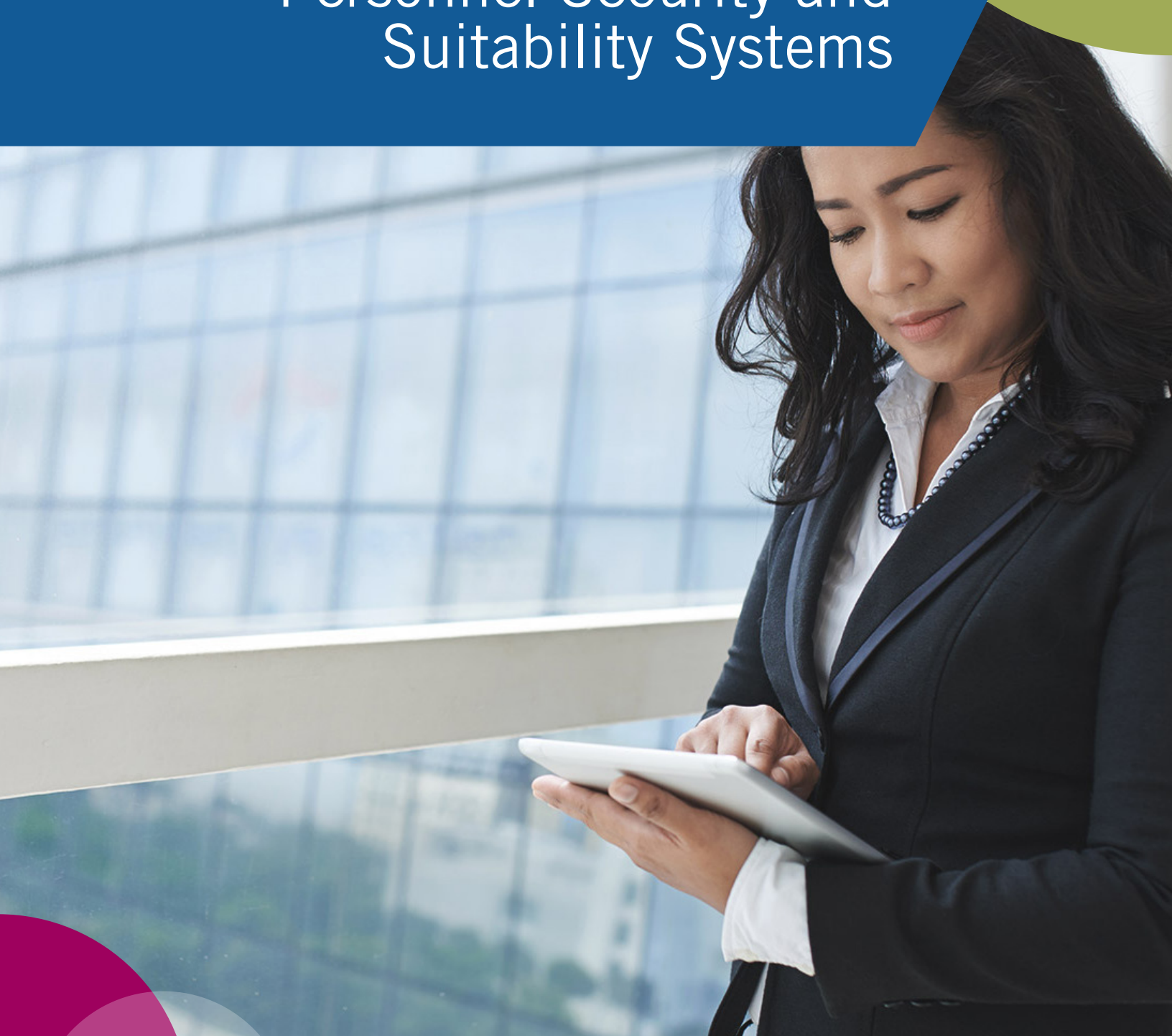


Personnel Security and Suitability Systems



To create your optimal Personnel Security and Suitability management system, **which components would you include?**

- Background Investigations
- Adjudications
- Continuous Evaluation
- Invoicing and Payments
- Reporting and Analytics
- All of the Above

Deploy the system that's **best for you.**

Deploy the Ultimate Personnel Security and Suitability System

Investigators and adjudicators must deliver quality investigations and fair determinations irrespective of caseload volume, complexity, or pressure to meet timeliness requirements.

Depending on the clearance type and availability of resources, the process may take months, the collected information may fill volumes, and the interconnections may be innumerable.

Accelerate Work — Increase Focus and Accuracy

Whether it is a government agency, private investigation service provider (ISP), or OPM Delegated Authority, everyone is under pressure to reduce backlogs and complete caseloads within time limits.

By auto-scoping investigative requirements, automating routine processes, and capturing, routing, and connecting data, Tyler's Application Platform enables investigators and adjudicators to focus on their mandate — determining the fitness of those that hold public trust positions.

The Personnel Security and Suitability application accelerator is an off-the shelf case management framework built on the Application Platform. With best practices, business rules, and terminology built right in, it dramatically speeds implementations and reduces resource requirements and cost.

Personnel Security and Suitability, End-to-End

Tyler's Application Platform helps PerSec professionals efficiently process Tier 1–5 access and clearance requests for federal employees and contractors. It is pre-configured to manage all aspects of each case, from preliminary review and onboarding to investigation and adjudication to re-investigation and continuous evaluation (CE), along with reporting, analytics, invoicing, and contractor payments.

While it may not be possible to speed up variables such as waiting for missing information or chasing down an interview subject, a purpose-built case management solution can improve overall efficiency by automatically:

- Initiating cases from ingested Electronic Questionnaires for Investigations Processing (e-QIPS)
- Completing tasks and closing cases that pass all checks
- Verifying information for accuracy, quality, and completion
- Routing completed investigations to adjudicators
- Paying contractors and invoicing agencies

Background Investigations

The extent and depth of a background investigation (BI) increases as levels of classification, qualification, sensitivity, and risk rise. As higher clearance levels add layers to the BI process, the Platform flexes to accommodate additional rules and processes, as needed.

The Application Platform manages:

- Auto-scoping of Investigations Based on e-QIP
- Tracking/Conducting Investigations
- Auto Completion of Issue-free Tasks
- Investigator Audits
- Managing Investigation Resources
- eDelivery of report of investigation (ROI) for Adjudication (via OPM)

Adjudications

Depending on a position's risk level and sensitivity, adjudicators may be asked to determine a candidate's credentialing, suitability, and national security clearance. By following a prescriptive workflow based on case type and seriousness code assigned by OPM, the adjudicator evaluates the candidate against the 14 OPM or 13 DoD adjudicative guidelines, then grants or denies clearance.

The Platform manages:

- Preliminary Reviews/Waivers
- ROI Ingestion
- Auto-adjudication of Issue-free Cases (If Desired)
- Review and Adjudication
- Credential Tracking
- Automated Reporting to OPM (79a and CVS)
- Reinvestigation Reporting
- Continuous Evaluation

An Application Platform-based Personnel Security and Suitability system can provide end-to-end case management for the entire investigative, adjudicative, and continuous evaluation process.

Continuous Evaluation

The Application Platform can be configured to monitor cleared individuals for ongoing adherence to DoD or OPM guidelines, enabling security specialists to review incidents of suspected dishonesty, deception, concealment, or malevolent intent, and decide whether to pursue corrective action. By using weighted and graded data collected from HR, cybersecurity and other systems, detailed dashboards can be configured to present high-level overviews of an organization's cleared individuals, total risk levels, and trending graphs.

Invoicing and Payment

Contractors are paid on a fee-for-service basis per task, such as a completed interview. The invoicing and payment component can track investigator hours for each case and generate invoices to the contracting agency as well as payments to 1099 contract investigators. The Platform manages:

- Time/Expense Tracking and Approval
- Investigation Cost Invoicing
- 1099 Contractors Payment

Dashboards, Reporting, Analytics

It takes a variety of tools to keep track of tasks, cases, and overall workload. The Platform presents each user with an individual, customizable, role-based dashboard summarizing all assigned cases, pending actions, and notifications. Standard reports help contributors and supervisors manage their workload and overall operations. Users can also create ad hoc reports on any variety of BI activities.

