Industry Video Introduction of the National Background Investigation System (NBIS)

NBIS Program Management Office
30 August 2016
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Agenda

• Introduction
• Acquisition
• Capabilities
• Architecture
• Summary
Introduction of NBIS
Presenter: Martin Gross, NBIS Director
Introduction of NBIS

The NBIS will be the new Federal-wide Information Technology (IT) system to conduct suitability, security, and credentialing (SSC) investigations for all Federal employees to include civilian, military, and government contractors.

DISA will design, build, test, field, operate, maintain, and secure NBIS.
Mission of NBIS

Our focus will be to incorporate security into the fundamental design of the systems, strengthening the security of the data environment, and providing robust privacy protections. We will use the latest modern technology in order to protect the sensitive information used to effectively adjudicate investigations, and bring the fullest security resources to bear against increasingly sophisticated and evolving threats by leveraging Department of Defense’s (DOD) significant national security, IT, and cybersecurity expertise.
Video Purpose

Inform Industry, Stakeholders, and other Federal Agencies on Defense Information Systems Agency’s (DISA) approach to replacing and modernizing the legacy background investigation system.

- Project potential acquisition opportunities for small and large businesses.
- Give our Industry partners an understanding of the technical architecture to strengthen Request for Information (RFI) responses and communications.
NBIS Acquisition Overview
Presenter: Christopher Catlin, NBIS Program Manager
High Level Acquisition Strategy

The Government will be the system integrator

- DISA is responsible for interoperability, system engineering, operations, and sustainment and will lead a team with the expertise to oversee the development and implementation of NBIS
- The Acquisition will execute the right mix of contract vehicles to implement a solution which will acquire Commercial off the Shelf (COTS) applications and technical services supporting an Agile Acquisition Approach

Evolutionary Acquisition

- Capabilities will be delivered in increments
- First increment is a secure system capable of conducting a full background investigation
- Capabilities in the later increments will be determined based on user priority and technical/cost feasibility
Acquisition of Capabilities

Order of Priority

1. Government Owned
2. Commercially Available
3. Commercial with Modifications
4. Development
5. Existing Federal applications first.
6. COTS products from small and large businesses. Multiple awards will be made for prototype tests.
7. COTS with modifications so that the application meets requirements.
8. Application development.
Sampling of the NBIS capabilities. DISA is interested in individual solutions and applications which would be modular and capable to be easily integrated into an overall systems architecture solution.

- Personnel Designation
- Apply Online
- Case Management
- Fingerprint
- Report of Results
- Document Repository
- Reporting & Business Intelligence
- Imaging and OCR
- Automated Record Checks
- Data for Continuous Evaluation
- Security
- Communications
- Machine Readable Data
- Decision Support Tools
-Gov-owned
- COTS
Examples of Acquisition Opportunities

**Acquisition Scope Areas:**

- Interface Management
- System Engineering
- System Integration
- Testing
- Supply Chain Code Review
- Transition to Operations
- Application Support / Sustainment
- Help Desk
- Trouble Ticket Management
- Operations and Monitoring

**DISA Wants to Know:**

1. **Your Business Size (Large/ Small)**
   - NAICS code(s)
2. **Socio-economic status**
   - Disadvantaged, Woman-owned, Disabled Vet, HUBZone, 8(A), etc.
3. **Your Contract Vehicles**
   - DOD Vehicles
   - GSA Vehicles
   - GWACS
FY17 Acquisition Activities

Market Research
- Evaluate small business abilities to determine set-asides
- Research COTS applications and capabilities

System Engineering
- Build the pre-production test environment
- Test Government-owned applications
- Research COTS products to fill gaps
- Incorporate Cyber protections

Prototypes
- Acquisition Strategy approval
- Award contract for COTS products
- Bake-off tests for COTS applications
NBIS Capabilities
Presenter: Sheldon Soltis,
NBIS Requirements/Transition Manager
Start of the investigation process

Capabilities:

