Security Clearance, Suitability/Fitness, and Credentialing Reform

Goal Leaders

Daniel Coats, Director of National Intelligence, Office of the Director of National Intelligence

Joseph Kernan, Under Secretary of Defense for Intelligence, Department of Defense

Jeff Pon, Director, Office of Personnel Management

Margaret Weichert, Deputy Director of Management, Office of Management and Budget

Goal Statement

Promote and protect our Nation's interests by ensuring aligned, effective, efficient, secure, and reciprocal processes to support a trusted Federal workforce.

Urgency

Our world is changing at a pace that requires the security, suitability/fitness, and credentialing community to anticipate, detect, and counter both internal and external threats, such as those posed by trusted insiders who may seek to do harm to the Federal Government's policies, processes, and information systems.

Vision

A Federal workforce entrusted to protect U.S. Government information and property; and to promote a safe and secure work environment, sustained by an enhanced risk management approach supported by:

- Improved early detection enabled by an informed, aware, and responsible Federal workforce
- Quality decisions enabled by improved investigative and adjudicative capabilities
- Optimized government-wide capabilities through enterprise approaches
- Strong partnership with Insider Threat Programs to strengthen the identification, deterrence, and mitigation of problems before they negatively impact the workforce or national security.

Goal Leaders:
- **Daniel Coats**, **DNI**
- **Joseph Kernan, USD(I)**
- **Jeff Pon, Director OPM**
- **Margaret Weichert, DDM OMB**

Trusted Workforce

Modern Policies & Processes

Secure & Modern Mission Capable IT

Continuous Performance Improvement

Leadership will come from the Security Clearance, Suitability, and Credentialing Performance Accountability Council (PAC) Principal agencies, which include Office of Management and Budget, the Office of the Director of National Intelligence, Office of Personnel Management, and Department of Defense. The PAC* is responsible for driving government-wide implementation of security, suitability, and credentialing reform.

* PAC members are the Office of Management and Budget, Office of the Director of National Intelligence, Office of Personnel Management, Department of Defense; the Departments of State, the Treasury, Justice, Energy, and Homeland Security; the Federal Bureau of Investigation, the General Services Administration, the National Archives and Records Administration, the National Security Council, and the National Background Investigations Bureau.

Goal	
A Federal workforce entrusted to protect Government information and property and to promote a safe and secure work environment, sustained by an enhanced risk management approach.	
Sub-Goal	**Major Strategies to Achieve Sub-Goal**
1 **Trusted Workforce**	• Develop aligned and consistent policy for reporting potential security risks or observable behaviors of concern • Train and educate the Federal workforce on their vital role in the early detection of potential issues or risks • Build an SSC awareness campaign to reinforce the early identification of reportable behaviors • Study other related mission areas for potential information-sharing opportunities to streamline processes
2 **Modern Policies & Processes**	• Establish an agile, data-driven, and transparent policy-making process that simplifies traditional overly complex policy development processes • Review current end-to-end SSC processes and identify the most cost-effective and efficient methods to vet the Federal workforce • Professionalize the SSC workforce through community training, certificate programs, and collaboration with universities
3 **Secure and Modern Mission-Capable IT**	• Modernize the lifecycle through the use of agency federated systems and shared services • Identify enhanced security and interoperability standards and capabilities to better inform IT cost and planning decisions • Provide agencies with a mechanism to adopt modern technology, automate manual processes, reduce duplicative investments, and decrease the cyber threat footprint
4 **Continuous Performance Improvement**	• Establish and implement outcome-based performance metrics and measures • Develop a Research and Innovation program to inform policy, process, and technology with empirical data-driven decisions • Establish a Continuous Performance Improvement model that will continuously evaluate the performance of the SSC policies and processes

- **Seventeen initiatives approved to reduce & mitigate the background investigation backlog.** The PAC Principals chartered an interagency effort to identify initiatives to reduce or mitigate the investigative backlog. From August 2017 to December 2017, representatives from the interagency held a series of working group sessions to identify and evaluate initiatives. In December, the Security Executive Agent and Suitability and Credentialing Executive Agent approved seventeen initiatives that will immediately begin to reduce the backlog. Examples include guidance for temporary (interim) authorizations and pre-appointment waiver determinations, expanding the use of video teleconference technology and telephonic reference interviews, clarifying some requirements in the Federal Investigative Standards to improve efficiencies, and expediting the deployment of the newly approved SF-85P.

- **DoD and ODNI make progress in developing their Continuous Evaluation Programs.** Continuous Evaluation (CE) is a personnel security investigative process to review the background of a covered individual who has been determined to be eligible for access to classified information or hold a sensitive position at any time during the period of eligibility. In September 2017, the DoD's CE program expanded its covered population to 1.1 million personnel, exceeding the target of December 2017. Since attaining Authorization to Operate (ATO) in August 2017, and beginning agency enrollment in September 2017, the ODNI CE system has expanded to provide limited services to four agencies.

- **Federal Law Enforcement Liaison Office expands access to criminal history information.** Last April, NBIB stood up a new Federal government-wide liaison office to work with state, local, and tribal law enforcement agencies to increase background investigators' access to criminal history information maintained by those agencies. The Law Enforcement Liaison Office (LELO) is also working with non-Federal law enforcement agencies to improve integration of federal, state, and local systems for sharing criminal history record information. Thus far, the LELO has centralized the receipt of criminal histories from 27 state repositories via the National Law Enforcement Telecommunications System (NLETS) or direct database linkage and has brought 60 total law enforcement agencies into compliance through education. Electronic receipt of criminal histories eliminates relying on manpower-intensive field work to collect those records by hand, increasing efficiencies and lowering costs.

