



Security Clearance, Suitability/Fitness, and Credentialing Reform

Goal Leaders

Joseph Maguire, Acting Director of National Intelligence, Office of the Director of National Intelligence

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

Dale Cabaniss, Director, Office of Personnel Management

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



Goal Statement

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. 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.



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.



Goal Leaders:





- Joseph Maguire, Acting DNI
- Joseph Kernan, USD(I)
- Dale Cabaniss, Director, OPM
- Margaret Weichert, DDM OMB

The Security Clearance, Suitability, and Credentialing Performance Accountability Council (PAC) Principal agencies include the 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 Structure

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	<ul style="list-style-type: none">• 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 Processes & IT	<ul style="list-style-type: none">• 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	<ul style="list-style-type: none">• 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	<ul style="list-style-type: none">• 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



Summary of Progress

Background Investigation Inventory Reduced by Half. Through the implementation of measures approved by the Security Executive Agent (ODNI) and Suitability and Credentialing Executive Agent (OPM), internal business process improvements, and additional resource capacity, the National Background Investigations Bureau (NBIB), in close coordination with the DoD, has now reduced the background investigation inventory from a high of 725,000 in April 2018 to 324,000 in September 2019. With a steady-state inventory target of 200,000 cases, the reduction translates to 76% of progress to goal.

DCSA Achieves Transfer and Capability Standup Milestones. Following the April 24th Executive Order, *Transferring Responsibility for Background Investigations to the Department of Defense*, and in anticipation of the *Transforming Workplace Vetting* NSPM, the DoD has made significant progress and is on track for an October transfer and a phased capability rollout. These milestones include renaming the Defense Security Service as the Defense Counterintelligence and Security Agency (June 20); assuming responsibility for the mission and functions of NBIB (June 24); receiving the delegation of authorities from OPM for the conduct of Suitability and Credentialing background investigations (June 21); establishing a Working Capital Fund; ensuring access to legacy information technology data; commencing activities to transfer approximately 3,000 employees from NBIB (July 29); and the first deployment in the phased rollout of NBIS with Position Designation Tool and performance improvements to eAdjudication.



Key Milestones

Sub-Goal 1: Trusted Workforce

- **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	Complete	PAC PMO, ODNI, OPM	
Expand reporting requirements to the entire workforce.	Oct-2021	On Track	OPM	



Key Milestones

Sub-Goal 2: Modern Policies & Processes

- **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	Missed	OPM	Finalized draft is being prepared for publication.
Establish standards and requirements for Trusted Information Providers to provide shared data with Investigative Service Providers.	Dec-2019	On Track	ODNI, OPM	Draft content developed and conducted interagency workshop to review concepts.
Issue Executive Branch-wide reciprocity policy for national security/sensitive positions.	Dec-2018	Complete	ODNI	



Key Milestones

Sub-Goal 2: Modern Policies & Processes

Milestone Summary				
Key Milestones	Milestone Due Date	Milestone Status	Owner	Recent Actions
Refine standards and guidelines under the new Federal vetting approach.	Dec-2019	On Track	ODNI, OPM	Developed draft content and conducted interagency workshop to review concepts.
Develop quality standards for adjudicative determinations and expand quality tools to include adjudications.	Dec-2019	On Track	ODNI, OPM	Developed draft content and conducted interagency workshop to review concepts.
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	Complete	OPM	
Reduce the inventory of background investigations to a steady and sustainable state.	Mar-2021	On Track	NBIB, ODNI, OPM	Background investigation inventory reduced from a high of 725k in April 2018 to 324k as of September 2019.