- Establishes risk of position
- Determines if a position’s duties and responsibilities present the potential for a material adverse effect on the national security
  - **Determines the degree of that potential effect**
- Establishes the sensitivity level of a position
- Determines what level of investigation should be conducted for a position
Capability: eApplication

Application used to collect information from standard forms from:
- Applicants
- Agencies

Used for:
- Suitability
- Periodic Reinvestigations
- Continuous evaluation
- Credentialing

Primary source of information for investigations

Capabilities:
- Validates there is not a previous investigation that meets the need
- Collection of information
- Contains information on the requesting and receiving agencies
- Type of investigation requested
- Billing information
- Sent to the Case Management system
- Different submission methods used for DOD accessions and Industry
- Ability to export data to other Investigative providers, e.g. State
Capability: Case Management

Capabilities:

- Schedules investigations
- Transmits data for the field
- Collects data from the field
- Collects data from sources
- Readies end product, Report of Investigation
- Delivers end product to requestors
- Tracks transactions to be sent to financial system

- Tracks investigators work
- Tracks Contractor Investigative Services Provider (ISP) work
- Allows reviews of work and products received needed for investigations
- Assigns leads
- Freedom of Information Act (FOIA) and Privacy Act requests
Capability: Fingerprints

Capabilities:

- Receives and stores fingerprints from applicants
- Interfaces with other systems (8000 interfaces)
- Sends to FBI and receives results
Capability: Report of Results

Capabilities:

- Communicate with field agents
- Send cases to agents
- Transmit results to case management system
- Used by field offices for case load management
Capability: Document Repository

- Capabilities:
  - Provide field agents documents (releases, forms, records)
  - Allow agents to download documents
  - Allow agents to upload documents
  - Used by field offices
Capabilities

• Identify and develop historical, current, and predictive views of operations
• Increase operational reporting
• Pricing
• Analytical processing
Capability: Imaging & Optical Character Recognition (OCR)

Capabilities:

- Converts incoming data
- Converts data to images
- Delivers Report on Investigation
- Archives investigations
Automated Record Checks

- Are record checks done on a system to system basis
- There are currently manual record checks that need to be system to system checks

Capabilities

- Queries external system with an individual's Personally Identifiable Information (PII)
- If information concerning the individual exists, retrieves information from a record system and places that information into the investigation
Continuous Evaluation

- CE is a subsystem of ARC
- It is an algorithm that utilizes individuals' Personal Identified Data (PID) to run against certain data sources on a set time period (for example, law enforcement information may be run daily, credit every three months)
- If a change in the data source matching an individual's PID takes place and that change breaks the threshold for an Expanded Focused Investigation ( EFI) as defined in the 2012 Federal Investigative Standards an EFI will be undertaken by an ISP
- An investigation will be opened in the investigative case management system
Overarching Capabilities

Capabilities

- Security
- Communications
- Machine Readable Data
- Decision Support Tools
NBIS Architecture Overview
Presenter: Dr. Glen White,
NBIS Chief Engineer
Objective of NBIS Architecture Overview

- Communicate the approach to SECURITY AT EVERY LEVEL in the target architecture
- Show basic architectural concepts
- Discuss high-level NBIS functionality
- Show relationship between DISA DECC, JFHQ-DODIN, DMDC and NBIS and other DISA services
- Review NBIS Data Strategy
NBIS Scope in the SSC Enterprise

Position Designation
Validate Need
Application
Investigation
Adjudication
Post Determination

Portal Services – Employee/Appointee/Candidate, Employer, Contractor, Agency

Investigation Initiation
Risk Designation
Initial Investigation
Reciprocity Evaluation
Sensitivity Designation
Reinvestigation Initiation

Application Package Preparation
Form Submission
Document Submission
Fingerprint Submission
Ongoing Self-Reporting

Tier 1 – 5 Investigations
Expanded Focused Investigation
Enhanced Subject Interview
Incident Reporting

Suitability, Eligibility, and Fitness Determinations
Interim Determination
Automated Determination
Manual Determination
Appeal Resolution

Data Collection Services – Automated Records Check (ARC), Manual Data Collection

Data Management Services – File Management, Records Management

Determinations Status
Management
Credential
Management
Security
Management

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Credit monitoring companies, Agencies requesting clearances, Private contractors, JPAS, Users, etc.

