

# **NGSP 6 – Background Check Requirements for Contracted Service Providers - Attachment A - National Grid Requirements for Contractor Employee Background Checks** (For National Grid Level 2 Baseline & Supplemental Requirements) 07-20-16

## **1. Definition of “Contractor” and “Contractor Employees”**

The entity or entities engaged or to be engaged under this contract to perform services for National Grid are alluded to throughout this document as “Contractor.” The individuals who will perform work for National Grid under this contract, including employees, principals, sole proprietors, sub-contractors, or contingent staff provided by the Contractor, are referred to as “Contractor Employees.”

## **2. Minimum Requirements**

National Grid’s requirements for Contractor Employee background checks as defined below represent minimum requirements. Additional requirements may be deemed appropriate by National Grid or the Contractor or may be required by law, regulation, or other bodies having jurisdiction over the work or the Contractor. The Contractor must comply with any such additional requirements as are known or should reasonably be known by it.

To the extent the Contractor finds that the background check requirements are in conflict with State or Federal statutes, collective bargaining agreements, or other issues that would prohibit compliance, the Contractor should notify their Procurement Department representative for guidance and resolution.

## **3. Contractor Submittals**

Contractor must complete and submit the attached B-1 or B-2 “Contractor Information Sheet and Compliance Statement for Employee Background Check Requirements” to National Grid.

## **4. Requirements for Background Checks to be Completed Prior to Performing Work**

Background checks as defined below must be completed before any Contractor Employee begins work under the contract, whether brought on at the outset of a contract or at any other point in the contract term. Only with the written approval of the VP – Global Security may a Contractor Employee begin work in advance of background checks being completed. Requests for approval of any such allowance must be made by a National Grid manager and shall not extend *beyond 14 calendar days*.

Contractor is responsible for engaging National Grid’s Approved Background Check Provider to conduct the background checks (see Attachment C for instructions).

## **5. Identification Verification/Eligibility to Work in the Country:**

Contractor Employees’ identities must be verified and they must be legally eligible to work in the country where the work is to be performed.

National Grid requires Consent Based Social Security Number Verification (CBSV) through the Social Security Administration as well as I-9/E-Verify through the US Department of Homeland Security. If the results of the E-Verify or CBSV return mismatches or adverse results and the Contractor desires to have the employee perform work for National Grid, the Contractor must submit this information in writing to National Grid’s Security Department. National Grid’s Security Department, in collaboration with the National Grid User, Legal and Ethics Departments, will determine if the Contractor Employee will be allowed to perform work for National Grid and will notify the Contractor in writing of its determination.

## **6. Social Security Trace**

In addition to CBSV, I-9 requirements, and E-verify, National Grid requires a social security trace on Contractor Employees. This search reveals all names and addresses historically associated with the Contractor Employees provided number, along with the date and state of issue, and verifies if the number is currently valid and logical. This search may also reveal the use of multiple social security numbers, AKAs/aliases, and additional employment information that can then be used to determine the parameters of other aspects of the background investigation. Adverse action should not be taken based solely on this information.

## **7. Criminal History Background Checks**

Contractor Employees performing work or providing services to National Grid are subjected to a criminal history background check. Such checks shall be conducted on all names, including alias names that are provided or developed, and include State, County and Federal checks based on jurisdictions of work and residence for the past seven years, as well as international jurisdictions, if available. All checks will include both misdemeanors and felonies. Checks must be performed on all current Contractor Employees and any new Contractor Employees hired or assigned to support the National Grid contract. Contractor Employees who work in certain sensitive areas that fall under regulatory requirements, i.e., NERC, are subject to additional periodic criminal history checks and must consent for a background check to be completed by a company selected by National Grid. If required, this information will be contained in the supplemental background check information contained in Section 14 of this document.

If the results of criminal history background checks or any other source of information in the Contractor's possession, including the contractor employee's employment application, reveals a Contractor Employee to have a misdemeanor conviction within the previous five years, a felony conviction, or active/outstanding warrant(s), and the Contractor desires to have the employee perform work for National Grid, the Contractor must submit this information in writing to National Grid's Security Department. National Grid's Security Department, in collaboration with the National Grid User, Legal and Ethics Departments, will determine if the Contractor Employee will be allowed to perform work for National Grid and will notify the Contractor in writing of its determination.

