## NBIS Personnel Vetting Process Questionairre (v1.0):

## Initiate, Review, Authorize investigations

**Initiate** is when an agency sends a Standard Form (SF) 85, 85P, or 86 to an affiliated subject for that subject to review and complete

**Review** is when an agency reviews the SF 85, 85P, or 86 for completeness, accuracy, and adjudicatively relevant information

**Authorize** is when an agency releases the SF 85, 85P, or 86 to the Investigative Service Provider (ISP) to begin the background investigation which usually obligates funds from the requesting agency to the ISP.

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| **1.0** | **Are your agency’s background investigations conducted by DCSA?***(select YES for entire agency, select PARTIAL YES for certain sub-components)* | Choose an item. |
| 1.1 | If DCSA does not conduct all background investigations for your agency, please use the space below to indicate your ISP and if there are any specific circumstances regarding the use of that ISP |
|  | *Example: Senate-confirmed political appointees are conducted by the FBI*Click or tap here to enter text. |

**STOP**

**Continue if 1.0 is YES or PARTIAL YES**

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| **2.0** | **Please list sub-components within your agency responsible for Initiating, Reviewing, and/or Authorizing their own background investigations to DCSA.** *(if your agency has more sub-components than will fit below, list the 10 highest within your agency’s org structure)* |
|  | **Name of Sub-Component** | **Initiate** | **Review** | **Authorize** |
| ***EX.*** | *Example: Office of Security* | [x]  | [x]  | [ ]  |
| **2.01** | Click or tap here to enter text. | [ ]  | [ ]  | [ ]  |
| **2.02** | Click or tap here to enter text. | [ ]  | [ ]  | [ ]  |
| **2.03** | Click or tap here to enter text. | [ ]  | [ ]  | [ ]  |
| **2.04** | Click or tap here to enter text. | [ ]  | [ ]  | [ ]  |
| **2.05** | Click or tap here to enter text. | [ ]  | [ ]  | [ ]  |
| **2.06** | Click or tap here to enter text. | [ ]  | [ ]  | [ ]  |
| **2.07** | Click or tap here to enter text. | [ ]  | [ ]  | [ ]  |
| **2.08** | Click or tap here to enter text. | [ ]  | [ ]  | [ ]  |
| **2.09** | Click or tap here to enter text. | [ ]  | [ ]  | [ ]  |
| **2.10** | Click or tap here to enter text. | [ ]  | [ ]  | [ ]  |

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| **3.0** | **Please list any external agencies with an agreement to Initiate, Review, and/or Authorize your agency’s background investigations to DCSA.** *(if your agency is serviced by more external agencies than will fit below, list the 5 most prominent; please also ensure you forward copies of any agreements to your DCSA agency liaison)* |
|  | **Name of External Agency** | **External Agency Performs** |
| **Initiate** | **Review** | **Authorize** |
| **3.01** | Click or tap here to enter text. | [ ]  | [ ]  | [ ]  |
| **3.02** | Click or tap here to enter text. | [ ]  | [ ]  | [ ]  |
| **3.03** | Click or tap here to enter text. | [ ]  | [ ]  | [ ]  |
| **3.04** | Click or tap here to enter text. | [ ]  | [ ]  | [ ]  |
| **3.05** | Click or tap here to enter text. | [ ]  | [ ]  | [ ]  |

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| **4.0** | **Please list any external agencies that your agency has an agreement to Initiate, Review, and/or Authorize that external agency’s background investigations to DCSA.** *(if your agency services more external agencies than will fit below, list the 5 most prominent; please also ensure you forward copies of any agreements to your DCSA agency liaison)* |
|  | **Name of External Agency** | **Your Agency Performs** |
| **Initiate** | **Review** | **Authorize** |
| **4.01** | Click or tap here to enter text. | [ ]  | [ ]  | [ ]  |
| **4.02** | Click or tap here to enter text. | [ ]  | [ ]  | [ ]  |
| **4.03** | Click or tap here to enter text. | [ ]  | [ ]  | [ ]  |
| **4.04** | Click or tap here to enter text. | [ ]  | [ ]  | [ ]  |
| **4.05** | Click or tap here to enter text. | [ ]  | [ ]  | [ ]  |