- **Electronic Adjudication shared service coverage expanded to 90% of Tier 3 cases**. In November of 2016 the PAC Enterprise Investment Board (EIB) designated and chartered the development of a suite of government-wide end-to-end shared services that will increase consistency and efficiency of processes. One of these shared services capabilities, electronic adjudication (eAdjudication), increases the efficiency and effectiveness of the process by using electronic business rules to adjudicate cases. In September 2017, the eAdjudication shared service was deployed for Tier 1 and Tier 3 investigations and became available for agency subscription. As of December 2017, seven agencies have subscribed, representing over 90% of the Tier 3 cases and approximately 14% of these Tier 3 cases are electronic adjudicated without any manual processes. NBIB is currently establishing the agreements necessary to enroll an additional dozen departments and agencies, and subscriptions are anticipated to grow over the course of FY2018. Additionally, in December 2017, OMB approved the updated SF-85P (Questionnaire for Public Trust Positions). Once the SF-85P is implemented within the electronic application system, eAdjudication business rules will be expanded to cover Tier 2 investigations.

- **Challenge:** Information of concern often goes unreported in the Federal Government, which inhibits an agency's ability to address potential issues before escalation.

- **Theory of Change:** The SSC must work toward instilling a sense of shared responsibility by enabling a trusted workforce through consistent reporting requirements, employee and supervisor training, awareness campaigns for reportable behaviors, and identification of gaps in information sharing with sister missions.

Milestone Summary				
Key Milestones	Milestone Due Date	Milestone Status	Owner	Recent Actions
Identify and provide recommendations to improve cross-mission information sharing.	Mar-2018	On Track	PAC PMO, ODNI, OPM	
Expand reporting requirements to the entire workforce.	Oct-2021	On Track	OPM	

PRESIDENT'S MANAGEMENT AGENDA

- **Challenge:** The SSC community faces an ever-changing global environment with an increasing mobile workforce, emerging global threats, and advancements in cutting-edge technology and innovations.

- **Theory of Change:** To successfully modernize our processes, the SSC community must develop agile capabilities that integrate the latest innovative technologies to facilitate continuous vetting of more of our trusted workforce and promote delivery of real-time information to the appropriate SSC professional responsible for making risk-based decisions.

Milestone Summary				
Key Milestones	**Milestone Due Date**	**Milestone Status**	**Owner**	**Recent Actions**
Issue updated standards for denying, suspending, and revoking Federal credentials.	Jun-2018	On Track	OPM	
Establish standards and requirements for Trusted Information Providers to provide shared data with Investigative Service Providers.	Oct-2018	On Track	ODNI, OPM	
Issue Executive branch-wide reciprocity policy for national security/sensitive positions	Dec-2018	On Track	ODNI	
Refine standards and guidelines under the new Federal vetting approach	Dec-2018	On Track	ODNI, OPM	

Milestone Summary				
Key Milestones	**Milestone Due Date**	**Milestone Status**	**Owner**	**Recent Actions**
Develop quality standards for adjudicative determinations and expand quality tools to include adjudications	Jul-2019	On Track	ODNI, OPM	
Provide the PAC a recommendation for the expansion of continuous vetting across the entire Federal workforce to regularly review their backgrounds to determine whether they continue to meet applicable requirements.	Sep-2019	On Track	OPM	
Reduce the inventory of background investigations to a steady and sustainable state	Mar-2021	On Track	NBIB, ODNI, OPM	
Stand up DoD background investigation capability and complete phased transition of cases from NBIB to DoD	Oct-2021	On Track	DoD	
Implement business transformation efforts to reengineer the process, enhance customer engagement, and support policy and process transformation and transition efforts.	Oct-2021	On Track	DoD	

- **Challenge:** The end-to-end SSC process relies heavily on data sharing and information technology (IT) to operate efficiently, effectively, and securely.

- **Theory of Change:** The SSC mission must develop and deploy a modern, secure, and mission-capable, end-to-end digital environment that builds on a foundation of government-wide standards, promotes interoperability and information sharing, and collaboration across the SSC community.

Milestone Summary				
Key Milestones	**Milestone Due Date**	**Milestone Status**	**Owner**	**Recent Actions**
Implement a shared unclassified record repository to store background investigation and adjudication history.	Oct-2019	On Track	DoD, NBIB, ODNI, OPM	
Implement a new electronic Application shared service capability and continue to make iterative improvements.	Oct-2019	On Track	DoD, NBIB, ODNI, OPM	
Implement a shared service to provide an unclassified information exchange for ready and efficient access to data, and continue to make iterative improvements.	Oct-2019	On Track	DoD, NBIB, ODNI, OPM	

Milestone Summary				
Key Milestones	**Milestone Due Date**	**Milestone Status**	**Owner**	**Recent Actions**
Implement a shared service capability that leverages automation to determine the sensitivity and risk level of a position, and continue to make iterative improvements.	Oct-2019	On Track	DoD, NBIB, ODNI, OPM	
Implement a shared service capability that supports the development of background investigation reports, and continue to make iterative improvements.	Oct-2019	On Track	DoD, NBIB, ODNI, OPM	
Implement a shared service capability that supports the adjudication of background investigations, and continue to make iterative improvements.	Oct-2019	On Track	DoD, NBIB, ODNI, OPM	
Implement a shared service capability that supports security or suitability manager functions that take place after adjudication (e.g. reciprocity, visit requests), and continue to make iterative improvements.	Oct-2019	On Track	DoD, NBIB, ODNI, OPM	

- **Challenge:** The SSC has faced challenges in monitoring performance and identifying and driving enterprise-level enhancements to policy, oversight, and operational processes.

- **Theory of Change:** To initiate the necessary culture shift across the enterprise, the SSC community must institutionalize and integrate a continuous performance improvement model that will establish outcome-based performance metrics and measures; inform policy, process, and technology with empirical-based decisions; and continuously evaluate its performance and identify efficient and effective ways to perform its mission.

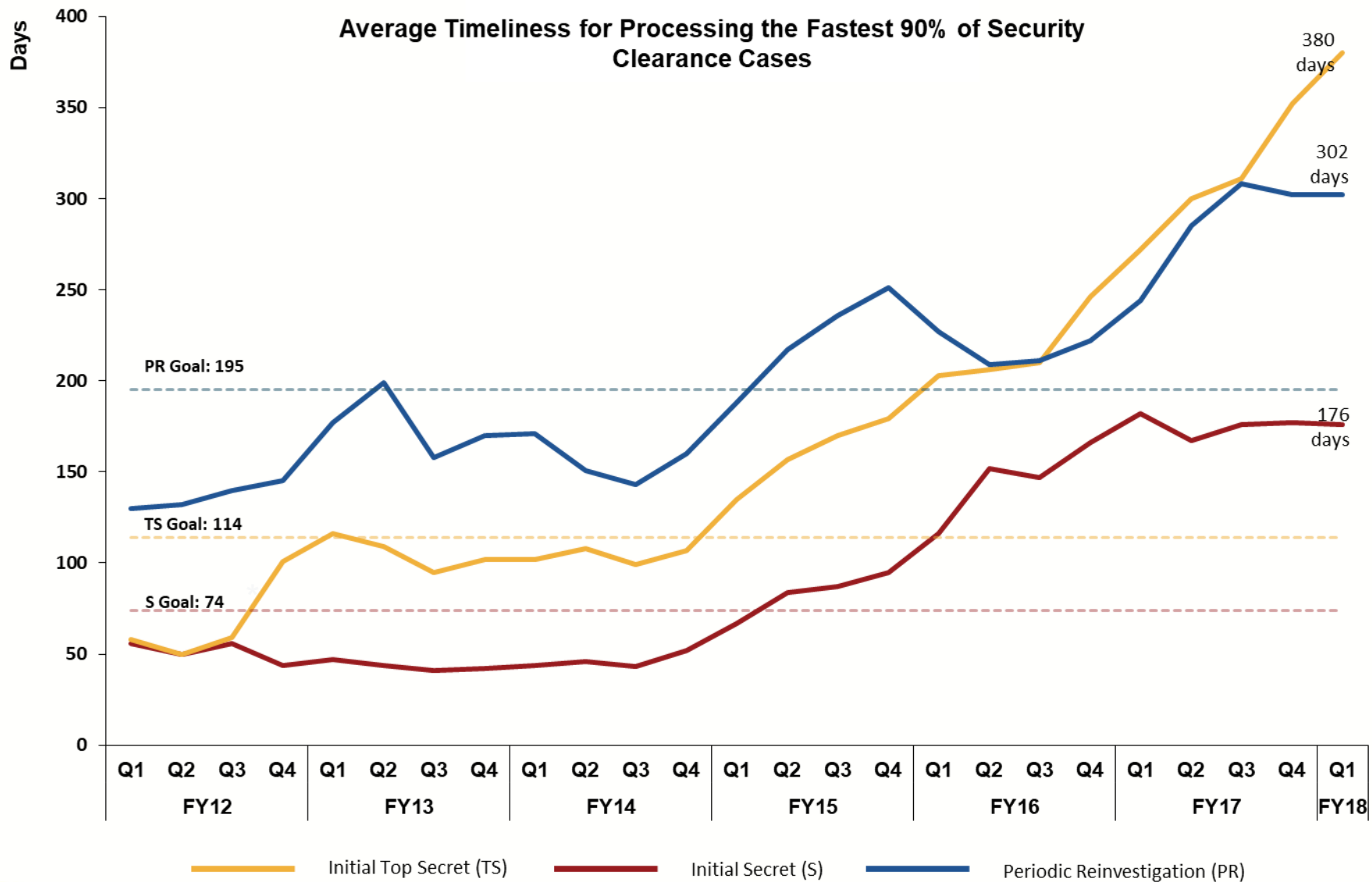| Milestone Summary				
Key Milestones	**Milestone Due Date**	**Milestone Status**	**Owner**	**Recent Actions**
Improve public transparency of progress and performance.	Apr-2019	On Track	PAC PMO, ODNI, OPM	
Improve decision-making by increasing access to research findings across the Executive Branch.	May-2019	On Track	PAC PMO, ODNI, OPM	
Continue to mature the research & innovation program to support SSC priorities.	Oct-2019	On Track	PAC PMO, ODNI, OPM	

Focus Area	Key Indicator Title	Description
Timeliness	End-to-End Process Timeliness (2 slides)	Average number of days to complete end-to-end processing for the national security population
Volume	NBIB Investigations Inventory	Total inventory of pending NBIB investigations by anticipated workload effort
	NBIB Investigations Case Flow	Total number of cases closed and scheduled per month, which drives changes to the Investigations Inventory
	NBIB Investigator Headcount	Total number of investigators performing investigations for NBIB per year by both federal and contractor population
Risk	DoD National Security Population Eligibility and Access	Total number of federal, military, and contractor personnel eligible for a national security position and personnel currently in access for the Defense Department
	DoD Continuous Evaluation Enrollment	Total number of DoD personnel enrolled in the Department's Continuous Evaluation (CE) Program
	Out-of-Scope National Security Population (2 slides)	Total number of Federal workforce eligible for a national security position with out-of-scope (outdated) investigations by security clearance level