Key Milestones

Sub-Goal 2: Modern Policies & Processes

Milestone Summary				
Key Milestones	Milestone Due Date	Milestone Status	Owner	Recent Actions
Stand up DoD background investigation capability and complete phased transition of cases from NBIB to DoD.	Oct-2021	On Track	DoD	Transfer milestones on track for October 1 NBIB to DCSA transfer. Strategic communications sent to workforce, customers, and stakeholders.
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, NBIB	Began implementation of a new eApplication that includes capability to review forms for quality, completeness, and continuous vetting enrollment. Held a customer on-boarding symposium and continue to engage regularly with agencies to address questions and concerns. Deployed an enhanced dashboard to improve customer engagement.



Key Milestones

Sub-Goal 3: Secure & Modern Mission-Capable IT

- **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.	Jan-2020 (Previously Oct-2019)	On Track	DoD, NBIB, ODNI, OPM	Updated strategy and milestones to align with TW 2.0. Next release FY20 Q2.
Implement a new electronic Application shared service capability and continue to make iterative improvements.	Oct-2019	On Track	DoD, NBIB, ODNI, OPM	Initial implementation of eApplication began in August 2019 and includes capabilities to complete the SF-86 and enhancements in support of TW 2.0. Next release FY20 Q1.



Key Milestones

Sub-Goal 3: Secure & Modern Mission-Capable IT

Milestone Summary				
Key Milestones	Milestone Due Date	Milestone Status	Owner	Recent Actions
Implement a shared service to provide an unclassified information exchange for ready and efficient access to data, and continue to make iterative improvements.	Sep-2020 (Previously Oct-2019)	On Track	DoD, NBIB, ODNI, OPM	Updated strategy and milestones to align with TW 2.0. Next release scheduled for FY20 Q3.
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	Complete (Previously On Track)	DoD, NBIB, ODNI, OPM	The Position Designation Tool was released to all agencies on July 16, 2019.
Implement a shared service capability that supports the development of background investigation reports, and continue to make iterative improvements.	Jul-2020 (Previously Oct-2019)	On Track	DoD, NBIB, ODNI, OPM	Updated strategy and milestones to align with TW 2.0. Next release scheduled for FY20 Q4.
Implement a shared service capability that supports the adjudication of background investigations, and continue to make iterative improvements.	Jul-2020 (Previously Oct-2019)	On Track	DoD, NBIB, ODNI, OPM	Implemented eAdjudication business rule modifications approved in Q2. These changes resulted in a 16% performance improvement. Updated strategy and milestones to align with TW 2.0. Next release FY20 Q4.



Key Milestones

Sub-Goal 3: Secure & Modern Mission-Capable IT

Milestone Summary				
Key Milestones	Milestone Due Date	Milestone Status	Owner	Recent Actions
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.	Jul-2020 (Previously Oct-2019)	On Track	DoD, NBIB, ODNI, OPM	Updated strategy and milestones to align with TW 2.0. Next release FY20 Q4.



Key Milestones

Sub-Goal 4: Continuous Performance Improvement

- **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	Complete (Previously On Track)	PAC PMO, ODNI, OPM	Continue to release CAP Goal Action plan and expanded metric reporting.
Improve decision-making by increasing access to research findings across the Executive Branch.	May-2019	Complete (Previously On Track)	PAC PMO, ODNI, OPM	Updated and published research index to create awareness of previous and ongoing research and improve decision-making across the Executive Branch.
Continue to mature the research & innovation program to support SSC priorities.	Oct-2019	On Track	PAC PMO, ODNI, OPM	Finalized six projects, including projects on application of a trust model and improvements to automation. Kicked off five new projects, including projects on exploring identity resolution, applying structured analytical techniques to case reviews, and adjudication decision support tools.