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| **5.0** | **Please use the sub-components and/or external agencies listed in 2, 3, and/or 4 and describe the routing path for initiating, reviewing, and authorizing background investigations being sent to DCSA.** *(document any specific circumstances involving the use of that routing path in the far right column)* |
|  | **Initiates** | **Reviews** | **Authorizes** | **Circumstance** |
|  | **Sub-Component/External Agency** | **Sub-Component/External Agency** | **Sub-Component/External Agency** |
| ***EX.*** | *Example: Office of Security* | *Example: Office of Security* | *Example: Office of Security* | *All investigations except Special Sensitive and/or SCI access required.* |
| ***EX.*** | *Example: Office of Security* | *Example: Office of Special Security* | *Example: Office of Security* | *All investigations with Special Sensitive and/or SCI access required.* |
| **5.01** | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| **5.02** | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| **5.03** | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| **5.04** | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| **5.05** | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| **5.06** | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| **5.07** | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| **5.08** | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| **5.09** | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| **5.10** | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| **5.11** | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| **5.12** | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| **5.13** | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| **5.14** | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| **5.15** | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| **5.16** | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| **5.17** | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| **5.18** | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
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| **5.19** | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| **5.20** | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |

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| **6.0** | **Please list any sub-components within your agency that require visibility of Initiate, Review, and/or Authorize background investigations data for reporting and/or oversight.** *(these sub-components are* ***not necessarily limited*** *to those listed as conducting Initiate, Review, and/or Authorize operations in section 2 above)* |
|  | **Sub-Component** | **Requires Visibility of** |
| ***EX.*** | *Example: Office of Oversight* | *All other sub-components* |
| **6.01** | Click or tap here to enter text. | Click or tap here to enter text. |
| **6.02** | Click or tap here to enter text. | Click or tap here to enter text. |
| **6.03** | Click or tap here to enter text. | Click or tap here to enter text. |
| **6.04** | Click or tap here to enter text. | Click or tap here to enter text. |
| **6.05** | Click or tap here to enter text. | Click or tap here to enter text. |
| **6.06** | Click or tap here to enter text. | Click or tap here to enter text. |
| **6.07** | Click or tap here to enter text. | Click or tap here to enter text. |
| **6.08** | Click or tap here to enter text. | Click or tap here to enter text. |
| **6.09** | Click or tap here to enter text. | Click or tap here to enter text. |
| **6.10** | Click or tap here to enter text. | Click or tap here to enter text. |

## Personnel Vetting Process Workbook (v1.0):

## Background investigation management

**Background Investigation Management** is the functionality within NBIS to support an Investigative Service Provider’s collection and/or receipt of an SF 85, 85P, and/or 86; completion of records checks; completion of investigative lead-work; quality assurance; and/or creation of a report of investigation.

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| **1.0** | **Does your agency conduct its own background investigations?***(select YES for entire agency, select PARTIAL YES for certain sub-components)* | Choose an item. |
| **1.1** | If 1.0 is YES or PARTIAL YES, is your agency interested in using NBIS Background Investigation management functionality? | Choose an item.  |
| **1.2** | If 1.0 is YES or PARTIAL YES, is your agency interested in using NBIS to gather SF 85, 85P, and/or 86 responses from your subjects? | Choose an item.  |
| **1.3** | If 1.0 is YES or PARTIAL YES, does your agency currently use DCSA to complete any portions of the background investigation? | Choose an item.  |
| **1.4** | If 1.3 is YES, please describe the products that DCSA provides for your background investigations in the space below: |
|  | Click or tap here to enter text. |

**STOP**

**Continue if 1.1, 1.2 and/or 1.3 is YES**

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| **2.0** | **Please list sub-components within your agency responsible for conducting background investigations.** *(if your agency has more sub-components than will fit below, list the 5 highest within your agency’s org structure)* |
|  | **Name of Sub-Component** |
| ***EX.*** | *Example: Investigative Records Management Office* |
| **2.01** | Click or tap here to enter text. |
| **2.02** | Click or tap here to enter text. |
| **2.03** | Click or tap here to enter text. |
| **2.04** | Click or tap here to enter text. |
| **2.05** | Click or tap here to enter text. |

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| **3.0** | **Please list any external agencies that your agency conducts background investigations for.** *(if your agency services more external agencies than will fit below, list the 5 most prominent)* |
|  | **Name of External Agency** |
| **3.01** | Click or tap here to enter text. |
| **3.02** | Click or tap here to enter text. |
| **3.03** | Click or tap here to enter text. |
| **3.04** | Click or tap here to enter text. |
| **3.05** | Click or tap here to enter text. |

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| **4.0** | **Please list any sub-components within your agency that require visibility of background investigation management data for reporting and/or oversight.** *(these sub-components are* ***not necessarily limited*** *to those listed as conducting Background Investigation operations in section 2 above)* |
|  | **Sub-Component** | **Requires Visibility of** |
| ***EX.*** | *Example: Office of Operations Management* | *All other sub-components* |
| **4.01** | Click or tap here to enter text. | Click or tap here to enter text. |
| **4.02** | Click or tap here to enter text. | Click or tap here to enter text. |
| **4.03** | Click or tap here to enter text. | Click or tap here to enter text. |
| **4.04** | Click or tap here to enter text. | Click or tap here to enter text. |
| **4.05** | Click or tap here to enter text. | Click or tap here to enter text. |
| **4.06** | Click or tap here to enter text. | Click or tap here to enter text. |
| **4.07** | Click or tap here to enter text. | Click or tap here to enter text. |
| **4.08** | Click or tap here to enter text. | Click or tap here to enter text. |
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| **5.0** | **Please provide a primary and secondary point of contact for the DCSA Fulfillment Team to reach out to regarding the adoption of NBIS background investigations management.** |
|  | **Name** | **Email** | **Phone** |
| **4.01** | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| **4.02** | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |

## Personnel Vetting Process Workbook (v1.0):

## Adjudication Management

**Adjudication Management** is the functionality within NBIS to support an office’s adjudicative operations which include rendering interim/temporary adjudication determinations, making pre-screening determinations, receiving and/or uploading completed background investigations, reviewing and making adjudicative recommendations, and rendering a final adjudication for Credentialing, Suitability/Fitness, and/or National Security eligibility.

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| **1.0** | **Does your agency conduct its own adjudications?***Note: select YES for entire agency, select PARTIAL YES for certain sub-components* | Choose an item. |
| **1.1** | If 1.0 is YES or PARTIAL YES, is your agency interested in using NBIS Adjudication management functionality? | Choose an item.  |
| **1.2** | If 1.0 is NO or PARTIAL YES, please use the space below to indicate which agency(ies) conduct your adjudications and if there are any specific circumstances regarding the use of those adjudicative services. |
|  | *Example: Department of Example adjudicates employees belonging to the Inspector General’s Office on our behalf*Click or tap here to enter text. |

**STOP**

**Continue if 1.1 is YES**

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| **2.0** | **Please list sub-components within your agency responsible for conducting adjudications as well as the method they receive investigations from DCSA (if applicable), and the method they report adjudications to the Defense Information System for Security (DISS), Scattered Castles, and/or the Central Verification System (CVS).***(if your agency has more sub-components than will fit below, list the 5 highest within your agency’s org structure; if your agency reports its adjudications to multiple systems, list them in the 2.06 comments box)* |
|  | **Name of Sub-Component** | **Method of Receipt** | **Method of Reporting** | **System(s) Reporting To** |
| ***EX.*** | *Example: Office of Security Adjudications* | *Example: DCSA eDelivery to Agency System* | *Example: System Connection Updates* | *Example: CVS* |
| ***EX.*** | *Example: Office of Suitability Adjudications* | *Example: DCSA eDelivery to DISS* | *Example: Manually Update* | *Example: DISS* |
| **2.01** | Click or tap here to enter text. | Choose an item.  | Choose an item.  | Choose an item.  |
| **2.02** | Click or tap here to enter text. | Choose an item.  | Choose an item.  | Choose an item.  |
| **2.03** | Click or tap here to enter text. | Choose an item.  | Choose an item.  | Choose an item.  |
| **2.04** | Click or tap here to enter text. | Choose an item.  | Choose an item.  | Choose an item.  |
| **2.05** | Click or tap here to enter text. | Choose an item.  | Choose an item.  | Choose an item.  |
| **2.06** | Please provide any comments or additional clarifying information in the space below: |
|  | Click or tap here to enter text. |

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| --- | --- |
| **3.0** | **Please list any external agencies that your agency provides adjudicative services to.***(if your agency services more external agencies than will fit below, list the 5 most prominent)* |
|  | **Name of External Agency** |
| **3.01** | Click or tap here to enter text. |
| **3.02** | Click or tap here to enter text. |
| **3.03** | Click or tap here to enter text. |
| **3.04** | Click or tap here to enter text. |
| **3.05** | Click or tap here to enter text. |

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| **4.0** | **Please list any sub-components within your agency that require visibility of adjudication management data for reporting and/or oversight.** *(these sub-components are* ***not necessarily limited*** *to those listed as conducting adjudication operations in section 2 above)* |
|  | **Sub-Component** | **Requires Visibility of** |
| ***EX.*** | *Example: Office of Quality Assurance* | *All other sub-components* |
| **4.01** | Click or tap here to enter text. | Click or tap here to enter text. |
| **4.02** | Click or tap here to enter text. | Click or tap here to enter text. |
| **4.03** | Click or tap here to enter text. | Click or tap here to enter text. |
| **4.04** | Click or tap here to enter text. | Click or tap here to enter text. |
| **4.05** | Click or tap here to enter text. | Click or tap here to enter text. |
| **4.06** | Click or tap here to enter text. | Click or tap here to enter text. |
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| **5.0** | **Please provide a primary and secondary point of contact for the DCSA Fulfillment Team to reach out to regarding the adoption of NBIS adjudication case management.** |
|  | **Name** | **Email** | **Phone** |
| **4.01** | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| **4.02** | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |