parking/Tolls

Employees may be reimbursed for parking; however, the most economical means must be utilized. Garage or valet parking will **NOT** be reimbursed, unless a special need justifies this sort of parking. Tolls incurred while traveling via personal vehicle are a reimbursable expense. Employees must provide receipts for reimbursement.

K. Submittal of General Expense Report

1. Mileage not associated with travel requirements coordinated through the Travel Department can be submitted on a General Expense Report to the Accounts Payable Supervisor for review and approval prior to reimbursement. **General Expense Reports can be submitted when an individual has traveled an accumulation of 50 miles and/or one time per month. General Expense Reports must be submitted within 90 days of the date the expense was incurred.** Attachment 1 shows mileage allowances for commonly traveled locations, for use in completing General Expense Reports. The following items must be included on or attached to the General Expense Report upon submittal.
 - a. Justification must include clear documentation to support the **contract-related business purpose** behind the mileage expense.
 - b. All receipts for public transportation, tolls, and parking should be attached to the General Expense Report. If receipt is not attached, justification must be provided as to why the receipt cannot be provided.
 - c. Please attach to the General Expense Report the printout from any Web site used which shows the resulting mileage between travel locations.
 - d. Documentation must show that the normal daily commute was deducted in situations where an individual departs from his/her residence on a normal workday or returns home immediately following a business function.

L. Responsibilities

1. Individual

Individuals are expected to exercise the same care in incurring business expenses that a prudent person would exercise in incurring personal expenses.

2. Program Area

It is the responsibility of the Program Area to provide adequate documentation when submitting the request for mileage reimbursement. Supervisors, or those individuals who have signature authorization, must review the mileage reimbursement request for policy compliance and approve the request.

STANDARD PROCESS

Number/Title: **B401/NCI-Frederick Mileage Reimbursement Guidelines (continued)**

3. Financial and Administrative Systems (FAS)

It is the responsibility of FAS to review the request for reimbursement, determine its reasonableness and allowability, and to make the payment. If appropriate documentation or justification is not provided, FAS will return the General Expense Report to the Program Area for further action.

VI. Attachments

Attachment 1, Standard Local One-Way Mileage Allowances

VII. Records

The FAS, Travel, and Accounts Payable Departments will maintain all records.

STANDARD LOCAL ONE-WAY MILEAGE ALLOWANCES

DESTINATION FROM FREDERICK	MILES
Alexandria, VA	57
Annapolis, MD	78
Arlington, VA	53
Baltimore, MD	52
Baltimore Airport (BWI)	55
Brookhaven/Upton, NY	310
Chantilly, VA	55
College Park, MD	51
Cumberland (Rocky Gap), MD	90
Dulles Airport	45
Gaithersburg, MD	28
Hagerstown, MD	24
McLean, VA	54
National Airport	55
NIH (Bethesda, MD)	38
Reston, VA	52
Rockville, MD	32
Shady Grove Metro Station	30
Vienna, VA	47
Washington, DC	52
York, PA	65

STANDARD PROCESS

Section B: Financial and Administrative Systems (FAS)/Travel
Number/Title: **B402/SAIC-Frederick, Inc., Travel Policy**
Date Issued: June 2004
Revision: May 2006
SP Contact: Operations Analyst II, CMO, 301-846-6952

I. Purpose

This Standard Process (SP) provides general travel guidelines to SAIC-Frederick, Inc., travelers, as well as individuals involved in preparing travel packages. These guidelines are provided to simplify the preparation process, ensure convenient travel arrangements, and address general travel situations.

II. References

Federal Acquisition Regulations (FAR) <http://www.arnet.gov/far/>

Federal Travel Regulations (FTR) <http://www.gsa.gov/fttr>

United States General Services Administration Web site at <http://www.gsa.gov/>
<http://home.ncifcrf.gov/saic/bpdocs/travelpage.htm>

III. Definitions

FAS: Financial and Administrative Systems

SP: Standard Process

IV. Scope

This SP is applicable to all SAIC-Frederick, Inc., employees.

V. Processes/Guidelines

Please refer to <http://home.ncifcrf.gov/saic/bpdocs/travelpage.htm> for guidelines on domestic travel, foreign travel, travel related to training, and to access travel forms.

A. Responsibilities

An SAIC-Frederick, Inc., employee traveling on official business is expected to exercise the same care in incurring expenses that a prudent person would exercise if traveling on personal business and expending personal funds. Excess costs, circuitous routes, delays, or luxury accommodations and services unnecessary or unjustified in the performance of official business are not acceptable under this policy. SAIC-Frederick, Inc., employees will be responsible for excess costs and any additional expenses incurred for personal preference or convenience.

VI. Attachments

(NONE)

VII. Records

The FAS Travel Department will maintain all records.

STANDARD PROCESS

Section B: Financial and Administrative Systems (FAS)/Business Practices
Number/Title: **B501/Calling Card / International Telephone Access Code Process**
Date Issued: November 2003
Revision:
SP Contact: Senior Financial Analyst, FAS, 301-846-7282

I. Purpose

The SAIC-Frederick, Inc., Calling Card and International Access Code Standard Process (SP) explains how to obtain a calling card and an international access code when dictated by the employee's job.

II. References

(NONE)

III. Definitions

FAS: Financial and Administrative Systems

SP: Standard Process

IV. Scope

This Standard Process applies to all employees providing services in support of NCI-Frederick.

V. Processes/Guidelines

A. New Hire/Status Change

1. The supervisor requests a calling card and/or an international telephone access code for an employee by sending a memorandum to the NCI Procurement Technician Office. A copy of the memorandum is provided to the Calling Card/Access Code Coordinator within the Financial and Administrative Systems (FAS) Department.
2. The NCI Procurement Technician's Office will notify the employee when he/she may pick up the calling card and/or international telephone access code.
3. The employee picks up the calling card and/or international telephone access code from the NCI Procurement Technician and signs a form acknowledging receipt.

B. Ongoing

1. The Calling Card/Access Code Coordinator maintains the calling card/international telephone access code database.
2. The Calling Card/Access Code Coordinator requests and reviews quarterly reports from the NCI Procurement Technician Office for SAIC-Frederick, Inc., employees with calling cards and international telephone access codes.

C. Termination of Employment

1. The employee must return the calling card to his/her supervisor upon termination of employment.

STANDARD PROCESS

Number/Title: **B501/Calling Card / International Telephone Access Code Process
(continued)**

2. The supervisor indicates by signing the "Termination Checkout Sheet" that the card has been returned.
3. The supervisor is responsible for sending the NCI Procurement Technician Office a memorandum requesting cancellation of the calling card and/or international telephone access code. A copy of the memo is sent to the Calling Card/International Access Code Coordinator.
4. The NCI Procurement Technician Office cancels the calling card and/or the international telephone access code.
5. The Calling Card/Access Code Coordinator indicates cancellation in the database.

D. Responsibilities

It is the responsibility of the employee and his/her supervisor to adhere to the guidelines of this process.

VI. Attachments

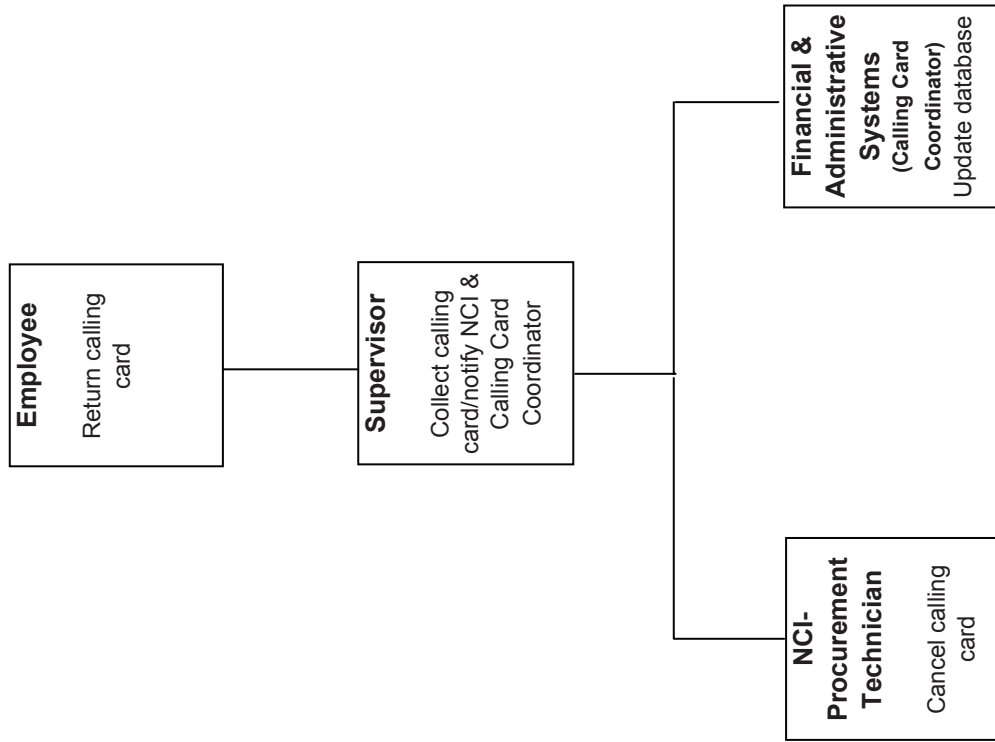
Attachment 1, SAIC-Frederick, Inc., Calling Card Process Flow Chart

VII. Records

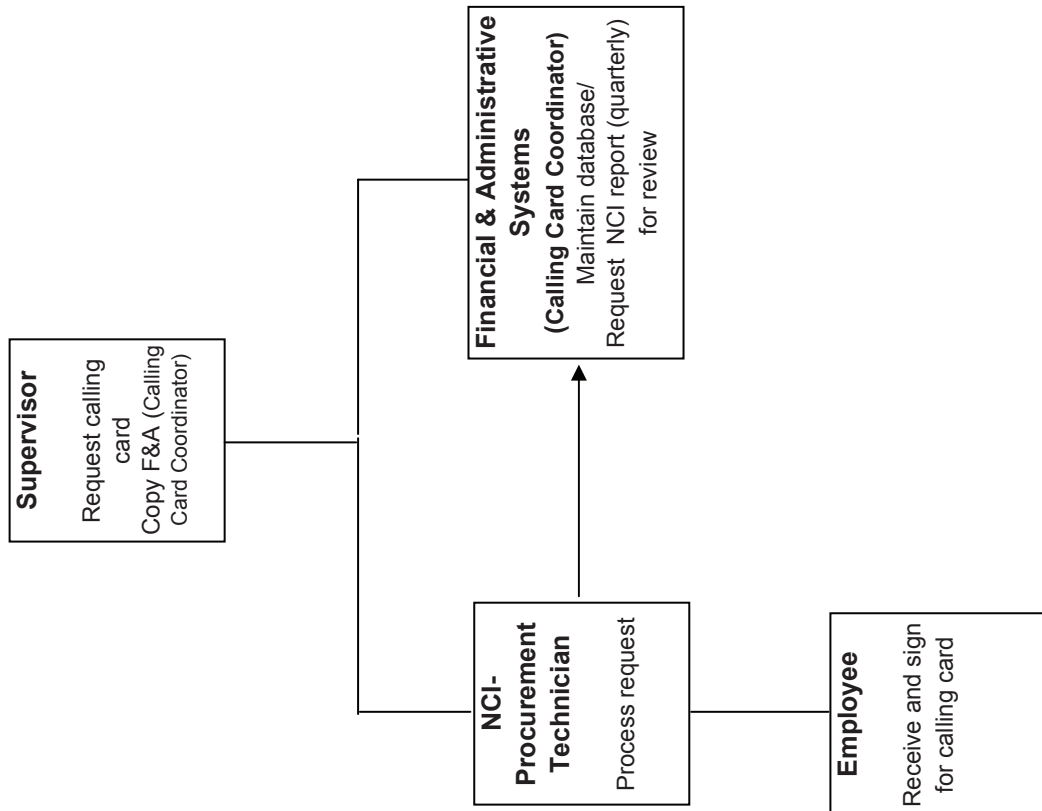
The FAS Department will maintain records.

SAIC-Frederick, Inc., Calling Card Process

Termination Process



New Hire & Ongoing Process



STANDARD PROCESS

Section B: Financial and Administrative Systems (FAS)/Business Practices
Number/Title: **B502/NCI-Frederick Meal/Light Refreshment Reimbursement Guidelines**
Date Issued: September 2003
Revision: August 2007
SP Contact: Operations Analyst II, FAS, 301-846-6952

I. Purpose

The Meal/Light Refreshment Reimbursement Standard Process (SP) provides guidelines related to the allowability of charging the cost of meals and light refreshments to the various prime contracts associated with NCI-Frederick when utilizing contract funds. These guidelines are provided to ensure compliance with federal guidelines and NCI-Frederick contract requirements when individuals engage in business-related meals (non-travel or conference-related).

II. References

FAR 31.205-51

General Expense Report <http://home.ncifcrf.gov/saic/bpdocs/ger.htm>

Policy and Procedure No. 204 “Meal/Light Refreshment Reimbursement”

III. Definitions

FAR: Federal Acquisition Regulations

FAS: Financial and Administrative Systems

FTR: Federal Travel Regulations

HR: Human Resources

IMPAC: International Merchant’s Purchase Authorization Card

SP: Standard Process

IV. Scope

This SP applies to all employees associated with NCI-Frederick when expenses are to be charged to any of the prime contracts reimbursed by the government.

V. Processes/Guidelines

- A.** Government/public funds are used to cover allowable expenses incurred on the NCI-Frederick contracts. The use of contract funds for the allowability of these costs is determined based on various regulations such as the Federal Acquisition Regulations (FAR; <http://www.arnet.gov/far/>) and the Federal Travel Regulations (FTR; <http://www.gsa.gov/fttr>).
- B.** When government and contractor personnel jointly attend a meeting in which light refreshments and/or meals are provided, care must be exercised to segregate the costs between contractor and government personnel. The contracts with NCI state that “no funds provided under this contract shall be used for reimbursement of travel expenses

STANDARD PROCESS

Number/Title: **B502/NCI-Frederick Meal/Light Refreshment Reimbursement Guidelines (continued)**

incurred by government employees.” Meal expenses are considered part of travel. The costs incurred for any government participant are considered unallowable against the contract, and cannot be reimbursed with appropriated funds.

1. Requirements for reimbursement of meal expense

The meal must serve a contract-related business purpose. Documentation is to include a short, but specific, description of the business topics discussed which clearly support the goals and objectives of NCI-Frederick. Generalizations, such as “discussed program operations,” are not appropriate descriptions. The documentation must include a listing of all attendees and their business affiliations. Receipts are required and should contain an itemized listing of what was purchased at the meal. Meals at which the employee is the only attendee are unallowable.

- a. All of the following criteria must be met in order for reimbursement to be made:
 - (1) Business meals are eligible for reimbursement only if contractor personnel attend the meal with individuals outside the NCI community. “Working meals” in which the only attendees are contractor employees are not eligible for reimbursement, even if the meal time period is the only available time for the attendees to meet and discuss business issues.
 - (2) The meal has to be of minor consequence to the meeting requirement.
 - (3) Attendance of the employee at the meal must be necessary for full participation.
 - (4) The employee is not free to take the meals elsewhere without being absent from essential formal discussions, lectures, or speeches concerning the contract-related business purpose.
 - (5) The expense of a meal must be reasonable. The following guideline is to be used as a determination for reasonableness: reimbursement for lunch is allowable up to \$18 per person and dinner up to \$32 per person. If the cost per person exceeds these allowable amounts, additional justification must be provided in order for reimbursement of excess cost to be considered.
 - (6) Alcoholic beverages are an unallowable cost to the contract (FAR 31.205-51). Employees are personally responsible for all costs associated with alcoholic beverages. This expense cannot be included as part of the allowable rates indicated above. A statement must be provided and confirmed that no alcoholic expenses are included on the request for reimbursement of the meal expense.
- b. The following are examples of allowable and unallowable meal expenses, based on the criteria set forth above:

STANDARD PROCESS

Number/Title: **B502/NCI-Frederick Meal/Light Refreshment Reimbursement Guidelines (continued)**

(1) Allowable

- (a) A collaborative lunch between a contractor employee and a visiting seminar speaker who is not a government employee is eligible for reimbursement if documentation is provided justifying the contract-related business purpose discussed and how it benefits the goals of the contract. The meal is limited to attendance by a maximum of three contractor employees.
- (b) Recruitment meal reimbursement is eligible for prospective employees and the hosting contractor staff member (limited to a maximum of two employees from the Program Area). All recruitment actions must be coordinated through the Human Resources (HR) Department for reimbursement of the meal to be considered.
- (c) A scheduled meeting associated with the goals of the contract, which takes place over an extended period of time (5 hours or more) qualifies for meal reimbursement. The agenda must include the working meal to satisfy the requirement that the meal is part of the business function. This meal cannot be a “spur of the moment” decision.

(2) Unallowable

- (a) Meal reimbursement will not be allowed when contractor personnel choose to go to lunch to continue a business discussion.
- (b) Meal expenses for government participants are not allowed in any situation.
- (c) Program or department meals associated with a staff meeting are not reimbursable.

2. Requirements for reimbursement of light refreshments

Light refreshments consist of coffee, tea, cookies, pastries, cake, punch, and other food provided in quantities that are not considered to be a meal. This type of expense is an unallowable contract expense. Exceptions exist for situations in which the supplies are medically necessary (such as refreshments provided to participants in blood donations or for authorized studies in which a volunteer provides a sample that requires fasting) as well as special events in which the purpose is to recognize employees. The cost is limited to \$2 per person or \$500, whichever is less. Requests for reimbursement associated with refreshments require documentation stating the purpose and how it relates to a medical necessity or recognition of employee(s) in order to be processed. All other requests will not be eligible for reimbursement.

STANDARD PROCESS

Number/Title: **B502/NCI-Frederick Meal/Light Refreshment Reimbursement Guidelines (continued)**

- a. **Allowable:**
Light refreshments for awards ceremonies
- b. **Unallowable:**
Light refreshments at seminars
- c. **Food or refreshments cannot be purchased when the purpose is to:**
 - (1) provide meals or snacks at staff meetings or seminars,
 - (2) get the participants acquainted and interacting,
 - (3) encourage participants to arrive on time,
 - (4) be an award,
 - (5) prevent participants from going to their offices for snacks and delaying their return to the training event, or
 - (6) reward employees for arriving punctually at their assigned duty location.

Any costs which are determined to fall outside these guidelines will be treated as unallowable costs and will not qualify for reimbursement. In the event that special funding has been provided to support the reimbursement request, such as gift funds, documentation of that funding source must be indicated.

3. Reimbursement procedure requirements

All meal-related and light refreshment expenses, other than those which are reimbursed via per diem while the employee is on official travel, should be submitted on a General Expense Report to the Accounts Payable supervisor for review and approval prior to reimbursement. These expenses may not be reimbursed through the petty cash fund or International Merchant's Purchase Authorization Card (IMPAC), regardless of the dollar amount. General Expense Reports must be submitted within 90 days of the date the expense was incurred. The following items must be included on or attached to the General Expense Report upon submittal.

- a. Justification must include clear documentation to support the **contract-related business purpose**, served in such a way that if an independent person (i.e., auditor) reviews the documentation, it would be determined that the cost is allowable against the contract.
- b. **Receipts** must be attached to the General Expense Report. Receipts should contain an itemized listing of what was purchased at the meal.
- c. A **listing of all attendees and their business affiliation** must be attached to the General Expense Report.
- d. If the cost per person exceeds the allowable limits of **\$18 for lunch or \$32 for dinner, additional justification must be provided** in order for reimbursement of excess cost to be considered.

STANDARD PROCESS

Number/Title: **B502/NCI-Frederick Meal/Light Refreshment Reimbursement Guidelines
(continued)**

C. Responsibilities**1. Individual**

An individual is expected to exercise the same care in incurring business expenses that a prudent person would exercise in incurring personal expenses.

2. Program Area

It is the responsibility of the Program Area to provide adequate documentation, which should include detailed receipts, when submitting the request for reimbursement. Supervisors, or those individuals who have signature authorization, must review the meal reimbursement request for policy compliance and approve the request.

3. Financial and Administrative Systems (FAS)

It is the responsibility of FAS to review the request for reimbursement, determine its reasonableness and allowability, and to make the payment. If appropriate documentation or justification is not provided, FAS will return the General Expense Report to the Program Area for further action.

VI. Attachments

Attachment 1, Meal/Light Refreshment Reimbursement Guidelines Fact Sheet

VII. Records

The FAS, Travel and Accounts Payable Departments will maintain all records.

Meal/Light Refreshment Reimbursement Guidelines Fact Sheet

The following criteria must be met in order for reimbursement to be made.

1. Business meals can be reimbursed only if contractor employees attend the meal with individuals outside the NCI community.
2. The meal has to be of minor consequence to the meeting requirement.
3. Attendance of the employee at the meal must be necessary for full participation.
4. The employee may not take meals elsewhere if doing so means he/she will be absent from essential formal discussions, lectures, or speeches concerning the contract-related business purpose.
5. The meal should cost no more than \$18 per person for lunch and no more than \$32 per person for dinner.
6. Alcoholic beverages cannot be reimbursed (FAR 31.205-51).

Allowable

- Recruitment meals (Recruitment must be coordinated through the Human Resources Department.)
- Collaborative meals between contractor employees and individuals outside of the NCI community (i.e., seminar speakers)
- Light refreshments associated with employee recognition ceremonies or medical necessity

Unallowable

- Meal expenses incurred by government employees
- Routine staff meetings or working meals between contractor employees only
- Refreshments such as pastries, doughnuts, juices, coffee and related supplies, and bottled water associated with scientific workshops, lectures, or symposiums
- Alcoholic beverages
- Retirement functions

STANDARD PROCESS

Section B: Financial and Administrative Systems (FAS)/General Accounting

Number/Title: **B503/Signature Authorization Operating Procedures**

Date Issued: January 2005

Revision:

SP Contact: Manager, Office of Financial Analyses Support, FAS, 301-846-5988

I. Purpose

This Standard Process (SP) provides instructions for obtaining NCI-Frederick signature authorization.

II. References

The “NCI-Frederick/SAIC Signature Authorization Form” is accessible on-line at <http://www.ncifcrf.gov/campus/administrative/signatureauthorization.pdf>.

III. Definitions

SP: Standard Process

IV. Scope

This SP applies to all employees in support of the NCI-Frederick.

V. Processes/Guidelines

A. The “NCI-Frederick/SAIC Signature Authorization Form” can be accessed at <http://www.ncifcrf.gov/campus/administrative/signatureauthorization.pdf>.

B. Instructions for Completing the “NCI-Frederick/SAIC Signature Authorization Form”

1. All entries must be typed or printed on the form.
2. Check only one box in the organization and activity section.
3. Check the boxes of all approval areas that apply (all center numbers listed will have the approval for the box indicated).
4. List center numbers and program titles in the center section (additional centers may be listed on a second sheet).
5. Sign and acquire proper approval signatures.
6. Fax or send hard copy of the form to the Office of Financial Analysis Support, Building 244/Room 111.

NOTE: If there are any changes for an individual’s authority to sign, a new form must be completed.

C. Incorporating Off-campus Individuals in the NCI-Frederick Signature Database

1. The individual located off campus must complete the NCI-Frederick “Government Employee Registration” form (this form can be obtained from the individual’s administrative officer).

STANDARD PROCESS

Number/Title: **B503/Signature Authorization Operating Procedures (continued)**

2. The individual must return the completed form to the administrative officer (the employee must be entered into the Cyborg system if that has not already been done).
3. Government employees must have their contracting officer's signature.
4. Forward the form to the Office of Financial Analysis Support, Building 244/Room 111.

D. Completing the "NCI-Frederick/SAIC Signature Authorization Form" (Payroll Authorization)

1. All entries must be typed or printed on the form (shaded area on Signature Authorization form).
2. Include employee number and check only one box in the activity section.
3. Check boxes of all approval areas that apply.
4. List center numbers and program titles (additional centers may be listed on a second sheet).
5. Sign and acquire the proper approval signatures.
6. Fax or send hard copy of the form to the Office of Financial Analysis Support, Building 244/Room 111.

VI. Attachments

(NONE)

VII. Records

The Office of Financial Analyses Support of SAIC-Frederick, Inc., will maintain all signature authorization forms.

STANDARD PROCESS

Section B: Financial and Administrative Systems (FAS)
Number/Title: **B504/Process for Establishing Employees in Foreign Countries**
Date Issued: September 30, 2004
Revision:
SP Contact: Senior Financial Analyst, FAS, 301-846-6952

I. Purpose

This Standard Process (SP) explains the process for establishing SAIC-Frederick, Inc., employees in permanent duty stations in foreign countries.

II. References

(NONE)

III. Definitions

COLA: Cost-of-living allowance

EE: Employee

HED: Hours earnings deduction

HOLA: Housing overseas living allowance

HR: Human Resources

IAA: International Assignment Agreement

OHS: Occupational Health Services

SP: Standard Process

IV. Scope

This SP applies to SAIC-Frederick, Inc., employees who are to be permanently stationed in foreign countries.

V. Processes/Guidelines

A. SAIC-Frederick, Inc., Program Area Responsibilities

1. Establishing an employee in a foreign country usually begins with a “yellow task” request, which includes a statement of work.
2. Upon receipt of the yellow task, a representative in the program area researches the following issues:
 - a. Customs/culture of the foreign country;
 - b. Communication methods to be used with the individual;
 - c. Transportation needs in the country (for example, is an international driver’s license required?);
 - d. Reliable shipping methods to the country;
 - e. Banking options in the country; and
 - f. Visa requirements.

STANDARD PROCESS

Number/Title: **B504/Process for Establishing Employees in Foreign Countries
(continued)**

3. The program area representative will also
 - a. Determine allowances to be offered (research NCI policy, SAIC policy, NIH policy, and Department of State Standardized Regulations);
 - b. Determine benefits to be offered (“High” or “low” international health and dental insurance [based on country]);
 - c. Determine if bilateral country agreement can be made with foreign country to provide
 - (1) Check cashing services,
 - (2) Mail pouch services,
 - (3) Medical services,
 - (4) Vehicle tags,
 - (5) Shipping services, and
 - (6) Duty-free allowance; and
 - d. Determine if separate agreement can be made with the U.S. embassy in the country for additional services.
4. The program area representative prepares a cost estimate based on the above research and replies to the yellow task request.
5. If the government approves the cost estimate, the program area representative initiates and forwards to the Human Resources (HR) Department a personnel requisition so that the hiring process may begin.
6. The program area contact works with a contact in the HR Department to develop a job specification if one does not currently exist for the position.
7. After the candidate is selected, the program area contact will
 - a. Collect information from the candidate for completion of the “International Assignment Agreement” (IAA) form and forward the completed form to the SAIC-Frederick, Inc., HR Department;
 - b. Review the final IAA prepared by SAIC Corporate for accuracy;
 - c. Determine the date of hire; and
 - d. Determine if an initial visit to NCI-Frederick is required for training or Occupational Health Services (OHS) health evaluation.
8. After the candidate has been hired, the program area representative
 - a. Assists the individual in obtaining a passport and necessary visas for entry into the foreign country.
 - b. Makes travel arrangements for the individual to travel to NCI-Frederick for training and/or to travel to the duty station in the foreign country to start work.

STANDARD PROCESS

Number/Title: **B504/Process for Establishing Employees in Foreign Countries**
(continued)

- c. Contacts the local U.S. embassy in the foreign country and notifies the embassy of the employee's long-term stay/employment in that country.
 - d. Establishes operating procedures for
 - (1) Communication methods (phone, fax, e-mail);
 - (2) Training methods (i.e., ethics briefing and other required employee training);
 - (3) Ways to monitoring worldly situations (i.e., security and health warnings related to the country);
 - (4) In-country holidays (based on the holiday policy of the government counterpart in that country); and
 - (5) Logistics of the performance review and other supervisory requirements.
 - e. Notifies SAIC-Frederick, Inc., Payroll Department of the following events for tax and payroll purposes:
 - (1) If the employee's initial preliminary visit to SAIC-Frederick, Inc., is considered "relocation" or "business travel";
 - (2) When the employee finds permanent housing in the foreign country, at which point the HOLA (housing overseas living allowance) and COLA (cost-of-living allowance) begin;
 - (3) When the employee spends days away from the host country (any time the employee leaves the host country);
 - (4) When the employee terminates; and
 - (5) When modifications are made to the IAA.
 - f. Notifies the prime contract administrator prior to the employee's start date for determination of risk management issues (including proper insurance coverages).
9. The IAA form must be monitored annually to determine that it is still accurate and whether any increases in allowances are required.

B. SAIC-Frederick, Inc., Human Resources Department Responsibilities

- 1. A representative of the HR Department determines requirements for the employee's visa/work permit and researches any tax issues.
 - a. Visa/work permit requirements (Are the candidates U.S. citizens? Do they have passports? Can they obtain valid working visas?)
 - b. Tax issues (Does the country require the employee to pay individual income tax?)

STANDARD PROCESS

Number/Title: **B504/Process for Establishing Employees in Foreign Countries**
(continued)

2. The HR Department representative determines the “Corporate Risk Category” of the country. Approval from Keith Nightingale, Corporate High-Risk Administrator, and David Bufter, Director of Contracts and Administration, SAIC-Frederick, Inc., is required to hire an individual who will be located in a high-risk area.
3. The HR Department representative will generate a job specification if one does not already exist (in coordination with a program area representative).
4. In coordination with the program area representative, the HR Department representative determines salary, allowances, and start date.
 - a. Use U.S. Department of State, Office of Allowances Web site, www.state.gov/m/a/als, as a guideline.
 - b. Provide all costs, including relocation costs, to the hiring manager.
 - c. Verify a requisition has been submitted and received budget approval.
5. After the candidate is selected, an HR Department representative
 - a. Reviews the IAA form obtained from the program area representative.
 - b. Obtains from the program area representative, any personal information on the candidate needed for the IAA form.
 - c. Prepares the IAA form and forwards it to Christine Wilson, Expatriate Service Center, SAIC, McLean, VA, for review.
6. An SAIC Corporate representative prepares the IAA and forwards it to SAIC-Frederick, Inc., HR Department for review and finalization.
7. The final IAA form and offer letter is sent to the candidate for signature. The IAA must be signed by the prospective employee; Dr. Larry Arthur, President of SAIC-Frederick, Inc.; and Ms. Anita Jones, Corporate International HR Manager.
8. A copy of the signed IAA is forwarded to the new employee, the Payroll Department, and the program area representative.
9. After candidate is hired
 - a. He or she is enrolled in a benefits program.
 - (1) CIGNA International (High or Low) Health Insurance (at no cost to EE; charged to program)
 - (2) CIGNA International (High or Low) Dental Insurance (at no cost to EE; charged to program)
 - (3) Employee covered under Foreign General Liability insurance and Foreign Workers’ Compensation insurance (at no cost to EE; charged to program)

STANDARD PROCESS

Number/Title: **B504/Process for Establishing Employees in Foreign Countries**
(continued)

- (4) All other benefits: the same as for employees located at NCI-Frederick (i.e., life insurance, long-term disability, short-term disability, 401[k], flexible spending, etc.)
- b. The HR Department representative approves expenses covered in the IAA.
10. The IAA form must be monitored annually to determine that it is still accurate and whether any increases in allowances are required.