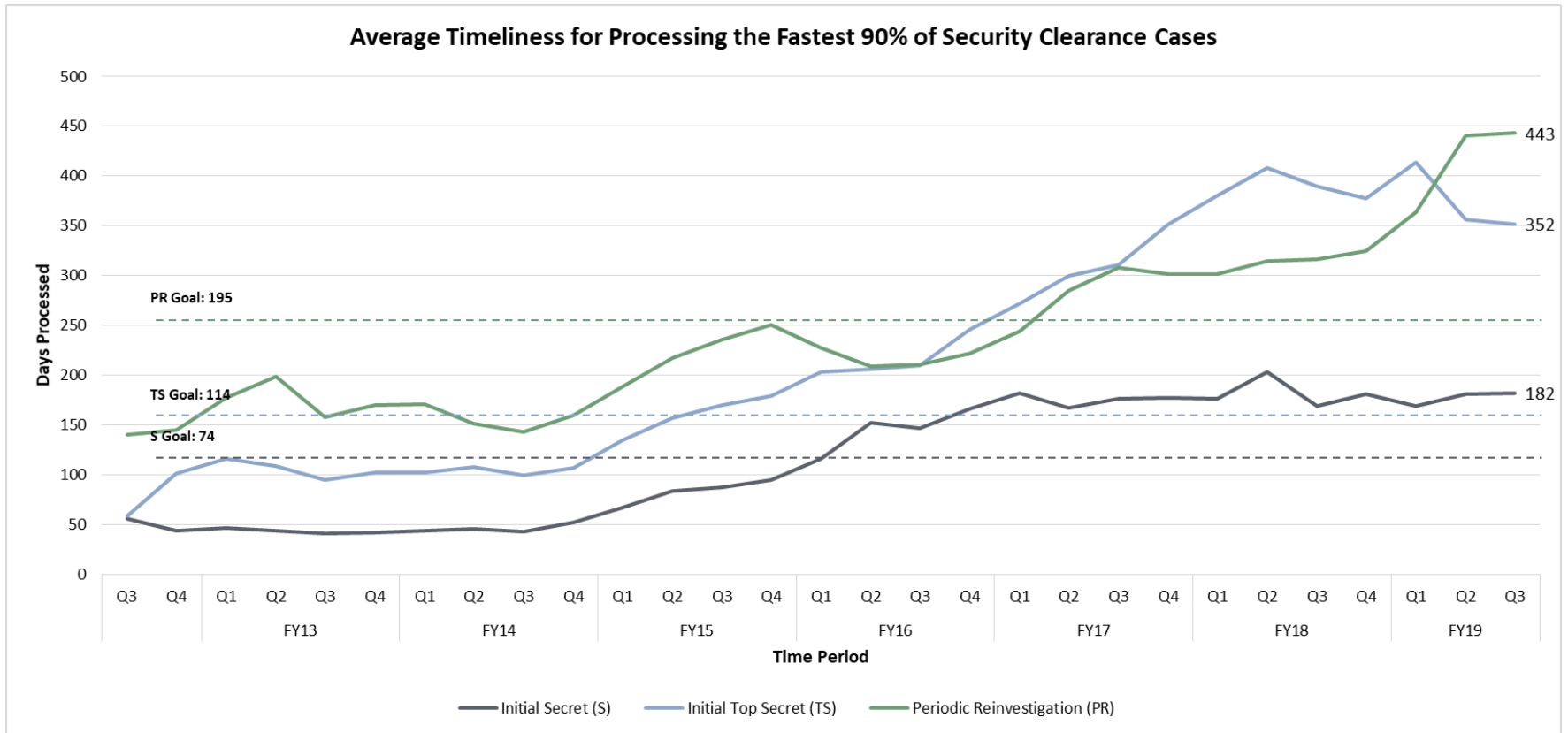




Focus Area	Key Indicator Title	Description
Timeliness	End-to-End Process Timeliness (2 slides)	Average number of days to complete end-to-end processing for the national security population
Volume	NBIB Investigations Inventory	Total inventory of pending NBIB investigations by anticipated workload effort
	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



Key Indicator: End-to-End Process Timeliness





Key Indicator: End-to-End Process Timeliness

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

(PAC Methodology)

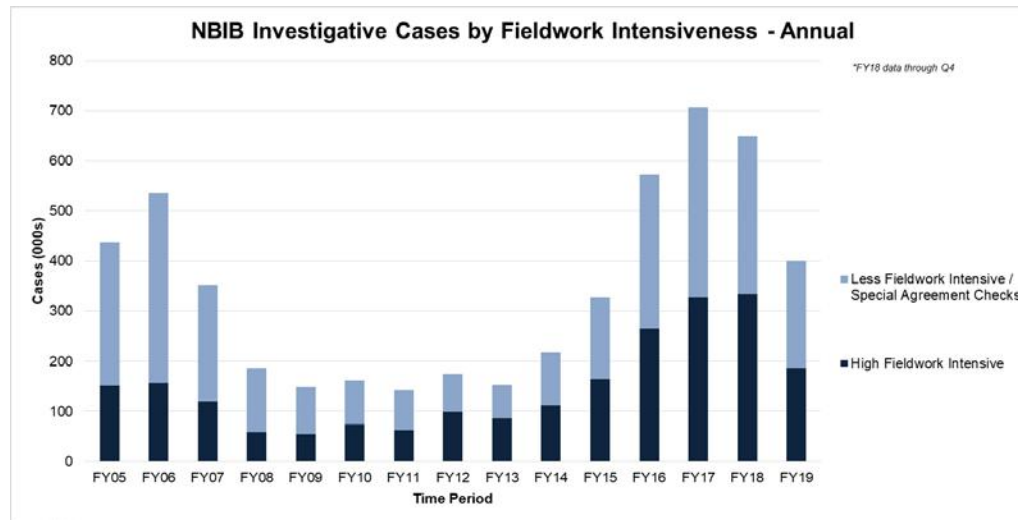
Fastest 90%

														End-to-End (Initiate + Inv. + Adj.)			
		Initiate				Investigate				Adjudicate				Average Days			
		Average Days				Average Days				Average Days				Average Days			
		Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3
		18	19	19	19	18	19	19	19	18	19	19	19	18	19	19	19
Initial Secret Cases	Volume	Goal: 14 Days				40 Days				20 Days				74 Days			
	432,784	10	11	12	12	141	124	139	140	30	34	30	30	181	169	181	182
Initial Top Secret Cases	Volume	Goal: 14 Days				80 Days				20 Days				114 Days			
	137,552	20	20	18	17	318	334	296	294	40	60	42	41	378	414	356	352
Periodic Reinvestigations	Volume	Goal: 15 Days				150 Days				30 Days				195 Days			
	182,117	19	17	16	15	273	284	325	328	33	63	100	100	325	364	441	443
		Red Text: Goal Not Met								Green Text: Goal Met							

As of 08/05/2019

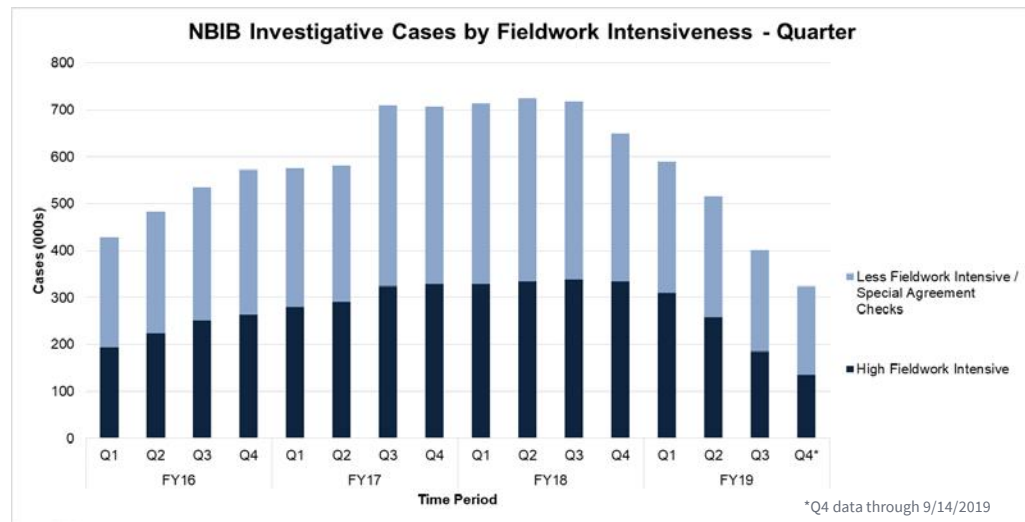


Key Indicator: NBIB Investigations Inventory



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.

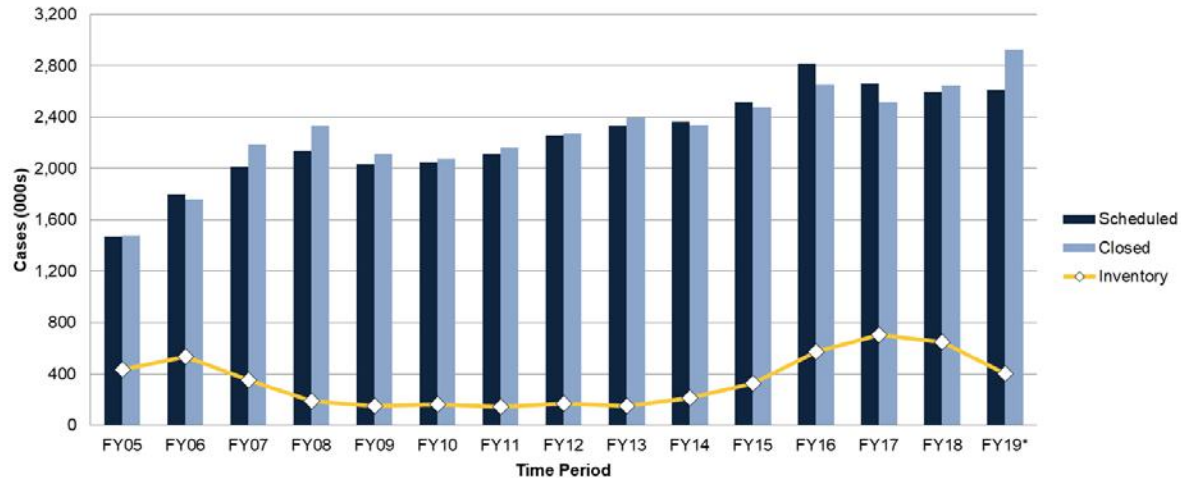




Key Indicator: NBIB Investigations Case Flow

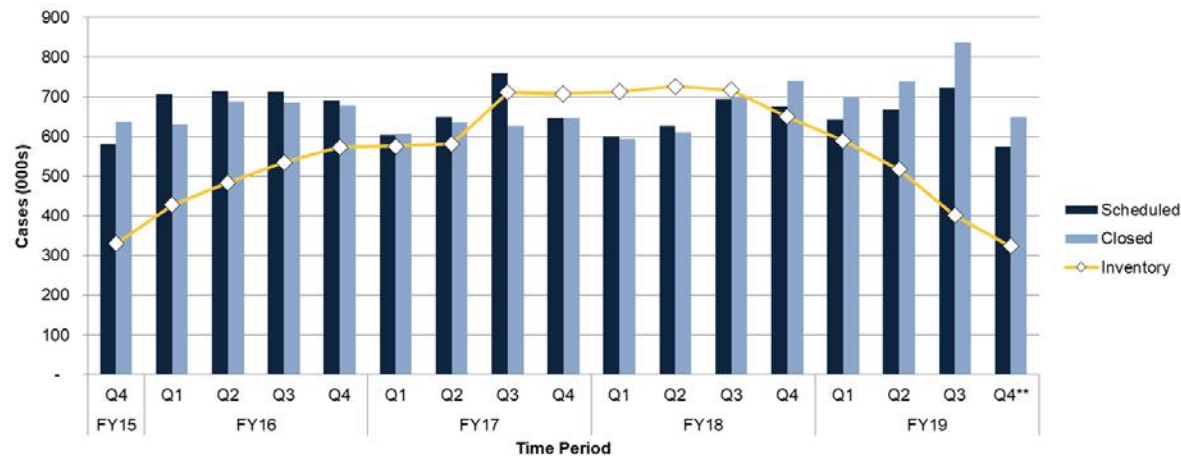
NBIB Cases Scheduled and Closed - Annual