The following criteria will be used as guidance by National Grid in making the determination of whether the Contractor Employee will be allowed to perform work specified in the contract between your company and National Grid. These criteria should also be evaluated by the contractor prior to making a request to National Grid for the Contractor Employee to be approved for assignment to the National Grid contract:

- Number of convictions
- Nature, seriousness and date(s) of occurrence of the offense
- Rehabilitation
- Relevance of the crime committed in relationship to the work to be performed
- Unreasonable risk posed to National Grid property or to the safety of employees, other Contractors, and/or customers

Contractor notification responsibility: During the term of the contract if the Contractor becomes aware of information concerning a criminal conviction and/or pending criminal case of a Contractor Employee that would fit the above criteria for reporting to National Grid, this information shall be forwarded to

National Grid's Security Department for determination whether the Contractor Employee should be allowed to continue working or providing services for National Grid.

### **8. Sex Offender Registry Search**

Most states maintain a sex offender database that is available as a source of public record. Individuals convicted of such crimes as sexual assault, aggravated criminal sexual conduct, luring or enticing, and kidnapping, or who have been found to be repetitive and compulsive by experts and the courts are required to register with their state authorities. Specific registration requirements are dictated by state laws and are based on dates of offense, sentence and/or release from custody. Consistent with the scope of the Criminal History Search, a search will be conducted in the applicant's provided and developed names, in the state(s) of the applicant's residence and place of work for the past seven years, if a statewide sex offender registry is maintained and accessible as public record. If no statewide registry exists, the National Sex Offender Registry, coordinated by the U.S. Department of Justice will be searched. If the results of the Sex Offender Registry Search show that the employee is a registered sex offender and the Contractor desires to have the employee perform work for National Grid, the Contractor must submit this information in writing to National Grid's Security Department. National Grid's Security Department, in collaboration with the National Grid User, Legal and Ethics Departments, will determine if the Contractor Employee will be allowed to perform work for National Grid and will notify the Contractor in writing of its determination.

### **9. Residential Address Verification**

A seven-year address verification will be performed. The purpose of this check is to confirm that the address exists and relates to a real property, and to establish that the individual permanently resides or previously resided at the address. Verifying the address given by a prospective employee is important because it confirms that other information provided is correct. An individual may wish to omit their current or former address to conceal adverse information, such as criminal convictions.

### **10. Employment Verification**

A seven-year prior employment history or last three employers verification will be performed. The purpose of this check is important as it serves to check the accuracy of information provided by the applicant. This check may also reveal prior employment with National Grid that should be further explored (see section 13 below). An individual may wish to omit prior employment history to conceal adverse information, such as criminal convictions.

### **11. 5 Panel Drug Screening**

Drug screening will be performed. The screening includes amphetamines, cocaine, marijuana, opiates and PCP. If the Contractor Employee's drug screening shows positive results, the employee cannot work for National Grid for a minimum of one year, after which time they can re-apply. Drug tests that are inconclusive because of diluted samples are allowed one re-test. Second tests that are inconclusive because of diluted samples are treated the same as positive results. Exceptions will not be granted for individuals holding medical marijuana licenses.

### **12. Global Watch List Search**

U.S. and Global official sanction and embargo lists will be searched to identify PEPs (Politically Exposed Persons), SDNs (Specially Designated Nationals), terrorists, organized criminals, money launderers, fraudsters and others considered high risk. If the employee is found on any of the lists searched as part the Global Watch List Search and Contractor desires to have the employee perform work for National Grid, the Contractor must submit this information in writing to National Grid's Security Department. National Grid's Security Department, in collaboration with the National Grid

User, Legal and Ethics Departments, will determine if the Contractor Employee will be allowed to perform work for National Grid and will notify the Contractor in writing of its determination.

**13. Motor Vehicle Driving Record Check and Annual Reviews**

All Contractor Employees who are required to operate a motor vehicle in conjunction with their contract with National Grid must be legally licensed and hold a valid driver’s license appropriate to the vehicle being driven. This requirement applies to Contractor Employees who will be driving a company, personal or rental vehicle at least once per month for National Grid business exclusive of the commute to their regular reporting location. This includes Contractor-owned or leased vehicles and National Grid-owned/leased vehicles. A motor vehicle driving record check to include a commercial driver license search, when applicable, must be conducted by the Contractor annually in order to validate this requirement. If the results of the Motor Vehicle Driving Record Check returns adverse findings and the Contractor desires to have the employee perform work for National Grid, the Contractor must submit this information in writing to National Grid’s Security Department. National Grid’s Security Department, in collaboration with the National Grid User, Legal and Ethics Departments, will determine if the Contractor Employee will be allowed to perform work for National Grid and will notify the Contractor in writing of its determination.