C. SAIC-Frederick, Inc., Payroll Department Responsibilities

1. Schedule a conference call for the employee and Corporate Expatriate Tax Accountant to review and complete the tax forms necessary for international assignment.
2. Review direct deposit requirements with the employee to ensure prompt payment of earnings.
3. Establish earnings (HED) in Cyborg for items listed in agreement (i.e., hardship allowance, COLA, housing allowance, etc.).
4. Determine taxability of relocation and contract-allowable expenses paid to or on behalf of the employee and which are approved by the program area and/or HR Department representatives.
5. Deactivate and reactivate “Hardship Earnings” in Cyborg when the employee is away from the host country, per State Department regulations. The program area representative is responsible for notifying the Payroll Department any time the employee leaves the host country.
6. Monitor the employee’s earnings to ensure proper taxation after salary exemption limits are met.
7. Transfer the employee’s pay stub to “PDF format” and e-mail it to him/her.
8. Review employee tax status and earnings with the Corporate Expatriate Tax Accountant quarterly.
9. Notify the employee in December to submit new tax forms for the following calendar year.
10. Review the employee’s tax status annually.

D. Occupational Health Services Department Responsibilities

1. A post-offer, pre-placement health evaluation by OHS is required. Under rare and extenuating circumstances, if an individual is located internationally or will not be visiting NCI-Frederick, an alternate health care provider may perform the health evaluation.

STANDARD PROCESS

Number/Title: **B504/Process for Establishing Employees in Foreign Countries**
(continued)

2. If the employee will not be visiting NCI-Frederick to obtain a health evaluation, OHS will work with the employee to determine an alternate health care provider to perform the health evaluation.
 - a. Forms or lists of required health information will be provided to the employee or the designated alternative health care provider.
 - b. All results must be forwarded to OHS for a determination of fitness.
 - c. Determination of fitness will be based on the job description, essential function checklist, and sound medical judgment.
 - d. Disputes about fitness between an outside provider and OHS clinical staff will be submitted first to the OHS medical consultant, then, if necessary, to an independent medical evaluator.
3. The employee hired to live or spend an extended period in foreign countries must be willing and able to follow Centers for Disease Control and Prevention (CDC), World Health Organization (WHO), and NIH medical guidelines. Guidelines are in place for
 - a. Recommended vaccinations, and prophylactic medications to protect against vector-borne and other diseases; and
 - b. Recommendations against travel due to medical conditions, emerging diseases, or other hazards that may arise.
4. OHS staff will determine time/need for follow-up with employees, based on hazards in the work environment, enrollment in specific medical surveillance programs, availability of alternative health care, and the employee's travel plans.
5. OHS staff will not provide immunizations, prescription medications, or prescriptions for medications under any non-medically sound circumstances.
6. OHS staff will monitor annual health evaluation follow-up, based on hazards in the work environment, enrollment in specific medical surveillance programs, availability of alternative health care, and the employee's travel plans.

VI. Attachments

(NONE)

VII. Records

Each responsible department will maintain records as appropriate.

STANDARD PROCESS

Section B: Financial and Administrative Systems (FAS)

Number/Title: **B505/Check Cashing Process for Visitors to NCI-Frederick**

Date Issued: September 28, 2004

Revision:

SP Contact: Supervisor, Accounts Payable Department, FAS, 301-846-5638

I. Purpose

This Standard Process (SP) establishes the process for non-SAIC employees (i.e., seminar speakers, guest researchers, consultants) wishing to cash an NCI-Frederick/SAIC-Frederick, Inc.-issued check while visiting NCI-Frederick.

II. References

(NONE)

III. Definitions

SP: Standard Process

IV. Scope

This SP applies to non-SAIC employees visiting NCI-Frederick.

V. Processes/Guidelines

- A.** Checks must be cashed at an M&T Bank branch.
- B.** A program area representative notifies the Accounts Payable Department supervisor that a nonemployee wishes to cash an NCI-Frederick/SAIC-Frederick, Inc.-issued check and provides the following information to the Accounts Payable Department supervisor:
 - 1. Check number,
 - 2. Check date,
 - 3. To whom the check is to be made payable,
 - 4. Check amount,
 - 5. At which M&T Bank branch the check will be cashed, and
 - 6. When (date/time) the check will be cashed.
- C.** The Accounts Payable Department supervisor notifies SAIC-Frederick, Inc.'s M&T Bank representative that a non-SAIC-Frederick, Inc., employee wishes to cash a check and provides the above information.
- D.** The M&T Bank representative notifies the M&T branch where the individual will cash the check and "approves" the transaction. The M&T Bank representative then notifies the Accounts Payable Department supervisor that the transaction may proceed.
- E.** The Accounts Payable Department supervisor notifies the program area representative that the individual may cash his or her check.

STANDARD PROCESS

Number/Title: **B505/Check Cashing Process for Visitors to NCI-Frederick
(continued)**

F. The individual reports to the appropriate M&T Bank branch and cashes the check.

1. Bank requirements to cash the check:

- a. The individual must cash the check at the lobby during lobby hours only (the check cashing cannot be handled at any drive-through).
- b. The individual wishing to cash a check must show his/her driver's license, social security number (if available), and passport (if a foreign individual).
- c. A U.S. citizen may be required to accompany a non-US citizen to the M&T Bank branch when cashing a check. The U.S. citizen accompanying the non-U.S. citizen will need to provide his or her personal information, including (1) primary identification, such as a driver's license, and (2) secondary identification, such as a major credit card and/or photo ID. Name and address on both identifications must match. Either a program area representative or the Accounts Payable Department supervisor can meet the individual at the local M&T branch. The accompanying individual may also be required to sign the check.

2. Local M&T branches:

7th Street, 829 West 7th Street, Frederick, MD 301-694-7801

Lobby Hours:	Monday	9:00 am – 4:00 pm
	Tuesday	9:00 am – 4:00 pm
	Wednesday	9:00 am – 4:00 pm
	Thursday	9:00 am – 4:00 pm
	Friday	9:00 am – 7:00 pm
	Saturday	9:00 am – 12:00 Noon

Amber Meadows at Weis Market, 199 Thomas Johnson Dr, Frederick, MD 301-682-3462

Lobby Hours:	Monday	9:00 am – 7:00 pm
	Tuesday	9:00 am – 5:00 pm
	Wednesday	9:00 am – 5:00 pm
	Thursday	9:00 am – 5:00 pm
	Friday	9:00 am – 7:00 pm
	Saturday	9:00 am – 2:00 pm

VI. Attachments

(NONE)

VII. Records

(N/A)

STANDARD PROCESS

Section B: Financial and Administrative Systems (FAS)/Business Practices
Number/Title: **B506/NCI-Frederick General Expense Report Guidelines**
Date Issued: October 2005
Revision: August 2007
SP Contact: Operations Analyst II, FAS, 301-846-6952

I. Purpose

This Standard Process (SP) provides guidelines for the preparation and submittal of General Expense Reports for reimbursement of business-related expenses.

II. References

General Expense Report <http://home.ncifcrf.gov/saic/bpdocs/ger.htm>
NCI-Frederick Payment of Non-Employees Policy [http://home.ncifcrf.gov/saic/NEFORMS/Policy and Procedure No. B401 “Mileage Reimbursement Guidelines”](http://home.ncifcrf.gov/saic/NEFORMS/Policy%20and%20Procedure%20No.%20B401%20%E2%80%9CMileage%20Reimbursement%20Guidelines%E2%80%9D)
Policy and Procedure No. B502 “Meal/Light Refreshment Reimbursement Guidelines”
Policy and Procedure No. D301 “Cellular/Wireless Communications”

III. Definitions

CRL: Charles River Laboratories
DMS: Data Management Service, Inc.
FAS: Financial and Administrative Systems
SAIC: Science Applications International Corporation
SP: Standard Process
WISCO: Wilson Information Services Corporation

IV. Scope

This SP applies to all employees associated with NCI-Frederick when expenses are to be charged to any of the prime contracts reimbursed by the government.

V. Processes/Guidelines

- A.** The following numbered items provide instruction for the specific boxes of information on the General Expense Report.
- 1. Name:** Name of individual for whom the expense was incurred
 - 2. Title:** Job title of individual for whom the expense was incurred; if the individual is a seminar speaker, conference attendee, or recruitment candidate, these can be listed as job title
 - 3. Phone Number:** Phone number of individual for whom the expense was incurred
 - 4. E-mail Address:** E-mail address of individual for whom the expense was incurred
 - 5. Date Prepared:** Date that General Expense Report was completed
 - 6. Building/Room Number:** Building and room number of individual for whom the

STANDARD PROCESS

Number/Title: **B506/NCI-Frederick General Expense Report Guidelines (continued)**

expense was incurred (if individual is an employee)

7. **Contractor:** Contractor to be charged (i.e., SAIC-Frederick, Inc., WISCO, DMS, CRL)
8. **Center:** Center number to be charged
9. **Account:** Account number to be charged
10. **Payable to: EMPLOYEE:** Name of employee and employee number
11. **Payable to: NON-EMPLOYEE/VENDOR:** Name of individual or vendor; Social Security number for individual; name of individual's company; address of vendor OR home address of individual (address should match address provided on W-8BEN form or W-9 form); please attach applicable W-8BEN or W-9 form to the General Expense Report upon submittal.
12. **Check to Be Mailed:** Checks must be mailed either by U.S. Post Office or Inter-office mail. SAIC-Frederick, Inc., employees will be reimbursed through Payroll.
13. **Date and Time Departed**
14. **Date and Time Returned**
15. **Employee Expenses**
16. **Non-Employee Expenses**
17. **Personal Auto Mileage**
 - a. Mileage will be reimbursed for the distance between the individual's duty station and the location of the business function being attended. Mileage will not be reimbursed for use of a privately owned vehicle at the individual's duty station (i.e., within the NCI-Frederick campus).
 - b. In the event that an individual departs from his/her residence on a normal workday or returns home immediately following a business function, only the miles in excess of his/her normal daily commute can be claimed as an expense. Documentation on the General Expense Report must indicate that normal daily commute was deducted.
 - c. Mileage is based on the standard miles of the "shortest route" as indicated by commercially available Web sites providing driving directions. Please attach to the General Expense Report, the printout from any Web site used which shows the resulting mileage between locations.
 - d. A detailed description of the contract-related business purpose justifying the mileage expense must be noted on the General Expense Report.
 - e. Please refer to the NCI-Frederick "Mileage Reimbursement Guidelines" (B401 in the *Administrative Handbook*) for additional requirements for mileage reimbursement.

STANDARD PROCESSNumber/Title: **B506/NCI-Frederick General Expense Report Guidelines (continued)**

18. Detailed Purpose and Justification of Expenses

- a. Please include as much detail as possible when explaining the purpose of the expense. A justification as to how the expense will benefit and contribute to the contract, or will otherwise justify the expenditure of contract funds is required.
- b. If attending a conference, seminar, or training, a detailed description of the event and how attendance benefits the individual's job and the contract must be included.
- c. Detailed descriptions of the contract-related business purpose justifying meal and mileage expenses must be noted on the General Expense Report.

19. Employee/Requestor Signature: The individual for whom or on behalf of whom the expense was incurred is required to sign the General Expense Report, attesting that all expenditures were incurred in support of NCI-Frederick-related business. If expense is for a non-employee and his/her signature is unobtainable, justification must be provided as to why the signature cannot be provided. A program area representative with signature authority for the requested center number should sign on behalf of the individual.

20. General Expense Prepared by: Include phone number and e-mail address of individual who prepared the General Expense Report so he/she can be contacted if there are questions.

21. Department Manager/Director Approval: Required

22. Accounting/Finance Approval: Will be signed by approving official in Accounts Payable Department after reviewing the expense and verifying all requirements for General Expense completion are met.

B. Other Requirements:**1. Requests for Meal Reimbursement**

- a. Please refer to the NCI-Frederick "Meal/Light Refreshment Reimbursement Guidelines" (B502 in the *Administrative Handbook*) for requirements for meal reimbursement.
- b. The General Expense Report must include a description of the business topics discussed during the meal which clearly support the goals and objectives of the NCI-Frederick.
- c. A listing of all attendees at the meal and their business affiliations must be attached to the General Expense Report.
- d. Receipts are required and must be attached. The receipts should contain an itemized listing of what was purchased at the meal.

STANDARD PROCESS

Number/Title: **B506/NCI-Frederick General Expense Report Guidelines (continued)**

2. Requests for Business Telephone Call Reimbursement

- a. If an individual is required to make business calls from his/her personal phone, the employee may be reimbursed for expenses if properly justified.
- b. A copy of the phone bill must be attached to the General Expense Report.
- c. The Justification/Purpose must include the name of the person called and a detailed description of the business purpose of the conversation.
- d. Please refer to the NCI-Frederick "Cellular/Wireless Communications Policy" (D301 in the *Administrative Handbook*) for requirements for business telephone call reimbursement.

3. Foreign Currency Conversion

- a. Individuals are reimbursed in U.S. dollars for expenses. Foreign currencies are converted to U.S. dollars based on the exchange rate effective on the date the expense was incurred.
- b. The following Web site contains foreign exchange rate information:
www.oanda.com
- c. Please attach a copy of the printout from any Web site that you use for determining the foreign exchange rate.

4. Submittal of General Expense Reports

- a. Completed General Expense Reports are sent to the Accounts Payable Supervisor (Thomas Johnson Drive) for review and approval prior to reimbursement.
- b. General Expense Reports must be submitted within 90 days of the date the expense was incurred.
- c. Please remember to attach receipts to substantiate all expenses.
- d. The electronic version of the General Expense Report can be accessed at <http://home.ncifcrf.gov/saic/bpdocs/ger.htm>.

C. Responsibilities**1. Individual**

An individual is expected to exercise the same care in incurring business expenses that a prudent person would exercise in incurring personal expenses.

2. Program Area

The Program Area provides adequate documentation, which should include detailed receipts, when submitting the request for reimbursement. Supervisors, or those individuals who have signature authorization, must review the General Expense Request for policy compliance and approve the request.

STANDARD PROCESS

Number/Title: **B506/NCI-Frederick General Expense Report Guidelines (continued)**

3. Financial and Administrative Systems (FAS)

It is the responsibility of FAS to review the request for reimbursement, determine its reasonableness and allowability, and to make the payment. If appropriate documentation or justification is not provided, FAS will return the General Expense Report to the Program Area for further action.

VI. Attachments

NONE

VII. Records

The Accounts Payable Department will maintain all records.

Section C: Information Technology Services (ITS)

STANDARD PROCESS

Section C: Information Technology Services (ITS)
Number/Title: **C001/Requesting E-Mail Accounts**
Date Issued: November 2003
Revision:
SP Contact: Manager, LAN Office, ABCC, 301-846-5769

I. Purpose

This Standard Process (SP) identifies steps required to obtain an NCI-Frederick e-mail account.

II. References

You can access the ABCC Web site at http://www.abcc.ncifcrf.gov/apps_apply.shtml.

III. Definitions

ABCC: Advanced Biomedical Computing Center

Authentication code: confidential code issued to users for technical assistance regarding their e-mail account

E-mail: Electronic mail

E-mail account: Individual accounts set up to send and receive electronic mail over the NCI-Frederick system

Helpdesk: The department responsible for providing assistance in obtaining LAN applications and resolving problems associated with LAN accounts

LAN: Local Area Network

Password: Personal identification using confidential group of letters/numbers to initiate or make changes to the e-mail account

User ID: Personal identification of users on the e-mail system

IV. Scope

The NCI-Frederick electronic mail (e-mail) server is administered by the Local Area Network (LAN) Office, Advanced Biomedical Computing Center (ABCC), and is primarily dedicated to providing a facility for all NCI-Frederick employees to send and receive e-mail. Only NCI-Frederick personnel who require e-mail should use this system.

V. Processes/Guidelines

A. Step One: Obtain an application.

1. Obtain an e-mail account by requesting an application from the ABCC Helpdesk, at 301-846-5555, or by downloading the application from the ABCC Web site at http://www.abcc.ncifcrf.gov/apps_apply.shtml. Please remember to type or print the requested information clearly.
2. You must have your supervisor's signature on the completed application.

B. Step Two: Apply for an e-mail account.

1. Forward the completed and signed application to the LAN office by fax: 301-846-5762/Recipient: LAN Office; or by interoffice mail: LAN Office/Building 430. Applications that do not include the signature of the applicant's supervisor will be returned.
2. Direct any questions regarding this application to the ABCC Helpdesk at 301-846-5555.

C. Step Three: Select a User ID.

1. Your personal User ID will be assigned using your last name followed by your first initial, your first initial followed by your last name, or your choice. For example, you could choose smithm or msmith.
2. Your User ID must be related to your given name. Nicknames and non-name related strings are unacceptable.
3. Please prioritize these methods on the application. All efforts will be made to assign a User ID based on your first priority.

D. Step Four: Receive your User ID.

Upon approval of an e-mail account, you will receive a letter of notification containing your assigned User ID, initial account password, and authentication code.

E. Step Five: Activate your account.

Your account is activated when you complete a change in your initial password. Passwords must be at least 7 characters in length, contain a combination of alpha and numeric characters, and should not be contained in any dictionary, foreign or domestic. Unacceptable passwords will be rejected by the mail server. Instructions to change your password are included in the notification of the assignment of an e-mail account.

F. Step Six: Keep authentication code.

The authentication code should be retained for future reference: it will be required if you need certain types of technical assistance regarding your account.

G. Step Seven:

If you already have an e-mail account, you may continue to use it or, alternately, forward and consolidate your mail to this facility. You do not have to obtain an account on this server, although it is beneficial to have a shorter e-mail address consistent with the majority of NCI-Frederick employees.

VI. Attachments

(NONE)

VII. Records

The ABCC LAN Office will maintain all e-mail account records.

STANDARD PROCESS

Section C: Information Technology Services (ITS)
Number/Title: **C002/NCI-Frederick Dial-in Accounts**
Date Issued: November 2003
Revision:
SP Contact: Manager, LAN Office, ABCC, 301-846-5769

I. Purpose

This Standard Process (SP) describes the process and approvals required to obtain remote access to NCI-Frederick computing services.

II. References

ABCC Web site at http://www.abcc.ncifcrf.gov/apps_apply.shtml.

III. Definitions

ABCC: Advanced Biomedical Computing Center

Authentication code: confidential code required for account verification and to request new or reset passwords

Dial-in accounts: Accounts assigned to NCI-Frederick personnel providing remote access to computing resources

Helpdesk: The department responsible for providing assistance in obtaining LAN applications and resolving problems associated with LAN accounts

LAN: Local Area Network

User ID: Personal identification of dial-in account users

Password: Personal identification using confidential group of letters/numbers to access dial-in accounts.

IV. Scope

The NCI-Frederick Dial-in server is administered by the Local Area Network (LAN) Office, Advanced Biomedical Computing Center (ABCC), and is primarily dedicated to providing remote access to computing resources for employees at NCI-Frederick. Accounts on this system are intended for use by NCI-Frederick employees who require remote access from home or while on travel.

V. Processes/Guidelines

A. Step One: Obtain an application.

1. Request an application from the ABCC Helpdesk at 301-846-5555, or download the application from the ABCC Web site at http://www.abcc.ncifcrf.gov/apps_apply.shtml. Please remember to type or print the requested information clearly.
2. You must have your supervisor's signature on the completed application.

B. Step Two: Apply for a dial-in account.

1. Forward the completed and signed application to the LAN office by fax: 301-846-5762/ Recipient: LAN Office; or interoffice mail: LAN Office/Building 430. Applications that do not include the signature of the applicant's supervisor will be returned.
2. Direct any questions regarding this application to the ABCC Helpdesk at 301-846-5555.

C. Step Three: Receive User ID.

Upon approval of a dial-in account, you will receive a letter of notification containing your assigned User ID and password.

VI. Attachments

(NONE)

VII. Records

The ABCC LAN Office will maintain all dial-in account records.

STANDARD PROCESS

Section C: Information Technology Services (ITS)

Number/Title: **C003/ABCC Computer Account**

Date Issued: November 2003

Revision:

SP Contact: Administrative Assistant, LAN Office, ABCC, 301-846-5763

I. Purpose

This Standard Process (SP) describes the process and approvals for access to the NCI-Frederick computing system at the Advanced Biomedical Computing Center (ABCC).

II. References

ABCC Web site at http://www.abcc.ncifcrf.gov/apps_apply.shtml.

III. Definitions

ABCC: Advanced Biomedical Computing Center

Authentication code: Confidential code for account verification and to request new or reset passwords

Helpdesk: The department responsible for providing assistance in obtaining LAN applications and resolving problems associated with LAN accounts

LAN: Local Area Network

Password: Personal identification using confidential group of letters/numbers to access system accounts

PI: Principal investigator

System Accounts: Accounts assigned to NCI-Frederick personnel providing access to computing resources

USERNAME: Personal identification of system account users.

IV. Scope

A. Application for ABCC Access

The Advanced Biomedical Computing Center (ABCC) provides high-performance computing (HPC) resources for both NIH/NCI intramural scientists and the extramural biomedical research community. Its mission is to provide HPC support, to provide collaborative research, and to conduct in-house research in various areas of computational biology and biomedical research. This diverse set of resources allows scientists to submit and run compute-intensive algorithms to assist them in their research. Accounts on these systems provide the means for researchers to utilize the ABCC's resources.

V. Processes/Guidelines**A. Step One: Obtain and complete an application.**

1. Applications are available at the ABCC Administrative Office, Building 430, or can be obtained from the ABCC Web site at http://www.abcc.ncifcrf.gov/apps_apply.shtml; by U.S. mail; or faxed to 301-846-5762.
2. **Note: Accounts are NOT to be shared.** Each system user must have an authorized USERNAME and account. The ABCC cannot be responsible for information that is lost due to the sharing of system accounts.

B. Step Two: Submit an application.

1. Applications can be submitted at any time. Please type or print clearly.
2. Applications for general access will be processed weekly.

C. Step Three: Acknowledge ABCC's contributions.

All publications should acknowledge the contribution of the NCI Advanced Biomedical Computing Center (e.g., "We acknowledge the National Cancer Institute for allocation of computing time and staff support at the Advanced Biomedical Computing Center of the NCI-Frederick").

D. Step Four: Acquire USERNAME and password.

1. Each system user will be assigned a unique USERNAME to be used when accessing the ABCC systems.
2. An initial password will also be provided. The initial password will only be valid for a single log-in session and must be changed immediately.

E. Step Five: Create a password.

Choose a password that is not easily compromised. In general, the password should not be made up of common words that could be found in the dictionary (including foreign languages and the forward and backward representations of each; the password should not use any part of your USERNAME and should not be made from proper names, neither people nor things. A good password should include a combination of letters and numbers, and if permitted, both upper and lower case characters should be included. One popular method of password selection is to use the first (or last) letter of an obscure phrase with mixed case letters, special characters, and numbers.

F. Step Six: Use ABCC resources.

1. Accounts must NOT be shared.
2. ABCC instructions regarding security and password protection must be followed.
3. Project descriptions from this form may be used in ABCC reports.
4. Results and abstracts from research publications will be provided to ABCC regularly (at least semi-annually).

G. Step Seven: Notify ABCC of any changes in information.

Users will notify ABCC systems administrators immediately upon change in organizational affiliation, mailing address, telephone number, or employment status.

H. Step Nine: Review the approved application materials.

1. A copy of the approved application and a small documentation package will be returned to each applicant.
2. Please be sure to note the assigned USERNAME, user authentication code, and project account ID.
3. These should be kept confidential within the project or group. Direct questions to the ABCC Helpdesk, 301-846-5555.

VI. Attachments

(NONE)

VII. Records

ABCC will maintain all user account records.

STANDARD PROCESS

Section C: Information Technology Services (ITS)
Number/Title: **C004/NCI-Frederick LAN Drop Request**
Date Issued: November 2003
Revision:
SP Contact Manager, LAN Office, ABCC, 301-846-5769

I. Purpose

This Standard Process (SP) describes the process and approvals required to request LAN “drops” to provide connections for LAN services.

II. References

(NONE)

III. Definitions

ABCC: Advanced Biomedical Computing Center

FME: Facilities Maintenance and Engineering

Helpdesk: The department responsible to provide assistance in obtaining LAN applications and resolving problems associated with LAN accounts

LAN: Local Area Network

IV. Scope

The LAN Office maintains the NCI-Frederick network infrastructure and provides reliable high-speed communications for all forms of networking services at NCI-Frederick. As new building, renovations, or changes in room usage occur, the local area network (LAN) access points in these locations may need to be changed. The NCI-Frederick LAN office is the conduit for requests for changes to network access points.

V. Processes/Guidelines

A. Step One: Submit LAN modification requests.

1. LAN modification requests may be submitted at any time describe the change required, show the room(s) with drop locations marked, and indicate a point of contact for Facilities Maintenance and Engineering (FME) personnel to contact when the work begins.
2. Type or print the requested information clearly.

B. Step Two: Submit the request.

1. Forward the completed request to the LAN Office by fax: 301-846-5762/Recipient: LAN Office; or by interoffice mail: LAN Office/Building 430.
2. Please note that requests that do not include a point of contact may be delayed.

C. Step Three: Assess the time to completion.

1. Once submitted, the time for completion of the request will depend on a number of factors, including the scope of work, scheduling of FME personnel, and relation to other work being done in the room.
2. Direct questions to the Advanced Biomedical Computing Center (ABCC) Helpdesk, 301-846-5555.

VI. Attachments

(NONE)

VII. Records

The ABCC LAN Office will maintain all user account records.

Section D: Acquisition and Logistical Services (ALS)

STANDARD PROCESS

Section D: Acquisition and Logistical Services (ALS)/Purchasing
Number/Title: **D301/Cellular / Wireless Communications**
Date Issued: June 19, 2003
Revision: July 18, 2007
SP Contact: Supervisor, Acquisitions Support Group, ALS, 301-846-5415

I. Purpose

This Standard Process (SP) facilitates an effective wireless communications program for contractor personnel within NCI-Frederick that ensures the integrity of NCI-Frederick resources. This SP addresses the criteria for eligibility in the program, establishes its operating procedures, and assigns responsibility for the acquisition and management of these resources.

II. References

Acquisitions and Logistical Services Forms, <http://web.ncifcrf.gov/campus/als/forms.asp>

International Merchants Purchase Authorization Card (IMPAC)

Internal policies and procedures

User's Guide, *Wireless Equipment Procurement*, accessible at: http://web.ncifcrf.gov/campus/als/downloads/Wireless_User_Manual.pdf

“Wireless Justification” form

“Wireless Communication Device Monthly Usage Certification Form”

III. Definitions

Cellular Telephone: Hand-held telephone used to make calls locally, nationally, or internationally with the following capabilities:

Text Messaging – For sending short messages; messages should not be longer than a few hundred characters. The term is usually applied to messaging that takes place between two or more mobile devices.

HR: Human Resources

IMPAC: International Merchants Purchase Authorization Card

PC: Personal computer

PC number: Purchase card number

PDA: Personal Digital Assistant, a hand-held device with the following capabilities:

Cellular phone – Provides full-featured mobile phone capabilities; text messaging is available

E-mail – Allows you to read, compose, forward, or reply to messages

Keyboard – Has built-in, backlit QWERTY keyboard (standard keyboard for typewriters, PCs, and Blackberries)

Messaging – Allows you to create memorandums/letters to be sent via PDA or saved to Personal Computer (PC)

Organizer – Provides access to a calendar, address book, and task list

Synchronization – Synchronizes PDA with PC

Web access – Retrieves information from the World Wide Web

Pager: A one-way FM receiver capable of being signaled utilizing an audible alert, a voice message, or a numeric or alphanumeric message displayed using a liquid crystal display (LCD) or light-emitting diodes (LED)

SCA: Service Contract Act employee, who is paid using the Department of Labor Wage Determination; non-salaried employee

SP: Standard Process

IV. Scope

A. Wireless communications privileges will be granted only to contractor employees whose program director has determined there is a job-related need to access staff from locations other than the employee's normal work site. The Operations and Technical Support contractor will consider only individuals who meet at least one of the following criteria:

1. Job requires monitoring and managing work-related duties during non-duty hours, or
2. Employee is to perform official duties while not at his/her normal work site (e.g., on official travel or at home) and has a job-related need to contact staff or others.

B. Individuals may be provided use of wireless communications equipment if:

1. employed by SAIC-Frederick, Inc., or other contractors,
2. it is to be used for official business only,
3. resources provided are effectively safeguarded, and
4. program director deems it necessary in support of the NCI-Frederick mission, and it is of sufficient frequency and duration to justify the cost.

Personal inconvenience in the use of the employee's own private telephone or work phone is not a reason to grant wireless communication privileges.

V. Processes/Guidelines

A. Obtaining Wireless Equipment

1. Step One: Obtain Approval

Complete the "Wireless Justification," or Justification, form (download form from <http://web.ncifcrf.gov/campus/als/forms.asp>) and obtain the program director's approval. The justification must address the criteria previously mentioned for consideration. When completed, the Justification form will be forwarded to the appropriate program director for approval. Once approved, it will be routed to the SAIC-Frederick, Inc., Internal Audit Department (located on Thomas Johnson Drive) for review.

2. Step Two: Purchase a Wireless Plan

The auditor will forward the reviewed and approved Justification form to the Purchasing Department, Building 1050, to initiate the wireless equipment procurement. All wireless equipment will be procured using the International Merchant's Purchase Authorization Card (IMPAC) after the appropriate approvals have been obtained. The Purchasing Department will apprise the requester of the plans in place with the contracted wireless vendors. If there is any deviation from the standard services offered, additional justification of use will be required. All wireless equipment and/or services must be purchased, not leased, and billed against the IMPAC.

B. Responsibilities**1. Purchasing Department**

- a. Competes the wireless contracts to establish contracts with vendors.
- b. Wireless Team will access the Purchase Card system and obtain a Purchase Card number (PC number) for the purchase and enter the pertinent information in the cardholder's order log. This PC number will be given to the vendor for reference at the time the order is placed.
- c. Contacts the vendor to initiate the procurement of the wireless equipment, service, and accessories, and maintains a database of all wireless equipment.
- d. Initiates the cancellation of wireless equipment service when notified, handles billing issues the requester cannot resolve, and any IMPAC-related matters that arise from billing.
- e. Notifies the Property Department to decal the equipment.
- f. Notifies the requester when the equipment is ready for pick-up from Building 1050.
- g. Notifies the Human Resources (HR) Department for review if wireless service is requested for an Service Contract Act (SCA) employee.

2. Internal Audit Department

- a. Reviews the "Wireless Justification" form and forwards to the Purchasing Department after completing the review/approval.
- b. Audits wireless service. The following applies to all personal calls:
 - (1) SAIC-Frederick, Inc., Wireless Communications policy discourages costs associated with personal use on any company-provided wireless equipment.

Step 1: Indicate on the bill any usage that is personal.

Step 2: Remit reimbursement for usage to the IMPAC cardholder with the submission of the wireless bill and IMPAC reconciliation. Payment should be made by check, payable to SAIC-Frederick, Inc.

(2) The amount of reimbursement due is calculated as follows:

___ Number of personal calls (incoming or outgoing)	x \$0.80 =	\$ _____
Long distance and roaming charges (applicable to personal calls made)		\$ _____
Sales tax, 5%		\$ _____
Total due		\$ _____

NOTE: All incoming and outgoing personal calls, even those for which no charge is associated (i.e., those that are included in plan minutes), are to be reimbursed at \$0.80 a call. If personal calls result in long distance and roaming charges, these charges should be reimbursed in addition to the \$0.80 per call. If tax is charged on the bill, 5% must be added onto the total owed on personal calls. See [“Wireless Communication Device Monthly Usage Certification Form.”](#)

Twice a year, the Internal Audit Department will evaluate the standard reimbursement rate (currently, \$0.80/call) and communicate that information to all employees.

(3) Monthly, SAIC-Frederick, Inc., internal auditors will monitor all call activity for SAIC-Frederick, Inc., wireless services. Wireless usage deemed to be personal, for which reimbursement has not already been made, will be referred to the wireless equipment user for clarification.

3. Property Accountability Department

- a. Decals wireless equipment for accountability.

4. Human Resources Department

- a. Notifies the Purchasing Department when an individual has terminated employment.
- b. Contacts the program director to discuss the FAIR LABOR STANDARDS ACT when notified by Purchasing when an SCA employee has made a request for wireless service.
- c. Notifies Purchasing to either process or cancel the request after review with the program director.

5. Requester

- a. Completes the appropriate “Wireless Justification” form and submits the completed form for approval through the program director.
- b. Routes the “Wireless Justification” form to the Internal Audit Department (located on Thomas Johnson Drive) for review prior to any purchase.
- c. Maintains equipment and reports any damage or loss to the Property Department.

- d. Notifies the Purchasing Department if changes to the wireless equipment service and/or additional components are required (excluding cases and batteries).
- e. Reviews each wireless bill when it is received, verifies accuracy of the invoice, and attaches “Wireless Communication Device Monthly Usage Certification Form.” Identifies any costs that were incorrectly billed, determines if personal calls were made or received, and indicates such calls as “personal” on the invoice.
- f. In the event of personal usage (made or received), submits reimbursement with the completed form to the IMPAC cardholder for inclusion with the Statement of Account to the General Accounting Department (located on Thomas Johnson Drive).
- g. Upon termination of employment, turns in wireless equipment to the property custodian for the program area or the IMPAC cardholder against which the service(s) are being billed.

5. Cardholder

- a. Ensures the requester of wireless service has completed the “Wireless Communication Device Monthly Usage Certification Form” for submission of the Statement of Account to the General Accounting Department (located on Thomas Johnson Drive).
- b. Ensures the appropriate property transfers have been completed and forwarded to the Property Accountability Department upon the termination or transfer of the requester of the wireless service.

6. Reimbursement of Business Calls Made from a Personal Phone

If an employee is required to make business calls from his/her personal phone, the employee may be reimbursed for expenses, if properly justified.

Requirement for Reimbursement

- a. If the call was made from a land line (e.g., a home phone), the employee will be reimbursed for any long distance charges incurred and must provide:
 - (1) Evidence of charges incurred (copy of phone bill)
 - (2) Purpose of each call, to whom the call was placed, and the necessity of the call
 - (3) A completed and approved “General Expense Report” form
- b. If the call was made from a personal cell phone, the employee will be reimbursed at the rate of \$0.80 per call plus any applicable air, roaming, and long distance charges incurred and must provide:
 - (1) Evidence of charges incurred (copy of phone bill)
 - (2) Purpose of each call, to whom the call was placed, and the necessity of the call
 - (3) A completed and approved “General Expense Report” form
- c. The “General Expense Report” form will be submitted to the Accounts Payable department (located on Thomas Johnson Drive) for reimbursement.

- d. All requests for reimbursement should be submitted within 90 days of the date the charge was incurred. If an employee is assigned company-provided wireless equipment, it is expected all business calls will be placed using this equipment, thus eliminating the need for reimbursement.

VI. Attachments

Attachment 1, Frequently Asked Questions

VII. Records

The Wireless Team will maintain all records.

Frequently Asked Questions

Wireless Communication Program

Q: How do I purchase wireless equipment/services?

A: Complete a “Wireless Justification” form ([Attachment A](#)) and forward it to the appropriate program director for approval. Once it is approved, forward (via interoffice envelope, fax, or e-mail) the completed form to the attention of the Internal Auditor, 92 Thomas Johnson Drive, STE 250, for review. After the justification is reviewed for completeness, the internal auditor will forward the form to Purchasing for processing.

Q: How long before I receive my equipment?

A: Once the approved justification form is received by the Wireless Team, it usually takes 3 to 5 days to arrive. The equipment is delivered directly to the Wireless Team, who contacts the Property Department to ensure the equipment is properly identified with a decal prior to release to the requester. A member of the Wireless Team will contact you when the equipment is ready for pick-up from the Purchasing Department, Building 1050, 2nd Floor.

Q: Can I purchase the wireless equipment myself and be reimbursed?

A: No. All wireless communications equipment and accessories must be purchased after approval is received using an IMPAC. Wireless equipment purchased using any other mechanism will be considered an unauthorized procurement.

Q: Where can I get a “Wireless Justification” form ([Attachment A](#)) and a “Wireless Communication Device Monthly Certification Form” ([Attachment B](#))?

A: The forms can be obtained through the Purchasing Department or the Acquisitions and Logistical Services Web site, <http://web.ncifcrf.gov/campus/als/forms.asp>

Q: Is there a specific vendor through whom wireless equipment/service must be purchased?

A: Yes. The Purchasing Department has issued contracts to several vendors, presently AT&T, Cellular One, and T-Mobile. Verizon can be used for limited services. These vendors provide various levels of discounts on the equipment and service.

Q: What do I do if I transfer to a different program area or I terminate my employment?

A: When you terminate or transfer, you are required to go through a check-out procedure. The equipment should stay with the program area and be turned in to either the IMPAC cardholder or the Property Custodian for the program. You will check out through the Property Office, who will notify Purchasing. Purchasing will contact either the IMPAC cardholder responsible for the service or the Property Custodian, and make a determination to cancel the service or re-issue the equipment to another employee after appropriate approvals are acquired. Service will be suspended until proper justification is completed and approved for the next employee. There is no charge to suspend or reactivate the service.

Q: Are personal calls allowed on a business cellular phone?

A: No. Personal calls are discouraged unless there is an emergency. If an emergency arises and a personal call is placed, indicate calls (either highlight or underline) on the invoice, attach a personal check to the invoice for the total amount due, including roaming, long distance, and sales tax, if charged. The invoice and personal check should be given to the cardholder along with the signed Wireless Communication Device Monthly Usage Certification Form ([Attachment B](#)).

Q: What do I do if my wireless equipment/service is not working properly or if my coverage area is inadequate?

A: Contact a member of the Wireless Team for repair or replacement of equipment or changes to your service plan and/or coverage area. Do not call the vendor directly.

Q: How do I get international discount service on my existing wireless equipment?

A: Contact the Wireless Team. They will arrange for the discount to be added to your account when on travel, and de-activated when you return.

Q: What contracted vendors provide international service?

A: AT&T and T-Mobile

Q: How do I know if a certain provider has reception in the country I am traveling to?

A: Both AT&T and T-Mobile have information available to you on their Web sites. Click on International coverage. See below:

<http://www.wireless.att.com/learn/international/roaming/international-roaming.jsp>

<http://www.t-mobile.com/International/>

Q: What are the differences between broadband wireless aircards and WIFI cards?

A: “Broadband” is a general term that can represent many forms of Internet access. Broadband can be used to describe cable modem, DSL, and cellular (aircard) access to the Internet. Broadband wireless aircards allow Internet access wherever there are cellular towers; broadband uses cell phone communications to “talk” to the Internet. WIFI is limited to an existing network (or within a 50- to 100-yard radius) of the WIFI adapter. To request broadband or WIFI, you must complete [Attachment A](#). For security purposes, each request for broadband or WIFI may be routed through the local area network (LAN) office for their review.

Q: What contracted vendors provide the wireless aircard/service?

A: AT&T, T-Mobile, and Verizon

Q: What is the difference between a communicating PDA and a communicating PDA with cellular?

A: A communicating PDA is for data communications only, i.e., e-mail, Internet, calendar, scheduling meetings, etc. The communicating PDA with cellular has voice and data communications capabilities. You have the ability to communicate via e-mail and Internet, as well as cellular phone.

STANDARD PROCESS

Section D: Acquisition and Logistical Services (ALS)/Purchasing
Number/Title: **D302/Scientific and Support Equipment Service Contract Process**
Date Issued: January 2005
Revision:
SP Contact: Supervisor, Purchasing Services Group, ALS, 301-846-1127

I. Purpose

This Standard Process (SP) provides guidelines for establishing and maintaining service contracts in a cost-effective and expeditious way. This process will help to maintain effective communications between all parties involved (end user, the service contract buyer [Purchasing Department], contract vendor, and Equipment Maintenance [EM] [Purchasing Department]) and to ensure proper documentation of all transactions.

II. References

“Service Contract Addition” form, ALS form SC01, accessible at: <http://web.ncifcrf.gov/campus/als/sca/>

III. Definitions

EM: Equipment Maintenance

FME: Facilities Maintenance and Engineering

PM: Preventive maintenance

PR: purchase request

SCA: Service contract addition

SCB: Service contract buyer

IV. Scope

This Standard Process covers the establishment and maintenance of service contracts for scientific and support equipment at the NCI-Frederick facility.

V. Processes/Guidelines

A. Service Contract Equipment

1. A service contract must create a clear service, and technical or financial advantage for the end user or the facility. Examples:
 - a. Equipment requiring a consistent response time, as in production situations or patient-related research;
 - b. Equipment that requires calibration and or certification;
 - c. Equipment in high-risk areas;
 - d. Equipment that is heavily used;
 - e. Equipment that requires a high volume of programmed maintenance or repair;
 - f. Equipment that has an exclusive servicing vendor; and

Number/Title: **D302/Scientific and Support Equipment Service Contract Process
(continued)**

- g. Equipment that is relatively new technology.
- 2. Service contracts are not generally established for the following:
 - a. Equipment routinely serviced and maintained by Facilities Maintenance and Engineering (FME);
 - b. Equipment that has identical types in the same area (i.e., redundant equipment available);
 - c. Equipment with solid low-maintenance histories;
 - d. Equipment that can be maintained in a timely and economical fashion by local vendors;
 - e. Equipment that is low-cost and more easily replaced than maintained.

B. End User's Responsibilities

- 1. New contracts and additions
Using the "Service Contract Addition" form (download at <http://web.ncifcrf.gov/campus/als/sca>), the end user provides all applicable information necessary to establish a service contract (i.e., description, model, serial number, property decal number, location, contact name, responsible project/center number, desired start date and any other pertinent information sent to the end user by the vendor. Information on any modular attachments or accessories is also required).
- 2. Cancellations
 - a. The end user notifies EM when equipment on the service contract is to be transferred to surplus, scrapped, relocated to another facility or project, or the service contract is no longer required.
 - b. Written notification should include property decal number, description, model, serial number, location, and desired cancellation date. When possible, notice should precede the desired cancellation date by 30 days.
- 3. Active service contract
 - a. The end user furnishes to EM copies of all service reports provided by the vendor upon completion of any service/maintenance.
 - b. The end user provides written documentation of any vendor performance issues and any other information pertinent to equipment status (i.e., change in location; change in contact; change in center number, etc.).

C. Equipment Maintenance's (EM's) Responsibilities

- 1. Establishing or adding to a service contract

Number/Title: **D302/Scientific and Support Equipment Service Contract Process**
(continued)

- a. Using information provided by the end user, EM generates a service contract work order, prepares a purchase request (PR), and forwards to the service contract buyer (SCB) for appropriate action.
 - b. EM checks the status of the request with the SCB within 2 working days of the initial request (if the Purchasing Department has not already advised) and then periodically thereafter, but in no event shall the request extend beyond a 5-working-day period without action.
 - c. EM notifies the end user, via e-mail, when the requested action is complete.
2. Cancellations
- a. Upon receipt of written notification by the end user, EM submits a cancellation request (via e-mail) to the SCB the requested action.
 - b. EM checks the status of the request with the SCB within 2 working days of the initial request (if the Purchasing Department has not already advised) and then periodically thereafter, but in no event shall the cancellation request extend beyond a 5-working-day period without action.
 - c. EM notifies the end user (via e-mail) when the requested action is complete.
3. Active Service Contact
- a. EM is responsible for monitoring changes provided by the end user or vendor to service contract equipment covered under a service contract and ensuring that EM databases are updated.
 - b. The end user must still follow Property Management policies and procedures for tracking equipment.
 - c. EM maintains proper documentation of vendor performance as it relates to meeting specifications of the service contract to include preventive maintenance (PM) visits, response time, and quality of work. This responsibility includes notifying end users of any changes in equipment status provided by the vendor (i.e., equipment no longer covered or obsolete, or equipment that is beyond its documented useful life, and coverage under a service contract would no longer be financially advisable).
 - d. EM also provides written notification to the SCB of any vendor violation of the service contract.
 - e. Monthly, EM provides to the appropriate contact person a list of equipment that will expire in approximately 90 days. Response from the contact person will be expected within 30 days. No response will initiate automatic renewal.

D. The SCB's Responsibilities

- a. The SCB promptly processes all requested actions.

Number/Title: **D302/Scientific and Support Equipment Service Contract Process**
(continued)

- b. The SCB provides status to EM of service contract addition, deletion, or change requests within 2 working days, but in no event shall request extend beyond a 5-working-day period without action.
- c. Upon completion of the requested action, the SCB provides a copy of the purchase order, signed solicitation, and all other pertinent paperwork for the service contract to EM.

VI. Attachments

(NONE)

VII. Records

The ALS Purchasing Services Group will maintain all records.

STANDARD PROCESS

Section D: Acquisition and Logistical Services (ALS)/Purchasing

Number/Title: **D303/Request for Vendor Service on Equipment**

Date Issued:

Revision:

SP Contact: Scientific Equipment Support Specialist, Purchasing Services Group,
ALS, 301-846-1127

I. Purpose

This Standard Process (SP) provides guidelines for obtaining service on equipment from an outside vendor. This process will help to maintain effective communications between all parties involved (end user, vendor, Property and Equipment Maintenance [EM]) and to ensure proper documentation of all transactions.

II. References

Request for Vendor Service (RVS), accessible at:
<http://web.ncifcrf.gov/campus/als/RequestVendor/>

III. Definitions

EM: Equipment Maintenance

RVS: Request for Vendor Service

IV. Scope

This SP is for equipment that is the property of NCI-Frederick, SAIC-Frederick, Inc. The “Request for Vendor Service” (RVS) form is used for time and material repairs, service contract service and repairs, and warranty service and repairs from outside vendors.

V. Processes/Guidelines

Vendor Service on Equipment

1. The requester completes an RVS form online at <http://web.ncifcrf.gov/campus/als/RequestVendor/>.
2. After completing the RVS form, the requester clicks on the “Make Printable” button and faxes the signed and completed form to EM.
3. The requester must complete the Work Authorization Tag section.
4. EM will contact the vendor to perform the service or repair needed.
5. Upon completion of the requested service or repair, the requester signs the vendor’s service report. The requester then forwards it to EM (Building 1050).

VI. Attachments

(NONE)

VII. Records

The ALS Purchasing Services Group will maintain all records.

STANDARD PROCESS

Section D: Acquisition and Logistical Services (ALS)/Logistics Support
Number/Title: **D401/Outbound Shipment, Request**
Date Issued: June 2006
Revision: April 2008
SP Contact: Supervisor, Transportation (LSD), 301-846-1175

I. Purpose

This Standard Process (SP) defines the process for submitting a request to provide local, domestic, and international express delivery service for shipments of hazardous and non-hazardous materials and equipment.

II. References

Policy and Procedure No. 204, Mail Correspondence

“Request for Shipment” form, accessible at: <http://web.ncifcrf.gov/campus/safety/wizard/>

“Request for Vendor Service” form, accessible at: <http://web.ncifcrf.gov/campus/als/RequestVendor/>

Permitting Process: accessible at: http://www.aphis.usda.gov/permits/brs_epermits.shtml

Policy and Procedure No. 702, Packaging and Shipping

III. Definitions

Authorizing official: Individual responsible for reviewing and authorizing/committing for the program.

Biological Product: A biological product is a substance derived from a living organism and used for the prevention or treatment of a disease. Biological products are usually too complex for chemical synthesis. These products include antitoxins, bacterial and viral vaccines, blood products, and hormone extracts.

Collaborative agreement: Collaboration with a non-NCI-Frederick investigator

CRADA: Cooperative Research and Development Agreement

Domestic shipments: Shipments within the contiguous United States (CONUS), Alaska, Hawaii, and Puerto Rico. Ground and/or air transport.

EHS: Environmental, Health, and Safety Program

Export administrator: Individual responsible for ensuring that SAIC-Frederick, Inc. complies with government export regulations and corporate policies and procedures.

Fiscal approval: Individual assigned to administer finances for the program.

Hand carry/Local courier: Courier service to the D.C. metropolitan area. Same-day service.

International shipments: Shipments outside the United States. Air and/or ship transport.

Prime contract: Part of Statement of Work

Shipping insurance: Rate charged to protect or insure reimbursement for loss of products. The highest insurance allowed by most freight forwarders is \$50,000.

Shipping method: Freight forwarders that are utilized

Shipping payment:

- Prepaid – Cost center number is required.
- Collect – Account number of the company that is paying must be provided.
- Other – This is a third-party payment, which still requires an account number.

SP: Standard Process

Subcontract: Contractual agreement with another agency, institute, or private firm

Time-sensitive material: Material that is perishable, live animals, and correspondence that is time critical.

Value of material/equipment: Total acquisition or cost to manufacture/produce.

IV. Scope

This SP covers the process for submitting a request to ship hazardous and nonhazardous materials and equipment from NCI-Frederick. All requests are reviewed by the Environmental, Health, and Safety Program (EHS) and/or the Transportation Department to ensure NCI-Frederick is in compliance with applicable regulations.

V. Processes/Guidelines

- A.** Requests for shipments are initiated by submitting a “Request for Shipment” via the Web site: <http://web/campus/safety/wizard/>. *This online form is mandatory for the shipment of all materials.*
- B.** Any NCI-Frederick employee can initiate a request for shipment; however, authorizing official and fiscal approvals are required upon submittal. For shipments that are anticipated to exceed the micro-purchase threshold (\$3,000), competitive quotes will be obtained. All costs exceeding the micro-purchase threshold will require notification and approval from the program. In some instances where availability or other factors (i.e., temperature monitoring, etc.) are more important than price, the award can be made to other than the lowest bidder, with the approval of the program.
- C.** The requestor should submit this form 24 hours prior to date of shipment for domestic packages and 1 week (5 business days) prior to ship date of international shipments.
- D. The “Request for Shipment” form is completed as follows:**
 1. The NCI-Frederick Shipping Wizard application will guide you through the process of requesting a shipment. Section 1 of the form is also the section for selecting local courier services for material that is to be hand carried (same-day pickup and delivery service) by the local couriers.
 2. Section 2 asks for the pertinent information about the material you are requesting to ship. Here you must select the applicable category (ies) of your material (Printed, Chemical, Biological, Radioactive, Equipment, Empty Box, Mice, Lab/Office Supplies, etc.) and indicate the value of the material. Also, select shipping insurance, if applicable, and include the insurance amount.

3. In accordance to the selection of material that is made in step 2, the system will further direct you:
 - a. For shipments of chemical, biological, or radioactive materials, the system will require detailed information on the material, which will be cleared through EHS and the Contract Management Office Export Administrator. You must indicate the reason for shipment, i.e., prime contract, CRADA, collaborative agreement, or subcontract. Also, if the information is time sensitive, you must indicate the number of days the product will last while in transit, or provide a desired date for delivery.

Equipment that is being shipped outside the United States must be cleared through Property Accountability. To ensure compliance with export regulations, Shipping and Property Accountability in conjunction with the Export Administrator, will check all equipment being shipped outside of the United States against the Department of Commerce, Export Administration Regulations, Commerce Control List and the government's denied persons, entities and countries list, using the MK Data's Denial List database.
 - b. For shipments of chemical, biological, or radioactive materials, the system will require detailed information on the material, which will be cleared through EHS and Export Controls. You must indicate the reason for shipment, i.e., prime contract, CRADA, collaborative agreement, or subcontract. Also, if the information is time sensitive, you must indicate the number of days the product will last while in transit, or provide a desired date for delivery.
 - c. For shipments of equipment that is being shipped out for return, repair, or servicing, the system will require the completion of both the "Request for Vendor Service" form (<http://web.ncifcrf.gov/campus/als/RequestVendor/>) and the "Request for Shipment" form (<http://web.ncifcrf.gov/campus/safety/wizard/>).
 - d. For the category of Lab/Office Supplies, you are required to make a detailed listing of each item, and fax the listing with your submitted request.
 - e. For shipments of substances that would, or could, be harmful to human, plant, or animal life, or to the environment, the system requires information regarding the required permits. Inspectors representing the various government agencies at ports of entry will halt the importation of any of these possibly harmful items unless proper permits accompany the packages. Investigators are required to make all arrangements for acquiring permits, and the associated fees. Employees at NCI-Frederick can contact Theresa Bell, 301-846-1451, for assistance.

E. Local Courier Service

This is a same-day, pickup and delivery service that can be initiated by using the "Request for Shipment" form. The request must be received by 10:30 a.m. on the day that the service is required. The local delivery service covers Frederick and the D.C.

Number/Title: **D401/Outbound Shipment, Request (continued)**

metropolitan area (Rockville, the NIH campus, Naval Medical Center, Uniformed Services, etc.). All requests must be submitted through the on-line "Request for Shipment" form.

F. Special Couriers

Special couriers can be used if the in-house courier is missed, or if there are special needs (i.e., time-sensitive materials, animal deliveries, etc.) The Transportation Department will choose the most expedient and least expensive vendor available to make the required delivery. The courier will usually pick up the product within 30 minutes of being contracted, and will make the delivery within 45 to 60 minutes, depending on the distance to be traveled. This service is charged to the requester's center number. All shipments must go through the on-line system and be classified and/or approved by EHS prior to the courier being called, and all special instructions must be noted on the request. Shipments that are hazardous will be picked up and packaged by ALS.

VI. Attachments

(NONE)

VII. Records

The Transportation Department will maintain records for all shipments (both Hazardous and Non-Hazardous).

EHS will maintain records for all hazardous materials shipments.

STANDARD PROCESS

Section D: Acquisition and Logistical Services (ALS)/Logistics Support

Number/Title: **D402/Central Supply, Material Requisition**

Date Issued: June 2006

Revision:

SP Contact: Supervisor, Consolidated Warehouse, 301-846-1082

I. Purpose

This Standard Process (SP) defines the process for submitting a request for materials and supplies from the Central Supply Warehouse (CSW).

II. References

Policy and Procedure No. 656, Tax-Free Alcohol

CSW on-line ordering system, accessible at: http://web.ncifcrf.gov/campus/als/supply-catalog/order_system/login.asp

“Warehouse Supply Requisition” form, accessible at: <http://web.ncifcrf.gov/campus/als/downloads/requisition.pdf>

III. Definitions

CSW: Central Supply Warehouse

EHS: Environmental, Health, and Safety program

SP: Standard Process

Standing order: Specific items and quantity requested for delivery on a specific day for a specific time frame

IV. Scope

The CSW stocks items (see listing of items in on-line catalog, at: <http://web/campus/als/supply-catalog/default.asp>) used routinely by NCI-Frederick personnel and delivers them as indicated on the requisition. This standard procedure applies to all NCI-Frederick employees requesting consumables (material and/or supplies) from the CSW. The requisition of materials from the CSW is vital to the operation of the NCI-Frederick facility. By supplying a wide range of scientific, janitorial, and laboratory products, valuable laboratory space savings and reductions in material/freight costs and delivery time are afforded the NCI-Frederick.

V. Processes/Guidelines

A. Supplies can be ordered from the CSW by using the following methods:

1. The on-line ordering system, at: http://web.ncifcrf.gov/campus/als/supply-catalog/order_system/login.asp.
2. A “Warehouse Supply Requisition” form (accessible at: <http://web.ncifcrf.gov/campus/als/downloads/requisition.pdf>), which can be obtained from the CSW, may be submitted via interoffice mail, facsimile (301-846-7619), or hand carried.

Number/Title: **D402/Central Supply, Material Requisition (continued)**

(Hand-carried requisitions [with correct authorization] may be brought to the CSW [Building 1050] and will be filled between the hours of 7:00 a.m. and 4:00 p.m., Monday through Friday. Applicable center number[s] must be entered on all requisitions.)

- B.** Items ordered through the CSW will be delivered within 24 hours. Requests for delivery of liquid nitrogen and compressed gases (carbon dioxide and nitrogen) may be made by calling 301-846-1176, twenty-four (24) hours in advance of requirement.
- C.** Standing orders established for dry ice are delivered on Monday and Thursday of each week.
- D.** Requests for “controlled/sensitive” materials (needles, syringes, alcohol, and Iso flo) are delivered on Fridays only. Orders for alcohol are restricted, and require investigator and Environmental, Health, and Safety program (EHS)-approved individuals to order and sign for receipt (see *Policy and Procedure* No. 656, Tax-Free Alcohol). A listing of investigators and alternates who are authorized to receive tax-free alcohol is maintained in the CSW. *Controlled/sensitive materials cannot be combined with other supplies.*
- E.** If an item is temporarily out of stock, it will be back-ordered and delivered when it is received. Items that are placed on back-order are noted on each copy of the requisition.
- F.** Items that are returned to the warehouse will be credited to the cost center, providing the material is unopened in the original container, has not exceeded the expiration date, and is still a stocked item.
- G.** Items purchased from sources other than the warehouse may not be returned to the warehouse for credit. However, they may be turned in as excess.

VI. Attachments

(NONE)

VII. Records

All requisitioning records are maintained by the CSW.

STANDARD PROCESS

Section D: Acquisition and Logistical Services (ALS)/Logistics Support

Number/Title: **D403/Mail Stops: Creating, Changing, and Closing**

Date Issued: June 2006

Revision:

SP Contact: Supervisor, Transportation (LSD), 301-846-1175

I. Purpose

This Standard Process (SP) defines the process for creating and closing mail stops, as mail stops (pickup and delivery points) need to be kept to a minimum consistent with operational ability. Personnel should request a single mail stop to support multiple offices within the same building and located on the same floor.

II. References

Mailroom Frequently Asked Questions (FAQ), accessible at: <http://web/campus/als/faq.stm#mailroom>

III. Definitions

ALS: Acquisition and Logistical Services

FAQ: Frequently Asked Questions

LSD: Logistics Support Department

SP: Standard Process

IV. Scope

This SP covers the process for opening, changing, and closing mail stops at NCI-Frederick.

V. Processes/Guidelines

A. Opening Mail Stops

Personnel are required to submit requests for new mail stops. Requests shall be submitted to the Mail and Transportation Department by telephone (301-846-1175), or memorandum (which can be faxed to 301-846-6971). Request should include the names of personnel occupying the space, number of internal distributions required, building, room, point of contact, phone number, and start-up date.

B. Relocation

In order to sustain accurate and expeditious mail delivery services, personnel must notify the Mail and Transportation Department in writing as soon as possible of their pending relocation. Include in this notification when mail delivery should be stopped at the old location and started at the new location.

C. Closing Mail Stops

Personnel are required to notify the Mail and Transportation Department when a mail stop is no longer needed. This notification must be in writing (via memorandum or e-mail) and include the date to cancel deliveries to the mail stop.

Number/Title: **D403/Mail Stops: Creating, Changing, and Closing (continued)**

VI. Attachments

(NONE)

VII. Records

Records will be maintained by the Mail and Transportation Department.

STANDARD PROCESS

Section D: Acquisition and Logistical Services (ALS)/Logistics Support
Number/Title: **D404/Property Control Officer (PCO), Responsibilities and Process**
Date Issued: June 2006
Revision:
SP Contact: Supervisor, Property Accountability, C&A, 301-846-5822

I. Purpose

This Standard Process (SP) defines the responsibilities and process associated with the Property Control Officer (PCO). The PCO is an individual designated by his/her program area to be responsible for the day-to-day custody, use, care, and safekeeping of property that is assigned to his/her program area's center number(s). This individual is the liaison, working with the Property Accountability Office (PAO) to ensure all government property is accounted for and records are accurate.

II. References

Policy and Procedure No. 405, Property Accountability System

Policy and Procedure No. 405.1, Property Control System

Policy and Procedure No. 704, Temporary Loan of Government-Owned Property to FCRDC Employees

“Property Pass (Non-Renewable)” form, accessible at: <http://web.ncifcrf.gov/campus/als/downloads/pass.pdf>

Property Control Officer Listing of Responsibilities and Procedures, accessible at : <http://web.ncifcrf.gov/campus/als/downloads/PCORP.pdf>

“Request for Property Transfer” form, accessible at: <http://web.ncifcrf.gov/campus/als/downloads/transfer.pdf>

“Temporary Loan Document” form, accessible at: <http://web.ncifcrf.gov/campus/als/downloads/loan.pdf>

III. Definitions

DHHS: Department of Health and Human Services

NCI-Frederick Government Property Office: The office headed by the NCI-Frederick government property administrator responsible for oversight of government property under the accountability care and control of the OTS Contractor. Responsibilities include:

(1) administration of the contract requirements and obligations related to government property furnished to or acquired by the OTS Contractor, and of all property administrative functions from acquisition of the property to final disposition; (2) coordination of property issues with the government project officer and Contracting Office; (3) review and approval of the property control system and notification of the OTS Contractor when the property control system does not meet DHHS requirements.

PCO (Property control officer): An employee appointed by the program area who is responsible for the day-to-day custody, use, care, and safekeeping of all property assigned

Number/Title: **D404/Property Control Officer (PCO), Responsibilities and Process**
(continued)

to his/her program area's center number(s). Responsibilities include reporting to the PAO any changes to the records regarding acquisitions, transfers, disposal, etc., affecting property under his/her center number(s).

PAO (Property Accountability Office): A department within the Operation and Technical Support Contractor Logistics Support functional area, responsible for the management, coordination, and administration of activities concerned with planning property requirements; the acquisition, receipt, storage and distribution, utilization, care, and disposition of property; and property accountability controls.

SP: Standard Process

IV. Scope

Property Control Officer procedures apply to all NCI-Frederick PCOs.

V. Processes/Guidelines

- A.** The PCO is responsible and accountable for all government-owned property assigned to his/her center number(s). This person will be responsible for:
1. Acting as liaison and coordinating all property matters with the PAO;
 2. Completing proper transfer forms when property is transferred;
 3. Advising the PAO of contemplated property transactions, shortages, and overages, and of loss, damage, or destruction of property;
 4. Ensuring that property is maintained in good condition; that due respect is exercised for the care, preservation, and utilization of property; and that property is used for performance of NCI-Frederick work;
 5. Recording all temporary loans; maintaining a copy of each approved "Property Pass" and "Temporary Loan Document"; recording return of loaned equipment after verifying condition status; notifying PAO of return of loaned equipment if on property pass; if on temporary loan, signing document to certify return of loaned equipment to NCI-Frederick;
 6. Providing assistance to the PAO regarding property matters;
 7. Maintaining up-to-date records so that the status of the property can be located and identified at any stage of the contract; and
 8. Ensuring that unused equipment is not left in hallways and receiving areas. These items are to be turned over to the PAO.
- B.** Biennial physical inventories will be conducted by the PAO, with coordination/assistance by the PCO. If items of equipment are not located (both at the time of physical inventory and at other times), the PCO will:
1. Thoroughly search the area; and
 2. If not located, report the missing items to Protective Services and the PAO.

**Number/Title: D404/Property Control Officer (PCO), Responsibilities and Process
(continued)**

Items that are no longer required for use in the respective laboratory/office are to be reported to the PCO and turned in to the PAO. To accomplish this, the PCO completes and forwards a “Request for Property Transfer” form (<http://web.ncifcrf.gov/campus/als/downloads/transfer.pdf>) to the PAO. In turn, the PAO will take the required action to have the property removed from the area and will update the property accountability listing to reflect same.

VI. Attachments

(NONE)

VII. Records

All property accountability records are maintained by the PAO.

STANDARD PROCESS

Section D: Acquisition and Logistical Services (ALS)/Logistics Support

Number/Title: **D405/Property Transfer Process**

Date Issued: June 2006

Revision:

SP Contact: Supervisor, Property Accountability, C&A, 301-846-5822

I. Purpose

This Standard Process (SP) defines the process for transferring government property. Transfer of property ensures that all items of government-owned accountable property are properly assigned to both the correct center number and location. Records must be kept up-to-date, so that the status of the property can be seen at any stage of the contract.

II. References

“Inter-Area Transfer” form, accessible at: <http://web.ncifcrf.gov/campus/als/downloads/interarea.pdf>

“NCI-Frederick Work Authorization” form, 470-04

“Request for Property Transfer” form, accessible at: <http://web.ncifcrf.gov/campus/als/downloads/transfer.pdf>

III. Definitions

PAO (Property Accountability Office): A department within the Operation and Technical Support Contractor Logistics Support functional area, responsible for the management, coordination, and administration of activities concerned with planning property requirements; the acquisition, receipt, storage and distribution, utilization, care, and disposition of property; and property accountability controls.

SP: Standard Process

IV. Scope

Procedures for the transfer of government property apply to all NCI-Frederick employees and subcontractors of NCI-Frederick.

V. Processes/Guidelines

- A.** When an item of equipment is relocated, a “Request for Property Transfer” form (transfer form) must be completed and forwarded to the Property Accountability Office (PAO). The form must be submitted prior to the physical relocating of the equipment.
- B.** If the item has been used in a laboratory environment, an “NCI-Frederick Work Authorization” form (decontamination tag) must be filled out and forwarded, along with the transfer form. Equipment used in a laboratory environment will not be relocated without a decontamination tag.
- C.** If the item is to remain with the same center number, an “Inter-Area Transfer” form may be used. If there is a change to the center number or the item is being sent to surplus, the standard transfer form must be used.

Number/Title: **D405/Property Transfer Process (continued)**

D. All transfer forms are to be forwarded to the PAO, Building 1050, Room 126. Property records are updated after the item is relocated.

VI. Attachments

(NONE)

VII. Records

All property accountability records are maintained by the PAO.

STANDARD PROCESS

Section D: Acquisition and Logistical Services (ALS)/Logistics Support
Number/Title: **D406/Use of Fleet Government-Owned or -Leased Vehicles**
Date Issued: February 2007
Revision:
SP Contact: Coordinator, Vehicle Fleet Operations, 301-846-5512

I. Purpose

This Standard Process (SP) provides the policy of SAIC-Frederick, Inc., at the National Cancer Institute at Frederick (NCI-Frederick) to ensure that government-owned or -leased vehicles are safely and properly operated by authorized drivers at all times. This SP creates a system of accountability for all employees entrusted with the serious responsibility of operating government vehicles.

II. References

“Motor Vehicle Trip Ticket” form, 853-06, accessible at: <http://web.ncifcrf.gov/campus/als/downloads/MV-trip.pdf>

“Fuel Consumption” form, 854-06, accessible at: <http://web.ncifcrf.gov/campus/als/downloads/MV-fuel.pdf>

“Driving Record Verification: Primary Drivers Only” form, 855-06, accessible at: <http://web.ncifcrf.gov/campus/als/downloads/MV-record.pdf>

III. Definitions

Demerit points: Accumulated for infractions of state driving regulations.

Government vehicle: A motor vehicle which is owned, leased, or rented by or on behalf of the government and which requires a valid driver’s license to operate, including those which are driven only on Fort Detrick property.

Occasional drivers: Employees who are permitted to use government vehicles as part of non-essential job duties or to attend training, seminars, or NCI-sponsored or -approved meetings.

Primary drivers: Employees whose positions require them to operate government vehicles on a daily or weekly basis, as an essential function.

SP: Standard Process

IV. Scope

This SP applies to all SAIC-Frederick, Inc., contractor employees at NCI-Frederick.

V. Processes/Guidelines

A. As a driver, you must:

1. Ensure that a completed Trip Ticket is placed in the vehicle when the vehicle is in use and that you send the ticket to Fleet Services at the end of each week (primary drivers) or at the end of each trip (occasional drivers).

Number/Title: **D406/Use of Fleet Government-Owned or -Leased Vehicles**
(continued)

2. Become familiar with the operational and safety controls of the vehicle prior to driving and review the accident and insurance information available in the glove compartment.
3. Ensure you have read and know the basic operating, service, and emergency procedures in the *Government Vehicle Operator's Guide* located in each government vehicle.
4. Maintain and carry at all times, while operating a government vehicle, a valid driver's license issued by the state in which you currently reside.
5. Obey all laws pertaining to use and operation of a motor vehicle; drivers are responsible for traffic and parking violations they incur.
6. Avoid using cellular phones while driving; use of cell phones is prohibited on Fort Detrick property while operating a motor vehicle.
7. Avoid eating, drinking (water is permitted), or using tobacco in the vehicle.
8. Avoid driving while under the influence of alcohol.
9. Avoid driving while on medically authorized prescription drugs that may impair physical coordination and ability to operate a motor vehicle.
10. Transport only passengers having legitimate company business.
11. Do not use government vehicles for transportation between home and your place of work.
12. Use government vehicles strictly for official government business only.
13. Make sure that you and your passengers use seat belts and shoulder straps when riding in government vehicles.
14. Turn off and lock the vehicle whenever it is unattended.
15. Notify Fleet Services of any need for vehicle maintenance or repair.
16. **Immediately notify your supervisor and Fleet Services of any damage to a vehicle, no matter how minor.**
17. Complete a Fuel Consumption Log after fuel is purchased and send the log to Fleet Services at the end of each week (primary drivers) or at the end of each trip (occasional drivers).

B. As a primary driver, you must:

Immediately (within 24 hours) notify your supervisor of any citation received, at any time, **regardless of the ownership of the vehicle being driven, and whether this citation is received on work time or personal time.**

Number/Title: **D406/Use of Fleet Government-Owned or -Leased Vehicles**
(continued)

C. As an occasional driver, you must:

Immediately (within 24 hours) notify your supervisor of any citation received while operating a government vehicle, and any citation received which will result in eight demerit points, **regardless of the ownership of the vehicle being driven, and whether this citation is received on work time or personal time.**

D. Supervisory staff must:

1. Ensure reporting of incidents to Fleet Services.
2. Follow procedures as described in Section A (Items 15, 16, and 17) and Section G (Items 1a through 1d).

E. Employee driving records and classification of citations—demerit points

1. Fleet Services will maintain a database of authorized drivers and associated records.
2. Each state jurisdiction maintains a driving record for persons licensed in that state. While such records note accumulated demerit points for convicted infractions of state driving regulations, there is no uniformity in the allocation of demerit points across states. For this reason, the following table will be used to determine employee suitability for operating a government vehicle on company business.

CITATION	DEMERIT POINTS
Moving violations (including speeding 10 MPH or less over limit)	1
Moving violations (including speeding greater than 10 MPH over limit)	2
At-fault accident—single vehicle/minor property damage only	3
At-fault accident—multiple vehicle/property damage and/or personal injury	6
Driving with reckless regard	6
DUI/DWI (alcohol or drugs)	8
Refusing an alcohol test	8
Failure to stop for an accident (leaving the scene)	8
Operating vehicle after license denied/revoked/suspended	8
Evading arrest	8
Other serious violations as determined by management	8

F. Pre-employment standards—primary drivers

1. The hiring manager will identify driving requirements for all personnel requisitions. Before hiring, the Human Resources Department will request from each candidate a current (no more than 30 days old) state-issued driving record covering the previous 36 months.

Number/Title: **D406/Use of Fleet Government-Owned or -Leased Vehicles**
(continued)

2. Before any offer of employment is made, the following minimum standards must be met:
 - a. For each class of vehicle to be operated on company business, the candidate must possess a current driver's license issued by the state in which the candidate currently resides.
 - b. The candidate must have received no more than three demerit points in the previous 12 months or five demerit points in the preceding 36 months.

G. Minimum standards and requirements

1. Primary drivers—Annual validation of driving records
 - a. Annually, you will complete and sign a Driving Record Verification Form (<http://web.ncifcrf.gov/campus/als/downloads/MV-record.pdf>) and provide it to your supervisor, along with a current (no more than 30 days old) state-issued driving record covering the previous 36 months. This report may also be obtained by Fleet Services. You will be reimbursed for the cost of obtaining the driving record, upon provision of an MVD receipt submitted to Fleet Services.
 - b. Your supervisor will conduct a visual examination of your driver's license to confirm that the date is valid, that the license endorses each vehicle class you are required to operate on company business, and that the license was issued by the state in which you currently reside.
 - c. You and your supervisor shall discuss in detail each of the items on the Driving Record Verification Form.
 - d. Your supervisor will forward the completed and signed Driving Record Verification Form and state-issued driving record to Fleet Services.
2. Disciplinary action for failure to maintain minimum standards
 - a. If you accumulate four or more demerit points in a 12-month period or six or more demerit points in a 36-month period, your driving privileges will be suspended until such time that the minimum standards are met. Reasonable efforts will be made to accommodate the driving restriction during the suspension period. If, however, the driving restriction cannot be accommodated, you may be laid off, subject to a 60-day notice period. If you are unsuccessful in securing an alternate position that does not include a driving requirement, termination may occur.
 - b. If you accumulate eight or more points in a 36-month period, you will be laid off, subject to a 60-day notice period. If you are unsuccessful in securing an alternate position that does not include a driving requirement, termination may occur.

Number/Title: **D406/Use of Fleet Government-Owned or -Leased Vehicles**
(continued)

3. Occasional drivers—Validation of driver’s license
 - a. Fleet Services must verify that you possess a current driver’s license issued by the state in which you currently reside for each class of vehicle to be operated on company business before you can operate a government vehicle for the first time.
 - b. As an occasional driver, you must maintain a valid state-issued driver’s license. Any incident which changes this status must be immediately reported to your supervisor and Fleet Services. Driving privileges may be suspended as a result of certain moving violations.

H. Violations

Suspension of driving privileges and/or disciplinary action, up to and including termination of employment, may occur as a result of violations of this policy and procedure.

VI. Attachments

(NONE)

VII. Records

Fleet Services maintains all records.

Section E: Environment, Health, and Safety (EHS)

STANDARD PROCESS

Section E: Environment, Health, and Safety (EHS)/Environmental Protection
Number/Title: **E301/Application for a Radiation Program at NCI-Frederick**
Date Issued: November 2003
Revision:
SP Contact: Radiation Safety Officer, EHS, 301-846-1902

I. Purpose

This Standard Process (SP) establishes the format, process, and assignment of responsibility for the creation of a new radiological program at the NCI-Frederick. SPs define the responsibilities and methodology for planning, organizing, performing, reporting, and controlling activities in a consistent, timely, and high-quality manner in accordance with identified requirements..

II. References

NCI-Frederick *Radiological Safety Manual*, <http://home.ncifcrf.gov/ehs/uploadedFiles/RadiationManual.pdf>

NCI-Frederick “Radiological Isotope Program Application,” http://home.ncifcrf.gov/ehs/uploadedFiles/Radiological_Program_Application.pdf

NCI-Frederick “Radiological Training and Experience” form, http://home.ncifcrf.gov/ehs/uploadedFiles/Radiological_Training_and_Experience.pdf

NCI-Frederick “Radiation Safety Program for New Users,” <http://home.ncifcrf.gov/ehs/ehs.asp?id=56>

Code of Federal Regulations (10 CFR 19)

Current Nuclear Regulatory Commission Broad-Scope License

III. Definitions

EHS: Environment, Health, and Safety

Radiological principal investigator (PI): Individual directly responsible for a specific project under an approved radiological program issued in writing by the NCI-Frederick

Radiation Safety Committee: Committee established by the PI, SAIC-Frederick, Inc., to ensure that all sources of ionizing radiation at NCI-Frederick are used safely and in compliance with all applicable regulations, and to direct the operation of the Radiation Safety Office. Reports to the PI, SAIC-Frederick, Inc.

Radiation safety officer (RSO): The operational agent of the Radiation Safety Committee; functions under the technical direction of the Radiation Safety Committee

SP: Standard Process

IV. Scope

This SP applies to all individuals applying for a radiological program at the National Cancer Institute at Frederick.

V. Processes/Guidelines**A. Step One: Package preparation**

The proposed radiological principal investigator (PI) prepares a radiological program application package as follows:

1. Complete “Radiological Program Application.” The form is located at http://home.ncifcrf.gov/ehs/uploadedFiles/Radiological_Program_Application.pdf.
2. Fill out “Radiological Training and Experience” form for each proposed radiation worker (including the proposed radiation program PI) wishing to manipulate radioactive material at NCI-Frederick. This form is located at http://home.ncifcrf.gov/ehs/uploadedFiles/Radiological_Training_and_Experience.pdf.
3. Ensure that each proposed radiation worker (including the PI) completes NCI-Frederick Radiation Safety Training for New Users (a self-paced computer-based training program). This training is located at <http://home.ncifcrf.gov/ehs/ehs.asp?id=56>.

The NCI-Frederick Radiation Safety Office will verify completion of the training via online tracking.

4. Attach copies of all Radiological Protocols to the application.

B. Step Two: Package submittal

The applicant should submit the entire radiological program application package (the completed “Radiological Program Application”; the completed “Training and Experience” forms; and copies of all Radiological Protocols) to the NCI-Frederick radiation safety officer (RSO), Building 426. The RSO will verify completion of the Radiation Safety Training for New Users once the application package has been received.

C. Step Three: Review process

Once the radiation safety officer (RSO) has reviewed and approved the application package, it will be forwarded to the NCI-Frederick Radiation Safety Committee for final approval.

D. Step Four: Approval

If the proposed radiological program is approved, the respective PI will be notified by confirmatory memo from the NCI-Frederick Radiation Safety Committee. The approval process may take several weeks—please plan accordingly.

VI. Attachments

(NONE)

VII. Records

The Environment, Health, and Safety (EHS)/Records Management Office maintains records; retention of records is term of license/employment plus 30 years.

STANDARD PROCESS

Section E: Environment, Health, and Safety
Number/Title: **E302/Enrolling Employees in the Respiratory Protection Program**
Date Issued: November 2003
Revision:
SP Contact: Manager, Occupational Safety, EHS, 301-846-1906

I. Purpose

This Standard Process (SP) establishes the format, process, and assignment of responsibility for enrolling employees on the Respiratory Protection Program (RPP) at NCI-Frederick. SPs define the responsibilities and methodology for planning, organizing, performing, reporting, and controlling activities in a consistent, timely, and quality manner in accordance with identified requirements.

II. References

http://home.ncifcrf.gov/ehs/uploadedFiles/C-11_Respiratory_Protection.pdf
<http://home.ncifcrf.gov/ehs/uploadedFiles/Request%20for%20surveillance.pdf>
<http://home.ncifcrf.gov/ehs/uploadedFiles/Removal%20from%20RPP.pdf>
29 CFR 1910.134

III. Definitions

EHS: Environment, Health, and Safety

OHS: Occupational Health Services

OSHA: Occupational Safety & Health Administration

RPP: Respiratory Protection Program

SP: Standard Process

Supervisor: The individual responsible for requesting a hazard assessment for a laboratory

IV. Scope

This SP applies to all employees identified as requiring enrollment on an RPP at the National Cancer Institute at Frederick.

V. Processes/Guidelines

A. Enrollment into the Respiratory Protection Program

Step One: Request for respiratory protection surveillance

1. The supervisor completes the “Request for Respiratory Protection Surveillance Program” form for each employee the supervisor feels should be protected. The form is located on the Environment, Health, and Safety (EHS) Web site at <http://home.ncifcrf.gov/ehs/uploadedFiles/Request%20for%20surveillance.pdf>.
2. The supervisor forwards the completed form to EHS.

Number/Title: **E302/Enrolling Employees in the Respiratory Protection Program
(continued)**

Step Two: EHS evaluation

1. Once EHS receives the request form, a hazard assessment will be conducted, which includes a review of work site controls and the severity of the respiratory hazards to which the employees are exposed.
2. If EHS determines respiratory protection is required, Occupational Health Services (OHS) will schedule a medical evaluation.

Step Three: Medical evaluation

1. During the medical evaluation, OHS will review a respiratory protection questionnaire with the employee.
2. If OHS gives medical clearance, EHS will draft a memo to the area supervisor with the recommended brand and type of respirator for the employee. It is the responsibility of the employee's department to order and purchase respiratory protection equipment.
3. The employee is scheduled for initial respirator training and a respirator fit-test.

Step Four: Fit-test

1. At the fit-testing appointment, the employee will be tested with the same brand, size, and model of respirator to be used in the workplace.
2. It is an Occupational Safety & Health Administration (OSHA) requirement that each employee placed on the Respiratory Protection Program must complete annual respirator training and fit-testing.

Note: All steps are required before the employee is issued a respirator.

B. Removal from the Respiratory Protection Program

Step One: Request for removal

The supervisor completes the "Request for Removal from Respiratory Program" form for all employees the supervisor feels should be removed. The form is located on the EHS Web site at <http://home.ncifcrf.gov/ehs/uploadedFiles/Removal%20from%20RPP.pdf>.

Step Two: EHS evaluation

1. Once EHS receives the removal form, a hazard assessment will be conducted to determine if the working conditions have changed sufficiently to remove an employee from the program.
2. If an employee's working status changes, the supervisor must notify EHS. (Examples of a change in work status include medical leave, termination of employment, etc.)

Step Three: Return of respirator

Once removal from the program is granted, the employee shall return his/her respirator and cartridges to EHS.

Number/Title: **E302/Enrolling Employees in the Respiratory Protection Program
(continued)**

VI. Attachments

(NONE)

VII. Records

The EHS/Records Management Office maintains records; retention of records is employment plus 30 years.

Section F: Facilities Maintenance and Engineering (FME)

STANDARD PROCESS

Section F: Facilities Maintenance and Engineering (FME)

Number/Title: **F001/Maintenance Service Requests**

Date Issued: November 2002

Revision:

SP Contact: Manager, Operations and Maintenance, FME, 301-846-1195

I. Purpose

This Standard Process (SP) clearly defines the process of submitting a planned work order (WO), also known as a maintenance service request (MSR), through the Facilities Maintenance and Engineering (FME) directorate. This standard process applies to all work that does not require immediate attention.

II. References

Facilities Maintenance and Engineering Procedure (FMEP-G-0160) further describes the requirements of this standard process. This procedure may be accessed at <http://home.ncifcrf.gov/fme/wo/http://home.ncifcrf.gov/fme/pdfs/procedures/G160/Procedures.pdf>.

III. Definitions

Conceptual approval: Authorization to proceed with design either internally or by Architectural and Engineering subcontract. For jobs estimated to be greater than \$50,000, COA is required. For jobs estimated to be less than \$50,000, the project team, with involvement of NCI representatives, has the authorization to approve performance of the work scope.

Conceptual estimate: An estimate that defines the bounding design, construction, and FME management costs to allow the program to make planning decisions or to re-scope the work based on availability of funds

COA: Contracting officer approval

Fiscal approval: Authorization to commence the construction activities described within the scope of work document. For jobs estimated to be greater than \$50,000, COA is required. For jobs estimated to be less than \$50,000, the project team, with involvement of NCI representatives, has the authorization to construct.

Fiscal estimate: An estimate prepared for activities that do not require engineering or in which required engineering has proceeded to the point that system and interface requirements have been identified

FME: Facilities Maintenance and Engineering

MSR: Maintenance service request to the FME organization to perform renovation or alteration of facilities, construction, maintenance, or repair. This request initiates the estimating and execution process used interchangeably with planned work order (see WO).

WO: Planned work order, a common term often used interchangeably with maintenance service request (see MSR)

WORM: Work Order Review Meeting

IV. Scope

This SP applies to all employees submitting requests for maintenance service.

V. Processes/Guidelines

A. Planned work orders are initiated by the issuance of the “Work Order Request” form by the directorate work order contact. Submitting a “Work Order Request” to FME is a simple 3-step process.

1. **Step One:** Identify the requester and appropriate service account.
2. **Step Two:** Identify the point of contact.
3. **Step Three:** Describe key information.

The electronic form for submitting WOs can be accessed through the NCI-Frederick Web site at <http://home.ncifcrf.gov/fme/wo/>.

- B. The directorate work order contact is responsible for submitting WOs requested by his/her directorate to FME using the electronic “Work Order Request” form. Prior to submittal to FME, all WOs should be assessed by the directorate work order contact to ensure that the requested work conforms to the directorate’s facility plan and to attain appropriate approvals within the directorate. The requesting directorate initially describes the scope of work and justification for performing the activity, and the center number to which the work will be charged.
- C. A representative from the Environment, Health, and Safety Directorate reviews the scope of work and present comments or concerns to the Directorate Support Team project manager. Safety’s input is required prior to FME disposition.
- D. The Directorate Support Team project manager is responsible for the execution of the WO and directing the project team after the WO is dispositioned at the Work Order Review Meeting (WORM).
- E. The manager of FME Project Management and Construction Support is responsible for conducting the WORM and, with input from FME Operations and Maintenance and Project Manager Support personnel, determining whether the work scope is estimated to cost less than \$50,000. This group also determines the responsible project manager and whether the work scope should be performed by in-house or subcontract personnel.
- F. The Directorate Project Team project manager is the focal point in the execution of the planned work order process. The project manager
1. is responsible for the overall activities on all phases of the project, including technical liaison on a day-to-day basis with the client and with construction.
 2. is responsible for assuring that the team understands customer requirements and priorities.
 3. After the WORM, convenes team members to clarify the scope of the WO in sufficient detail that a cost estimate can be prepared.

Number/Title: F001/Maintenance Service Requests (continued)

- G. While any NCI-Frederick employee can submit a WO request to FME, fiscal approval from an authorized party is required to fully execute the request. In many cases, the “requester” is the person with fiscal authority for this area, and another party is listed as the “contact” for the request. No work can proceed without available funding for the project. The directorate project team representative is responsible for assigning funding to the project before the work can proceed.

VI. Attachments

(NONE)

VII. Records

All planned work order/maintenance service request information is retained by FME in a project file.

STANDARD PROCESS

Section F: Facilities Maintenance and Engineering (FME)

Number/Title: **F002/Processing Trouble Calls**

Date Issued: November 2002

Revision:

SP Contact: Trouble Desk, FME, 301-846-1068

I. Purpose

This Standard Process (SP) clearly defines the process of submitting a request for response to a facility or equipment failure or concern.

II. References

Building Coordinators List, at <http://home.ncifcrf.gov/fme/coordinators.asp>
<http://home.ncifcrf.gov/fme>

III. Definitions

FME: Facilities Maintenance and Engineering

Trouble Call: A work request to repair malfunctioning equipment or correct an abnormal facility condition that requires immediate or near-term attention. Typically, this request requires only FME shop action.

IV. Scope

This SP applies to all employees requesting trouble calls.

V. Processes/Guidelines

- A. Trouble calls are initiated either by a phone call to the Facilities Maintenance and Engineering (FME) Trouble Desk at (301-846-1068) or via an e-mail to trbldesk@ncifcrf.gov. This e-mail address can be accessed through the NCI-Frederick Web site at <http://home.ncifcrf.gov/fme/>.
- B. Any NCI-Frederick employee can initiate a trouble call; however, it is recommended that the problem be coordinated with the responsible building coordinator. The requester will be asked to provide a phone number, project number (center number) to which the work is to be charged, a description of the problem, and the affected building(s) or room(s). If the problem is related to a piece of equipment, the NCI decal number must be provided.

VI. Attachments

(NONE)

VII. Records

The Trouble Desk office will maintain all trouble call records.

Section G: Advanced Technology Program (ATP)

STANDARD PROCESS

Section G: Advanced Technology Program (ATP)/Conference Center

Number/Title: **G301/Conference Center Services**

Date Issued: November 2003

Revision:

SP Contact: Assistant Manager, Conference Center, SPGM, 301-846-5865

I. Purpose

This Standard Process (SP) establishes the proper procedures and processes required to use the various functions of the Conference Center. This process addresses the criteria used to most efficiently use the center space for both the individual requester and the NCI-Frederick community as a whole.

II. References

403-91, Seminar Information Form

Policy and Procedure No. 204, Meal/Light Refreshment Reimbursement

SP B502, NCI-Frederick Meal/Light Refreshment Reimbursement Guidelines

III. Definitions

ALS: Acquisition and Logistical Services

A/V: Audio/visual

CCR: Center for Clinical Research

SP: Standard Process

VTC: Video teleconferencing

IV. Scope

This SP applies to all employees and individuals providing services in support of NCI-Frederick.

V. Procedures/Guidelines

The Conference Center staff is responsible for scheduling conference rooms A and B, the auditorium, and the Executive Boardroom in Building 549; the Café room in the cafeteria; conference room 103 in Building 426; and conference room 11-61 in Building 560.

A. Reserving Space for a Meeting

The requester calls the Conference Center staff to check the availability of rooms. When possible, 48 hours' notice is desired. The requester is required to provide the purpose of the meeting, the preferred date and length of time needed, and the number of participants. The Center staff will assign the most appropriate room for the requester's need.

B. Reserving Space for a Large Conference or Symposium

The requester follows the same procedure for scheduling a meeting. However, at least 30 days' advance notice is required to book the space. The center staff will assist in coordinating the event with other departments (i.e., conference planning, catering, maintenance, and labor). An agenda for the conference is requested.

C. Reserving Audio/Visual (A/V) Equipment

A/V equipment (i.e., LCD projector, laptop, overhead) must be requested at the time a room is reserved. A 24-hour notice is required to reserve equipment for use in another NCI-Frederick building. The requester is responsible for picking up, signing out, and returning the equipment to the Center office promptly after use.

D. Entering Seminar Information on the Web Calendars

Requesters complete the “Seminar Information Form” (# 403-91), which is available at the Center office. The requester indicates on the form the calendar or calendars to which the information is to be added—the NCI-Frederick, Center for Clinical Research (CCR), or NIH calendar.

E. Arranging Video Teleconferencing (VTC) within the NIH System

The requester contacts the Center staff at least 48 hours in advance to reserve a room. The requester provides the date and time of the VTC; number of participants at the NCI-Frederick location; far-end location (including city, building, and room number); type of VTC equipment at the far end (PictureTel, Tandberg, Polycom, etc.); name and phone number of the far-end contact person; and the VTC dial-in number. The Center staff will assist in obtaining this information, if needed.

F. Arranging Video Teleconferencing (VTC) outside the NIH System

The requester provides the same information required for scheduling a VTC within the NIH system. The Center staff will arrange for a video bridge to link to all participants and locations to participants outside the NIH videoconference system. Some of these services may incur a cost that will be charged to the requester.

Note: All Conference Center rooms scheduled by the Center staff, except the Café, have VTC capability.

G. Audio/Visual (A/V) Assistance with Seminars, Meetings, and Symposia

The Center staff will assist with A/V requirements for seminars, meetings, and symposia, including setting up A/V equipment in reserved rooms; collecting multiple presentations for large symposia and loading onto a laptop; providing microphones and laser pointers; setting up a switch for use with multiple laptop presentations; and providing personnel to operate the camera for video teleconferenced or taped meetings.

Note: These services must be requested prior to the event. Presentations to be loaded on a laptop are to be e-mailed to the staff at least 48 hours in advance.

H. Food Service

1. Catering for special events may be arranged internally through the NCI-Frederick Café by contacting the cafeteria manager. Outside caterers may also be used. The Center staff will assist in arranging for an area for food and beverage setup. All caterers are responsible for cleaning up and removing trash after the event.

Number/Title: G301/Conference Center Services (continued)

2. No food or beverage is allowed in the Executive Boardroom. The small reception areas may be used for food/beverage setup.

Note: The requester is responsible for following HHS and SP B501 guidelines when providing refreshment for meeting participants.

I. Vendor Shows

Vendor shows are allowed in the Conference Center and are open to the NCI-Frederick community. The vendor is responsible for contacting the Acquisition and Logistical Services (ALS) Purchasing Department for approval to conduct a vendor show or seminar.

J. Switchboard Functions

1. The Center staff is responsible for the operation of the NCI-Frederick switchboard. The switchboard operates Monday through Friday, 8:30 a.m. to 5:00 p.m., and the operator maintains a current listing of all NCI-Frederick employees.
2. Dialing information or assistance in dialing outside the facility is available by dialing "0" for the operator. For international calls, requesters must have an authorized international 4-digit code.
3. The operator is responsible for ordering flowers, planters, or donations for deceased employees and their immediate relatives. This service is available by dialing "0" for the operator. To determine eligibility and to order flowers, requesters must provide the following information:

Employee's name and address; employee's program; deceased's name and relationship to employee; name, address, and phone number of the funeral home; and date of the funeral.

VI. Attachments

(NONE)

VII. Records

The Conference Center will retain seminar and calendar information for one year.

Section H: Human Resources (HR)

STANDARD PROCESS

Section H: Human Resources (HR)
Number/Title: **H001/Avoidance of Personal Services**
Date Issued: January 2003
Revision: March 2008
SP Contact: Director, HR, 301-846-5193

I. Purpose

As outlined in the government's contract with SAIC-Frederick, Inc., it is the responsibility of the contractor (SAIC-Frederick, Inc.) to ensure that no personal services relationships occur. The purpose of this Standard Process (SP) is to create a clear understanding of personal services and to set forth guidelines under which SAIC-Frederick, Inc., and government employees must operate.

II. References

(NONE)

III. Definitions

Current Operations and Technical Support (OTS) Contract No. NO1-CO-12400 contains the following language in Part I, Section B, Article B.4.q: "The contractor shall ensure, by appropriate management lines of authority within the contract organization, that within the meaning of FAR Subpart 37.104 no personal services relationships occur. Within the formal assignment of work and staffing allocation to SAIC-Frederick, Inc., all SAIC-Frederick, Inc., positions shall be assigned to an SAIC-Frederick, Inc., organization that justifies the position and selects the employee. All SAIC-Frederick, Inc., employees shall have an identified SAIC-Frederick, Inc., supervisor who is responsible for their assignment of work, assessment of performance and resulting pay adjustments and working conditions. The SAIC-Frederick, Inc., supervisor is responsible for interacting with the NCI customer on the assignment of work, work expectations, and the level of performance provided by the SAIC-Frederick, Inc., employees. All employees assigned to off site locations shall be routinely reminded that they work for SAIC-Frederick, Inc., not the government, and be advised that they must not take "supervisory direction" from the government customers. When non-exempt employees are located at an off site location, the SAIC-Frederick, Inc., supervisor shall be located at that work site."

FAR: Federal Acquisition Regulation

HR: Human Resources

OTS: Operations and Technical Support

Personal Services: A contract that creates an employer-employee relationship between the government and the contractor's personnel. The government is normally required to obtain employees by direct hire under competitive appointment or other procedures required by civil service laws. Unless congress specifically authorizes acquisition of the services by contract, obtaining personal services by contract rather than by direct hire circumvents those laws. (Source: Federal Acquisition Regulation [FAR] 37.104, *Personal Services Contracts*).

SOW: Statement of Work

SP: Standard Process

IV. Scope

This SP is applicable to all employees of SAIC-Frederick, Inc.

V. Processes/Guidelines

A. Avoidance of Personal Services in the Recruitment Process

1. Establishment of the Position Vacancy

- a. New position: If a new position is needed, a requirement is issued by the contracting officer to SAIC-Frederick, Inc., based on the Statement of Work (SOW) prepared by a government requester.
- b. The cognizant SAIC-Frederick, Inc., manager, working in concert with the SAIC-Frederick, Inc., Human Resources (HR) Department, will identify the skill level and job classification required to perform the requested SOW.
- c. This staffing level and associated cost will be included in a formal response to the government requirement.
- d. The task requester and AO will review the response and approve recruitment for the position.

2. Approved Vacant Position

Once the vacant position is approved, the SAIC-Frederick, Inc., HR Department will begin recruitment.

2.1 Procedures to Avoid Personal Services

- a. Government employees may not influence the hiring decision; therefore, it would be inappropriate for a government employee to identify specific candidates and/or provide resumes of candidates directly to SAIC-Frederick, Inc.
- b. All qualified candidates must forward resumes directly to SAIC-Frederick, Inc., in response to formal job postings.
- c. In the event that a government employee has knowledge of potential candidates, he/she should direct such candidates to the formal job posting Web site: www.saic.com or www.ncifcrf.gov.
- d. Discussions of the job duties or compensation relating to SAIC-Frederick, Inc., position vacancies should not be held between government employees and potential candidates.
- e. Discussions of specific candidates should not be held outside of formal search committees. At no time should discussions relating to candidate salary offers be held between government employees and SAIC-Frederick, Inc., hiring managers, HR Department staff, and/or candidates.

