

PRIVACY IMPACT ASSESSMENT (PIA)

PRESCRIBING AUTHORITY: DoD Instruction 5400.16, "DoD Privacy Impact Assessment (PIA) Guidance". Complete this form for Department of Defense (DoD) information systems or electronic collections of information (referred to as an "electronic collection" for the purpose of this form) that collect, maintain, use, and/or disseminate personally identifiable information (PII) about members of the public, Federal employees, contractors, or foreign nationals employed at U.S. military facilities internationally. In the case where no PII is collected, the PIA will serve as a conclusive determination that privacy requirements do not apply to system.

1. DOD INFORMATION SYSTEM/ELECTRONIC COLLECTION NAME:

National Background Investigation System - Analytics

2. DOD COMPONENT NAME:

Defense Information Systems Agency

3. PIA APPROVAL DATE:

02/06/20

SECTION 1: PII DESCRIPTION SUMMARY (FOR PUBLIC RELEASE)

a. The PII is: (Check one. Note: foreign nationals are included in general public.)

- From members of the general public
- From Federal employees and/or Federal contractors
- From both members of the general public and Federal employees and/or Federal contractors
- Not Collected (if checked proceed to Section 4)

b. The PII is in a: (Check one)

- New DoD Information System
- Existing DoD Information System
- Significantly Modified DoD Information System
- New Electronic Collection
- Existing Electronic Collection

c. Describe the purpose of this DoD information system or electronic collection and describe the types of personal information about individuals collected in the system.

The National Background Investigation System (NBIS) Analytics is an AI system of systems that assists to prioritize workload queues, provide ancillary business functions, and support adjudication process decisions. In support of ingesting, parsing, and processing enrichment data to enable alert creation the following data sources will be used: SF86, LexisNexis, MILD, Equifax, MILDRUG, DISS/CATS, SWFT, NCIC, SSA, Experian, CIES/SC/TIDE, JPAS, DCII, TransUnion, NLETS, and FINCEN. The NBIS Data Broker/Data Management System will operate between the NBIS firewall and AWS GovCloud, performing data capture and passing raw files to the Analytics AI suite. Once in the NBIS Analytics environment data federation, normalization, and analytics are applied.

d. Why is the PII collected and/or what is the intended use of the PII? (e.g., verification, identification, authentication, data matching, mission-related use, administrative use)

NBIS-Analytics ingests and validates new enrollment Personal Identifying Information (PII) from SF86 and enrollee information captured in Federal systems of record. NBIS-Analytics is the tool by which the eligibility of individuals with a Federal Security Clearance are assessed through monitoring financial, commercial, public, and law enforcement records to determine if individuals pose a security risk. NBIS-Analytics specifically supports the goal to modernize and accelerate the security clearance process in an effort to manage and reduce the risk of untrustworthy individuals attaining access to sensitive and classified information.

e. Do individuals have the opportunity to object to the collection of their PII? Yes No

(1) If "Yes," describe the method by which individuals can object to the collection of PII.

(2) If "No," state the reason why individuals cannot object to the collection of PII.

The requested PII data is required to conduct individuals background investigations. Individuals seeking access to information about themselves contained in this system of records should address inquires in writing to the Chief, Freedom of Information Act (FOIA) Services Center, Defense Agency Privacy and Civil Liberties Office, 7700 Arlington Boulevard, Suite 5101, Falls Church, VA 22042-5101. Signed, written request should contain the requests full name, DoD ID number, current address, and telephone number and this system of records notice number. In addition, the requester must provide a notarized statement of an unsworn declaration made in accordance with 28 U.S.C. 1746, in the follow format: If executed outside the United States: "I declare (or certify, verify, or state) under penalty of perjury under the laws of the United States of America that the foregoing is true and correct. Executed on (date). (Signature)." If executed within the United States, its territories, possessions, or commonwealths: "I declare (or certify, verify, or state) under penalty of perjury that the foregoing is true and correct. Executed on (date). (Signature)."

f. Do individuals have the opportunity to consent to the specific uses of their PII? Yes No

(1) If "Yes," describe the method by which individuals can give or withhold their consent

(2) If "No," state the reason why individuals cannot give or withhold their consent

Individuals seeking to determine whether information about themselves is contained in this system of records should address inquiries in writing to the Chief, Freedom of Information Act (FOIA) Service Center, Defense Health Agency Privacy and Civil Liberties Office, 7700 Arlington Boulevard, Suite 5101, Falls Church, VA 22042-5101. Signed, written request should contain the requester's full name, DoD ID number, current address, and telephone number and this system of records notice number. In addition, the requester must provide a notarized statement of an un-sworn declaration made in accordance with 28 U.S.C. 1746, in the following format: If executed outside the United States: "I declare (or certify, verify, or state) under penalty of perjury under the laws of the United States of America that the foregoing is true and correct. Executed on (date). (Signature)." If executed within the United States, its territories, possessions, or commonwealths: "I declare (or certify, verify, or state) under penalty of perjury that the foregoing is true and correct. Executed on (date). (Signature)."

g. When an individual is asked to provide PII, a Privacy Act Statement (PAS) and/or a Privacy Advisory must be provided. (Check as appropriate and provide the actual wording.)

- Privacy Act Statement Privacy Advisory Not Applicable

This system of records contains Personal Identifiable Information (PII). The DoD Directive 5400.11, "DoD Privacy Program" The Privacy Act (5 U.S.C. 552a, as amended) issued and pursuant to DoD 5400.7-R (h) "Code of Fair Information Practices" that regulates the collection, maintenance, use, and dissemination of Personally Identifiable Information. DoD Manual 8910.01 may place additional procedural requirements on the uses and disclosures of such information beyond those found in the Privacy Act of 1974 or mentioned in this system of records notice.

h. With whom will the PII be shared through data exchange, both within your DoD Component and outside your Component? (Check all that apply)

Within the DoD Component

Specify.