NBIS govt. staff, NBIS contractors operating from govt. networks, FBI, etc.
Concept for NBIS Roles and Functions

NBIS-eApplication: Subject of investigation enters initial data for investigation

NBIS-Case Management: Includes investigation status view of tasks in progress

- **Investigator:**
  - Conduct Interviews
  - Request consultation/reassignment of task
  - Write summary of investigation

- **Supervisor:** Assign/reassign workload of organization investigators in a region

- **Quality Control:**
  - Assign/reassign workload to Supervisors
  - Review tasks upon completion of some tasks and all investigations

NBIS-Imaging:

- **Image Processor** scan paper documents, convert email etc. files to investigation data inputs
Concept for NBIS Roles and Functions (cont.)

**NBIS-Portal:**
- Review agency status via customer portal
- Review/approve Subject application before final submission
- Evaluation of trends and performance metrics

**NBIS-Position Designation Tool:**
- Evaluate PD to justify level of investigation

**NBIS-Templates:**
- XML templates for *Investigator* conducting interviews while off line
NBIS High-Level System Architecture
Shared SSC Infrastructure

**DISA**
- Virtual Desktop Infrastructure (VDI) for all NBIS users/administrators
- DECC Operations

**DISA Operations and JFHQ-DODIN**
- End-to-End Situational Awareness and Command & Control
End-to-End Situational Awareness and Command & Control

Internet & Cloud Access Points

Regional Operations Center

DECC

CSAAC
- Events
- Alerts
- Logs
- Incidents
- Configuration
- Performance

Command Center

Perimeter Defense
- Cyber Sensor Grid
- JRSS & IAP Security
- Break and Inspect
- Intrusion Detection & Prevention
- DDOS Detection & Mitigation
- ACLs, Whitelist, Blacklist
- Web Content Filters
- Zero Day Defense
- Detonation Chamber
- DMZ
- DNS Hardening

Global Operations Center

DECC

Internet

Internal Defense
- Anomaly Detection
- Analysis of Sensor Data
- Behavior based analytics
- Intel Fusion
- Internal Defensive Measures
- Cyber Protection Teams
- HBSS / Active Cyber Defense
Shared SSC Infrastructure (cont)

DMDC, DISS and SWFT Programs

- Applications for Fingerprint Collection, Validate Need, Suitability Determination, and FOIA/Privacy Act Support
- Account management, including NBIS roles
  - Register CAC/ECA/PIV using a one time user name and password generated when user is provisioned (TBD)
- User CAC/ECA/PIV is authenticated by F5 at user login
- Oracle RDBMS w/ document management
  - Oracle Exadata appliance
  - Replication for backup/recovery/COOP/archive
  - Encryption for data at rest
- Legacy data archive and access (TBD)
- Management data repository w/ business analytics (TBD)
- Auditing & forensic reporting (Splunk)
- Data Access Layer (Mule ESB) for NBIS external interfaces
Current Prototype Goals

Document behavior requirements with functional community

Optimize automated support to

- Improve user experience
- Improve quality of investigative data
- Improve data exchanges with information sources
- Streamline the process of conducting the investigation

Validate the end-to-end architecture and infrastructure
NBIS Data Strategy

Strategic Goals:

- Enhance Data as a Shared Resource
- Maximize Information Utility
- Facilitate Standards-driven Solutions
- Promote Data Protection using Data Tagging
- Employ Standardized Data Exchanges
- Strengthen Information Safeguarding and Protection
- Reduce Risk Associated with Handling PII
- Promote Sound Lifecycle Records Management
- Improve automated visibility of Data Assets and Discoverability
- Support FISMA Metrics Collection
Conceptual Model augmented with a Common Profile