- f. Government employees may not interview candidates for SAIC-Frederick, Inc., positions unless as part of a search committee and for the purpose of assessing a candidate's technical credentials.
- g. General discussions between SAIC-Frederick, Inc., hiring managers and government employees regarding candidate qualifications as related to the SOW for the position are acceptable.

3. Interviewing and Selection

- a. Interviewing and selection of employees is the exclusive responsibility of SAIC-Frederick, Inc.
- b. The HR Department will source and screen candidates, present qualified candidates to hiring managers, validate final hiring selections, determine salary offers, and extend all offers.
- c. In some circumstances, typically involving senior-level positions, a search committee may be established to review, interview, and recommend candidates for hire.
- d. From time to time, SAIC-Frederick, Inc., may decide to include government employees in this review process for the purpose of validating the candidate's technical credentials; however, the government employees may not participate in the final hiring decision.

4. Negotiating Salary Offers

- a. It is the exclusive responsibility of SAIC-Frederick, Inc., to extend all offers of employment and to negotiate contract salary terms and conditions with the selected candidate.
- b. Offers shall be within the framework permitted by the Wage and Salary program approved by NCI for use under the Operations and Technical Support (OTS) Contract.
- c. In conjunction with contract provisions, individual salary offers may be discussed with the government contracting officer as appropriate. All job offers will clearly delineate SAIC-Frederick, Inc., as the employer and clearly state the name and title of the new employee's supervisor.

4.1 Procedures to Avoid Personal Services

Government employees may not discuss compensation issues with SAIC-Frederick, Inc., hiring managers or HR staff without the express approval of the NCI contracting officer. In no case may a government employee discuss compensation issues with the candidate.

5. Orientation of New Staff

SAIC-Frederick, Inc., is responsible for providing a thorough and appropriate orientation to all new employees, regardless of the location at which they will work. In addition, employees working at selected off-site locations may receive additional safety-related briefings at the work site.

5.1 Procedures to Avoid Personal Services

- a. New employee orientation sessions will include a reminder to new employees that they work for SAIC-Frederick, Inc., and will cover the concept of personal services in general.
- b. Individual SAIC-Frederick, Inc., supervisors will be responsible for reinforcing these concepts at the department level on a routine basis.
- c. Supervisors will advise new employees that matters related to their employment should not be discussed with government staff.

B. Avoidance of Personal Services Relating to Employment Actions**1. Performance Evaluation**

When preparing individual employee performance appraisals, the SAIC-Frederick, Inc., manager may seek input from appropriate government employees, with the understanding that the government employees are providing “customer satisfaction feedback.” Such feedback may be written or verbal; however, at no time would a government employee directly complete the SAIC-Frederick, Inc., “Performance Appraisal” form.

2. Assignment of Work

- a. Work is to be assigned by the SAIC-Frederick, Inc., supervisor in accordance with the established SOW.
- b. Any changes or additions to the SOW should be routed through the government contracting officer for approval and execution of a written requirement to the contractor.
- c. While government employees may not make work assignments directly to SAIC-Frederick, Inc., employees, it is appropriate for them to discuss assignments and expectations with the employee’s SAIC-Frederick, Inc., supervisor.

3. Approval of Leave/Adjusted Work Schedules

The SAIC-Frederick, Inc., supervisor is exclusively responsible for approving leave time and adjusted work schedules while ensuring that the SOW is accomplished effectively. Feedback from the government employee to the SAIC-Frederick, Inc., supervisor is appropriate, should problems arise in completion of agreed-upon work.

4. Approval of Tuition Reimbursement/Training and Development Requests

The SAIC-Frederick, Inc., supervisor is exclusively responsible for approving requests for tuition reimbursement/training and development. Input from government employees is welcome in the same manner as for performance evaluations; however, it is not appropriate for the government employee to set forth any requirements or conditions in this regard.

5. Disciplinary Action/Termination of Employment

SAIC-Frederick, Inc., management and the HR Department staff are exclusively responsible for determining and executing disciplinary or termination of employment actions. Feedback from government employees is welcome in the same manner as for performance evaluations; however, it is not appropriate for a government employee to set forth any requirements or conditions in this regard.

6. Promotions/Salary Adjustments

- a. SAIC-Frederick, Inc., management and the HR Department staff are exclusively responsible for determining and executing promotions and salary adjustments.
- b. It is not appropriate for a government employee to set forth any requirements or conditions in this regard. In particular, a government employee should not provide written recommendations or a memorandum of support for such actions unless specifically requested to do so by a member of SAIC-Frederick, Inc., management, in conjunction with a formal submission to the SAIC-Frederick, Inc., Promotion Review Board.
- c. Discussions of compensation should never be held between government employees and SAIC-Frederick, Inc., employees.

7. Identification

- a. SAIC-Frederick, Inc., staff shall properly identify themselves as contract personnel when attending meetings, answering telephones, or in situations where their actions could be construed as acts of a government employee.
- b. All practical steps shall be taken to minimize the co-location of SAIC-Frederick, Inc., and government personnel. SAIC-Frederick, Inc., staff shall be assigned to clearly distinguishable space to the greatest extent possible.

VI. Attachments

Attachment 1, NCI-Frederick/SAIC-Frederick, Inc., Responsibilities

VII. Records

The HR Department will maintain all records.

Action	Government Responsibility	SAIC-Frederick, Inc., Responsibility
Definition of Statement of Work (SOW)	Provide detailed specification of work to be accomplished in all SOW statements, task orders, and written directives.	Perform work defined within SOW statements, task orders, and written directions.
Staffing	Provide detailed SOW, including job duties and responsibilities.	Determine appropriate position description; select and hire employees.
Employment decisions	May respond to requests for assessment of a job candidate's technical credentials; however, no involvement, interference, or attempts to influence final employment decisions are appropriate.	Maintain exclusive authority to select, hire, fire, discipline, evaluate, establish hours of work, grant and deny leave requests, determine compensation, and reassign employees.
Technical direction	May provide minimal technical direction that does not include training or instruction of employees or prioritization of work. May not informally modify the SOW.	Supervise day-to-day activities of employees, provide necessary training and instruction, and determine work assignments and priority thereof.
Work location	Ensure that a reasonable observer can distinguish between contractor and government personnel.	Ensure that a reasonable observer can distinguish between contractor and government personnel.
General administration support services (secretarial, clerical, and administrative office support personnel)	Ensure that there is no regular supervision or control over contractor support personnel. Restrict these positions to government staff.	Ensure that all administrative office support personnel report directly to an on-site contractor employee and do not perform such services for government staff.

STANDARD PROCESS

Section H: Human Resources (HR)
Number/Title: **H002/Use of Government Resources**
Date Issued: August 2003
Revision: July 2007
SP Contact: Director, HR, 301-846-5193

I. Purpose

This Standard Process (SP) establishes acceptable limited personal use of government resources, to include, but not limited to, property, supplies, equipment, and computers.

II. References

SAIC Corporate Standards of Business Ethics & Conduct Booklet (SG-1, SG-3)

SAIC Corporate Administrative Manual

Center for Information Technology, National Institutes of Health (NIH) [url:http://irm.cit.nih.gov/security/sec_policy.html](http://irm.cit.nih.gov/security/sec_policy.html)

III. Definitions

ABCC: Advanced Biomedical Computing Center

Government property: Any property bought and paid for with government funds

Government equipment: Any equipment bought and paid for with government funds, whether considered capital equipment or not

HR: Human Resources

Inappropriate Internet sites: Sites containing any material that would be considered by a reasonable person to be offensive on the basis of race, national origin, religion, age, gender, sexual orientation, marital status, political beliefs, medical/mental condition, disability, or military service status

OTS: Operations and Technical Support

Paid work hours: Any time that is recorded in Time Wizard

Personal side business: A business for which the employee is a full or partial owner

SP: Standard Process

IV. Scope

This SP applies to all employees of SAIC-Frederick, Inc.

V. Processes/Guidelines

It is the policy of SAIC-Frederick, Inc., to ensure that government resources and property are used appropriately. These government resources are made available to contractor employees for the purpose of performing the Operations and Technical Support (OTS) Contract Statement of Work. However, NCI-Frederick has authorized limited personal use of such resources by contractor staff. This use must (1) be incidental and involve minimal or no expense to the government; (2) not interfere with staff productivity; (3) not be used to

misrepresent oneself or the organization; (4) not have the potential to cause public embarrassment; (5) not compromise the integrity of any computer system or system security safeguards; and (6) not violate any laws or other established policies.

A. General Guidelines for Use of Government Computers and Equipment during Paid Work Hours

1. Use of computers and equipment must be job-related

- a. Government computers should not be used for personal correspondence or schoolwork.

2. Access to the Internet must be job-related

- a. Job-related journals may be accessed for viewing and reading in the same manner as comparable hard copy journals.
- b. Personal e-mail accounts should not be accessed on government computers unless for valid job-related reasons.
- c. Access to travel web sites must be limited to work-related travel only.
- d. Employees may not search job-posting web sites other than www.saic.com or www.ncifcrf.gov to research current internal job vacancies.
- e. Access to web sites relating to current employee benefits is acceptable (e.g., Vanguard, Sun Life).
- f. Use of the Internet for conducting job-related research is acceptable.

B. General Guidelines for Use of Government Computers and Equipment before/after Paid Work Hours

1. Personal Internet access will be treated in the same manner as use of government telephones for personal calls, i.e., incidental use only.
2. Web sites accessed must not be considered inappropriate, nor contain pornographic material. Accessing such sites is considered gross misconduct and constitutes grounds for termination.
3. Use of the computer must not interfere with the contract-related work of the department.
4. Use of the computer is not intended to compensate for the fact that an employee does not have access to such equipment at home.
5. No personally owned software/peripheral equipment is to be installed on government computers without prior authorization from the Advanced Biomedical Computing Center (ABCC) Manager of Networking and IT Security.

C. The Following Activities Are Prohibited

1. At any time:
 - a. Conducting personal side business activities;

- b. Activities that use large amounts of bandwidth;
 - c. Gambling (including betting pools);
 - d. Accessing gaming sites;
 - e. Conducting job searches for non-SAIC-Frederick positions;
 - f. Creating personal blogs and accessing MySpace accounts;
 - g. Accessing of inappropriate, malicious, or sexually suggestive Internet sites; or
 - h. Removing any government property or equipment from the premises without proper authorization and documentation.
2. During paid time:
 - a. Personal use of government computers.
 - b. Internet access for nonwork purposes.
 - c. Non-urgent personal telephone calls.

D. Responsibilities

Each employee must:

1. Complete the National Institutes of Health (NIH) Computer Security Awareness Training annually.
2. Use encryption technologies and follow NIH password policy specified by Human Health Services (HHS)/NIH policy located at http://irm.cit.nih.gov/security/sec_policy.html.
 - a. Each employee is responsible for reading and understanding this procedure. Questions may be addressed to the employee's supervisor, directorate head, or the Human Resources (HR) director.
 - b. Supervisors must ensure that employees have received and reviewed a copy of this procedure. Further, they will immediately report any potential prohibited activities to the HR director and will not take any prior action to examine computer equipment.
3. IT Systems staff must be familiar with this procedure and must take necessary action to ensure system security. Concerns will be reported to the ABCC Manager of Networking and IT Security or the HR director for appropriate action.
4. The HR director must make an initial assessment of any reports of prohibited activity and take appropriate action.

E. Expectations of Privacy

As outlined in the *SAIC Corporate Administrative Manual*, Policy A-3, there should be no expectation of privacy in the use of computers, voice mail, and electronic mail systems. Employees should understand that these systems are intended for business

use, and all computer information, voice mail, and electronic mail messages (active and deleted) are considered government property and are not private, regardless of any password protection.

F. Disciplinary Action for Misuse of Government Equipment and Resources

1. Incidents of unauthorized or inappropriate use shall result in formal disciplinary action, up to and including termination of employment.
2. Incidents involving the violation of laws or regulations shall be reported to the NCI-Frederick contracting officer for action.

VI. Attachments

(NONE)

VII. Records

The HR Department will maintain all records.

STANDARD PROCESS

Section H: Human Resources (HR)
Number/Title: **H003/Compliance with the Deemed Export Rule**
Date Issued: January 2005
Revision:
SP Contact: Manager, Employment, 301-846-5366

I. Purpose

This Standard Process (SP) establishes a process for compliance with U.S. regulations governing the access to specific items and technology by foreign nationals. For purposes of the Deemed Export Rule, the term “foreign national” is anyone who is not a “protected individual.”

II. References

8 U.S.C. § 1324b(a)(3)

III. Definitions

HR: Human Resources

SP: Standard Process

IV. Scope

This SP is applicable to all employees of SAIC-Frederick, Inc.

V. Processes/Guidelines**A. Background**

1. With growth and continued employment of diverse employees, including foreign-born individuals, SAIC-Frederick, Inc., is required to adhere to U.S. government regulations regarding the access to specific items and technology by foreign nationals. For purposes of the Deemed Export Rule, the term “foreign national” is anyone who is not a “protected individual.” The term “protected individual” is defined in 8 U.S.C. § 1324b(a)(3) as
 - a. A U.S. citizen or national;
 - b. An alien lawfully admitted for permanent residence (i.e., an alien possessing a valid Form I-550, or “green card”);
 - c. An alien resident in the United States since 1982 and subject to the 1986 amnesty statute;
 - d. An asylee (recipient of asylum);
 - e. A refugee; or
 - f. An alien lawfully admitted for temporary employment in connection with certain agricultural jobs.

Number/Title: H003/Compliance with the Deemed Export Rule (continued)

2. Foreign nationals are persons who do not fall within these definitions and include people who have applied for, but not yet received, status under one of the above categories. Individuals recognized as foreign nationals commonly hold H-1B, L-1, H-3, O-1, TN, or F-1 Visa/J-1 visas if working legally in the United States.

B. Responsibilities

1. The Human Resources (HR) Department and the group export administrator of SAIC-Frederick, Inc., are responsible for the coordination of the completion of the “Export Analysis Questionnaire” for all applicants who are not considered protected individuals.
2. The HR Department shall
 - a. Provide applicant-specific data to the hiring manager or appropriate person within the directorate;
 - b. Provide an “Export Analysis Questionnaire” to managers for internal transfers of persons not considered protected individuals;
 - c. Maintain a database of foreign national employees to reflect any change in protected status; and
 - d. Maintain a master file of all completed “Export Analysis Questionnaires.”
3. Each directorate shall designate a representative(s) for their program who will be responsible for
 - a. Receiving the “Export Analysis Questionnaire” from the HR Department, and
 - b. Fully and accurately completing and signing all “Export Analysis Questionnaires.”
4. Acquisition and Logistical Services shall
 - a. Ensure that outside contractors/subcontractors limit their work force performing on-site at SAIC-Frederick, Inc., to protected individuals; and
 - b. Maintain documentation on the status of all personnel proposed to perform work on site.

VI. Attachments

(NONE)

VII. Records

The HR Department will maintain all records.

STANDARD PROCESS

Section H: Human Resources (HR)
Number/Title: **H004/HR Letters**
Date Issued: January 2005
Revision:
SP Contact: Director, HR, 301-846-5193

I. Purpose

This Standard Process (SP) outlines the guidelines and process for obtaining contracting officer approval (COA) for specific hiring actions and related human resources issues. The formal request is known as the HR letter.

II. References

(NONE)

III. Definitions

C&A: Contracts and Administration

COA: Contracting officer approval

HR: Human Resources

SP: Standard Process

IV. Scope

This SP applies to actions within SAIC-Frederick, Inc., that have been identified in the contract as requiring contracting officer approval (COA).

V. Processes/Guidelines

A. Policy

HR letters are written to gain COA for specific human resources (HR) actions that aren't covered under an existing Statement/Scope of Work. These actions may include, but are not limited to, unbudgeted position additions, position upgrades, increase in status, position reclassifications, establishment of new positions, and relocation assistance beyond NCI-Frederick *Policy and Procedure* No. 305, Relocation Allowance–Newly Hired Employees. COA must be received in writing prior to action being taken.

B. Procedure

1. The director of the HR Department (or designee) determines if a requested action requires COA.
2. The Finance Department will determine if requisitions require COA.
3. The employment associate drafts the formal letter of request (the HR letter) and gathers all supporting documentation (where applicable) from the requester.
 - The HR letter is created using a standard template format.
 - The program area must provide written justification to accompany the HR letter.

Number/Title: H004/HR Letters (continued)

- The HR letter is assigned a sequential number based on the current fiscal year.
 - Dates of submission and all “thru” actions are maintained in a tracking spreadsheet.
4. The final HR letter, along with any supporting documentation, is reviewed and signed by the director of the Human Resources Department. Note that HR letters require a “thru” signature if no signed justification letter from the program area is attached.
 5. The HR letter package is submitted to the director of Contracts and Administration (C&A), for review and signature. A copy of the signed letter is sent to the HR Department.
 6. The HR letter is then submitted to the NCI-Frederick for contracting officer review and signature.
 7. When the signed HR letter is returned to the director of C&A, a representative from that office will verbally notify the HR Department that the request has been approved and return the original HR letter.
 8. Upon notification of COA approval, the HR Department will proceed with the requested action.

VI. Attachments

(NONE)

VII. Records

The HR Department will maintain all records.

STANDARD PROCESS

Section H: Human Resources (HR)
Number/Title: **H005/Reporting of Inappropriate Actions**
Date Issued: June 2005
Revision:
SP Contact: Director, HR, 301-846-5193

I. Purpose

This Standard Process (SP) outlines SAIC-Frederick, Inc.'s process for identifying, investigating, and reporting inappropriate acts.

II. References

SAIC Corporate Administrative Handbook Policy Number: SG-1; <https://issaic.saic.com/policy/ah/SG/01.html>

Standards of Business Ethics and Conduct Handbook

III. Definitions

HR: Human Resources

Inappropriate: Unsuitable; not for a particular purpose or use (i.e., not for a legitimate business purpose)

Irregularity: That which is not being or acting in accordance with laws, rules, or established custom; not following a usual or prescribed procedure

Impropriety: An unacceptable act or use of words not in accord with fact, truth, or right procedure

Indication: Something that serves to be a sign, symptom, or index of; something that points to

Retaliation: To return like for like; to get revenge

SP: Standard Process

Suspected: To have doubt; to imagine to exist, or be true, likely, or probable

IV. Scope

This SP applies to any actual or suspected inappropriate action, behavior, wrongdoing, or irregularity. It covers all SAIC-Frederick, Inc., employees.

V. Processes/Guidelines

A. Policy

Each member of management will be familiar with the types of impropriety that might occur within his or her area of responsibility and be alert for any indication of irregularity. Management is responsible for the detection and avoidance of inappropriate conduct.

B. Procedure

1. Any inappropriate action or irregularity that is detected or suspected must be reported immediately through one of the following channels:
 - a. Upper level management,
 - b. The SAIC-Frederick, Inc., Human Resources (HR) Director,
 - c. A member of the SAIC Ethics Committee, or
 - d. The SAIC Hotline.

Employees, as well as management, are expected to act responsibly in reporting such incidents.

2. Once an incident has been reported, the SAIC-Frederick, Inc., HR Director will work in conjunction with appropriate corporate officials (ethics, legal, HR, audit) to gather facts and determine subsequent action.
3. Full investigation will continue until satisfactorily resolved. Every effort will be made to protect the confidentiality of the parties and subject matter involved, but is not guaranteed.

Any violation of this policy shall be grounds for disciplinary action, up to and including termination of employment.

Retaliation of any sort against employees reporting inappropriate actions will not be tolerated and shall be grounds for disciplinary action, up to and including termination of employment.

VI. Attachments

(NONE)

VII. Records

All records are maintained at the corporate offices.

STANDARD PROCESS

Section H: Human Resources (HR)
Number/Title: **H101/Promotion Review Board Process**
Date Issued: January 2005
Revision: June 2006
SP Contact: Analyst, Compensation, HR, 301-846-7143

I. Purpose

This Standard Process (SP) outlines the guidelines and process for submission of a promotion package to the Promotion Review Board.

II. References

(NONE)

III. Definitions

HR: Human Resources

SP: Standard Process

IV. Scope

This SP applies to all requests resulting in exempt-level promotion up to the Senior Scientist level or equivalent within SAIC-Frederick, Inc.

V. Processes/Guidelines

A. Policy

1. The Promotion Review Board exists to ensure that promotions are granted fairly and appropriately. NCI has granted SAIC-Frederick, Inc., the authority to approve promotions internally, through the Office of the Principal Investigator, Dr. Larry Arthur.
2. Three Promotion Review Boards (Technical/Scientific, Administrative, and Biopharmaceutical/Regulatory) meet three times each year, typically in March, July, and November. Membership on the boards is kept confidential to ensure fairness and impartiality.
3. The Technical/Scientific board consists of six members representing all Life Sciences directorates. Administrative and Biopharmaceutical/Regulatory promotion requests are reviewed by three-member boards and an ad hoc group made up of appropriate subject matter experts selected based on the requests received.
4. There must be a valid organizational requirement for a person at the higher level and a change in scope of work performed, level of responsibility, etc., for a promotion to be warranted (see Attachment 1, Elements of a Promotion Review Package).
5. The Human Resources (HR) Department ensures that criteria for the promotion have been met and obtains the approval from the Promotion Review Board, Finance, and the Principal Investigator, OTS Contract.
6. The HR Department will then coordinate the notification and implementation of the action. Promotional salary adjustments are effective the first pay period after

approval by Dr. Arthur.

7. While the decisions of the boards are considered final, requests for appeals of these decisions may be made through the HR Department.

B. Process

1. Once the manager has determined there is a valid organizational requirement and that the individual meets the minimum qualifications for the next level position, the manager submits a request for promotion to the Promotion Review Board. (See Attachment 1 for items to be addressed in the promotion request package.
2. This request is first submitted to the manager's directorate head, who reviews and forwards it to the HR Department for review. The HR Department ensures that all requirements are met.
3. The packages are then sent to individual board members for review prior to the meeting. The board members complete a written report for each request indicating agreement, disagreement, or the need for more information.
4. The HR Department consolidates these written reports in preparation for the meeting.
5. At the meeting, the board reaches consensus on all requests, occasionally having to defer decisions until additional information is collected and considered. While the HR Department staff facilitates the board meetings and records pertinent comments and decision points, they are nonvoting members.
6. The HR Department notifies the requester of pending approval and requests any additional information required. The HR Department coordinates follow-up with the Promotion Review Board members and the final recommendations.
7. The HR Department determines promotional salary adjustments based on cohort score analysis for each approved request, compiles this information on a spreadsheet, and submits it to the Finance Department to verify that the increases can be accommodated in each department's budget.
8. The HR Department prepares a formal request package for submission to Dr. Arthur once the Finance Department verification is received.
9. The HR Department communicates the final approved promotions to the requester and directorate head and provides salary information sheets for those actions. If requests are not approved, an explanation of the rationale for such determination is provided.

VI. Attachments

Attachment 1, Elements of Promotion Request Package

Attachment 2, Required Format for Promotion Request Memorandum

VII. Records

The HR Department will maintain all records.

ELEMENTS OF PROMOTION REQUEST PACKAGE

1. A memorandum of justification for the proposed promotion describing the change in the work requirements and the individual's qualifications, work experience, academic background, and substantial achievements that substantiate the promotion request. Explain how this employee is currently performing at the higher level. Careful consideration should be given to the level of staffing required for the work scope and the cost associated with a promotion.

The memorandum should follow the required format (Attachment 2) and specifically address the following points:

- a. Employee's name, current title and grade, proposed title and grade;
 - b. Employee's time in current position;
 - c. Employee's total years of service;
 - d. Employee's academic background;
 - e. Employee's qualifications and work experience;
 - f. Organizational needs (change in work requirements);
 - g. Employee's substantial achievements and demonstrated commitments; and
 - h. Explain how this employee is performing at the higher level.
2. Draft of new job specification in company format if proposing a position that does not currently exist. Contact the compensation area of the HR Department to obtain the job specification format and assistance with this aspect of the package.
 3. Employee's most recent performance evaluation. (Any changes in performance since the review should be addressed in the justification.)
 4. Employee's current curriculum vitae or resume.
 5. For scientific positions, a list of publications (separate abstracts from publications and note in chronological order, starting with the most current).
 6. Letter(s) of recommendation or memorandum(s) from senior-level staff other than the supervisor and/or peers within the department (this is typically done for scientific positions, but is not a requirement).
 7. Organizational chart (current and proposed).

In addition, promotion requests to L50 Senior Scientist require the following:

At least two letters of support from subject matter experts (outside of the department) at the L51 or higher level, or NCI equivalent. Letters must include detailed examples of scientific activities at the higher level.

Within the justification memo, the following *must* be described:

1. The employee's accomplishments and how they contributed to the success of a program. Include information on the program's review/site visit, if appropriate.
2. The employee's supervisory experience.
3. The employee's contributions to the scientific community, including participation on committees, attendance at national/international meetings, etc.

Note: Do not include reference to monetary award amounts and/or salary in the promo package or any attachments.

REQUIRED FORMAT FOR PROMOTION REQUEST MEMORANDUM

(Memorandum printed on Company Letterhead)

Date: (Current Date)

To: Promotion Review Board

Thru: Name (Directorate Head)
Title

From: Name (Direct Manager/Supervisor)
Title

Subject: Request for Promotion for (Employee Name)

Employee: Full Name

Current Title and Grade: Human Resources Job Title-Job Grade

Proposed Title and Grade: Human Resources Job Title-Job Grade

Time in Current Position: Years and months in current job classification

Total years of service: Years and months with SAIC-Frederick, Inc. and prior OTS Contractors

Academic Background: (Detail any certifications and/or additional training acquired. This can include continuing to work on higher education.)

Change in work requirements: Explain how your organization is structured, the type of work performed and what necessitated the change in the work scope.

Qualifications and work experience: Highlight the individual's qualifications, unique or special skills related to their work and the technology/procedures/equipment they are responsible for utilizing and maintaining. Detail any collaborative efforts they are involved in and define their role.

Substantial achievements & demonstrated commitments: Highlight achievements and significant accomplishments during their career. Attach the most recent review and provide comments if there are any factors rated a 5 or below. You will need to elaborate on the reason for the rating and explain any change in the performance since the review period.

Explain how this employee is currently performing at the higher level: For technical and scientific positions at the Research Associate level or higher where the individual has not published or presented findings of their scientific work, please explain why or what prohibits them from doing so.

Highlight any special skills or expertise this individual has demonstrated.

If this position has lead or supervisory responsibility, elaborate on the staff size, job titles and grades, overall supervisory responsibility – hire/fire, employee relations, training, work assignment, counseling, etc.

Budget Impact: *Careful consideration should be given to the level of staffing required for your work scope and the cost associated with a promotion. A sentence should be included specifically addressing this matter. (i.e. This promotion request was budgeted and/or can be accommodated in the budget.)*

Conclusion: It is my hope that the Promotion Review Board will concur with this evaluation and recommend promotion of (*Employee Name*) to the requested position. Should you have any questions or need further clarification, please contact me at (*Telephone and Email address*).

Attachments:

(Year) Performance Evaluation (*This should be the most recent review that was signed by the employee and management*)

Current Curriculum vitae or Resume

Publication List (*For scientific positions, a list of publications – separate abstracts from publications and note in chronological order, starting with the most current*)

Letter(s) of recommendation or memorandum(s) (*Letter(s) of recommendation or memorandum(s) from senior level staff other than the supervisor and/or peers within the department. This is typically done for scientific positions, but is not a requirement for all positions. It is encouraged for the Research Assistant level and above*)

Organizational Chart (*Current and Proposed*)

STANDARD PROCESS

Section H: Human Resources (HR)
Number/Title: **H201/Administration of the Family and Medical Leave Act (FMLA) and Short-Term Disability**
Date Issued: January 2005
Revision:
SP Contact: Manager, Compensation and Benefits, HR, 301-846-1466

I. Purpose

This Standard Process (SP) outlines the guidelines and process for leave of absence, Family and Medical Leave, and short-term disability.

II. References

U.S. Department of Labor notice, "Your Rights under the Family & Medical Leave Act of 1993"
NCI-Frederick *Policy and Procedure* No. 318, Leave of Absence
NCI-Frederick *Policy and Procedure* No. 329, Family Leave
"Return to Work Certificate" form
"Health Care Provider Certification" form
"FMLA Application" form

III. Definitions

FMLA: Family and Medical Leave Act

HR: Human Resources

OHS: Occupational Health Services

SP: Standard Process

IV. Scope

This SP applies to all employees of SAIC-Frederick, Inc.

V. Processes/Guidelines

A. Policy

1. All absences of more than three (3) days must be reported to the Human Resources (HR) Department for purposes of administering any leave of absence, Family and Medical Leave, or short-term disability programs.
2. The Family and Medical Leave Act (FMLA) grants eligible employees up to 12 weeks of job-protected leave:
 - a. For the birth or adoption of the employee's child;
 - b. For the care of the employee's child, spouse, or parent, or other person for whom the employee normally has the responsibility of day-to-day care, who has a serious health condition; or

Number/Title: **H201/Administration of the Family and Medical Leave Act (FMLA) and Short-Term Disability (continued)**

- c. When an employee is unable to work because of his/her own serious health condition, including a work-related injury or illness.
3. If married employees are both employed at SAIC-Frederick, Inc., and they apply for Family and Medical Leave for the birth or adoption of their child, or the care of a sick parent, then they are allowed a total of up to 12 weeks of Family and Medical Leave between the two of them.
4. All absences of an employee for a number of days on an intermittent basis for the same reason regardless of length of employment, previous use of Family and Medical Leave, or the amount of sick or vacation hours accrued by the employee must be reported to the HR Department for purposes of administering any leave of absence, Family and Medical Leave, or short-term disability programs.

B. Process

1. The Supervisor has the following responsibilities:

- a. The supervisor must notify the HR Department if an employee is absent more than three (3) consecutive days or a number of days on an intermittent basis for the same reason, regardless of the length of employment, previous use of Family and Medical Leave, or amount of sick or vacation hours accrued.
- b. If the supervisor is aware that the employee has had surgery (outpatient or inpatient), he/she should contact the HR Department immediately, as short-term disability benefits could become payable immediately.
- c. The supervisor must refer the employee to the HR Department to discuss and possibly apply for Family and Medical Leave job protection and short-term disability benefits (if applicable).
- d. The supervisor cannot consider FMLA-approved leave in determining employment actions such as hiring, rehiring, promotions, disciplinary actions, or annual performance reviews.
- e. If the employee is on FMLA-approved leave, but does NOT have short-term disability benefits, the employee's time cards will continue to go to the time-keeper.
- f. If the employee does have short-term disability benefits payable to him/her, the time card is rerouted to the HR Department for as long as the employee is receiving short-term disability benefits.

2. The employee has the following responsibilities:

- a. The FMLA requires employees to provide thirty (30) days' notice of an absence if at all possible, with one or two business days notice at the very least. After-the-fact notice may be acceptable, depending on the circumstances.