**14. Employees Previously Terminated or Removed from National Grid Work for Cause**

National Grid will not permit Contractor Employees who were previously employed by National Grid and were terminated by National Grid for cause, or Contractor Employees who were previously removed from working on any contract for National Grid to work for National Grid.

**15. Supplemental Background Check Information**

Due to the nature of the work to be performed by the Contractor, National Grid requires that the background check include the following information, if checked. Contractor Employees with adverse findings will not be allowed to perform work for National Grid. Detailed specifications for these supplemental background checks will be provided to Contractors during the contracting process, when required.

- Education/verification of degrees
- Validation of required licenses (professional and/or legally required)
- Credit history
- Criminal History updates every 7 years
- \_\_\_\_\_
- \_\_\_\_\_

**16. Subcontracted Service Providers**

Consistent with National Grid contract terms and conditions, Contractor will impose these background check requirements on any of its subcontracted service providers whose engagements will extend beyond 14 days and will provide evidence of this upon request by National Grid or its agent. Service providers include, but are not limited to:

- Contractors
- Consultants

- Staffing Agencies (employees and contingent workers assigned to National Grid work)
- Professional Services Firms

Excluded from applicability are firms that provide solely delivery or removal services such as:

- Equipment, materials, or office supply manufacturers and distributors
- Delivery companies
- Waste or recyclables haulers

### **17. Removal of Contractor Employees from Work**

If it is determined at any time that a Contractor Employee does not meet the background requirements or has falsified a document that is or was part of the background check, Contractor shall notify National Grid Security immediately. National Grid Security will determine if the Contractor Employee must be removed from the work and will notify Contractor in writing of its determination.

### **18. Contractor Employee with Adverse Findings**

Should a Contractor desire to utilize an employee for work in support of National Grid despite adverse findings with any of the background checks performed, Contractor must submit a request in writing to National Grid's Security Department. Following receipt of such information, representatives from National Grid's Security, User, Legal and Ethics Departments will evaluate the background check information and make a determination whether the Contractor Employee should be allowed to perform work for National Grid. National Grid will issue its determination in writing, which the Contractor should retain for the duration of the contract.

### **19. Retention and Access to Contractor Records**

Contractor must maintain a record of all background checks and correspondence with National Grid regarding background checks performed during the term of the contract and shall provide confirmation to National Grid upon request that the necessary background checks were performed and there were no adverse results. Upon reasonable notice, National Grid may perform an audit of Contractor's background check records, background check program and all supporting documents concerning the background of any Contractor Employee performing work for National Grid should questions arise of character, veracity of previous employment and education, or allegations of criminal activity on the part of Contractor Employees or upon request from the National Grid business unit; provided that National Grid may be asked to sign an additional confidentiality agreement in form and substance reasonably satisfactory to Contractor. National Grid's direct costs and the cost for any contracted audit services will be at the expense of National Grid.

### **20. National Grid's Right to Revise Requirements for Contractor Background Checks**

National Grid reserves the right to revise its requirements for Contractor Employee background checks during the contract term, with which the Contractor must comply. Any such revisions will be provided in writing. The Contractor may choose to not accept the revisions and renegotiate or terminate the contract.

**21. National Grid Security Department Contact Information:**

All inquiries and submittals to National Grid’s Security Department and/or Digital Risk and Security Department as required in this document shall be directed as appropriate to:

All mail inquiries and submittals

Emails or Phone calls should be directed to:

Security

National Grid Global Security  
Security Coordinator  
40 Sylvan Road  
Waltham, MA 02451

Email:  
Security-US@nationalgrid.com  
Telephone: 781-907-3910

Digital  
Risk and  
Security

National Grid  
Director of Digital Risk and Security  
40 Sylvan Rd  
Waltham, MA 02451

Email:  
itsecurity@nationalgrid.com  
Telephone: 781-907-2902