- Common Profile is ISO 10000 based using the PM-Information Sharing Environment (ISE) Common Profile Framework
- e-Application Components
- Investigative Items from current business processes and sources
- Data Tagging for protection, handling, & records mgmt.
- Technical Standards from federal, DOD/Intel Community and open standards
Inputs (21 Items)
- Information provided by the applicant via the e-application (case papers: Standard Form (SF) SF86, SF85P, SF85P-S, SF85, or OFI 86C)
- Becomes input to the investigative item

Investigative Items (63 Items)
- Results of data source queries
- Report of interviews

Outputs (7 Items)
- Documented result of concluding an investigative item
- For example: Closed Case Transmittal (CCT), Certificate of Investigation (COI), Report of Investigation (ROI), Content Summary Sheet (CSS), Investigative Results Report (IRR), Distributed Investigative File (DIF)
# Bureau of Vital Statistics (1 of 2)

<table>
<thead>
<tr>
<th>Attribute Name</th>
<th>Description</th>
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<tbody>
<tr>
<td>ID</td>
<td>26</td>
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<tr>
<td>Item Name</td>
<td>BVS – Bureau of Vital Statistics</td>
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<tr>
<td>Description</td>
<td>Bureau of Vital Statistics. (BVS). Each state, New York City, the District of Columbia (DC), Puerto Rico, Guam, Northern Mariana Islands, American Samoa, and the Virgin Islands have a Vital Records (BVS) repository. A BVS search is conducted on subjects born in the United States or its territories to corroborate a subject’s date and place of birth, and can return information on the subject’s birth name, parents’ names, and birth certificate number. (source: OPM Sys &amp; Automated Ops Manual) Requested by agency to certify/verify Birth record on file at listed state of birth. (Source: OPM FIS) Verification or Certification of subject’s listed place of birth. Searches can be conducted in each state, District of Columbia, Puerto Rico, Guam, American Samoa, Northern Mariana Islands, or the Virgin Islands. (Source: NAC Room PowerPoint 20160401). Confirmation of birth record on file as listed in the State of Birth Vital Statistics Bureau (OPM Notice 03-01)</td>
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<thead>
<tr>
<th>Participant Organizations</th>
<th>OPM National Association for Public Health and Information Statistics (NAPHSIS) State Bureau of Vital Statistics</th>
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<tr>
<th>Participating Systems</th>
<th>Electronic Verification of Vital Events (EVVE) PIPS State Vital Record Systems (for Inquiries)</th>
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<tr>
<th>Supporting Sources</th>
<th>National Association for Public Health and Information Statistics (NAPHSIS) State Bureau of Vital Statistics</th>
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<tr>
<th>Investigative Item Input</th>
<th>ID #1, ID #3 (Source: OPM FIS)</th>
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<tr>
<th>Exchange Definition</th>
<th>Birth Verification Request, Birth Verification Reply</th>
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<tr>
<th>Information Exchange Mechanism</th>
<th>HTTPS, Webservice, Inquiry</th>
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<tr>
<th>Exchange Mechanism Type (1)</th>
<th>PIPS linkage/webservice call with BVS.</th>
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<th>Exchange Mechanism Type (2)</th>
<th>HTTPS Website record search</th>
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<tr>
<th>Exchange Mechanism Type (3)</th>
<th>Investigator Record Search at Repository (MA only, DOB prior to 1953)</th>
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<tr>
<th>Exchange Mechanism Type (4)</th>
<th>Inquiry via Voucher: sent hardcopy via mail, or softcopy via email. Hardcopy via INV FORM 40 (Voucher): General Request for Investigative Information (SOURCE: OPM FIS)</th>
</tr>
</thead>
</table>
For all initial investigations the employing agency is responsible for corroborating the subject’s date and place of birth through a check of appropriate documentation. For example, the subject may present a birth certificate to the employing agency. A check of the Bureau of Vital Statistics records should be conducted when any discrepancy is found to exist. If you would like OPM to resolve discrepancies, or if your agency is not in a position to conduct the birth corroboration, we can provide this service. We obtain birth corroboration through a Bureau of Vital Statistics (BVS) search in the state of the subject’s birth. An agency may request a BVS search by placing an “L” in Block B (Extra Coverage) on the investigative form. OPM does not automatically schedule a BVS search for any investigation; the requesting agency must ask for it to be done. There is an additional fee of $15 for the BVS search on SAC/NAC/NACI/NACLC/ANACI products. This verification is only applicable to US born citizens. 