Number/Title: **H201/Administration of the Family and Medical Leave Act (FMLA)
and Short-Term Disability (continued)**

- b. The employee must notify the HR Department of the absence so that the HR Department can provide the proper information regarding FMLA rights, FMLA forms, and possible disability claims.
 - c. The employee must complete the “FMLA Application” and have his/her health care provider complete the “Health Care Provider Certification” form.
 - d. The employee must have the supervisor and/or manager sign the acknowledgment line at the bottom of the employee “FMLA Application” form.
 - e. The employee must provide the HR Department with the completed FMLA forms (signed “FMLA Application” and “Health Care Provider Certification”) before the deadline date that is noted on the application form.
 - f. When returning from leave, the employee must first go to Occupational Health Services (OHS) for a return-to-work release if the absence was due to the employee’s own illness or injury. An employee whose workday typically begins before 8:00 a.m. must contact OHS for an appointment prior to his/her return to work.
 - g. The employee must visit the HR Department in order to provide a copy of the “Return to Work Notice” if the Family and Medical Leave was for the employee’s own illness/injury, and to sign any time cards that the HR Department has processed if short-term disability benefits were received.
- 3. The HR Department has the following responsibilities:**
- a. The HR Department provides the Employee with an FMLA packet containing the following items:
 - (1) A copy of the employee’s rights under FMLA;
 - (2) The “FMLA Application”;
 - (3) The “Certification of Health Care Provider” form;
 - (4) The U.S. Department of Labor notice, “Your Rights under the FMLA of 1993”;
 - (5) An explanation of how SAIC-Frederick, Inc., implements the FMLA;
 - (6) Copies of related NCI-Frederick *Policy and Procedure* No. 318, Leave of Absence, and No. 329, Family Leave; and
 - (7) A “Return to Work Certificate” form.
 - b. If the employee is eligible to apply for short-term disability benefits, the HR Department will provide the employee with a “Question/Answer Information Sheet” and a card with information for filing a short-term disability claim.
 - c. Upon receipt of the employee’s completed “FMLA Application” and the “Certification of Health Care Provider” form, the HR Department will review the material and notify the employee in writing if and when the employee is eligible for FMLA protection, and if not eligible, the reason why not.

Number/Title: **H201/Administration of the Family and Medical Leave Act (FMLA)
and Short-Term Disability (continued)**

- d. If the employee exceeds his/her FMLA available hours, the HR Department will notify the supervisor in writing that job protection under FMLA has ended and determine whether the position can be held for the employee's return. The HR Department will also notify the employee in writing that his/her FMLA protection has ended and provide information regarding continuing medical leave of absence, if appropriate.
- e. If an employee has a health care provider's approval to return on a partial work schedule and the department can accommodate the request, a copy of the employee's time card must be forwarded to the HR Department for continued administration of partial disability benefits (if applicable) until the employee is released for full duty.
- f. If the employee is on leave without pay at any point during his/her absence, the HR Department will send an invoice for any benefit premiums that may come due. The HR Department will collect the premiums and submit them on a monthly basis to the Accounts Payable Department.

VI. Attachments

(NONE)

VII. Records

The HR Department will maintain all records.

STANDARD PROCESS

Section H: Human Resources (HR)
Number/Title: **H202/Accrual and Use of Credit Hours**
Date Issued: June 2005
Revision: June 2006
SP Contact: Deputy Director, HR, 301-846-1466

I. Purpose

This Standard Process (SP) provides guidelines for accrual and use of credit hours by full-time exempt employees on approved Flexible Work Schedules.

II. References

Policy and Procedure No. 320, Alternative Work Schedules

III. Definitions

A. Alternative Work Schedule (AWS)

This term applies to both Compressed Workweek Schedules and Flexible Work Schedules that have been approved in advance.

1. **Compressed Work Schedules (CWS)** occur when employees deliver the required number of work hours, weekly or biweekly, on a schedule other than the standard five days a week, eight hours a day.
2. **Flexible Work Schedules (FWS) include the following components:**
 - a. **Flextime:** the range of hours within each day/week, as defined by management, during which employees may perform their required work as part of an Alternate Work Schedule. Example: 7 a.m.–9 a.m., 4 p.m.–7 p.m.
 - b. **Core Hours:** the daily/weekly work hours, defined by management as part of an Alternate Work Schedule, during which an employee must be present for work. Example: 9 a.m.–4 p.m.

B. Credit Hours

Credit hours are hours that an exempt employee may elect to accumulate on an hour-for-hour basis by working, with management approval, in excess of the employee's basic work requirement (scheduled hours per pay period) under a Flexible Work Schedule. Work performed while accumulating Credit Hours must relate to the Scope of Work of the employee's program. A maximum balance of twenty-four (24) Credit Hours may be carried at any time.

HR: Human Resources

SP: Standard Process

IV. Scope

This SP applies to active full-time exempt employees on approved Flexible Work Schedules. Employees are eligible from date of hire.

V. Processes/Guidelines**A. Process**

1. The employee requests approval to be placed on a Flexible Work Schedule via completion of an Alternative Work Schedule Request Form.
2. Two levels of management must approve and forward the completed Alternative Work Schedule Request form to the Human Resources department, Building 371.
3. No accrual or use of Credit Hours is permitted until a Flexible Work Schedule is approved by Human Resources and the Payroll department has enabled the necessary pay codes.
4. Approved Credit Hours are recorded under the Holiday/Other Hours column on the left side of the time card as they are accrued. If using the online time card system, record under Credit Hours.
5. Credit Hours must be recorded on the actual day accrued or used (the accrual of Credit Hours will result in an excess of 80.0 hours reported on the time card).
6. Accrued Credit Hours are recorded using code 007 on the time card.
7. Used Credit Hours are recorded using code 005 on the time card.
8. A maximum of 80.0 hours, inclusive of Credit Hours used, must be reported on the time card for each pay period.
9. Available Credit Hours will be on the time card each pay period.

B. Guidelines

1. The accrual of Credit Hours must be approved in advance by management for work performed within the scope of the contract.
2. Management has the authority to approve, disapprove, or limit individual requests to accrue or use Credit Hours.
3. A minimum of 1 Credit Hour can be accrued or used per day.
4. A maximum of 24 Credit Hours may be carried at any time.
5. There is no time limit for use of Credit Hours.
6. Credit Hour use must not exceed the available balance on the time card.
7. Credit Hour accruals should not be recorded on the time card in excess of the 24-hour maximum.
8. Employees are not permitted to accrue and use Credit Hours within the same pay period.
9. Employees may not accrue Credit Hours for work performed during Company paid holidays, travel, training, delayed openings, center closings, or if sick leave is charged for the entire pay period.

10. Employees may not accrue Credit Hours by working through lunch, if doing so will result in their not taking a required 30-minute unpaid break.

VI. Attachments

Alternative Work Schedule Request Form

VII. Records

All records are maintained in the employee's department and with Human Resources (HR).

ALTERNATIVE WORK SCHEDULE REQUEST FORM

Please check one:

I am requesting a _____ **Compressed Work Schedule** New _____ Change _____
 I am requesting a _____ **Flexible Work Schedule** New _____ Change _____

1. **Program Area:** _____ **Center #:** _____

 Employee Name

 Employee Signature

Employee #: _____

Employee Position: _____

2. **Compressed Work Schedule:**

WEEK #1	SAT	SUN	MON	TUE	WED	THU	FRI	TOTAL
Time In:								X
Time Out:								X
Lunch: (time allowed, ex: 30 min.)								X
Hours Worked:								

WEEK #2	SAT	SUN	MON	TUE	WED	THU	FRI	TOTAL
Time In:								X
Time Out:								X
Lunch: (time allowed, ex: 30 min.)								X
Hours Worked:								

3. **Flexible Work Schedule:**

Flex Time Hours: _____

Core Hours: _____

4. **Program Approval**

Supervisor: Name: _____ Date: _____

Signature: _____

Director: Name: _____ Date: _____

Signature: _____

HR: _____

STANDARD PROCESS

Section H: Human Resources (HR)

Number/Title: **H301/Request for Guest Researcher Appointments**

Date Issued: January 2005

Revision:

SP Contact: Manager, Employment, HR, 301-846-5366

I. Purpose

This Standard Process (SP) outlines the guidelines for processing requests for guest researcher appointments and ensures that SAIC-Frederick, Inc. complies with the NCI-Frederick *Policy and Procedure* No. 327, Contractor Guest Researcher. A guest researcher is defined as a university faculty member on sabbatical leave, a scientist visiting NCI-Frederick for the purpose of demonstrating or learning a new technique, or a scientist on a fellowship.

II. References

NCI-Frederick *Policy and Procedure* No. 327, Contractor Guest Researcher

The most recent version of Standard Process forms referenced may be obtained by contacting the Human Resources Department, extension 5362.

III. Definitions

HR: Human Resources

OHS: Occupational Health Services

SP: Standard Process

IV. Scope

This SP applies to all requests for guest researcher appointments.

V. Processes/Guidelines

A. Policy

1. Guest researcher appointments must comply with all elements of the NCI-Frederick *Policy and Procedure* No. 327, Contractor Guest Researcher.
2. Guest researchers must process in with the SAIC-Frederick, Inc., Human Resources (HR) Department and complete the checkout process upon their departure.
3. Guest researcher appointments that are extended or indicate the need for additional funding require all appropriate documentation to be resubmitted to the NCI-Frederick contracting officer for approval.

B. Responsibilities

The program area, HR Department, and the guest researcher are responsible for the coordination of the appointment and submission of all required documents.

1. The program area will:

- a. Submit a memorandum of justification to the HR director at least six (6) weeks prior to the anticipated start of a guest researcher appointment. The following documents will be included with the memorandum of justification:
 - Attachment 1 of NCI-Frederick *Policy and Procedure* No. 327, Contract Guest Researcher,
 - “Report of Visitor” form, and
 - Curriculum vitae or resume.
- b. Submit the “Export Analysis Questionnaire” to the HR Department for any guest researcher who is a foreign national and not a “protected individual” as defined by the Export Control Policy.
- c. Confirm the availability of funds with the Finance Department when indicated.
- d. Submit all required financial documents to the Finance Department for any guest researcher receiving reimbursement for expenses.

2. The HR Department will:

- a. Review the memorandum of justification and required documents.
- b. Write a formal letter of request to the NCI-Frederick contracting officer.
- c. Notify the program area when contracting officer approval is granted.
- d. Write and send a formal invitation letter to the guest researcher with the following documents:
 - Attachment 2 of NCI-Frederick *Policy and Procedure* No. 327, Contractor Guest Researcher
 - Guest Researcher Intellectual Property Addendum
 - Statement of Publication Policy
- e. Assist with visas when appropriate.

3. The guest researcher will:

- a. Ensure that his/her funding source/employer has signed the Intellectual Property Addendum.
- b. Sign the invitation letter and related documents.
- c. Secure appropriate work authorization if he/she is from outside the United States.

- d. Report to the HR Department before reporting to the program area to ensure that all requirements have been met and appropriate documents have been signed.

4. The program area will:

Escort the guest researcher to the HR Department and to Protective Services on his/her first day.

5. The HR Department will:

Process in and direct the guest researcher to Protective Services for a badge/access card and to Occupational Health Services (OHS) for a blood save (if necessary for the appointment).

6. The program area will:

Notify the HR Department via e-mail to Barnold@ncifcrf.gov one week prior to the conclusion of the appointment.

7. The HR Department will:

- a. Send the guest researcher a checkout package.
- b. Complete the checkout process with the guest researcher on his/her last day.

If an extension to the appointment is requested or additional funding is required, the program area will repeat this process in its entirety.

VI. Attachments

(NONE)

VII. Records

The HR Department will maintain all records.

STANDARD PROCESS

Section H: Human Resources (HR)
Number/Title: **H302/Use of Placements from Temporary Agencies**
Date Issued: January 2005
Revision:
SP Contact: Manager, Employment, HR, 301-846-5366

I. Purpose

This Standard Process (SP) outlines the guidelines and processes for use of temporary agency employees.

II. References

The most recent version of forms referenced in this Standard Process may be obtained by contacting the Human Resources Department, extension 5362.

III. Definitions

Bill rate: The hourly rate charged by a temporary employment agency that includes the hourly labor and fringe rate paid to the employee as well as the profit mark-up charged by the agency.

HR: Human Resources

OHS: Occupational Health Services

Protected individual: A person who, as defined in 8 U.S.C. 1324(a)(3), is a U.S. citizen or national, an alien lawfully admitted for permanent residence (i.e., an alien possessing a valid form I-550, or “green card”), asylee, or refugee.

SP: Standard Process

Temporary agency employee: An employee procured through a subcontract with a temporary employment agency or SAIC-Frederick, Inc.’s, payroll company, Innovative Solutions.

IV. Scope

This SP applies to all employees of SAIC-Frederick, Inc.

V. Processes/Guidelines

A. Policy

1. Temporary agency employees are to be used on a short-term basis to provide assistance in the following situations:
 - a. To replace a regular employee who is on vacation or medical leave when other staff cannot be used for coverage;
 - b. To assist with the completion of special projects that cannot be accomplished using current staff;
 - c. To assist in bringing a backlog of work current when completion of the work is considered critical to the scope of work;

Number/Title: H302/Use of Placements from Temporary Agencies (continued)

- d. To fill a budgeted position vacancy during active recruitment; or
 - e. To perform duties needed on a one-time basis that require skills not possessed by current staff.
2. Costs associated with the use of temporary agency employees must be accommodated within the budget of the program making the request.
 3. Employees may not be under age 18.
 4. Temporary agency employees must be protected individuals (certain exceptions may be made for those procured through Innovative Solutions).
 5. Requests for the procurement of a temporary agency employee are to be submitted via e-mail to the Human Resources (HR) Department (kburke@ncifcrf.gov and jsugden@ncifcrf.gov) using a “Request for Temporary Agency Employee” form. The request must include the following:
 - a. A brief justification of the need for temporary services consistent with item A.1 above;
 - b. An explanation of how the temporary agency employee’s assignment will be funded, including department and center number;
 - c. The dates and location of the assignment;
 - d. The name of the SAIC-Frederick, Inc., supervisor to whom the temporary agency employee will be assigned; and
 - e. The position requirements/job skills and duties.
 6. Requests must be approved by the directorate head and generated by an authorized designee.
 7. Only the HR Department staff may have contact with temporary employment agencies.
 8. Problems with temporary agency employees should be reported to the HR Department for resolution.
 9. Once approved, no changes may be made to the assignment without written approval from the HR Department.

B. Process

1. **The HR Department will:**
 - a. Maintain a current list of employees designated by each directorate head who are approved to request temporary agency employees.
 - b. Receive and process all requests, ensuring that the person generating the request is authorized to do so.
 - c. Provide the Finance Department with the bill rate and a copy of the “Request for Temporary Agency Employee.”

Number/Title: H302/Use of Placements from Temporary Agencies (continued)

- d. Once confirmation is received from the Finance Department, place the order with an approved vendor and provide the name and start date of the temporary agency employee to the requesting department.
 - e. E-mail a request to Protective Services for an ID badge for the temporary agency employee. Follow up with a hard copy of the request that contains an authorized signature from the Human Resources Department.
 - f. Review all time cards each week.
 - g. Reconcile all invoices received from temporary employment agencies and approve only those charges supported by faxed time sheets.
 - h. Interact with the temporary employment agency to resolve problems and request any changes to assignments.
- 2. The Finance Department will:**
- a. Confirm that the expense can be accommodated within the department and center budget requested by the program.
 - b. Pay invoices that have been verified by the HR Department.
- 3. The requesting department will:**
- a. Request temporary agency employees in accordance with this policy.
 - b. Escort the temporary employee to Protective Services on his/her first day to obtain a temporary ID badge.
 - c. Fax a signed copy of each temporary agency employee's time sheet to the HR Department at 301-846-5172 each Friday.
 - d. Request any changes to assignments via e-mail to the HR Department (kburke@ncifcrf.gov and jsugden@ncifcrf.gov) at least one week in advance, providing the reason for the change.
 - e. Confirm the completion of the temporary agency employee's assignment via e-mail to the HR Department (kburke@ncifcrf.gov and jsugden@ncifcrf.gov).

VI. Attachments

(NONE)

VII. Records

The HR Department will maintain all records.

STANDARD PROCESS

Section H: Human Resources (HR)
Number/Title: **H303/Employee Referral Award**
Date Issued: January 2005
Revision:
SP Contact: Manager, Employment, HR, 301-846-5366

I. Purpose

This Standard Process (SP) outlines the guidelines of the Employee Referral Award Program to reward current employees who successfully refer candidates for hire.

II. References

(NONE)

III. Definitions

HR: Human Resources

SP: Standard Process

IV. Scope

This SP applies to all current SAIC-Frederick, Inc., employees, unless otherwise noted.

V. Processes/Guidelines**A. Policy**

1. All SAIC-Frederick, Inc., personnel are eligible to receive referral awards except for the following: the Human Resources (HR) Department staff, managers, directors, the new hire's direct supervisor, any person who participates in the interview process, family or household members of the candidate, and rehires within one year of the termination date.
2. The candidate must note the name of the referring employee on the employment application.
3. The candidate must meet all program qualifications in order for the referring employee to receive the referral award.

B. Process

1. When an offer of full-time employment has been extended and accepted, the HR Department will verify that the following qualifications have been met:
 - a. The candidate must note the name of the referring employee on the employment application.
 - b. The hiring manager or HR Department must not have previously identified the candidate.
 - c. The candidate has not been referred as a consultant or temporary placement.
 - d. The candidate must accept a regular, full-time position with SAIC-Frederick, Inc., and remain in that capacity for at least six (6) months.

Number/Title: **H303/Employee Referral Award (continued)**

- e. The referring employee must still be employed at SAIC-Frederick, Inc., at the time the referral award is paid.
2. The HR Department will:
 - a. Submit a memorandum to the Payroll Department for processing of the referral award.
 - b. Send a letter of appreciation to the employee acknowledging the referral award.
 - c. Send a letter of explanation to referring employees who do not qualify for a referral award, explaining why they did not qualify.
3. The referring employee will receive the award (less applicable taxes) approximately two (2) pay periods beyond the six-month qualifying date.

VI. Attachments

(NONE)

VII. Records

The HR Department will maintain all records.

STANDARD PROCESS

Section H: Human Resources (HR)
Number/Title: **H304/Internal Transfer Process**
Date Issued: January 2005
Revision:
SP Contact: Manager, Employment, HR, 301-846-5366

I. Purpose

This Standard Process (SP) outlines the guidelines and process for current employees who wish to be considered for transfer within SAIC-Frederick, Inc., in accordance with NCI-Frederick Policy & Procedure #307, Employee Transfers.

II. References

NCI-Frederick *Policy and Procedure* No. 307, Employee Transfers

The most recent version of forms referenced in this Standard Process may be obtained by contacting the Human Resources Department, extension 5362.

III. Definitions

HR: Human Resources

SP: Standard Process

IV. Scope

This SP applies to all SAIC-Frederick, Inc., employees in good standing who have been in their current position for six (6) months or more. The director of the Human Resources (HR) Department must approve any exceptions to this requirement.

V. Processes/Guidelines

A. Policy

Eligible employees must complete a transfer request to be considered for any active job posting.

B. Process

1. Job openings are posted for a minimum of five (5) business days on <http://saic.ncifcrf.gov> and www.saic.com.
2. Employees must apply online for job postings.
3. Employees must submit a completed "Transfer Request" form to the HR Department.
4. **The employment specialist will:**
 - a. Verify that the employee meets the minimum job requirements;
 - b. Review the employee's personnel file and confer with the employee relations specialist to determine eligibility to transfer; and
 - c. Forward the "Transfer Request" form and resume to the hiring manager for review and consideration.

Number/Title: H304/Internal Transfer Process (continued)

5. Generally, the hiring manager will interview all internal applicants who meet the minimum requirements for their position. Interviews will be scheduled through the appropriate employment specialist.
6. Prior to the interview, the hiring manager is encouraged to review the employee's file.
7. The employee must notify his/her current supervisor of his/her intent to interview and determine a mutually agreeable time to do so.
8. The hiring manager must conduct a reference check on the selected employee by contacting his/her current supervisor.
9. When an internal employee is selected to fill the posted job, the start date will be determined by mutual consent of the current and receiving supervisors. Generally, two weeks from the acceptance date is standard.
10. A transfer memo is sent to the selected employee by the HR Department, detailing the new job title, location, supervisor, and salary, if applicable.
11. If there is any change in the employee's actual work location, he/she must complete a "Transfer Check-Out Sheet" before reporting to the new work site. (This process is usually completed on the last day in the employee's current work location.)

VI. Attachments

(NONE)

VII. Records

The HR Department will maintain all records.

STANDARD PROCESS

Section H: Human Resources (HR)
Number/Title: **H305/Personnel Requisitions**
Date Issued: January 2005
Revision:
SP Contact: Manager, Employment, HR, 301-846-5366

I. Purpose

This Standard Process (SP) outlines the guidelines and process for creating and opening personnel requisitions.

II. References

The most recent version of forms referenced in this Standard Process may be obtained by contacting the Human Resources Department, extension 5362.

III. Definitions

COA: Contracting officer approval

HR: Human Resources

SP: Standard Process

IV. Scope

This SP applies to all hiring authorities within SAIC-Frederick, Inc. Only the director of the Human Resources (HR) Department may make exceptions.

V. Processes/Guidelines

A. Policy

1. Personnel requisitions and physical task requirements are to be completed on a standard form and submitted via a consistent electronic process to ensure timely and accurate processing.
2. Personnel requisitions are required in order to hire staff as:
 - a. Budgeted additions,
 - b. Replacement positions for terminated employees,
 - c. New additions (not budgeted), and
 - d. Visiting scientists or other positions for short-term needs.
3. Only fully completed forms will be accepted for processing.
4. Submission to jobreqs@ncifcrf.gov must follow the approved path for each directorate.
5. The HR Department will notify the identified hiring manager when the position has been released for posting.
6. Requisitions will be posted for a minimum of five (5) days before an offer is extended.

B. Process

1. All fields on the “Personnel Requisition” must be completed in full before a requisition will be accepted for processing.
2. Completed “Personnel Requisitions” and “Physical Task & Environmental Factor” forms must be e-mailed from an approved source to jobreqs@ncifcrf.gov in order to be processed.
3. Submissions will be reviewed against approved job specifications by the HR Department to ensure consistency, appropriateness, and accuracy.
4. Requisitions will be faxed to the Finance Department for review and/or to determine if further approval is required.
 - a. Requisitions released by the Finance Department are entered into SAIC-Frederick, Inc.’s job posting system (AJOB2), which assigns each job a unique identifying number.
 - b. Requisitions needing further approval require a formal memo of justification from the hiring department. The HR Department will obtain NCI-Frederick contracting officer approval (COA) for all such requisitions prior to posting. This request (known as HR letter) will be signed by the requesting directorate head.
5. Concurrent with the Finance Department review, the requisition will be forwarded to the appropriate employment specialist for review of (and/or edits to) the required posting information.
6. The HR Department will notify the hiring manager and the approved source of the requisition number.
7. The requisition will be posted for a minimum of five (5) business days before an offer of employment can be extended against it.

VI. Attachments

(NONE)

VII. Records

The HR Department will maintain all records.

STANDARD PROCESS

Section H: Human Resources (HR)
Number/Title: **H306/Extending Offers of Employment**
Date Issued: January 2005
Revision:
SP Contact: Manager, Employment, HR, 301-846-5366

I. Purpose

This Standard Process (SP) outlines the guidelines and process for offering a position to a prospective employee (external/internal).

II. References

The most recent version of forms referenced in this Standard Process may be obtained by contacting the Human Resources Department, extension 5362.

III. Definitions

HR: Human Resources

SP: Standard Process

IV. Scope

This SP applies to all hiring authorities within SAIC-Frederick, Inc.

V. Processes/Guidelines**A. Policy**

All selected candidates will receive both a verbal and formal written offer of employment.

B. Process

1. At the conclusion of the interview process, hiring managers/designees must submit a completed "Request for Offer to Candidate" form to the appropriate employment specialist.
 - a. Candidates who are not "protected individuals," as identified on the employment application, must be reviewed by SAIC Corporate Human Resources (HR) against the restricted parties list.
 - b. Reference documentation must accompany the offer form; otherwise, the offer will be delayed until this information is received.
 - c. The disposition of all interviewed candidates must be indicated.
 - d. Signatures must comply with required approval levels for the program area.
2. The HR Department will determine salary and extend a verbal offer, contingent upon:
 - a. Verification of current/previous employment,
 - b. Verification of educational degrees,
 - c. Successful completion of a pre-employment drug screen,

Number/Title: **H306/Extending Offers of Employment (continued)**

- d. Successful completion of a medical evaluation based on essential job functions, and
- e. Successful completion of a background check.
- 3. If relocation is requested, the HR department will verify the amount with the hiring manager, and will secure NCI-Frederick contracting officer approval as necessary.
- 4. Once a verbal offer has been accepted, the HR Department will send a formal written offer of employment (with pre-employment forms and orientation materials) to the selected candidate.
- 5. The employment specialist will notify the hiring manager of the acceptance, and a copy of the offer letter will be sent to the program area.

VI. Attachments

(NONE)

VII. Records

The HR Department will maintain all records.

STANDARD PROCESS

Section H: Human Resources (HR)
Number/Title: **H307/Reference Checking**
Date Issued: January 2005
Revision:
SP Contact: Manager, Employment, HR, 301-846-5366

I. Purpose

This Standard Process (SP) outlines the guidelines and processes for checking employment references on external and internal candidates before an offer is made. References confirm information obtained during the interview process and further assess the individual's capability and fit. This is an important and required part of the employment process and can help avoid costly hiring mistakes.

II. References

The most recent version of forms referenced in this Standard Process may be obtained by contacting the Human Resources Department, extension 5362.

III. Definitions

HR: Human Resources

SP: Standard Process

IV. Scope

This SP applies to all hiring authorities within SAIC-Frederick, Inc.

V. Processes/Guidelines

A. Policy

1. The selected candidate (both internal and external) must have employment references checked by the hiring manager/designee before an offer is made.
2. References should include at least the most recent supervisor or next-level manager, and other previous supervisors as appropriate. Two reference checks are required for external candidates and one for internal candidates.

B. Process

1. Once the final candidate has been identified, reference checks must be conducted and information recorded on the "Employee Reference Check" form or detailed in an e-mail to the employment specialist. Reference documentation must accompany the "Request for Offer to Candidate" and will become part of the personnel file.
2. For internal candidates, the hiring manager must request a review of the personnel file and contact the prior supervisor(s) for a verbal reference.
3. The ultimate responsibility for completed references lies with the hiring manager; however, who conducts the reference checks will depend on job content, the level of the individual being considered, and other factors.

Number/Title: H307/Reference Checking (continued)

4. Telephone reference checks or written letters of recommendation requested by the hiring manager are acceptable.
5. For comparison purposes, the hiring manager should ask the same questions of all references and paraphrase or quote the conversation on the reference form, whenever possible.
6. The hiring manager (or designee) must verify recommendation letters with a follow-up phone call to the author, then initial and date the letter to confirm validity.
7. If a reference provides unfavorable information regarding the candidate's prior performance, the hiring manager must discuss the information with the employment specialist before a final hiring decision is made.

VI. Attachments

(NONE)

VII. Records

The HR Department will maintain all records.

STANDARD PROCESS

Section H: Human Resources (HR)
Number/Title: **H308/Sourcing Qualified Candidates**
Date Issued: January 2005
Revision:
SP Contact: Manager, Employment, HR, 301-846-5366

I. Purpose

This Standard Process (SP) outlines the guidelines for identifying internal and external candidates who meet the qualifications necessary to successfully perform the duties of a posted position.

II. References

(NONE)

III. Definitions

HR: Human Resources

SP: Standard Process

IV. Scope

This SP applies to employment specialists and hiring managers who are responsible for staffing requisitions within SAIC-Frederick, Inc.

V. Processes/Guidelines**A. Policy**

Candidates for employment are identified by employment specialists and hiring managers solely based upon their ability to meet the educational and skill requirements necessary to successfully perform the duties of a posted job.

B. Procedure

1. The Human Resources (HR) Department posts all open positions on <http://saic.ncifcrf.gov> and www.saic.com as the first step in the recruitment process.
2. Employment specialists review the SAIC-Frederick, Inc., availability list of laid-off employees looking for new job opportunities.
3. Employment specialists review all submitted internal transfer requests to evaluate the qualifications of an internal employee against the requirements of a posted job.
4. Positions are electronically posted on a variety of Web sites applicable to the job opening. These sites include both general and niche job boards in an effort to target the most qualified candidates.
5. Where appropriate, employment specialists will utilize resume database subscriptions to seek out qualified candidates, using electronic key word searches.
6. Employment specialists, in partnership with hiring managers, may also use nontraditional methods for sourcing qualified candidates (i.e., cold calling, networking, etc.).

Number/Title: **H308/Sourcing Qualified Candidates (continued)**

VI. Attachments

(NONE)

VII. Records

The HR Department will maintain all records.

STANDARD PROCESS

Section H: Human Resources (HR)
Number/Title: **H309/Screening Candidates for Employment**
Date Issued: January 2005
Revision:
SP Contact: Manager, Employment, HR, 301-846-5366

I. Purpose

This Standard Process (SP) outlines the guidelines and processes for screening candidates for employment.

II. References

(NONE)

III. Definitions

SP: Standard Process

IV. Scope

This SP applies to employment specialists who are responsible for filling requisitions within SAIC-Frederick, Inc.

V. Processes/Guidelines**A. Policy**

Prior to forwarding any resumes to the hiring manager for review, candidates for employment are screened by the employment specialist to ensure that they meet the posted minimum qualifications of the job opening.

B. Procedure

1. Employment specialists review all resumes that are submitted against a posted position via Web sites, employee referrals, internal transfer requests, sourced either by employment specialists or managers, or by any other means.
2. Screening takes place by contacting the candidate by phone or e-mail, or in some cases, by regular mail.
3. During the screening process, employment specialists confirm that:
 - a. The position is of interest to the candidate,
 - b. The candidate's experience/education is accurately reflected in the resume,
 - c. The candidate's salary requirements are within the range for the position,
 - d. The candidate is willing to work/relocate to the area where the position is located.
4. If the candidate is deemed to be qualified, the resume is forwarded to the hiring manager for his/her review.
5. No further investigation of a candidate's background is permitted at this stage of the recruitment process.

VI. Attachments

(NONE)

VII. Records

The Human Resources Department will maintain all records.

STANDARD PROCESS

Section H: Human Resources (HR)

Number/Title: **H310/Employment Application Process for External Candidates**

Date Issued: January 2005

Revision:

SP Contact: Manager, Employment, HR, 301-846-5366

I. Purpose

This Standard Process (SP) outlines the guidelines and processes for external candidates to access and apply for job vacancies within SAIC-Frederick, Inc.

II. References

(NONE)

III. Definitions

HR: Human Resources

Protected individual: A person who, as defined in 8 U.S.C. 1324(a)(3), is a U.S. citizen or national, an alien lawfully admitted for permanent residence (i.e., an alien possessing a valid form I-550, or “green card”), asylee, or refugee.

SP: Standard Process

IV. Scope

This SP applies to all external candidates applying for job vacancies within SAIC-Frederick, Inc.

V. Processes/Guidelines

A. Policy

All external candidates must apply for posted vacancies on-line at <http://saic.ncifcrf.gov> or www.saic.com. Candidates applying by any other means will be redirected to these sites.

B. Procedure

1. All external candidates inquiring about current job vacancies are directed to the SAIC-Frederick, Inc., Web sites at <http://saic.ncifcrf.gov> or www.saic.com. On both sites, external candidates will be able to search posted openings by location, category, and other criteria.
2. If an appropriate job vacancy is identified by an external candidate, he/she must apply on-line through the link provided with the posting information.
3. Submissions from external candidates are automatically routed (electronically through the Web sites) to the e-mail inbox of the employment specialist assigned to recruit for that opening.
4. Each submitted resume is screened as outlined in the Standard Procedure H308, Sourcing Qualified Candidates.

**Number/Title: H310/Employment Application Process for External Candidates
(continued)**

5. Once the external candidate has been selected for interview, the employment specialist e-mails the “Application for Employment” to the candidate to complete, print, and bring to the scheduled interview. (Applications may also be faxed or sent via regular e-mail if a working e-mail address is not available.)
6. At the time of the interview, the employment specialist verifies the completeness of the “Application for Employment” and ensures that it has been properly signed and dated.
7. Areas of potential concern are scrutinized by the employment specialist and, if needed, brought to the attention of the Human Resources (HR) Department management for further discussion. These areas include:
 - a. “Protected individual” concerns,
 - b. Preferred salary requirement above the range for the position,
 - c. Incomplete (or unexplained gaps in) work history,
 - d. Felony convictions, or
 - e. Previous involuntary dismissal from employment.
8. A copy of the candidate’s “Application for Employment” is provided to the hiring manager or his/her designee for use during the interview process.