With the addition of the Analytics module, investigators and adjudicators can go even further with their analysis, drilling into information in clear, visual formats so they can make better decisions.

Secure Data Exchange

For agencies that previously relied on couriers to deliver completed packages, eDelivery can reduce delivery time from 10 days to 1–3 business days — up to a third of the typical 30-day period allowed by OPM for adjudication. The Platform interfaces are continually configurable, backward compatible, and reflect the latest guidance.

OPM Interfaces:

- e-QIP Ingestion
- eDelivery: ROI and related transmittals from OPM to adjudicating agency
- 79a Agency Adjudication Report: determination status changes exported to OPM
- CVS Daily & Monthly: clearance status changes exported to OPM
- PIPS Daily Case Status: case status changes imported from OPM

Additional Interfaces:

- NCIC (FBI criminal background check)
- FBI fingerprint search (within eDelivery)
- Triple Credit Report Interface
Automation Experience

An Application Platform-based Personnel Security and Suitability solution gives you the ultimate in system capabilities and flexibility.

Unlike solutions that dictate how you do your work and manage your data, Tyler's Application Platform lets you configure and connect your system(s) in the way that best suits your needs.

With the platform, everything is built in — from day-to-day case management to advanced application development and programming. Plus, there are optional modules and application accelerators available with best practices, business rules and terminology built right in to speed implementations and reduce resource requirements.

Whether you want to deploy a single component or an end-to-end personnel security and suitability application, Tyler's Application Platform gives you the flexibility to take the approach that's best for you.



Background Investigations

Free Experts to Focus on the Details

Not every process should be automated. But automating routine processes frees up experienced specialists to uncover relevant information needed by adjudicators. The more time they have for this highly skilled work, the higher their engagement — and the better the system can work to eliminate potential threats.

Auto-scoping and Case Assignment

When the system ingests a completed e-QIP questionnaire from OPM's Personnel Investigations Processing System (PIPS), it is auto-scoped based on the position classification, work and travel requirements, and the applicant's self-reported responses.

New cases are auto-populated with all OPM-defined tasks required for the type of investigation indicated by the candidate and position. Cases are then assigned to investigators based on the type of investigation required and the investigator's credentials, assigned contract (for ISPs), experience, location, and caseload. Lead investigators can then delegate tasks to specific resources as appropriate.

Investigation Management

Investigators keep track of assignments and associated tasks in their inbox and manage cases by due date, level, and priority (expedited or non-expedited). As an investigation progresses, each task is checked against OPM quality criteria. Tasks with no issues are auto-completed, which expedites both the case and fee-for-service contractor payments.

When all investigative tasks are completed, the case is routed to a case reviewer, who compiles the ROI, assigns a seriousness code, and attaches supporting documentation. The system then sends the completed security package via eDelivery to the requesting agency, which receives it the same day that the case is closed.

50,000 Investigations and Clearances a Month — and Counting

Tyler's Application Platform is used throughout the federal government to manage more than 50,000 BIs and security clearance requests a month. For more than a decade, the Department of Justice's Security and Emergency Planning Staff has used the Platform as its Justice Security Tracking and Adjudication System (JSTARS). The system manages 250,000 active cases involving employees and contractors across the DOJ.

Here are some of the many other agencies that depend on entellitrak for background investigations and adjudication tracking:



Adjudications

Move Swiftly and Overlook Nothing

Moving from the investigation to the adjudication phase in the Application Platform is seamless. Using data captured during the investigative phase, adjudicators can move swiftly as they evaluate candidates against the 14 OPM or 13 DoD adjudicative guidelines.

