

BLM Nevada Guidance for Contractor Access to ePlanning

January 25, 2010

BACKGROUND/INTRODUCTION

Many of the larger EA's and EIS's undertaken by BLM Nevada are completed by contractors, and that will continue to be the case as ePlanning for NEPA is deployed across the state. The National Operations Center (NOC) ePlanning team has provided guidance for some of the Homeland Security Presidential Directive 12 (HSPD-12) background security requirements for contractors to access the ePlanning system. However, these requirements do not contain detailed guidance for the HSPD-12 process, or information about the requirements for setting up a PC and the operating environment to enable a contractor to work in ePlanning. This document is intended to provide detailed guidance for the process to establish the appropriate environment and alternatives for contractors preparing an ePlanning document for the Nevada BLM while working on the BLM network.

CONTRACTOR BACKGROUND SECURITY INVESTIGATION

Approximate completion time 60 - 90 days. All contractors working in the ePlanning system require access to the internal BLM network. Establishing this access requires the contractor to complete HSPD-12 security requirements as established by [Washington Office Instruction Memorandum \(IM\) 2008-101, Change 2, Requesting Background Investigations for Bureau of Land Management Employees and Contractors](#), which replaces IM 2006-154. The contractor must identify specific staff members who will be authoring documents in the ePlanning system. Each staff member identified is required to successfully complete this security process prior to being granted access to the BLM network. Under no circumstances will a contractor's staff member be allowed access to the BLM network without first successfully completing this security process. The list of HSPD-12 forms and actions required are as follows:

| FORM NAME | FORM PURPOSE | ACTION REQUIRED |
|---|--|--|
| e-QIP Account Setup Form | Human Resources (HR) form - required to initiate a background investigation. | Contractor must complete the form and fax it to NVSO HR at 775-861-6678. (Attachment 2 – must be completely filled out to initiate the process). Note: FBMS cost structure information must be provided on form prior to submission. |
| FD-258 (<i>Two FD-258 forms are required</i>) | HR form - Fingerprint Chart | This form will be provided by HR to the Contractor's staff member after the e-QIP form has been completed and processed. |
| SF-85 | HR – form Questionnaire for Non-Sensitive Position | This form will be provided by HR electronically to the Contractor's staff member after the e-QIP form has been completed and processed. |
| SF-86A | HR form - Continuation Sheet | Use if needed to complete form SF-85. This form will be provided by HR electronically to the Contractor's staff member after the e-QIP form has been completed and processed. |
| OF-306 | HR form - Declaration of Federal Employment | This form will be provided by HR electronically to the Contractor's staff member after the e-QIP form has been completed and processed. |
| | HR form - Release to Obtain Credit Report (For Internal Use – Form not applicable to SF-85; Only applicable to SF-85P & SF-86) | This form will be provided by HR electronically to the Contractor's staff member after the e-QIP form has been completed and processed. |

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FAQ: Can a contractor staff member complete their Background Security Investigation prior to being awarded a contract?

Answer: No. The e-QIP form includes a project Cost Code as a requirement to initiate the process. Thus, a Background Security Investigation can only be initiated for a contract that has been awarded.

CONTRACTOR NETWORK ACCESS

Approximate completion time 1 day, if all HSPD-12 requirements have been completed and HR has received a favorable FBIF fingerprint result. Once a contractor has successfully completed the HSPD-12 Background Security Investigation process, HR will update the investigation database for its reference. Contracting should follow up with HR to inquire about the status of the HSPD-12 investigation.

Next, the contractor must complete the three annual online training courses required for all BLM employees. Each course should take no more than one hour to complete. The courses, accessible through DOI Learn <http://doilearn.doi.gov/coursecatalog/index.cfm>, are:

| COURSE CODE | COURSE NAME |
|--------------------|--|
| NBC/DOIU-OLT-1594L | Federal Information Systems Security Awareness |
| NBC/DOIU-OLT-1611 | Records Management Awareness |
| NBC/DOIU-OLT-1549 | Orientation to the Privacy Act |

Enrollment Instructions:

1. Click on one of the course names; on the following page, click apply.
2. Complete the *Enrollment Request* information, ensure that you fill in all the required fields.
3. In the *Payment* Information section, select “not required” from the drop down box, and click GO.
4. You should receive an email from DOI Learn that your request has been received and then a second email once your request has been approved.
5. By applying for one of the courses you will automatically be enrolled in all three required courses.
6. Upon completion of each course, print the certificate of completion.

After the required training is completed BLM NV IT requires completion of form 1264-2 *System Access Request* (Forms 1264-1 and 1264-3 may also be required by the National Operations Center (NOC)) for each eligible contract staff member requesting access to the BLM network. This information is used in the process for creating an Active Directory (AD) account for each of the approved contract staff members. Printed copies of the three DOI Learn course certificates of completion must be submitted with the 1264-3. If the contract staff member has had BLM network access and an AD account for a previous contract, it should be indicated on the 1264 *System Access Request* form. Under some circumstances a deactivated contractors AD account may be retrieved and re-activated. Please note that the contractor’s AD account will not include a BLM email account. Required forms:

| FORM NAME | FORM PURPOSE | ACTION REQUIRED |
|-----------|---|---|
| 1260-1 | BLM IT Form – System Login Access Request | Form and Process are initiated by the Program Manager or Staff who is managing the Contract. The Contractor must complete the form and submit it with copies of training certificates for the required online training. |

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|--------|---|--|
| 1264-2 | BLM NV IT Form – System Login Access Request to initiate an Active Directory Account | Form and Process are initiated by the Program Manager or Staff who is managing the Contract. The Contractor must complete the form and submit it with copies of training certificates for the required online training. |
| 1264-3 | BLM IT Form – Individual Computer User’s Statement of Responsibility required to initiate an Active Directory Account | Form and Process are initiated by the Program Manager or Staff who is managing the Contract. The Contractor must complete the form and submit it with copies of training certificates for the required online training . |

CONTRACTOR ePLANNING SYSTEM ACCESS and TRAINING

Approximate completion time 7-14 days for the user account; Training time frames vary. Completion of the security requirements will not automatically allow the contractor access to the ePlanning system. A SF 1260-12 *National Applications Software Applications Permission Request* must be completed by each contract staff member and submitted to the State Office Information Technology Security Manager (ITSM) for approval. The signed form is then faxed to the National Operations Center (NOC) ePlanning lead and their user profile is created in the system. This profile establishes the level of permission the individual has for project creation and development in the ePlanning system. This process should be coordinated by the ePlanning point of contact for the district.
Required Form:

| FORM NAME | FORM PURPOSE | ACTION REQUIRED |
|------------------|---|--|
| <u>1260-12</u> | BLM National Operations Center (NOC) Form – System Login Access Request for ePlanning | Last form – Initiated by the District ePlanning Point-of-Contact. The Contractor must complete the form and submit it to the Nevada State Office Information Technology Security Manager (ITSM) for signature. |

Once all of the above processes have been completed the designated Contractor Staff will be able to log into ePlanning on a BLM computer on the BLM computer network. ePlanning training will also need to be arranged for the contractor staff members. Currently, the Facilitator led training must be coordinated with the ePlanning Training Coordinator at the NOC, (Tina.McDonald@blm.gov). Please Note: The NOC is developing a new ePlanning training plan which may change current processes, and include web based courses through DOI Learn.

The entire Security, Network Account, and ePlanning Access process could take several months to complete. This should be considered, along with the time frame for completing the project, when determining the document development method the Contractor will use to create the document. i.e. will the project schedule allow the time required for the contractor to complete the processes required to successfully gain network access and training? (see document development options below)

CONTRACTOR DOCUMENT DEVELOPMENT OPTIONS

There are several potential options for contractors to work with the BLM on developing an ePlanning document. Each of the options listed below require different considerations for contracting requirements and Statements of Work (SoW). For additional guidance on third party contracts please refer to [NV IM 2009-047 Contracting Guidance for National Environmental Policy Act \(NEPA\) Documents](#). Because of the variables involved,

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determination of the best option will be coordinated by the Project lead and the State and District Office ePlanning leads on a per project basis when the SoW is written. Three potential options are:

1. Work in BLM office using a BLM computer on the BLM network
2. Work in contractor's office using a BLM computer on the BLM network via VPN
3. Work in contractor's office using contractor computer without access to BLM network.

Regardless of the document development method used, the Contractor will be responsible for properly protecting and managing all information used, gathered, or developed as a result of work for the BLM in compliance with NV IM 2009-034 Change 1. All information, work papers, drafts and final documents developed or accessed, or any product/system developed (e.g., any system, database, or other contract related work/equipment required/acquired in accomplishment of assigned task(s)) are the property of the United States government.

Option #1 -Work in BLM office using a BLM computer on the BLM network

After the contractor has successfully completed the HSPD-12 security requirements, obtained an Active Directory account, and access to the ePlanning system has been established, they may be allowed to work from a BLM office during normal business hours. Arrangements must be coordinated with the local Management, HR and IT staff when developing the SoW in order to ensure building access, office workspace with a BLM owned computer, access to the BLM network, and all security and policy requirements are met.

Option #2 – Work in contractor's office using a BLM computer on the BLM network via VPN

This option requires early planning and coordination with HR, IT, and management. The ePlanning system will not be accessible to contractors from locations outside the BLM firewall. In addition to the security and ePlanning access requirements, BLM should include provisions for purchase of a PC, and possibly hardware VPN (Virtual Private Network) technology, when preparing the contract SoW. If this option is selected, the contractor must be aware that:

1. One BLM networked computer per contract will be allowed, and assigned to a single individual/point-of-contact.
2. A BLM dedicated Internet connection with a minimum Internet connection speed of 1.5 megabytes per second is required. (High Speed DSL is preferred)
3. Contractor staff will not have any administrative privileges to add/remove software, modify system settings, or perform any other System Administrative functions recognized by the BLM.
4. Only the Contractor staff that has completed the HSPD-12 process and acquired a BLM AD account will be allowed to use the BLM computer and access the BLM network.
5. At no time will the BLM computer or other hardware be allowed to connect to the Contractor's network. Likewise, Contractor owned (non-BLM) computers will not be allowed to connect to the BLM network by any means.

Computers, Network Access and Technical Support

1. Computer acquisition and management
 - a. The standard process for procuring computer hardware should be followed. The average time to acquire a computer is about 60 days.
 - b. When the computer hardware is received by a BLM office (State or District) it is issued a property number by the property manager. A DI-105 *Receipt for Property* form is completed by IT and signed by the BLM Custodial Property Officer, or Cognizant Employee. This process can also link the computer with the contract for monitoring and support purposes.

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- c. Once the standard software is loaded and the VPN connection is prepared the computer may be shipped to the contractor. This must be coordinated between the COR/Project Manager and the State and/or local IT staff.
2. Virtual Private Network (VPN)
 - a. Choosing between software and hardware VPN depends on the nature and duration of the project, and will occur on a project-by-project basis when the SoW is written. The Project Manager and District IT Lead should be involved in this decision.
 - b. Either VPN option can be configured by BLM prior to shipping the computer (and VPN hardware) to the contractor. Support for initiating the network connection can be provided by phone or email.
 - c. Technical support can be provided by the local IT staff, or by contacting the BLM Help Desk by phone at: 1-800-BLM-HELP or online at: <http://1800blmhelp/index.php>
 - d. Software VPN
 - i. BLM has standard software and there is no extra cost involved.
 - ii. A Remote Access request form must be completed online at <http://www.blm.gov/nirmc/telecom/remote.php> to request VPN network access.
 - iii. The computer will not maintain a constant connection to the BLM network, and the contractor must log onto the VPN network at minimum of every two weeks.
 - iv. The computer must be physically connected to the BLM network from within a BLM office to receive security and software updates.
 - e. Hardware VPN
 - i. This hardware must be purchased using the standard procurement process, and the cost (\$500 - \$1000) should be accounted for in the statement of work.
 - ii. Once configured and used to connect a BLM computer to the BLM network a constant connection is maintained.
 - iii. Security and software updates can be accomplished remotely over the network.

VPN NOTE: If the length of the project is long term, or if the contractor is working from a remote location where it isn't feasible to bring a computer to a BLM office for system updates, the Hardware VPN is suggested.

Option #3 - Work in contractor's office using contractor computer without access to BLM network

This option would benefit contractors who have not completed the HSPD-12 security requirements, or it is not feasible for them to do so due to project time constraints. It would allow a contractor to work in their office without the need to connect to the BLM network, however, they would not have access to the tools available in the ePlanning system. Documents could be developed in a traditional word processing software, such as MS Word, and delivered to the BLM in Word.doc format, or Adobe PDF format. This method would require a BLM employee to convert (copy/paste) the document into Arbortext XML format in ePlanning, or upload a PDF document into ePlanning and enable it for comments without benefit of the advanced options available for documents developed within the system.

Another option is available if a contractor has Arbortext Editor software. It is possible that they can use Arbortext Editor software on their computer system, along with the BLM ePlanning templates, to develop an XML document that can be uploaded into the ePlanning system. This requires the contractor to employ the BLM Arbortext Document Type Definitions (DTD's) and templates developed for the ePlanning system. The Team Lead should contact Chris Alm (Christopher_Alm@blm.gov), National Applications Analyst at the National Operations Center (NOC) for instructions and guidance for this process. [NOTE: DTD's are the words and grammar for translating XML. They define elements (tags) and their attributes, and how they relate to one another.]

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Electronic data file transfer from the contractor to BLM can be accomplished in many ways. When arranging data transfers the Project Lead must follow BLM security policy. All external storage devices (i.e. portable hard drive), and data transferred via FTP, must be scanned by IT staff for potential security issues prior to loading onto the BLM network. Data received via email, Flash/thumb drive, or CD is scanned by the system.

FAQ: MS Word will save documents in an XML format. Is it compatible with Arbortext? Or, are there ePlanning templates in a Word XML format that is compatible with Arbortext?

Answer: No – The native MS Word XML format is not automatically compatible and would require mapping each tag between Word and Arbortext.

FAQ: Are there other XML editors that are compatible with Arbortext and the BLM templates? If so, what are they, and what do we need to do to make it work?

Answer: There are other XML editors but they are not compatible. The ePlanning system is composed in part of PTC Arbortext Software and the Documentum document management system. These components are designed to work together with customizations, and the other XML editors will not work with the current configuration.

For Additional Information Contact

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| State Office ePlanning Lead: | Marguerite McKee@blm.gov | 775-861-6482 |
| State Office Planning Lead: | Brian Amme@blm.gov | 775-861-6645 |