VI. Attachments

(NONE)

VII. Records

The HR Department will maintain all records.

STANDARD PROCESS

Section H: Human Resources (HR)
Number/Title: **H311/Verification of Educational Credentials**
Date Issued: January 2005
Revision:
SP Contact: Manager, Employment, HR, 301-846-5366

I. Purpose

This Standard Process (SP) outlines the guidelines and processes for verifying the educational credentials of newly hired employees of SAIC-Frederick, Inc. This process confirms the information provided in the education section of the "Application for Employment."

II. References

(NONE)

III. Definitions

HR: Human Resources

SP: Standard Process

IV. Scope

This SP applies to all newly hired employees of SAIC-Frederick, Inc.; there are no exceptions.

V. Processes/Guidelines

A. Policy

All completed education, high school diploma/GED and above, must be verified by the Human Resources (HR) Department.

B. Procedure

1. After the verbal offer has been extended, the employment specialist inserts "Verification of Education" forms into the requisition file for each level of education completed.
2. The personnel assistant III sends the appropriate number of forms to the new hire as part of the offer packet.
3. The new hire must fully complete the applicant portion and sign/date each form.
4. When the forms are returned to the HR Department, each one is copied prior to being mailed to the listed college/university. Copies are retained for cases where a second request to the school needs to be sent.
5. The personnel assistant III maintains a spreadsheet to track the status of each form; entries are deleted when the forms are returned as "verifiable."
 - a. In the event the educational level is "not verifiable," the form is given to the employment specialist for follow up with the new hire.

Number/Title: H311/Verification of Educational Credentials (continued)

- b. The new hire may provide for inspection an original diploma or raised-seal transcript as verification of a completed degree. Copies are made and attached to the original forms.
 - c. In the event an original diploma/transcript is not in English, the new hire is responsible for having it formally translated by an accredited translator. These translations are filed with the original forms.
 - d. The HR Department will process and pay for verifications from colleges/universities that use a third-party Web site for degree verifications.
6. Completed “Verification of Education” forms (with any supporting documentation) are placed in the new hire’s personnel file.

VI. Attachments

(NONE)

VII. Records

The HR Department will maintain all records.

STANDARD PROCESS

Section H: Human Resources (HR)
Number/Title: **H312/Verification of Previous Employment**
Date Issued: January 2005
Revision:
SP Contact: Manager, Employment, HR, 301-846-5366

I. Purpose

This Standard Process (SP) outlines the guidelines and processes for verifying the complete employment history of newly hired employees of SAIC-Frederick, Inc. This process confirms the information provided in the work history section of the “Application for Employment.”

II. References

(NONE)

III. Definitions

HR: Human Resources

SP: Standard Process

IV. Scope

This SP applies to all newly hired employees of SAIC-Frederick, Inc.

V. Processes/Guidelines

A. Policy

Full employment history is verified by the Human Resources (HR) Department and encompasses all previous positions/employers. Falsified information or omissions is grounds for termination.

B. Procedure

1. After the verbal offer has been extended, the employment specialist inserts a blank “Verification of Employment” form into the requisition file for each completed section under “Work History.”
2. The personnel assistant III sends the appropriate number of forms to the new hire as part of the offer packet.
3. The new hire must fully complete the applicant portion and sign/date each form.
4. When the forms are returned to the HR Department:
 - a. Contact information is compared to the information provided on the application.
 - b. Forms that cannot be matched to the application are given to the employment specialist for follow-up with the new hire.
 - c. The personnel assistant III completes the HR Department section on matched forms and makes a copy of each form prior to mailing it to the listed contact. Copies are retained for cases in which a second request to the contact needs to be sent.

Number/Title: **H312/Verification of Previous Employment (continued)**

5. In the event the forms are returned with information that contradicts the application, the employment manager will review the discrepancies and direct the employment specialist to follow up with the new hire.
6. It is acceptable for the new hire to provide pay stubs or W-2 forms as verification of previous employment.
7. The HR Department will process and pay for verifications from companies that use a third-party Web site or “1-900” phone numbers for employment verifications.
8. Completed “Verification of Employment” forms (with any supporting documentation) are placed in the new hire’s personnel file.

VI. Attachments

(NONE)

VII. Records

The HR Department will maintain all records.

Section I: Office of the President

STANDARD PROCESS

Section I: Office of the President
Number/Title: **I001/Disclosure of Significant Financial Interest Procedures**
Date Issued: April 2006
Revision: March 2008
SP Contact: President, SAIC-Frederick, Inc., 301-846-1154

I. Purpose

The purpose of this Standard Process (SP) is to provide a step-by-step guide to SAIC-Frederick, Inc., employees when completing the Disclosure of Significant Financial Interest (DSFI) Form.

II. References

Disclosure of Significant Financial Interest Form can be accessed at: http://web.ncifcrf.gov/campus/forms/SAIC_Disclosure_Financial_Interests.doc

Science Applications International Corporation (SAIC) Standards of Business Ethics and Conduct Handbook, January 2006

SG-1 Standards of Business Ethics and Conduct, SAIC Corporate, Revision 5, issued October 19, 2005

Operations and Technical Support (OTS) Contract Article addressing Organizational Conflict of Interests

Subpart F of Part 50 of the U.S. Code of Federal Regulations, Title 42, and Part 94 of the U.S. Code of Federal Regulations Title 45

III. Definitions

C&A: Contracts and Administration

CRADA: Cooperative Research and Development Agreement

DHHS: Department of Health and Human Services

DSFI: Disclosure of Significant Financial Interest

HR: Human Resources

NCI: National Cancer Institute

OTS: Operations and Technical Support

PHS: Public Health Service, a Division of DHHS

RFP: Request for Proposal

SAIC: Science Applications International Corporation

SP: Standard Process

IV. Scope

This SP applies to all doctorate-level employees, directors, employees listed on an NIH clinical protocol as an Associate Investigator/Medical Advisory Investigator/Research Contact, or other SAIC-Frederick, Inc., employees as designated by the president, SAIC-Frederick, Inc., who are

Number/Title: **1001/Disclosure of Significant Financial Interest Procedures**
(continued)

responsible for the design, conduct, or reporting of research under the National Cancer Institute (NCI) OTS contract resulting from a Request for Proposal (RFP). This SP also applies to any SAIC-Frederick, Inc., employee who is currently involved, or who may become involved, in any outside consulting activities, work for others, partnership relationships, and scientific collaborations under a Cooperative Research and Development Agreement (CRADA), including providing consulting services to the Department of Health and Human Services (DHHS) under a contract outside of the OTS contract.

No SAIC-Frederick, Inc., employee or any member of the employee's household or immediate family (employee's spouse and dependent children) may have financial interest in materials, equipment, supplies, or property to be purchased by the company based upon information gained in the performance of the employee's duties and not available to the general public.

No SAIC-Frederick, Inc., employee or any member of the employee's household or immediate family (employee's spouse and dependent children) shall be involved in any business transaction with the company wherein a conflict of interest exists, could exist, or appears or is perceived to exist.

No SAIC-Frederick, Inc., employee or any member of the employee's household or immediate family (employee's spouse and dependent children) may have a substantial financial interest in an organization with which the company does business. Substantial financial interest includes being a proprietor or partner, or owning stocks or bonds in excess of five percent (5%) of the total stocks or bonds of a corporation. If any deviation from this policy is contemplated, the personal or financial interests of the SAIC-Frederick, Inc., employee must be fully disclosed in writing, via normal channels, to the Office of the President. This disclosure will include a description of the dollar amount involved in the proposed transaction. This review and approval must be completed prior to the business transaction being taken.

Biennially, each director, doctoral-level employee, or other SAIC-Frederick, Inc., employee as designated by the president, SAIC-Frederick, Inc., will be required to submit a completed and signed DSFI Form to the Office of the President, SAIC-Frederick, Inc.

Employees are not authorized to use or allow the use of NCI-Frederick property, software, equipment, or facilities for non-company business unless the use is approved in advance by the director, Contracts and Administration (C&A).

V. Processes/Guidelines

The following procedures must be followed when submitting a DSFI Form:

- A.** A significant financial interest is anything of monetary value, including, but not limited to, salary or other payments for services (e.g., consulting fees or honoraria); equity interests (e.g., stocks, mutual funds, stock options, or other ownership interests); and intellectual property rights (e.g., patents, copyrights, and royalties from such rights).

Number/Title: **I001/Disclosure of Significant Financial Interest Procedures**
(continued)

- B.** A significant financial interest does not include:
1. Salary, royalties, or other remuneration from SAIC-Frederick, Inc.;
 2. Any ownership interests in SAIC;
 3. Income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities;
 4. Income from service on advisory committees or review panels for public or nonprofit entities;
 5. An equity interest that, when aggregated for the SAIC-Frederick, Inc., employee and/or his or her spouse and/or dependent children, meets both of the following tests:
 - a. Does not exceed \$10,000 in value as determined through reference to public prices or other reasonable measures of fair market value on the date of disclosure, and
 - b. Does not represent more than a 5% ownership interest in any single entity.
 6. Salary, royalties, or other payments that, when aggregated over the next 12 months for the SAIC-Frederick, Inc., employee and/or his or her spouse and/or dependent children, are not expected to exceed \$10,000.
- C.** The SAIC-Frederick, Inc., Human Resources (HR) Department will provide each new director, or doctoral-level or other designated employee with a copy of the DSFI SP and Form with his/her offer of employment package to complete and return as a contingency of employment to:
- Office of the President
SAIC-Frederick, Inc.
P. O. Box B, Building 428, Room 54
Frederick, MD 21702-1201
- D.** The DSFI Form shall be completed by employees who may become listed on an NIH clinical protocol as an Associate Investigator/Medical Advisory Investigator/Research Contact, and who would otherwise not be required to report significant financial interests.
- E.** The information will be provided on a biennial basis (by the end of the month of May of each alternate year). Biennially, at the beginning of April of each alternate calendar year, the prime contract coordinator will provide each doctoral-level employee with a reminder memo and the DSFI Form to complete and forward to the Office of the President, SAIC-Frederick, Inc. The form is to be completed and signed even if there is no new information to report.
- F.** The DSFI Form shall be updated at such time that there is a material change in the information disclosed. Disclosure forms do not need to be updated during the year for changes in values that are attributable to market value fluctuations.

Number/Title: **I001/Disclosure of Significant Financial Interest Procedures**
(continued)

- G.** To protect privacy, forms are to be submitted by the doctoral-level employee, director, or other designated SAIC-Frederick, Inc., employee to:

Office of the President
SAIC-Frederick, Inc.
P. O. Box B, Building 428, Room 54
Frederick, Maryland 21702-1201

SAIC-Frederick, Inc., line management and NCI officials will generally not have access to this information. DHHS has the right to audit this information and is obligated to maintain the confidentiality of the information. SAIC-Frederick, Inc., line management will have access to the information only in the event of a determination of a conflict of interest and the need to manage the conflicting interest.

- H.** The information provided will be reviewed by the president, SAIC-Frederick, Inc., or his/her designee. The president, SAIC-Frederick, Inc., or his/her designee may contact the employee to discuss any situations that may represent an actual or potential conflict of interest. The president may seek additional input from the SAIC-Frederick, Inc., employee, NCI, or SAIC-Frederick, Inc., management staff as he/she deems necessary to determine whether a significant financial interest could directly and significantly affect the design, conduct, or reporting of the Public Health Service (PHS)-funded research under the OTS contract.
- I.** The information provided will be reviewed by the president, SAIC-Frederick, Inc., or his/her designee to determine whether there is a conflict of interest. Examples of conditions or restrictions that might be imposed to mitigate conflicts of interest include, but are not limited to:
- 1.** Public disclosure of significant financial interests;
 - 2.** Monitoring of research by independent reviewers;
 - 3.** Modification of the research plan;
 - 4.** Disqualification from participation in all or a portion of the research funded by the PHS;
 - 5.** Divestiture of significant financial interests; and
 - 6.** Severance of relationships that create actual or potential conflicts. These options will be discussed with the SAIC-Frederick, Inc., employee prior to any final decision.
- J.** A list of organizations reported by employees as having a significant financial interest is kept current and is cross-referenced semiannually with a vendor list to determine if a conflict exists.

Number/Title: **I001/Disclosure of Significant Financial Interest Procedures**
(continued)

VI. Attachments

(NONE)

VII. Records

The completed forms will be maintained in the Office of the President or his/her designee for at least five years from the date submitted.

STANDARD PROCESS

Section I: Office of the President
Number/Title: **I002/Research Involving the Use of Human Subjects**
Date Issued: September 2006
Revision: August 2007
SP Contact: President, SAIC-Frederick, Inc., 301-846-1154

I. Purpose

This Standard Process (SP) establishes processes and procedures to ensure compliance with the National Cancer Institute at Frederick (NCI-Frederick) policy and the Operations and Technical Support (OTS) contract with respect to research involving the use of human subjects.

II. References

- A. NIH Federalwide Assurance (FWA) FWA00005897, <http://www.nihtraining.com/ohsr/site/New/fwa.pdf>
- B. OTS Contract N01-CO-12400, Section H, Article 6 and Section I, Article I.3.b.
- C. U.S. Code of Federal Regulations, Title 45, Part 46 (45 CFR Part 46)
- D. OHSR computer-based training, <http://www.nihtraining.com/ohsr/site/index.html>
- E. Gottesman/Sandler decision regarding the Tobacco Clinic, June 16, 2003
- F. Decision charts from the Office of Human Research Protections, <http://www.hhs.gov/ohrp/humansubjects/guidance/decisioncharts.htm>
- G. NIH Clinical Center's Clinical Research Training course, <http://www.cc.nih.gov/researchers/training/crt.shtml>
- H. "Guidelines for the Conduct of Research Involving Human Subjects at the NIH" (the Gray Book), <http://www.nihtraining.com/ohsr/site/guidelines/GrayBooklet82404.pdf>

III. Definitions

APO: Appropriate NCI Project Officer

CFR: Code of Federal Regulations

DHHS: Department of Health and Human Services

FWA: Federalwide Assurance

IRB: Institutional Review Board

NCI: National Cancer Institute

NIH: National Institutes of Health

OHSR: Office of Human Subjects Research, NIH

OHRP: Office of Human Research Protections, DHHS

OSO: Office of Scientific Operations

OTS: Operations and Technical Support

Number/Title: **I002/Research Involving the Use of Human Subjects
Procedures (continued)**

PI: Principal Investigator (for purposes of an IRB protocol)

SAIC: Science Applications International Corporation

SP: Standard Process

45 CFR Part 46: U.S. Code of Federal Regulations, Title 45, Part 46

IV. Scope

As the OTS contractor for NCI-Frederick, SAIC-Frederick, Inc., falls under the auspices of the NIH Federalwide Assurance (FWA) — the reference to NCI-Frederick within the FWA is “Natl Cancer Inst (NCI) - Frederick MD Cancer Resrch & Dev Ct FREDERICK MD” — and is therefore obligated to comply with the Terms of Assurance embodied in the FWA, which assures compliance with Department of Health and Human Services (DHHS) regulations detailed in 45 CFR Part 46.

All research conducted at SAIC-Frederick, Inc., involving human subjects shall commence only when Institutional Review Board (IRB) approval or exemption from this requirement has been received from the NIH Office for Human Subjects Research (OHSR) through the Office of Scientific Operations (OSO), NCI-Frederick or the appropriate division office.

SAIC-Frederick, Inc., employees are not eligible to be the lead “Principal Investigator” (PI) on clinical trials or other research involving the use of human subjects that requires IRB approval or exemption from the requirement. Should an SAIC-Frederick, Inc., employee want to propose research involving the use of human subjects, an appropriate government PI must be identified to take the lead on such a research proposal.

To determine whether materials from human subjects, such as blood, serum, urine, sputum, etc., to be used in any proposed research activity require IRB protocol review or exemption from this requirement, reference the decision charts at the Office of Human Research Protections (OHRP) web site.

Individual directorates at SAIC-Frederick, Inc., may establish additional policies for implementing this SP as needed.

SAIC-Frederick, Inc., sub-contractor employees at NCI-Frederick who conduct or support research involving human subjects must also ensure that IRB approval or exemption from this requirement is received prior to commencing any research activity involving human subjects and must possess an approved assurance from OHRP.

V. Processes/Guidelines

A. Computer-based Training Requirement:

1. All doctoral-level SAIC-Frederick, Inc., employees and any other SAIC-Frederick, Inc., employees who conduct or support research involving human subjects must complete the computer-based training prepared by the OHSR at <http://www.nihtraining.com/ohsr/site/index.html>. Non-doctoral-level SAIC-Frederick, Inc., employees who must complete this training will be notified by their directorate management.

Number/Title: **I002/Research Involving the Use of Human Subjects
Procedures (continued)**

2. This training requirement shall be completed within one month of hire, for a new employee, or within the time specified by SAIC-Frederick, Inc., management in their memorandum to SAIC-Frederick, Inc., employees requiring them to complete this training.
3. Once all the training modules have been completed, the SAIC-Frederick, Inc., employee must print out the certificate of completion for the training. The certificate should be placed in the employee's training file, which is maintained within the directorate.
4. SAIC-Frederick, Inc., employees who will serve as associate investigators or medical advisors on clinical research protocols at the NIH must also complete the NIH Clinical Center's Clinical Research Training course.
5. In all cases, SAIC-Frederick, Inc., employees must complete their training before participating in any work involving human subjects.
6. Identification of employees requiring training and monitoring the completion of this training is the responsibility of directorate management

B. Guidelines for Requesting IRB Protocol Review or Exemption from this Requirement:

1. The SAIC-Frederick, Inc., employee must discuss all proposed work that involves the use of human subjects with their direct supervisor and directorate management within SAIC-Frederick, Inc., as appropriate.
2. All guidance on the appropriate procedures will be sought from the OSO.
3. The SAIC-Frederick, Inc., employee/supervisor should seek guidance from the appropriate NCI-Frederick Project Officer (APO; see list in Attachment 1) from whose area the work originated, and other NCI staff as directed by the APO.
4. If an APO for the area is not identified, the APO shall be the NCI-Frederick Project Officer.
5. The APO is responsible for ensuring that the protocols have been approved by an appropriate IRB, or that the protocols are exempt from the requirement for review.
6. The SAIC-Frederick, Inc. employee, direct supervisor, and directorate manager are responsible for ensuring that, under no circumstances, shall any work be conducted involving the use of human subjects until IRB approval or exemption is received.

Number/Title: **I002/Research Involving the Use of Human Subjects
Procedures (continued)**

VI. Attachments

Attachment 1, List of Appropriate NCI Project Officers

Attachment 2, OTS Contract N01-CO-12400, Section H, Article 6 and Section I, Article I.3.b

Attachment 3, Gottesman/Sandler decision regarding the Tobacco Clinic, June 16, 2003

VII. Records

All records related to research involving the use of human subjects and IRB protocol review or exemption from the requirement for review will be maintained by the involved directorate.

All training certificate records will be maintained in the employee's training file and maintained within the directorate.

List of Appropriate NCI Project Officers

SAIC-Frederick, Inc. Directorate	Appropriate NCI Project Officers			NCI Project Officer	
	Dr. Komschlies	Ms. Boissy	Dr. Creekmore		Dr. Cortner
Applied/Developmental Directorate (A/DD)	√				√
Basic Science Program (BSP)			√		√
Biopharmaceutical Development Program (BDP)		√			√
Clinical Research Directorate (CRD)	√				√
Contracts and Administration (C and A)					√
Environment, Health and Safety Program (EHS)		√			√
Facilities Maintenance and Engineering (FME)					√
Laboratory Animal Science Program (LASP)	√				√
Office of the President			√		√
Advanced Technology Program (ATP)		√			√
Vaccine Clinical Materials Program (VCMP)	√				√

**Operation and Technical Support Contract N01-CO-12400,
Section H, Article 6 and Section I, Article I.3.b**

ARTICLE H.6. HUMAN SUBJECTS

a. Some research activities conducted hereunder require participation of human subjects. These research activities must be conducted in accordance with the guidelines set out under Federalwide Assurance (FWA) FWA00005897 (formerly the NIH Multiple Project Assurance (MPA) M-1000) for the period November 17, 2003 through November 17, 2006, which assures compliance with DHHS regulations detailed in 45 CFR Part 46. The Contractor shall observe the requirements specified in the FWA in effect during the term of the contract. Additional contract requirements concerned with Protection of Human Subjects are found in PART II, SECTION I, ARTICLE I.3.b., HHSAR 352.270-8 Protection of Human Subjects.

b. It is hereby understood and agreed that no studies involving human subjects shall be conducted under this contract unless such studies have received either prior approval from the NCI Institutional Review Board (IRB) or exemption from the requirement for IRB approval from the NIH, Office for Human Research Protections (OHRP), OS, DHHS. It is further understood and agreed that guidance on the appropriate procedures will be sought from the appropriate NCI-Frederick Project Officer (The "appropriate NCI Frederick Project Officer" as used in this article, is the Project Officer or any of the Assistant Project Officers (APOs) named in Article G.1. from whose area the work originated. If an APO for the area is not identified in Article G.1. then "the appropriate NCI-Frederick Project Officer" is considered to be the Project Officer. Responsibility for assurance that the protocols have been approved rests with the Project Officer or the Assistant Project Officer having Government responsibility for the particular effort) and requests for approval or exemption will be submitted through the Office of Scientific Operations, NCI-Frederick to the IRB or OHRP, as appropriate. All changes to approved or exempted studies shall be instituted only upon appropriate review and approval of either the OHRP or the IRB via this office. Written notice of the IRB protocol approval or exemption by OHRP, and any changes thereto by the IRB or OHRP must be provided by the NCI-Frederick Contracting Officer. Failure to comply with this requirement shall result in the implementation of corrective procedures, including the possibility of termination, as defined in Title 45 Part 46 of the Code of Federal Regulations (45 CFR 46).

**ARTICLE I.3.b DEPARTMENT OF HEALTH AND HUMAN SERVICES ACQUISITION
REGULATION/PUBLIC HEALTH SERVICE ACQUISITION REGULATION (HHSAR)/
(PHSAR) (48 CHAPTER 3) CLAUSES:**

(2) HHSAR 352.224-70 Confidentiality of information.

The following clause is covered by the policy set forth in subpart 324.70 and is to be used in accordance with the instructions set forth in 324.7004.

Confidentiality Of Information (Apr. 1984)

(a) Confidential information, as used in this clause, means information or data of a personal nature about an individual, or proprietary information or data submitted by or pertaining to an institution or organization.

(b) In addition to the types of confidential information described in paragraph (a) of this clause, information which might require special consideration with regard to the timing of its disclosure may derive from studies or research, during which public disclosure of preliminary unvalidated findings could create erroneous conclusions which might threaten public health or safety if acted upon.

(c) The Contracting Officer and the Contractor may, by mutual consent, identify elsewhere in this contract specific information and/or categories of information which the Government will furnish to the Contractor or that the Contractor is expected to generate which is confidential. Similarly, the Contracting Officer and the Contractor may, by mutual consent, identify such confidential information from time to time during the performance of the contract. Failure to agree will be settled pursuant to the "Disputes" clause.

(d) If it is established elsewhere in this contract that information to be utilized under this contract, or a portion thereof, is subject to the Privacy Act, the Contractor will follow the rules and procedures of disclosure set forth in the Privacy Act of 1974, 5 U.S.C. 552a, and implementing regulations and policies, with respect to systems of records determined to be subject to the Privacy Act.

(e) Confidential information, as defined in paragraph (a) of this clause, that is information or data of a personal nature about an individual, or proprietary information or data submitted by or pertaining to an institution or organization, shall not be disclosed without the prior written consent of the individual, institution, or organization.

(f) Written advance notice of at least 45 days will be provided to the Contracting Officer of the Contractor's intent to release findings of studies or research, which have the possibility of adverse effects on the public or the Federal agency, as described in paragraph (b) of this clause. If the Contracting Officer does not pose any objections in writing within the 45-day period, the Contractor may proceed with disclosure. Disagreements not resolved by the Contractor and the Contracting Officer will be settled pursuant to the "Disputes" clause.

(g) Whenever the Contractor is uncertain with regard to the proper handling of material under the contract, or if the material in question is subject to the Privacy Act or is confidential information subject to the provisions of this clause, the Contractor should obtain a written determination from the Contracting Officer prior to any release, disclosure, dissemination, or publication.

(h) Contracting Officer determinations will reflect the result of internal coordination with appropriate program and legal officials.

(i) The provisions of paragraph (e) of this clause shall not apply when the information is subject to conflicting or overlapping provisions in other Federal, State or local laws.

(End of clause)

(4) HHSAR 352.270-8 Protection of human subjects.

(a) The Contractor agrees that the rights and welfare of human subjects involved in research under this contract shall be protected in accordance with 45 CFR Part 46 and with the Contractor's current Assurance of Compliance on file with the Office for Protection from Research Risks (OPRR), National Institutes of Health (NIH). The Contractor further agrees to provide certification at least annually that the Institutional Review Board has reviewed and approved the procedures, which involve human subjects in accordance with 45 CFR Part 46 and the Assurance of Compliance.

(b) The Contractor shall bear full responsibility for the performance of all work and services involving the use of human subjects under this contract in a proper manner and as safely as is feasible. The parties hereto agree that the Contractor retains the right to control and direct the performance of all work under this contract. Nothing in this contract shall be deemed to constitute the Contractor or any subcontractor, agent or employee of the Contractor, or any other person, organization, institution, or

group of any kind whatsoever, as the agent or employee of the Government. The Contractor agrees that it has entered into this contract and will discharge its obligations, duties, and undertakings and the work pursuant thereto, whether requiring professional judgement or otherwise, as an independent contractor without imputing liability on the part of the Government for the acts of the Contractor or its employees.

(c) If at any time during the performance of this contract, the Contracting officer determines, in consultation with the OPRR, NIH, that the Contractor is not in compliance with any of the requirements and/or standards stated in paragraphs (a) and (b) above, the Contracting Officer may immediately suspend, in whole or in part, work and further payments under this contract until the Contractor corrects the noncompliance. Notice of the suspension may be communicated by telephone and confirmed in writing. If the Contractor fails to complete corrective action within the period of time designated in the Contracting Officer's written notice of suspension, the Contracting Officer may, in consultation with OPRR, NIH, terminate this contract in a whole or in part, and the Contractor's name may be removed from the list of those contractors with approved Health and Human Services Human Subject Assurances.

(End of clause)

**Gottesman/Sandler Decision Regarding
the Tobacco Clinic, June 16, 2003**

**NIH Intramural Research Program
Human Subjects Research Conducted at the NIH with Contract Support**

- (1) SAIC may rely on the NIH IRB review, approval and oversight of clinical research protocols in which their employees or subcontractors are involved along with NIH employees. To do so, the human subjects protection official with SAIC must agree, and the contract must specify such reliance as well as the requirement that contract or subcontract employees will adhere to all applicable NIH human subject research policies and procedures.
- (2) SAIC employees or subcontractors supporting or conducting human subject research at the NIH must meet the same, institutional, professional, clinical and educational standards as NIH employees.
- (3) When clinical research is conducted on NIH owned or leased property, the Principal Investigator must be an NIH employee.
- (4) SAIC employees or subcontractors must be identified by role and responsibility in the protocol to be reviewed and approved by the NIH IRB.
- (5) SAIC employees or subcontractors serving in clinical roles for which NIH employees would normally require credentialing by the NIH Clinical Center must also be credentialed.
- (6) All SAIC employees and subcontractors involved in research conducted on NIH property must complete the computer-based training program on the protection of human subjects offered by the NIH Office of Human Subjects Research (OHSR) (<http://ohsr.od.nih.gov>).
- (7) SAIC employees or subcontractors who will serve as Associate Investigators or Medical Advisors on clinical research protocols at the NIH must also complete the NIH Clinical Center's Clinical Research Training course (<http://clinicalcenter.nih.gov/researchers/training/crt.shtml>).
- (8) NIH IRBs will not review and approve human subjects research protocols involving only SAIC employees or subcontractors.
- (9) OHSR will not grant exemptions from IRB review and approval of research for research activities involving only SAIC employees or subcontractors.

STANDARD PROCESS

Section I: Office of the President
Number/Title: **I003/Application for an Outside Grant Procedure**
Date Issued: January 2007
Revision: None
SP Contact: President, SAIC-Frederick, Inc., 301-846-1154

I. Purpose

The purpose of this Standard Process (SP) is to ensure uniform compliance throughout SAIC-Frederick, Inc., when SAIC-Frederick, Inc., employees apply for grant funding outside of the Operations and Technical Support (OTS) Contract. Grant support can only be used for work that is an extension of the laboratory's goals and mission. SAIC-Frederick, Inc., employees are prohibited from applying for any federal grants except those funded by the National Science Foundation. SAIC-Frederick, Inc., employees may apply for grants to any non-federal entities, unless there is a conflict of interest or adverse terms associated with such grants. SAIC-Frederick, Inc., as part of the Federally Funded Research and Development Center (FFRDC) at NCI-Frederick, can be a partner for a small business applying for Small Business Technology Transfer Research (STTR) program funding; however, depending on the work being done, the partnering activities may more appropriately fall under the Work for Others program (<http://web.ncifcrf.gov/research-technologies/default.asp>).

All SAIC-Frederick, Inc., postdoctoral fellows and other trainees are to be encouraged to identify potential funding opportunities, initiate writing a grant application and to submit it for review, so as to gain experience and potential funding to better prepare them for the transition from a training position into the scientific workplace.

II. References

Small Business Technology Transfer Program Policy Directive (RIN 3245-AE96) published on December 16, 2005

III. Definitions

ALS: Acquisition and Logistical Services

CA Number: SAIC-Frederick, Inc., Contracts and Administration tracking number assigned to all formal correspondence sent to NCI-Frederick

C&A: Contracts and Administration

CO: Contracting officer

DNA: Deoxyribonucleic acid

EHS: Environment, Health, and Safety

FFRDC: Federally Funded Research and Development Center

FM: Financial Management

IACUC: Institutional Animal Care and Use Committee

IBC: Institutional Biosafety Committee

IP: Intellectual Property
IRB: Institutional Review Board
LASP: Laboratory Animal Sciences Program
NCI: National Cancer Institute
OPIM: Other Potentially Infectious Materials
OTS: Operations and Technical Support
RFP: Request for Proposal
SAIC: Science Applications International Corporation
SP: Standard Process
STTR: Small Business Technology Transfer Research

IV. Scope

- A.** Soliciting and obtaining grant money involves the following SAIC-Frederick, Inc., departments, as appropriate:
- 1. SAIC-Frederick, Inc., Program** conducting the research or providing the service
 - 2. Environment, Health, and Safety**
Institutional Biosafety Committee (IBC) for work with recombinant DNA, human pathogens/Other Potentially Infectious Materials (OPIM), biotoxins, and transgenic animals
 - 3. Laboratory of Animal Support and Pathology**
Institutional Animal Care and Use Committee (IACUC) for research involving animals
 - 4. Contracts and Administration (C&A):**
 - a.** Director, Acquisition and Logistical Services (ALS); and
 - b.** Intellectual Property Administration
 - 5. Financial Management (FM):**
 - a.** Budget and Cost Management;
 - b.** Financial Operations; and
 - c.** General Ledger.
- B.** Internal review and approval processes that may be needed before the grant project is initiated:
- 1.** Monitoring the terms of the grant;
 - 2.** Identifying the level of effort required;

3. Determining that the scientific, budgetary, and resource commitment fall within the OTS Contract Statement of Work (note that SAIC-Frederick, Inc., may not receive funding for work that is already funded—see V.A.2., page 3);
 4. Intellectual Property, including Patent Rights and Rights in Data;
 5. Institutional Review Board (IRB) Assurance and Compliance requirements involving the use of human subjects (see SP I002 related to “Use of Human Subjects”),
 6. Meeting IACUC requirements for animal use in research;
 7. Getting IBC approval for work with recombinant DNA, human pathogens/OPIM, biotoxins, and transgenic animals;
 8. Obtaining appropriate material transfer or collaboration agreements for biological material and/or data transfers between collaborators;
 9. Meeting Public Policy requirements;
 10. Maintaining research integrity and avoiding research misconduct; and
 11. Assessing risks and liabilities relative to the grant and grant source.
- C. These factors must be considered and administered appropriately if a grant is awarded.