DOB and POB means to compare the applicant’s Name, date of birth, and place of birth with the information with the master file available in the corresponding State’s Bureau of Vital Statistics. The verification result is a match/no-match response and, in the case of a “no match” response, the reason for the “no match”. The “match” reply contains the person’s name, the date of birth, and the county where it occurred.

This information is only validated for new investigations and not in subsequent investigations because the information would not change (Federal Investigative Standards).

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| Business Rules               | “For all initial investigations the employing agency is responsible for corroborating the subject’s date and place of birth through a check of appropriate documentation. For example, the subject may present a birth certificate to the employing agency. A check of the Bureau of Vital Statistics records should be conducted when any discrepancy is found to exist. If you would like OPM to resolve discrepancies, or if your agency is not in a position to conduct the birth corroboration, we can provide this service. We obtain birth corroboration through a Bureau of Vital Statistics (BVS) search in the state of the subject’s birth. An agency may request a BVS search by placing an “L” in Block B (Extra Coverage) on the investigative form. OPM does not automatically schedule a BVS search for any investigation; the requesting agency must ask for it to be done. There is an additional fee of $15 for the BVS search on SAC/NAC/NACI/NACLC/ANACI products. This verification is only applicable to US born citizens.” (OPM Notice 03-01) DOB and POB means to compare the applicant’s Name, date of birth, and place of birth with the information with the master file available in the corresponding State’s Bureau of Vital Statistics. The verification result is a match/no-match response and, in the case of a “no match” response, the reason for the “no match”. The “match” reply contains the person’s name, the date of birth, and the county where it occurred.

This information is only validated for new investigations and not in subsequent investigations because the information would not change (Federal Investigative Standards). |
| Flags                        | Requester unable to corroborate Date or Place of Birth                                                                                                                                                       |
| Action                       | Tier 2-5 (to include Reinvestigations) – Resolve discrepancies with Subject during ESI or TESI, as applicable.                                                                                               |
| Information Type             | PII                                                                                                                                                                                                         |
| Handling Rule(s)             |                                                                                                                                                                                                             |
| Classification Level         | Unclassified                                                                                                                                                                                               |
| Handling Instructions/Caveats| The DOB and POB are identifying properties and considered PII information when used in conjunction with the name and/or social security number.                                                                |
| Dissemination/Releasibility  | Life of case, releasable to customer agency.                                                                                                                                                                 |
| Exchange Pattern             | Query and Response (for Webservice)                                                                                                                                                                          |
| Records Management           | Destroy cases with actionable issues when 25 years’ old                                                                                                                                                     |
|                              | Destroy cases when 16 years’ old                                                                                                                                                                             |
Summary of NBIS Introduction to Industry
Presenter: Christopher Catlin, NBIS Program Manager
Summary

- NBIS will be the new background investigation system that will be secure and protect the personal information of millions of Americans and their families.
- Executing the Acquisition for the securing and future development of NBIS will require a balanced approach to not only providing a secure system, but one that also improves efficiency and effectiveness of background vetting, and future capability for post investigation continuous monitoring.
- The NBIS PMO will operate with a great sense of urgency, but with constant awareness that the systems must be secure, delivered in the most cost-effective manner, and meet high performance standards.
- Please check FedBizOps for an Request for Information that will be posted shortly after this video.
  - The RFI will contain information on how to register for one-on-ones with the Program Office. The one-on-ones will be the last week in September.
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