Waivers and Preliminary Reviews

The Application Platform helps adjudicators manage waivers and preliminary reviews based on a candidate's completed e-QIP questionnaire, which allows a hire to begin work before a full investigation is conducted. For positions that have been approved for waiver or preliminary review, the completed e-QIP or agency employment questionnaire is ingested from OPM and routed to an adjudicator before being assigned to an investigator.

Suitability and National Security Determinations

Completed security packages are sent from OPM via eDelivery to the Application Platform, where adjudicators can access their assigned cases. If the adjudicating agency so desires, Tier 1 and even Tier 2 investigations that are completed with no issues can be auto-adjudicated in the system, freeing adjudicators to focus on higher-risk cases.

Credentialing

The Application Platform tracks the badging and credentialing of employees and contractors who are granted the appropriate personnel identity verification (PIV) card following a waiver, preliminary review, or full adjudication. Once an individual clears HSDP-12 adjudication, the system sends an email to the agency's credentialing office to begin the badging process.


Re-investigations

The Application Platform monitors cases by close date and investigation type to determine when re-investigations are due. Designated security specialists receive a regular Reinvestigations Due Report from the Application Platform, which prompts them to order the investigations via OPM.

Adjudicative Guidelines

OPM

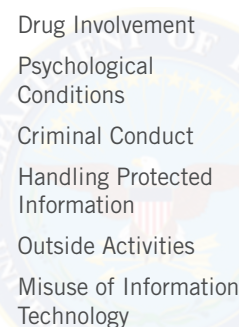
Alcohol
Drugs
Finances
Criminal Behavior
Honesty
Disruptive or Violent Behavior
Employment Misconduct



Firearms or Weapons Offense
Miscellaneous
Debarment
Loyalty
Qualifications
Associates
Relatives

DoD

Allegiance to the United States
Foreign Influence
Foreign Preference
Sexual Behavior
Personal Conduct
Financial Considerations
Alcohol Consumption



Drug Involvement
Psychological Conditions
Criminal Conduct
Handling Protected Information
Outside Activities
Misuse of Information Technology

Criminal Conduct
Handling Protected Information
Outside Activities
Misuse of Information Technology

Continuous Evaluation

Assemble a Complete Profile

The Application Platform can be configured to monitor cleared individuals for ongoing adherence to DoD or OPM guidelines. Data can be collected from HR, cybersecurity, and other systems, and weighted and graded according to threat level. Concise reports can provide a complete picture of a cleared individual, enabling security specialists to review incidents of suspected dishonesty, deception, concealment, or malevolent intent and decide whether to pursue corrective action. Detailed dashboards can be configured to present high-level overviews of an organization's cleared individuals, total risk levels, and trending graphs.

Invoicing and Payment

Automate and Speed Transactions

The invoicing and payment component tracks investigator hours for each case and generates both invoices to the contracting agency and payments to the 1099 contract investigators. It is generally deployed in conjunction with the Background Investigation component.

Contractors are paid on a fee-for-service basis per task, such as a completed interview. Tasks are automatically closed upon successful quality review, which generates a payment to contracted investigators. Similarly, cases are automatically closed upon successful quality review, which generates an invoice to the contracting agency.

Both 1099 contractor payments and agency invoices are transmitted via integration with Deltek. ISPs can further configure invoicing, payment, and reporting features to align with internal processes and various agency terms.

To monitor financial performance, organizations can view:

- Task Closure Cost and Pricing Analysis
- Task Cost and Pricing Analysis by Case Type
- Payment to Contractor Analysis



Office of Personnel Management

Two of four contractors that were awarded separate 5-year, IDIQ contracts to conduct background investigations and security clearances for OPM use Tyler's Platform to manage their background investigations. OPM conducts roughly 95% of all background investigations for federal agencies — hundreds of thousands a year — to ascertain whether an applicant is suitable for federal employment or should be awarded a security clearance. All four contractors support the new National Background Investigations Bureau (NBIB), which was established in January 2016 to replace OPM's Federal Investigative Services after it suffered two massive data breaches in 2014 and 2015, involving more than 22 million people.