To the Under Secretary of Defense for Intelligence, for the purpose of oversight and research.

To the DoD CAF, for the purpose of rendering adjudications eligibility for personnel security, suitability, and HSPD-12. To Military Services, for the purpose of Initiation, investigation/verification to conduct, security clearances.

Other DoD Components

Specify.

The DoD CAF, for the purpose of rendering adjudications eligibility for personnel security, suitability, and HSPD-12.

Other Federal Agencies

Specify

To all Federal agencies, who request an investigation/verification clearance for employees and contractors. To Data Aggregators, including law enforcement to track individuals but is not limited to, checks of the National Crime Information Center; state criminal histories; and Federal Bureau of Investigation records checks; and to obtain information on applicants.

State and Local Agencies

Specify

Contractor (Name of contractor and describe the language in the contract that safeguards PII. Include whether FAR privacy clauses, i.e., 52.224-1, Privacy Act Notification, 52.224-2, Privacy Act, and FAR 39.105 are included in the contract.)

Specify

Other (e.g., commercial providers, colleges)

Specify

To Fourth Estate (all non-Service DoD components) for the purpose of adjudications.

i. Source of the PII collected is (Check all that apply and list all information systems if applicable)

Individuals

Databases

Existing DoD Information Systems

Commercial Systems

Other Federal Information Systems

The following data sources will be used: SF86, LexisNexis, MILD, Equifax, MILDTRUG, DISS/CATS, SWFT, NCIC, SSA, Experian, CES/SC/TIDE, JPAS, DCH, TransUnion, NLETS, and FINCEN.

j. How will the information be collected? (Check all that apply and list all Official Form Numbers if applicable)

E-mail

Official Form (Enter Form Number(s) in the box below)

Face-to-Face Contact

Paper

Fax

Telephone Interview

Information Sharing - System to System

Website/E-Form

Other (If Other, enter the information in the box below)

SF85, SF85-P, and SF86

k. Does this DoD Information system or electronic collection require a Privacy Act System of Records Notice (SORN)?

A Privacy Act SORN is required if the information system or electronic collection contains information about U.S. citizens or lawful permanent U.S. residents that is retrieved by name or other unique identifier. PIA and Privacy Act SORN information must be consistent.

Yes No

If "Yes," enter SORN System Identifier

SORN Identifier, not the Federal Register (FR) Citation. Consult the DoD Component Privacy Office for additional information or <http://dpcl.d.defense.gov/Privacy/SORNs/>
or

If a SORN has not yet been published in the Federal Register, enter date of submission for approval to Defense Privacy, Civil Liberties, and Transparency Division (DPCLTD). Consult the DoD Component Privacy Office for this date

If "No," explain why the SORN is not required in accordance with DoD Regulation 5400.11-R: Department of Defense Privacy Program.

l. What is the National Archives and Records Administration (NARA) approved, pending or general records schedule (GRS) disposition authority for the system or for the records maintained in the system?

(1) NARA Job Number or General Records Schedule Authority.

(2) If pending, provide the date the SF-115 was submitted to NARA.

(3) Retention Instructions.

Draft Records Retention/Disposition Schedule is currently in development, pending submission to and approval from the Archivist of the United States, National Archives and Records Administration (NARA). Unscheduled NBIS records will be treated as permanent until receipt of retention/disposition instruction approval from the Archivist of the United States, NARA.

m. What is the authority to collect information? A Federal law or Executive Order must authorize the collection and maintenance of a system of records. For PII not collected or maintained in a system of records, the collection or maintenance of the PII must be necessary to discharge the requirements of a statute or Executive Order.

- (1) If this system has a Privacy Act SORN, the authorities in this PIA and the existing Privacy Act SORN should be similar.
- (2) If a SORN does not apply, cite the authority for this DoD information system or electronic collection to collect, use, maintain and/or disseminate PII. (If multiple authorities are cited, provide all that apply).

(a) Cite the specific provisions of the statute and/or EO that authorizes the operation of the system and the collection of PII.

(b) If direct statutory authority or an Executive Order does not exist, indirect statutory authority may be cited if the authority requires the operation or administration of a program, the execution of which will require the collection and maintenance of a system of records.

(c) If direct or indirect authority does not exist, DoD Components can use their general statutory grants of authority ("internal housekeeping") as the primary authority. The requirement, directive, or instruction implementing the statute within the DoD Component must be identified.

5 C.F.R. parts 2, 5, 731, 732, 736, and 1400 establish the requirements for agencies to evaluate relevant covered positions for a position sensitivity and position risk designation commensurate with the duties and responsibilities of those positions. Depending upon the purpose of the particular background investigation, OPM is authorized to collect information under Executive Orders 9397, 10450, 10577, 10865, 12333, 12968, 13467 as amended, 13488, and 13549; 5 U.S.C. §§ 1103, 1302, 1303, 1304, 3301, 7301, 9101, and 11001; 22 U.S.C. §§ 272b, 290a, 2519; 31 U.S.C. §§ 1537; 42 U.S.C. §§ 1874(b) (3), 2165, 2201, and 20132; 50 U.S.C. § 3341; Public Law 108-136; and Homeland Security Presidential Directive (HSPD) 12.

n. Does this DoD information system or electronic collection have an active and approved Office of Management and Budget (OMB) Control Number?

Contact the Component Information Management Control Officer or DoD Clearance Officer for this information. This number indicates OMB approval to collect data from 10 or more members of the public in a 12-month period regardless of form or format.

Yes No Pending