V. Processes/Guidelines

A. Grant Application Guidelines, as applicable

1. Work under the grant application must be within the scope of the statement of work of the OTS Contract.
2. SAIC-Frederick, Inc., may not receive funding for work that is already funded under the FFRDC (e.g., the grant cannot pay for the same work already being funded under the OTS contract).
3. Work performed under the grant must not require additional space.
4. If the work under the grant requires additional personnel, it must be understood that the additional personnel may be released upon termination of the grant work.
5. Work under the grant cannot interfere with ongoing work and should complement work being performed under the OTS Contract.
6. The grant applicant must define the advantages of the grant work to NCI-Frederick (e.g., will bring new technology to NCI-Frederick).
7. The grant applicant must define the advantages of the grant to the individual, as applicable (e.g., enhances the career of a new investigator seeking advanced education, provides experience in grant writing and application process for postdoctoral fellows).

B. Roles and Responsibilities**1. SAIC-Frederick, Inc., Lead Scientist**

- a. Identify available funding opportunities and prepare grant application in compliance with this policy.
- b. Prepare grant application justification and request for approval through SAIC-Frederick, Inc., management.
- c. Receive and forward to Director, ALS, the grant award/denial notification.
- d. Coordinate grant project performance within the Grantor's terms and conditions and the requirements of the OTS Contract.
- e. Initiate appropriate material transfer or collaboration agreement for the grant collaborator(s) when biological materials or data are to be transferred.
- f. Obtain appropriate IBC, IRB, or IACUC review and approval of the grant project.

2. SAIC-Frederick, Inc., Laboratory Administrative Contact

- a. Coordinate the administration of grant money with Financial Management.
- b. Document the progress of the project and report to the Grantor through the Director, ALS, in accordance with the terms and conditions of the grant and the OTS Contract.
- c. Coordinate the internal and external audit of the grant project.
- d. Notify the scientist 90 days before the end of the project period to finalize the project, accounting, and reporting processes.

3. FM department: coordinate all financial processes and procedures.**4. EHS Program:** coordinate IBC approval for work with recombinant DNA, human pathogens/OPIM, biotoxins, and transgenic animals.**5. LASP:** coordinate IACUC review and approval for animal use in research.**6. All IRB-related-reviews or exemptions:** coordinate with the NCI Project Officers, Office of Scientific Operations (refer to SP I002).**7. C&A:**

- a. Administer NCI-Frederick grant application approvals and notifications;
- b. Resolve IP and Inventions issues;
- c. Manage OTS Contract compliance and Public Policy requirements.

C. Procedure

Note: the SAIC-Frederick, Inc., scientist is strongly encouraged to obtain approval to submit a grant application prior to expending significant time and effort in drafting the grant application itself.

Number/Title: I003/Application for an Outside Grant Procedure (continued)

1. The requesting SAIC-Frederick, Inc., scientist submits the Research Grant Application form to the president of SAIC-Frederick, Inc., through the directorate head, by completing the “Research Grant Application” form at http://web.ncifcrf.gov/campus/forms/Interactive_Research_Grant_Application.pdf, which requires the following information:
 - a. Description of the grant, including the application deadline, grantor’s name and address;
 - b. Eligibility of SAIC-Frederick, Inc., to apply for the grant (include copy of program announcement or RFP);
 - c. Relationships of the grant applicant parties, if more than one;
 - d. Brief summary of the research project being proposed under the grant (about half a page);
 - e. Relationship of the grant research with the work currently being performed under the OTS Statement of Work, i.e., work falls within the scope of the OTS contract statement of work;
 - f. Benefit and relevance to the NCI-Frederick research objectives;
 - g. Nature of tangible deliverables and products, if any;
 - h. Operational impact (e.g., space, resources);
 - i. Cost analysis, including funding timeline (e.g., % time devoted to the grant; compensation of lead scientist);
 - j. Period of performance;
 - k. Terms of the grant, including requirements for host organization to contribute funds to the grant, such as services in kind and/or cash participation;
 - l. Intellectual Property considerations and potential conflict with patent right assignment to NCI;
 - m. Grant budget draft, including overhead charges, that has been reviewed by Budget and Cost Management department;
 - n. Export control issues; and
 - o. Assurance that work is performed within existing space.
2. President, SAIC-Frederick, Inc., reviews grant application form and related information for scientific merit. If grant application is determined to be meritorious, forward request memo to Director, ALS.
3. Director, ALS, or his designee evaluates grant application and related information for potential conflict(s) of interest and collects additional information as needed.
4. Director, ALS, or his designee assigns CA number and forwards a memorandum requesting approval to apply for the grant to the NCI-Frederick Project Officer and NCI-Frederick Contracting Officer through the President, SAIC-Frederick, Inc.

Number/Title: I003/Application for an Outside Grant Procedure (continued)

5. Upon notification of NCI-Frederick approval or disapproval, the Director, ALS, notifies the scientist and directorate administrator initiating the grant request.
6. Upon notification of NCI-Frederick approval to apply for the grant, the scientist may submit the grant application to the grant source by the grantor's published deadline.
7. Upon notification of the grant award or denial, the scientist notifies the Director, ALS, and identifies the administrative contact in his/her laboratory who will coordinate the administration of the grant.
8. Director, ALS, notifies the NCI-Frederick Contracting Office; and within SAIC-Frederick, Inc.: the Manager, Financial Operations, and the Environment, Health, and Safety Program of the grant award determination.
9. Annual Grant Application and Award Status Reports are submitted to the NCI-Frederick Contracting Office through the Director, ALS.

VI. Attachments

Attachment 1, Frequently Asked Questions about Applying for Grants

Attachment 2, Research Grant Application at: http://web.ncifcrf.gov/campus/forms/Interactive_Research_Grant_Application.pdf

VII. Records

Scientific records and scientific progress reports will be maintained by the lead scientist for the work performed on the grant project, consistent with other scientific data document retention requirements set forth in the OTS Contract.

Administrative records and accounting records will be maintained by C&A and FM, consistent with similar document retention requirements set forth in the OTS Contract.

FREQUENTLY ASKED QUESTIONS ABOUT APPLYING FOR GRANTS

- 1. What type of grant(s) may an SAIC-Frederick, Inc., scientist apply for?** SAIC-Frederick, Inc., scientists may apply for any non-federal grant as long as the terms of the grant do not conflict with the terms of the Operations and Technical Support contract. SAIC-Frederick, Inc., scientists may apply for federal grants only from the National Science Foundation. This restriction is to ensure that contractor operating the Federally Funded Research and Development Center at the National Cancer Institute at Frederick does not compete with the private sector for federal grant funding.
- 2. May an SAIC-Frederick, Inc., scientist be listed as a collaborator or subcontractor on another institutions grant application?** SAIC-Frederick, Inc., scientists may collaborate with other institutions on a grant, but such collaboration or promise of collaboration support may only be provided to the other institution(s) after the SAIC-Frederick, Inc., scientist has requested and received approval for this participation.
- 3. Who may apply for grant funding?** All SAIC-Frederick, Inc., scientists, regardless of their employment level, may take the lead in drafting a grant application. SAIC-Frederick, Inc., management encourages postdoctoral fellows to submit grant applications to gain experience with the grant process and to prepare them for entrance into the competitive world of scientific research. However, no formal grant application may be submitted until appropriate review and approval of the request to apply have been completed.
- 4. What is the scope of the statement of work of the Operations and Technical support contract?** The scope of the Operations and Technical Support contract is broad and encompasses work related to cancer and AIDS.
- 5. Why is it necessary to request approval before submitting a grant application?** All work conducted by SAIC-Frederick, Inc., employees must fall within the scope of work of the Operations and Technical Support contract and is supported by the National Cancer Institute, and other federal agencies through the National Cancer Institute. Work not specifically included in the statement of work must receive appropriate review and approval by the National Cancer Institute at Frederick management, to ensure that: (1) the work falls within the scope of work; (2) the work is not already being supported through the contract; and (3) the work is an appropriate use of federal facilities and contractor time and effort.
- 6. May an SAIC-Frederick, Inc., scientist apply for National Institutes of Health intramural grants, to support either a research project or career development?** No, SAIC-Frederick, Inc., is a contractor and therefore considered extramural for the purposes of NIH intramural grant funding. This may not be the case for division-level discretionary funding, however.

STANDARD PROCESS

Section I: Office of the President
Number/Title: **I004/Employee Outside Employment and Consulting**
Date Issued: March 2007
Revision: None
SP Contact: President, SAIC-Frederick, Inc., 301-846-1154

I. Purpose

This Standard Process (SP) establishes the format, process, and assignment of responsibility for the review, evaluation of conflict of interest and mitigation plan development, and approval/disapproval of both paid and unpaid outside employment and consulting activities engaged in by SAIC-Frederick, Inc. (SAIC-Frederick) employees.

The purpose of the SP is to ensure that SAIC-Frederick employees conduct themselves in an impartial manner and operate in the public interest, and that no apparent or actual conflict of interest arises from any outside employment or consulting activities.

II. References

Science Applications International Corporation (SAIC) Corporate SG-1 Standards of Business Ethics and Conduct (<https://issaic.saic.com/policy/ah/SG/01.html>)

SAIC Standards of Business Ethics and Conduct Handbook

Disclosure of Significant Financial Interest Form can be accessed at: http://web.ncifcrf.gov/campus/forms/SAIC_Disclosure_Financial_Interests.doc

OTS Contract N01-CO-12400, Section H, Article 40, Organizational Conflicts Of Interests

III. Definitions

ALS: Acquisition and Logistical Services

NCI-Frederick: National Cancer Institute at Frederick

OTS: Operations and Technical Support

Proprietary Information: Technical or business information, products, or inventions that have not been disclosed publicly, either in a written publication, or presented orally at a meeting open to the public and publicly announced.

SAIC: Science Applications International Corporation

SP: Standard Process

Outside Employment: Performance of work for an entity other than SAIC-Frederick in exchange for monetary compensation or work performed for a self or family-owned entity.

Outside Consulting: Acting in the role of advisor or providing subject matter knowledge or expertise within an agreement that is verbal or written and for which compensation may or may not be received. *Excluded from this definition is participation on Grant Review Committees.*

IV. Scope

This SP applies to all SAIC-Frederick Employees, both part-time and full-time.

V. Processes/Guidelines**A. Policy**

Employees must provide advance disclosure of any outside employment (including self-employment) which they believe may pose a potential conflict of interest as described below. Employees must provide advance disclosure of all outside consulting activities, whether paid or unpaid (with the exception of participation on Grant Review Committees). Such activities must meet certain ethical and legal standards, must not conflict with the employee's principal duties, and must have the approval of SAIC-Frederick management.

Outside employment (including self-employment) includes any activity for which the employee will receive compensation from an entity other than SAIC-Frederick. Employees may not be compensated by more than one entity for the same work. Specifically, if the work being done is considered part of the duties of the employee at SAIC-Frederick and the employee's time is charged to the Operations and Technical Support (OTS) contract, the employee may not receive additional compensation in the form of honoraria or royalty income, except for royalties received when the U.S. government licenses inventions for which the employee is listed as an inventor and has assigned all rights and title to the U.S. government.

Employees must refrain from any private business or professional activity and from having any direct or indirect financial interest that would create a conflict between their private interests and their legal responsibilities to SAIC-Frederick. In their transactions with others, all employees are expected to act in the best interest of SAIC-Frederick and not to their own private advantage. They are not to engage in any private business or professional activity or to enter into any financial transaction that involves the direct or indirect use of inside information (information that has not become public information) gained through their position with SAIC-Frederick to further a private interest or for private gain for themselves or another person or entity. They are not to use their position in SAIC-Frederick in any way, nor to induce or coerce any person or entity to provide any financial benefit to themselves or another person or entity.

No employee may serve as a director, officer, or employee of, serve in any managerial capacity for, or be retained or compensated in any capacity by a private or public entity, including the federal or any state or local government that is a customer, vendor, or competitor of SAIC-Frederick without an approved outside employment and consulting agreement.

Employees who propose to engage in outside employment (including self-employment) or consulting for outside entities must comply with the following standards:

1. Such activities must be performed outside of the employee's paid working hours.
2. Such activities must not interfere with the employee's obligation to his/her duties.
3. No property, equipment, facilities, or resources of SAIC-Frederick or NCI-Frederick may be used.

4. All outside employment and consulting agreements must provide that employees will not disclose to any other person, firm, or corporation any proprietary technical or business information, products, or inventions of SAIC-Frederick or NCI-Frederick acquired by the employee in the course of employment. This includes all information, products, or inventions which bear any relation to the official duties of the employee or which were made in whole or in any part during working hours or with any contribution of government facilities, equipment, material, funds, or information. "Proprietary Information" is defined as technical or business information, products, or inventions that have not been disclosed publicly, either in a written publication, or presented orally at a meeting open to the public and publicly announced.
5. Employees who are, or have been, involved in collaboration with an organization may not consult for that organization under the OTS Contract unless this previous relationship is clearly disclosed, reviewed, and approved in advance. Employees who have active consulting agreements may not concurrently collaborate with the same organization.
6. Outside employment and consulting services shall in no way create a conflict of interest or an appearance of conflict of interest with the interests of SAIC-Frederick or NCI-Frederick.
7. Employees may not have greater than five percent (5%) direct ownership interest in the outside companies with which they are employed or to which they are providing consulting services, when such outside company is a customer, vendor, or competitor of SAIC-Frederick. Direct ownership is defined as ownership, by the employee or members of the employee's immediate family, of stock, stock options, or other securities in company or affiliates of the company. Direct ownership does not include mutual fund ownership in which the fund holds stocks in the companies.

B. Procedure

The following process is to be followed by employees when they believe the outside employment they are contemplating may pose a conflict of interest under the terms outlined above and must always be followed when the employee is entering into a consulting arrangement with an outside entity.

1. The employee will complete the Outside Employment and Consulting Agreement form at: http://web.ncifcrf.gov/campus/forms/Outside_Employment_and_Consulting_Agreement.doc.
2. The employee will complete the Disclosure of Significant Financial Interest Form, following the appropriate SP (see SPI001 on Disclosure of Significant Financial Interest) and submit it directly to the Office of the President with the notification memorandum (see Attachment 1).

3. The employee will forward the signed Outside Employment and Consulting Agreement and justification memorandum (see Attachment 2) through their management chain to the directorate head.
4. Once this request is approved by the directorate head, it will be forwarded to the President, SAIC-Frederick, for further review and approval.
5. Should further information be needed, the President, or designee, will contact the requesting employee. Once all relevant information is assembled, a comprehensive conflict-of-interest analysis will be completed and any mitigation plan proposed to the requesting employee as appropriate (see SPI001 on Disclosure of Significant Financial Information).
6. Once the President has approved and signed the Outside Employment and Consulting Agreement, it will be returned to the requestor and directorate head, and a memorandum will be sent to the NCI-Frederick Contracting Officer notifying him or her of the agreement.
7. Outside employment and consulting agreements shall be reviewed on a yearly basis, in the month of May. At the beginning of April each year, a reminder will be sent to each employee who has an active outside employment and consulting agreement on record to remind him or her to request renewal or allow the agreement to terminate (see Attachment 3).

VI. Attachments

Attachment 1, Template for Notification Memorandum (**Template for your use to copy and modify.**)

Attachment 2, Template for Justification Memorandum (**Template for your use to copy and modify.**)

Attachment 3, Template for Yearly Reminder Memorandum

Attachment 4, OTS Contract Section H, Article 40—Organizational Conflicts of Interest

Attachment 5, Frequently Asked Questions and Examples of Outside Employment and Consulting Scenarios

VII. Records

Outside Employment and Consulting Agreement documents will be kept by the Prime Contract Coordinator for five years after termination of the agreement.

Template for Notification Memorandum

(Template for your use to copy and modify.)

DATE:

TO: [name]
President and Principal Investigator, SAIC-Frederick, Inc.

FROM: [name]
[Title], [name of laboratory]

SUBJECT: DISCLOSURE OF SIGNIFICANT FINANCIAL INTEREST FORM TO
ACCOMPANY REQUEST TO ENTER INTO AN OUTSIDE EMPLOYMENT
OR CONSULTING AGREEMENT WITH [name of company]

The purpose of this memorandum is to provide an update Disclosure of Significant Financial Interest Form to accompany my request for permission to enter into an outside employment or consulting agreement with [name of company].

This request is being sent in parallel through directorate management to your attention.

Please attach this Disclosure of Significant Financial Interest Form to the request package when it reaches your office to facilitate a complete conflict of interest review.

Thank you.

Template for Justification Memorandum

(Template for your use to copy and modify.)

DATE:

TO: [name]
President and Principal Investigator, SAIC-Frederick, Inc.

THROUGH: [name]
Director, [name of Directorate]

FROM: [name]
[Title], [name of laboratory]

SUBJECT: REQUEST TO ENTER INTO AN OUTSIDE EMPLOYMENT OR CONSULTING AGREEMENT WITH [name of company]

The purpose of this memorandum is to request permission for me to enter into an outside employment or consulting agreement with [name of company]. I have read and understand the standards required of me in working with an outside entity as spelled out in the SAIC-Frederick, Inc., Administrative Handbook, SP I004.

The outside employment or consulting services that I will be providing to [name of company] include the following:

- 1.
- 2.
- 3.

These services are different and distinct from the duties that I perform in the Laboratory of [name] at SAIC-Frederick, Inc., which include:

- 1.
- 2.
- 3.

Attachment 2 to Section I004, Template for Justification Memorandum

I am not aware of any previous, proposed or ongoing collaborations between this company, [name of company], and the laboratory, [name of laboratory], in which I work at SAIC-Frederick, Inc.

OR

I am aware of a [previous, proposed or ongoing] collaboration between this company, [name of company], and the laboratory, [name of laboratory], in which I work at SAIC-Frederick, Inc. The nature of this collaboration is detailed in the attached agreement or document.

I personally have no significant financial interest in [name of company] as noted on the attached Disclosure of Significant Financial Interest Form.

Please do not hesitate to contact me if you require additional information.

Thank you for considering my request.

Template for Yearly Reminder Memorandum

DATE:

TO: [employee name]

FROM: [name]
Prime Contract Coordinator, Contracts and Administration

SUBJECT: REMINDER TO REQUEST AN EXTENSION OF YOUR EXISTING
OUTSIDE CONSULTING AGREEMENT WITH [COMPANY NAME]

The purpose of this memorandum is to remind you that you have an active outside consulting agreement on file with [company name] that will expire on June 1, [year]. Please respond to this memorandum no later than May, 31, [year], with a request to extend the existing outside consulting agreement(s) for another twelve (12) months. This request must provide the following information:

1. List of the outside consulting services that you will be providing to [name of company]:
 - a.
 - b.
 - c.

2. How these services are different and distinct from the duties you perform at SAIC-Frederick, Inc. Include any of your duties in support of collaborative efforts the laboratory you work in may have with the company listed above:
 - a.
 - b.
 - c.

3. An updated Disclosure of Significant Financial Interest Form.

Please do not hesitate to contact me at 301-846-[extension] or [username] @ncifcrf.gov if you require additional information. Thank you for attending to this matter.

Cc: [name], Director, [name of Directorate]

**Operations and Technical Support Contract N01-CO-12400
Section H, Article 40**

ARTICLE H.40. ORGANIZATIONAL CONFLICTS OF INTERESTS

Purpose: The purpose of this Article is to ensure that SAIC-Frederick, Inc. (referred to as the FFRDC OTS Contractor), a business unit of Science Applications International Corporation (SAIC) (referred to as the Parent Organization): (1) is not biased because of its financial, contractual, organizational, or other interests which relate to the work under this contract, and (2) does not obtain any unfair competitive advantage over other parties by virtue of its performance of this contract.

Scope: The restrictions described herein shall apply solely to performance or participation by the FFRDC OTS Contractor in activities covered by this Article as a prime contract or subcontract, or co-sponsor, joint venturer, consultant, or in any similar capacity. In accordance with FAR 35.017-1 this prohibition does not apply to the Parent Organization or affiliates of the Parent Organization in any non-FFRDC operations. Organizational conflict of interest means that, because of other activities or relationships with other persons, the FFRDC OTS Contractor is unable, or potentially unable, to render impartial assistance or advice to the Government, or its objectivity in performing the contract work is, or might be, otherwise impaired, or it has an unfair competitive advantage (FAR 9.501).

Frequently Asked Questions and Examples of Outside Employment and Consulting Scenarios

Frequently Asked Questions (*answers in italics*):

1. Would an employee with a faculty/teaching appointment/position need to complete an Agreement?

No, provided this employment will not pose a potential conflict of interest as described in the SP relating to outside employment.

2. Would an employee who serves without compensation on the board of a local Chamber of Commerce or service organization need to complete an Agreement?

Yes, if part of the role of board member is to provide consultative services to the organization.

No, if no consultative services are provided.

3. Would a scientist who receives an invitation to join the scientific review panel/board, whether paid or unpaid, with expenses reimbursed or not by the journal or entity be required to complete an Agreement?

No, review of scientific manuscripts is considered part of a scientist's duties and therefore may be performed at work. If travel is involved, the appropriate sponsored travel procedures must be followed, as appropriate.

Yes, if the employee is offered compensation for this activity they can only receive compensation if they first receive approval to "consult" for the publisher/journal as per the terms of the SP relating to outside employment and consulting.

4. Would an employee invited to contribute to a book or edit a book/publication related to their area of expertise and in which they will share in the royalties received from the sale of this book constitute "consulting"?

No, employees may not receive any other compensation other than their salary for work done as part of their "official duties."

Yes, if the employee is approved to enter into a consulting agreement with SAIC-Frederick and writes the book or edits the book/publication on his or her own time.

5. Does service or participation by an employee on scientific review panels for outside entities (such as off-site program evaluations) constitute "consulting" as defined by the SP?

No, if the employee is performing this review in support of the NCI mission, then this will be an "official duty" and the employee cannot accept compensation other than for sponsored travel, if appropriate.

Yes, if the employee is being invited to participate in this review due to their expertise which is likely why they were hired to work at SAIC-Frederick.

6. Would an employee working in the Maintenance Department who is also self-employed in the same trade and who markets services to homeowners and businesses in Frederick County need to complete an Agreement?

No, provided this employment will not pose a potential conflict of interest as described in the SP relating to outside employment.

7. Would a technical employee working part-time in a hospital lab as a med-tech need to complete an Agreement?

No, provided this employment will not pose a potential conflict of interest as described in the SP relating to outside employment.

8. What type of consulting requires approval and the need to complete an Agreement?

All consulting must be approved prior to an employee entering into any consulting arrangement with an outside entity.

9. Would giving a seminar at an academic or non-profit institution require approval and the need to complete an Agreement?

No. This type of speaking engagement would likely be performed in support of the NCI mission, and considered part of the normal duties to the employee; however, the employee cannot accept compensation other than for sponsored travel, if appropriate. If an honorarium is offered by the academic or non-profit institution, the employee may deem this as outside employment and take leave to attend this seminar.

10. Would giving a seminar at a for-profit entity require approval and the need to complete an Agreement?

Maybe. This situation falls into the outside employment category and the employee will need to make an informed decision as to whether this situation constitutes a real or apparent conflict of interest.

Examples of Outside Employment Scenarios in Which Notification or Agreement Is Not Required:

- An SAIC-Frederick, Inc., employee works as a plumber after hours for a vendor of NCI-Frederick, but the employee is not involved in vendor selection by SAIC-Frederick, Inc., or in work the vendor is conducting for SAIC-Frederick, Inc., or in the costing or estimating of work on behalf of the vendor.
- An SAIC-Frederick, Inc., scientist reviews manuscripts in an ad hoc manner or provides study section/grant review for the U.S. government. This would not be considered outside employment or consulting, but rather “official duties.”
- An SAIC-Frederick, Inc., employee receives an invitation to give a talk and follows all required travel regulations and publication/presentation approval procedures. This would not be considered outside employment or consulting, but rather “official duties.”

Attachment 5 to Section I004, Frequently Asked Questions and Examples of Outside Employment and Consulting Scenarios

- An accounts payable clerk has a part-time cashier job at a vendor office supply business such as Staples. This employee did not participate in the decision to use Staples as a vendor and does not participate in business development activities for Staples.
- Employment that involves hobbies, artistic endeavors, or interests unrelated to the scientific and technical workscope of the OTS Contract.

Example of Outside Employment Scenario in Which Notification and Clarification Should be Sought:

- Employment (including self-employment) with biotech, device, and pharmaceutical companies and others significantly involved (directly or indirectly through subsidiaries) in health/medical research, development, or manufacture.

Example of Outside Employment Scenario in Which Notification and Agreement are Mandatory:

- All consulting services require full justification, conflict of interest review, and execution of the formal Outside Employment and Consulting Agreement.

STANDARD PROCESS I005

Section I: Office of the President
Number/Title: **I005/Compliance with the NIH Public Access Policy**
Date Issued: October 2008
Revision: None
SP Contact: President, SAIC-Frederick, Inc., 301-846-1154

I. Purpose

This Standard Process (SP) is to define the process for submitting peer-reviewed manuscripts to the National Library of Medicine's digital archive, PubMed Central, to be made publicly available within 12 months of publication, so as to comply with the requirements of the NIH Public Access Policy.

II. References

The NIH Public Access web site, <http://publicaccess.nih.gov/>

The PubMed Central web site, <http://www.pubmedcentral.nih.gov/>

The NIH Manuscript Submission System web site, <http://www.nihms.nih.gov/>

NCI-Frederick Policy and Procedure #118

III. Definitions

AO: Administrative Officer

Corresponding Author: The individual who is designated as the corresponding author for journal submission and communication

NED: NIH Enterprise Directory, <http://ned.nih.gov/search/search.aspx>

NIHMS: NIH Manuscript Submission System allows you to submit an electronic version of your peer-reviewed final manuscript for inclusion in PubMed Central

PubMed Central: NIH free digital archive of biomedical and life sciences journal literature

PMCID: PubMed Central Identification Number

Responsible Author: The first or senior SAIC-Frederick, Inc. employee listed as a co-author of the manuscript

SP: Standard Process

IV. Scope

This SP applies to all peer-reviewed articles authored or co-authored by SAIC-Frederick, Inc. employees and accepted for publication on or after April 7, 2008.

V. Processes/Guidelines

A. SAIC-Frederick, Inc. Corresponding Authors

1. Once a peer-reviewed manuscript has been accepted for publication, an electronic version of the final, peer-reviewed manuscript must be submitted to PubMed Central via the NIHMS system, to be made publically available no later than 12 months after the official date of publication.
2. Some journals have agreed to submit the final published version to PubMed Central, without corresponding author involvement. A list of these journals can be found at http://publicaccess.nih.gov/submit_process_journals.htm. If submitted by the journal, the NIHMS system (or the journal) will notify the corresponding author, who must review and approve the submission as well as identify the source of funding (OTS/NCI contract number) for the work that was published. The NIHMS system will also notify the corresponding author when the web version of the manuscript is ready for approval.
3. The OTS/NCI contract number to be referenced depends on which contract the majority of the work related to the manuscript was performed under.
 - a. If the work was primarily performed prior to September 26, 2008, use contract number N01-CO-12400.
 - b. If the work was performed after September 26, 2008, reference contract number HHSN261200800001E.
4. If you publish in a journal that does not submit directly to PubMed Central, the manuscript must be submitted by the corresponding author using the NIHMS system, as described below.
5. The corresponding author may designate someone to submit the manuscript on his or her behalf; however, only the corresponding author can review and approve the submission.
6. The SAIC-Frederick, Inc. corresponding author must provide the NIHMS identification number and the PMCID number to his or her directorate.

B. Responsible Authors

1. If the corresponding author is a federal employee, the responsible (first or senior SAIC-Frederick, Inc.) author must ensure that the manuscript has been submitted by the journal or the corresponding author. Once the manuscript has been submitted, the SAIC-Frederick, Inc. responsible author only needs to associate the manuscript with the appropriate funding source (OTS/NCI contract number).
2. If the corresponding author is not a federal employee (or a collaborator who did not receive NIH funding), the responsible author must assume the role of the corresponding author with respect to submission of the manuscript to the NIHMS/ PubMed Central and approval of the web version.

3. The SAIC-Frederick, Inc. responsible author must provide the NIHMS identification number and PMCID number to his or her directorate.

C. Logging in to the NIHMS System

1. The NIHMS system can be accessed at <http://www.nihms.nih.gov/>
2. Log in to the NIHMS system as an NIH employee by clicking on “NIH.”
3. If you have an NIH Login Username (for NIH e-mail or to log in to the NIH/VPN network), enter your username and password to access the system. If you have forgotten your NIH login password, contact the DMS Helpdesk at ext. 5115 or the ABCC Helpdesk at ext. 5555 (helpuser@ncifcrf.gov).
4. If you do not know your NIH Login Username, please refer to Attachment 1.
5. To avoid establishing multiple accounts, always use the same NIH login mechanism for the NIHMS system.
6. After successfully logging in to the NIHMS system, the system will walk you through each step of the submittal process. NIHMS system tutorials are available at <http://www.nihms.nih.gov/web-help/index.html>.

D. Tracking Publications

1. Each directorate is responsible for tracking all manuscripts submitted for publication that list directorate personnel as authors or co-authors.
2. Directorate management is also responsible for assuring that all peer-reviewed manuscripts accepted for publication have been submitted to PubMed Central.

E. Citing the Article

1. As of May 25, 2008, the PubMed Central Identification Number (PMCID) must be included when citing an article in NIH applications, proposals, and progress reports.
2. If a PMCID number is not yet available, the NIHMS system reference number must be used.
3. For additional information regarding citations and to view sample citations, please visit the NIH Public Access Frequently Asked Questions web site at <http://publicaccess.nih.gov/FAQ.htm>.

VI. Attachments

Attachment 1, Establishing an NIH login username and Administrative Officer (AO) contact information.

VII. Records

(NONE)

Establishing an NIH Login Username and AO Contact Information

1. If you do not know your NIH login username, you can obtain your username by accessing the NIH Enterprise Directory (NED) at <http://ned.nih.gov/search/search.aspx>.
2. Enter your last name and first name and then click on “Find.”
3. Click on your name once it appears.
4. Note the NIH login username displayed in your profile and contact the DMS Helpdesk at ext. 5115 or the ABCC Helpdesk at ext. 5555 (helpuser@ncifcrf.gov) to obtain a password.
5. If an NIH login username is not listed for you, contact your department’s servicing Administrative Officer (AO) to request to be set up in the NED.
 - **CCR supported contractor staff** (i.e. BRP): 301-846-5402 (whoever answers the phone will determine which AO needs to field the call)
 - **DCTD supported contractor staff** (i.e. BDP, CRL, and Applied & Developmental Program in support of DCTD/NCI): contact Paula Itnyre, 301-846-1818
 - **OD supported contractor staff** (i.e. FME, LASP, ACVP, ABCC, C&A, ATP): contact Altia Sherman, 301-846-1214
 - **NIAID supported contractor staff** (CRD, VCMP): contact Bennie Barton, 301-451-5140.
6. The AO will process your request and you will receive your NIH login username and password via e-mail.