Dashboards, Reporting, Analytics

Give Yourself a Comprehensive View

Investigators, case reviewers, and adjudicators have many tools to help them keep track of tasks, cases, and overall workload. Upon login, authorized users see their individual role-based dashboard, which summarizes all assigned cases, pending actions, and notifications. Individuals can modify their dashboards to highlight key reports, searches, alerts, and other information.

The Application Platform includes several standard reports to help individual contributors and supervisors manage their workload and overall operations. Examples include:

- Active Case Status
- Cases Scheduled but Not Completed
- Investigations Completed but Not Adjudicated
- Reinvestigations Due
- Overview of Cases Scheduled, Assigned, and Completed by Organization and Individual
- Case Closure Times by Required Close Time, Investigator, or Reviewer
- Task Quality by Investigator
- Closure Times and Quality by Type of Task
- Case Closure Problem Management/Incident Management

In addition to standard reports, users can create ad hoc reports that detail activities by individual office; track cases at each stage of the process; identify active cases, investigations, and clearances at the component level; list investigations received, adjudicated, backlogged, and pending; and identify issued clearances and waivers.

The optional Analytics module enables organizations to turn disparate data from multiple sources into navigable and usable information. Self-service tools empower users to create additional reports without having to rely on IT. Drag-and-drop developer tools can be used to create sophisticated views without coding.

Improve Adjudication Timeliness with eDelivery

The Application Platform is always up to date with the latest version of eDelivery. For agencies that previously relied on couriers to deliver completed packages, eDelivery can reduce delivery time from 10 days to 1-3 business days — up to a third of the typical 30-day period allowed by OPM for adjudication.

Continuously Configurable

Proactively Accommodate New Standards and Directives

Permanent, hard-coded rules for a “typical” organization rarely stand the test of time. With the Application Platform, each investigative and adjudicative body gets a solution configured to its exact requirements.

- Out of the box workflows, templates, and forms are configured to support specific roles and standards — all from a common platform.
- Information is presented within a single, Section 508 compliant, web-based interface — no jumping between systems.
- Even without the help of developers, your organization can continuously configure the system to meet ever-evolving standards and directives.

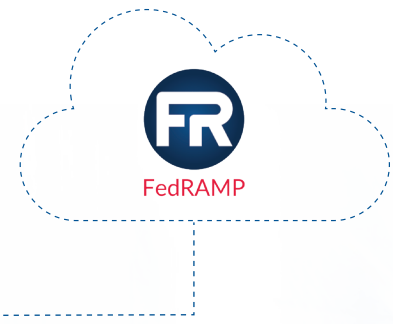
Secure Hosting

Apply Federally Accredited Security

Everyone’s needs are different. For that simple reason, the Application Platform has been architected so that it can be hosted on-prem or in the cloud, or via a hybrid approach, which is handy when you are combining systems.

Advanced security is built in.

- Access is role based, so users see only the data that is pertinent to their domain.
- All data is SSL encrypted, and can be encrypted at rest as well.
- Single sign-on authentication is supported via one or more methods at one time, including LDAP, Active Directory, RSA SecurID tokens, Authentication portals, Smart cards and CACs
- Tyler is a FedRAMPSM moderate and FBI CJIS compliant cloud service provider.
- The Application Platform is also Accredited and Secure with C&A’s based on NIST 800-53, DIACAP and DCID 6/3.



About Tyler Technologies, Inc.

Tyler Technologies (NYSE: TYL) provides integrated software and technology services to the public sector. Tyler's end-to-end solutions empower local, state, and federal government entities to operate more efficiently and connect more transparently with their constituents and with each other.

By connecting data and processes across disparate systems, Tyler's solutions are transforming how clients gain actionable insights that solve problems in their communities. Tyler has more than 37,000 successful installations across more than 12,000 locations, with clients in all 50 states, Canada, the Caribbean, Australia, and other international locations. Tyler was named to Government Technology's GovTech 100 list five times and has been recognized three times on Forbes' "Most Innovative Growth Companies" list. More information about Tyler Technologies, an S&P 500 company headquartered in Plano, Texas, can be found at tylertech.com.

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Empowering people who serve the public®