Average Timeliness for Processing the Fastest 90% of Security Clearance Cases

Legend: Initial Top Secret (TS) — Initial Secret (S) — Periodic Reinvestigation (PR)

Average number of days to complete end-to-end processes at the 90th percentile, by case type as defined under IRTPA

Fastest 90%

		Initiate				Investigate				Adjudicate				End-to-End (Initiate + Inv. + Adj.)			
		Average Days				Average Days				Average Days				Average Days			
		Q2 17	Q3 17	Q4 17	Q1 18	Q2 17	Q3 17	Q4 17	Q1 18	Q2 17	Q3 17	Q4 17	Q1 18	Q2 17	Q3 17	Q4 17	Q1 18
Initial Secret Cases	Average	14 Days				40 Days				20 Days				74 Days			
	309,814	12	15	13	11	127	137	141	142	28	24	23	23	167	176	177	176
Initial Top Secret Cases	Average	14 Days				80 Days				20 Days				114 Days			
	81,048	19	18	18	21	255	272	306	333	26	21	28	26	300	311	352	380
Periodic Reinvestigations	Average	15 Days				150 Days				30 Days				195 Days			
	179,256	21	21	24	26	232	249	243	247	32	38	35	29	285	308	302	302

Red Text: Goal Not Met　　　　　**Green Text: Goal Met**

Investigative Cases by Fieldwork Intensiveness

Year-to-Year Reporting
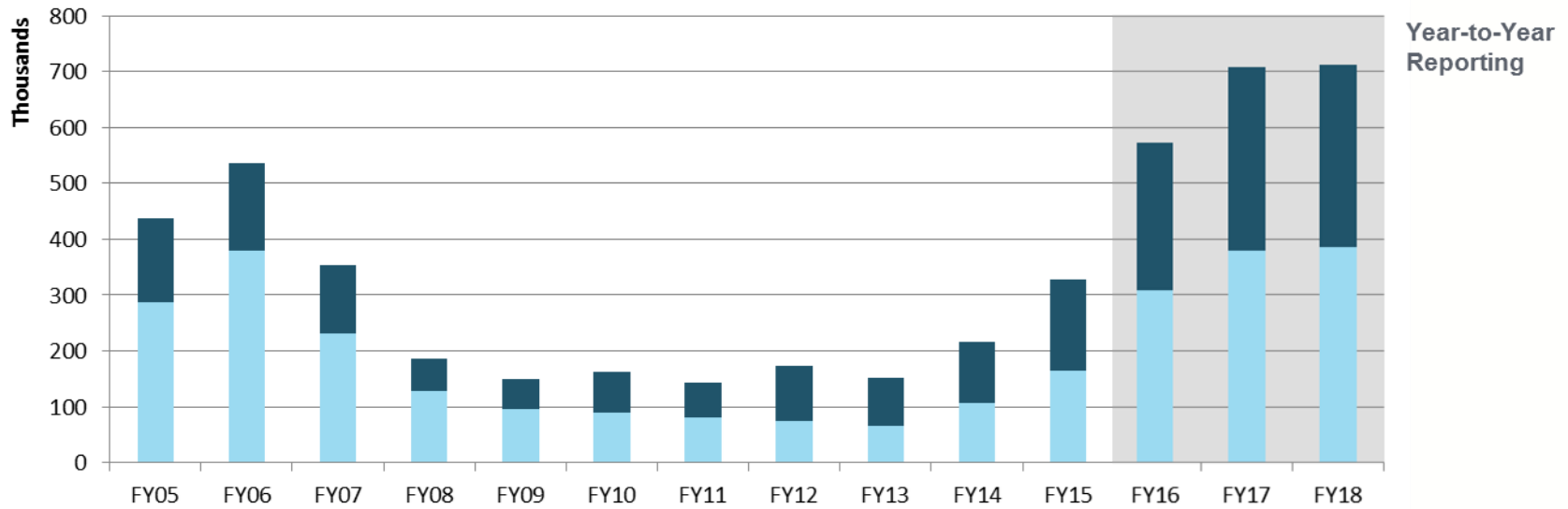
High Fieldwork Intensive - Cases that typically require investigators to do more extensive work in the field (i.e. case issues that require manual follow-up). These are used for higher risk positions.

Less Fieldwork Intensive/Special Agreement Checks - Cases that typically require little to no work in the field (i.e. automated fingerprint checks or clean cases). These are used for lower risk positions.
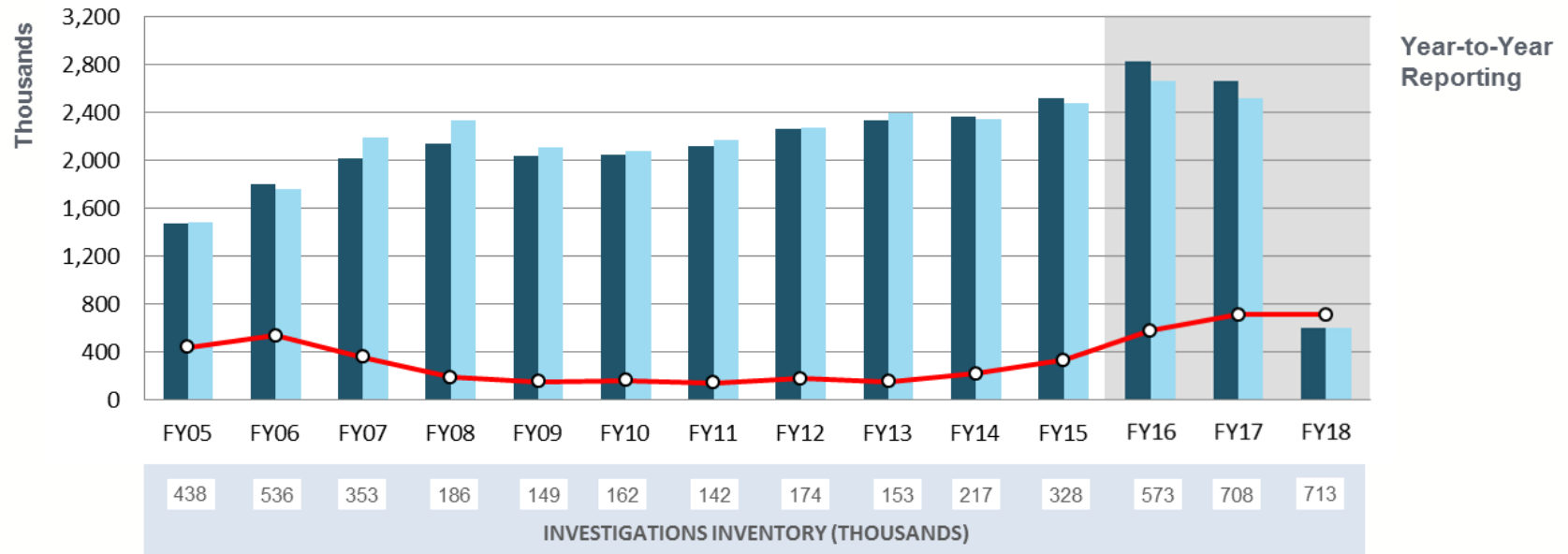

Recent Quarterly Reporting
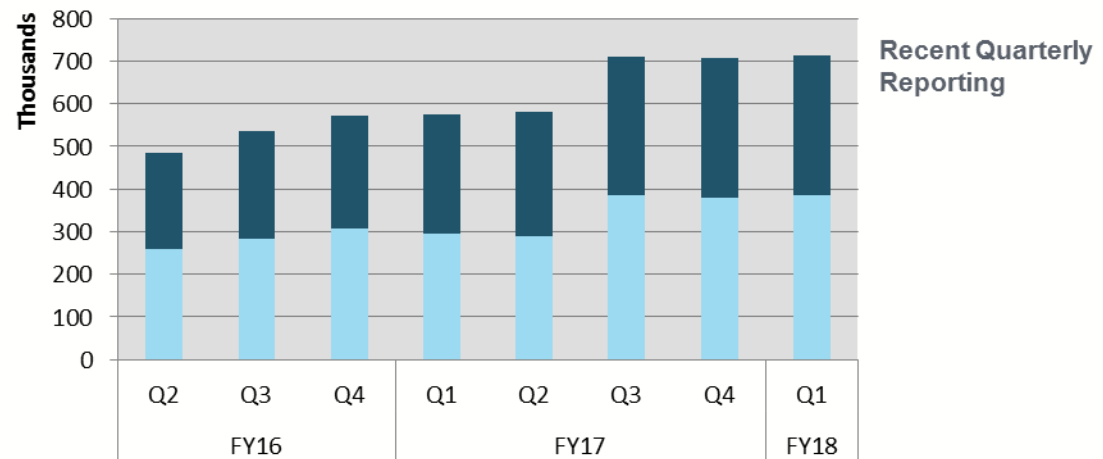
* FY2018 through Q1

NBIB Cases Scheduled & Closed

Year-to-Year Reporting

	FY05	FY06	FY07	FY08	FY09	FY10	FY11	FY12	FY13	FY14	FY15	FY16	FY17	FY18
INVESTIGATIONS INVENTORY (THOUSANDS)	438	536	353	186	149	162	142	174	153	217	328	573	708	713

- Scheduled
- Closed
- Total Inventory

Recent Quarterly Reporting

	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1
	FY16	FY16	FY16	FY17	FY17	FY17	FY17	FY18
INVESTIGATIONS INVENTORY (THOUSANDS)	484	535	573	576	581	710	708	713
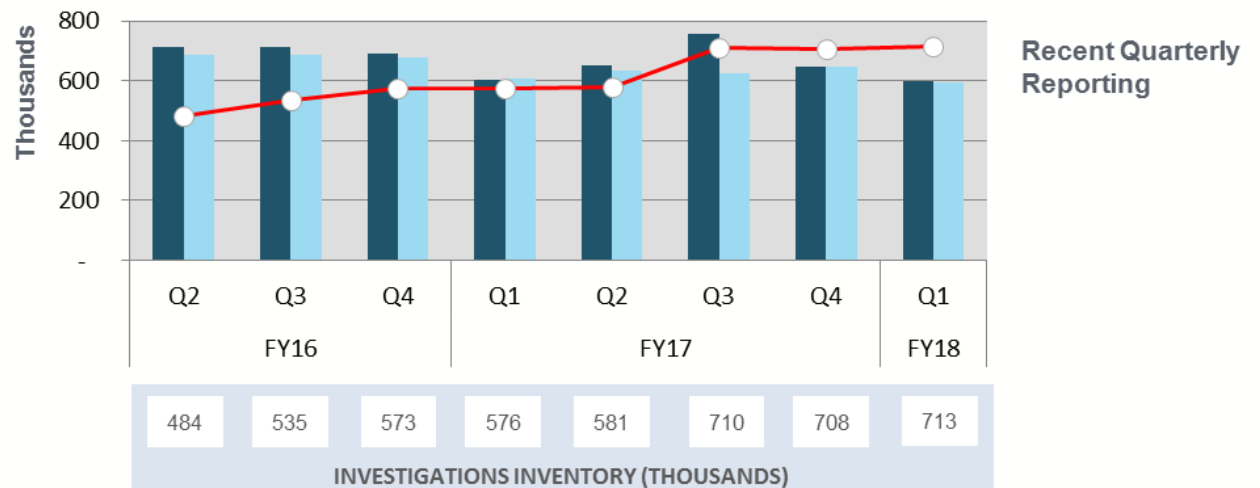
NBIB Government & Contractor Investigators

Year-to-Year Reporting

	FY09	FY10	FY11	FY12	FY13	FY14	FY15	FY16	FY17	FY18
YEAR-TO-YEAR CHANGE IN NBIB HEADCOUNT	-11%	16%	-3%	-1%	-1%	-17%	-2%	16%	15%	0%*

NBIB Federal Investigators

NBIB Contractor Investigators

Recent Quarterly Reporting

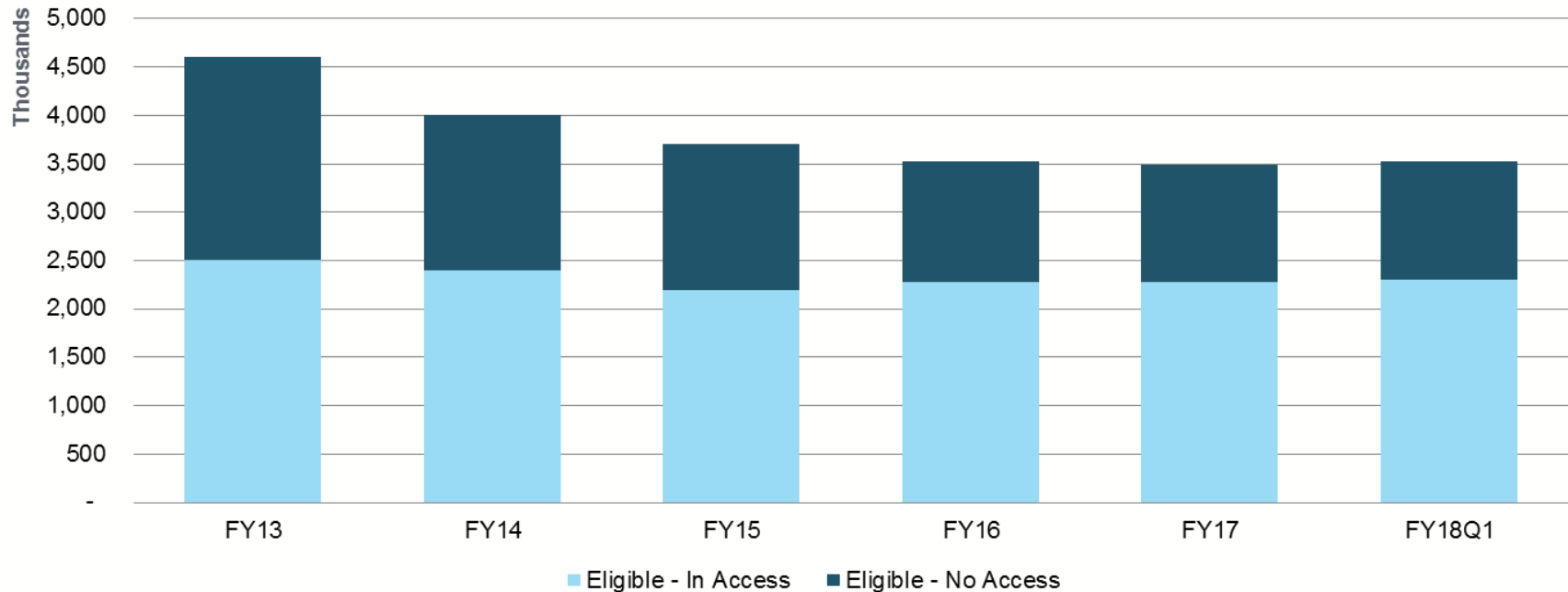|	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1
QUARTER-TO-QUARTER CHANGE IN NBIB HEADCOUNT	3%	6%	4%	2%	0%	7%	6%	0%

*FY2018 through Q1. Numbers reflect level at the end of each reporting period.

DoD National Security Population Eligibility/Access*

	FY13 (Baseline)	FY14	FY15	FY16	FY17	FY18Q1	Number Decreased (from baseline)	FY13-FY18Q1 % Change
Decrease in DoD Clearances FY13-FY18 (in Thousands)								
Eligible - In Access	2,500	2,400	2,200	2,280	2,280	2,300	-200	-8.0%
Eligible - No Access	2,100	1,600	1,500	1,250	1,210	1,230	-870	-41.4%
Total	4,600	4,000	3,700	3,530	3,490	3,530	-1,070	-23.3%

As of Jan 1, 2018
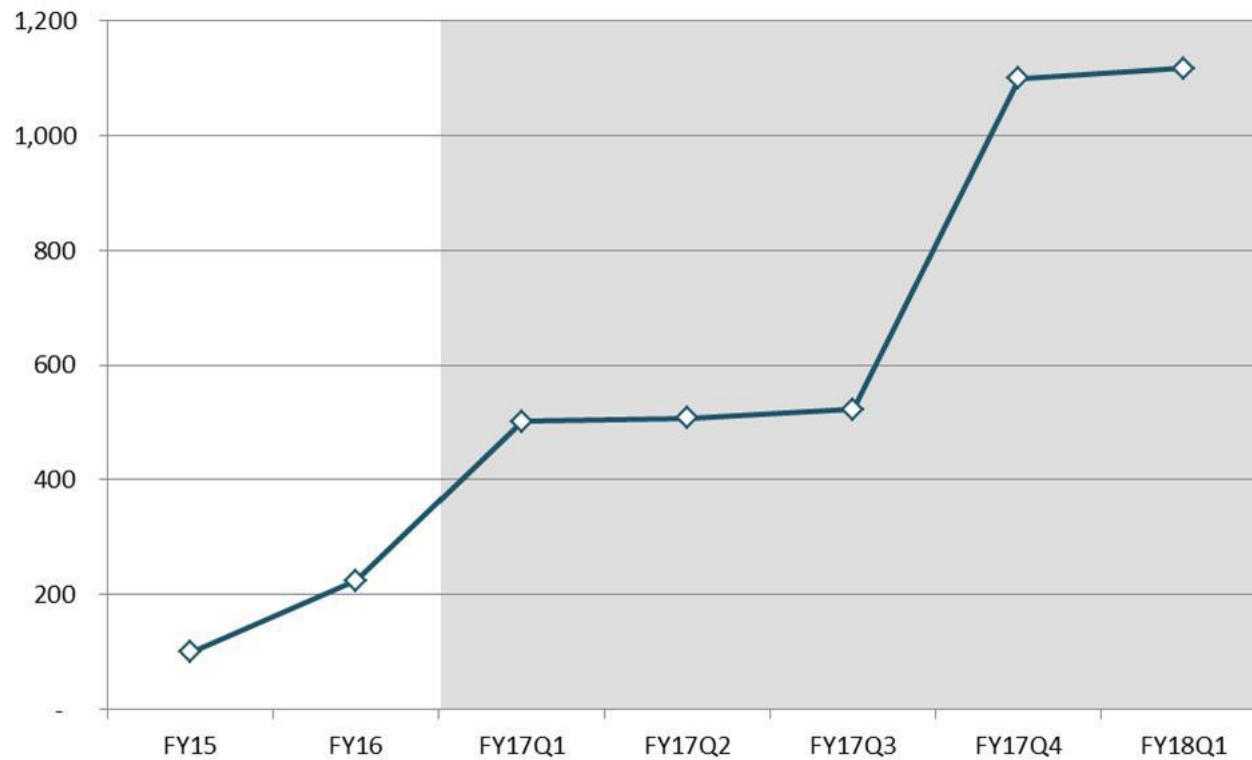
Responsive to the following Major Actions:
- *Reduce period reinvestigation backlog using a risk-based approach*
- *Reduce total population of 5.1 M Secret and TS/SCI clearance holders across the Executive Branch (of which DoD made up 4.6M) to minimize risk of access to sensitive information and reduce costs*

DOD Continuous Evaluation Program Enrollment

| 2.7% | 6.4% | 14.1% | 14.3% | 14.9% | 31.5% | 31.6% |

Percent of Eligible Security Clearance DoD Personnel Enrolled in CE

DoD & IC Out of Scope Top Secret Population
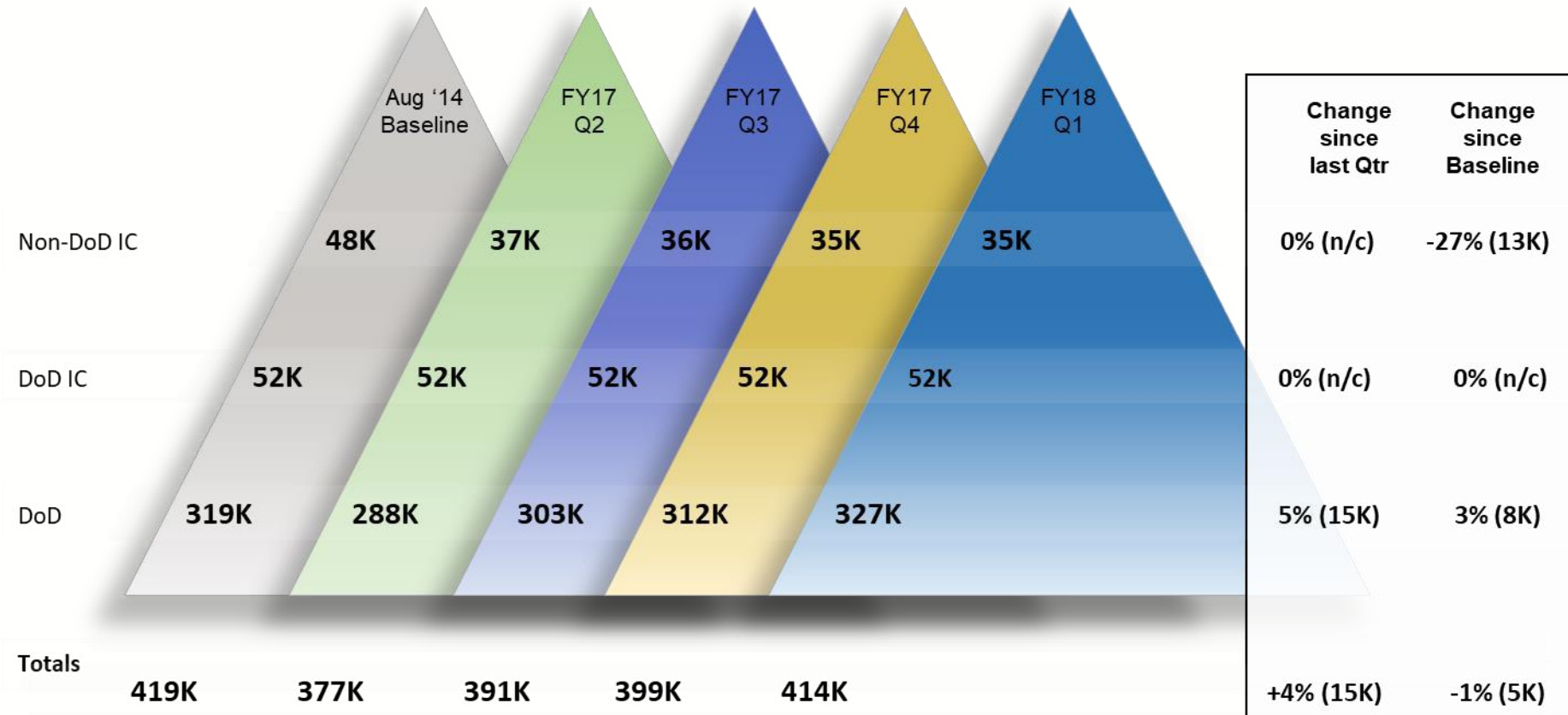
	Aug '14 Baseline	FY17 Q2	FY17 Q3	FY17 Q4	FY18 Q1	Change since last Qtr	Change since Baseline
Non-DoD IC	48K	37K	36K	35K	35K	0% (n/c)	-27% (13K)
DoD IC	52K	52K	52K	52K	52K	0% (n/c)	0% (n/c)
DoD	319K	288K	303K	312K	327K	5% (15K)	3% (8K)
Totals	419K	377K	391K	399K	414K	+4% (15K)	-1% (5K)

Overall change since baseline: -1% (5K)

DoD Out of Scope Secret Population

	Aug '14 Baseline	FY17 Q2	FY17 Q3	FY17 Q4	FY18 Q1	Change since last Qtr	Change since Baseline
Eligible - In Access	61K	99K	105K	114K	118K	+5% (4K)	+93% (57K)
Eligible - No Access	411K	117K	116K	113K	118K	-5% (5K)	-71% (293K)
Total	472K	216K	221K	227K	236K	+5% (9K)	-50% (236K)
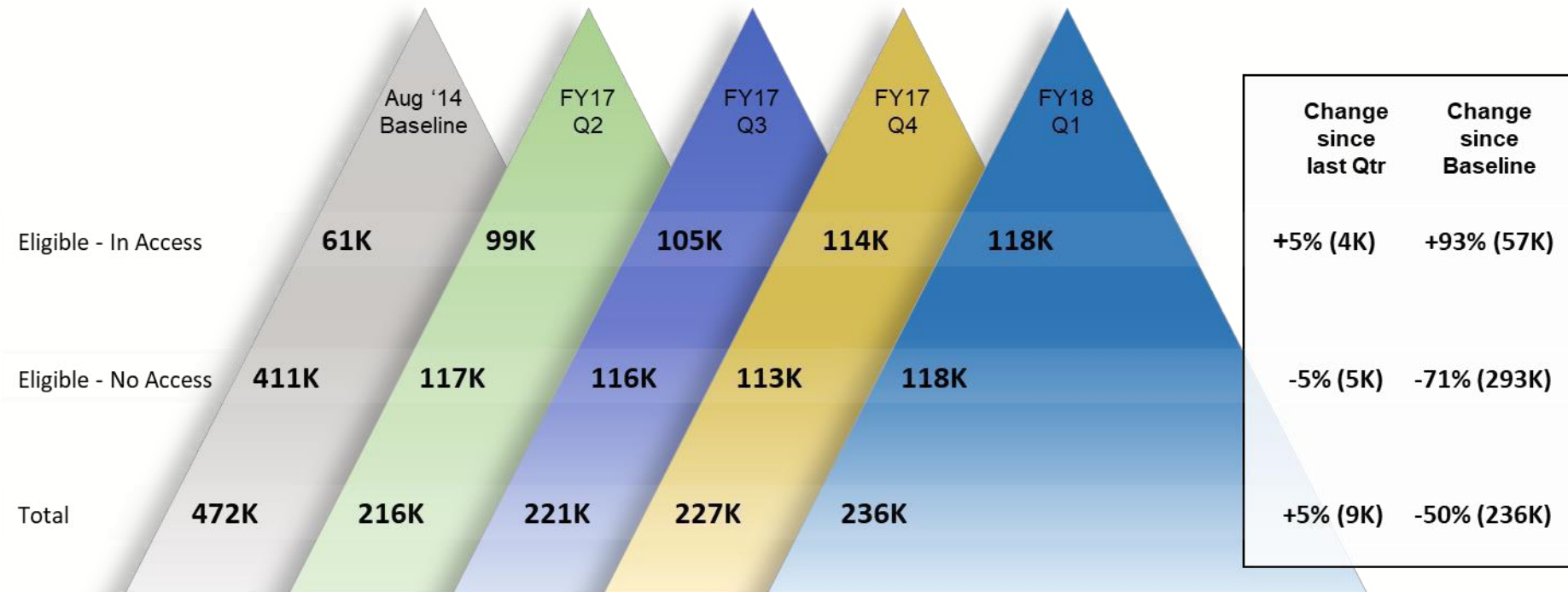
Overall change since baseline: -50% (236K)

CE – Continuous Evaluation

DDM – Deputy Director of Management

DNI – Director of National Intelligence

DoD – Department of Defense

EA – Executive Agent

EIB – Enterprise Investment Board

IRTPA – Intelligence Reform and Terrorism Prevention Act of 2004

IT – Information Technology

NBIB – National Background Investigative Bureau

ODNI – Office of the Director of National Intelligence

OMB – Office of Management and Budget

OPM – Office of Personnel Management

PAC – Performance Accountability Council

PMO – Program Management Office

SSC – Security, Suitability/Fitness, and Credentialing

SecEA – Security Executive Agent

Suit & CredEA – Suitability & Credentialing Executive Agent

USD(I) – Under Secretary of Defense for Intelligence