*FY19 data through Q3



NBIB Cases Scheduled and Closed - Quarter

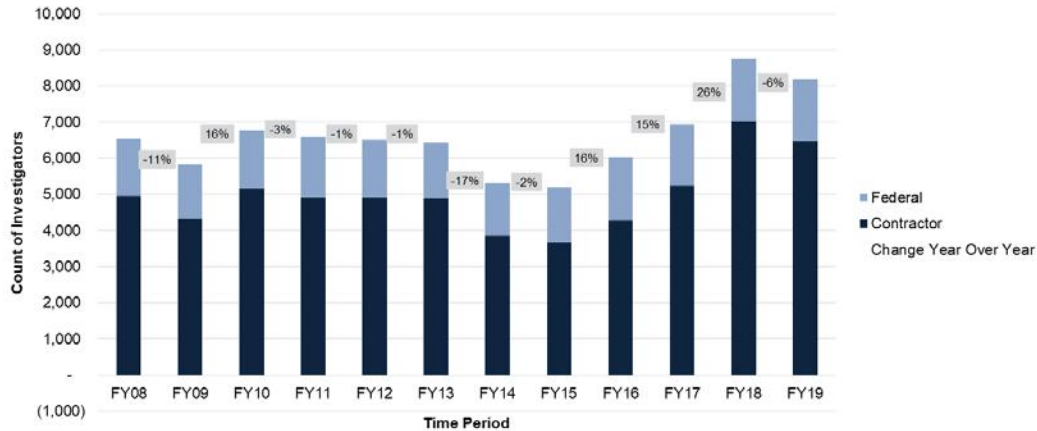
**Q4 data through 9/14/2019



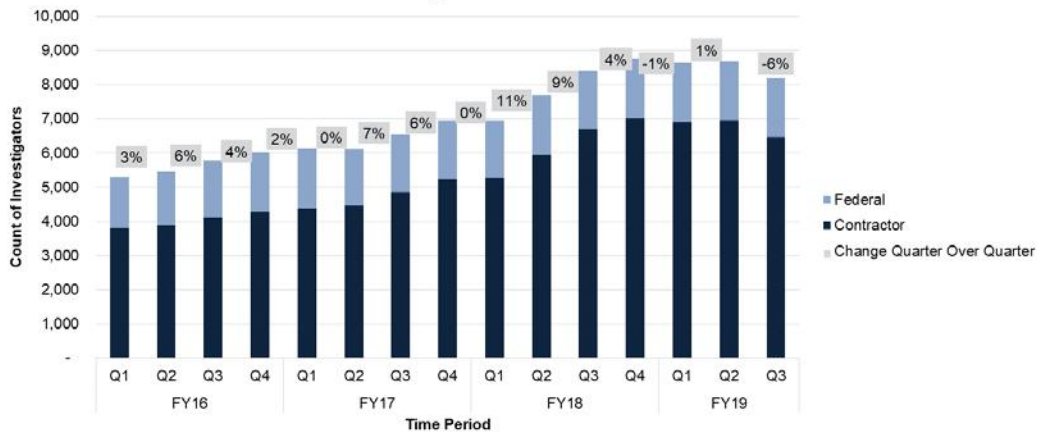


Key Indicator: NBIB Investigator Headcount

NBIB Investigator Headcount - Annual



NBIB Investigator Headcount - Quarter

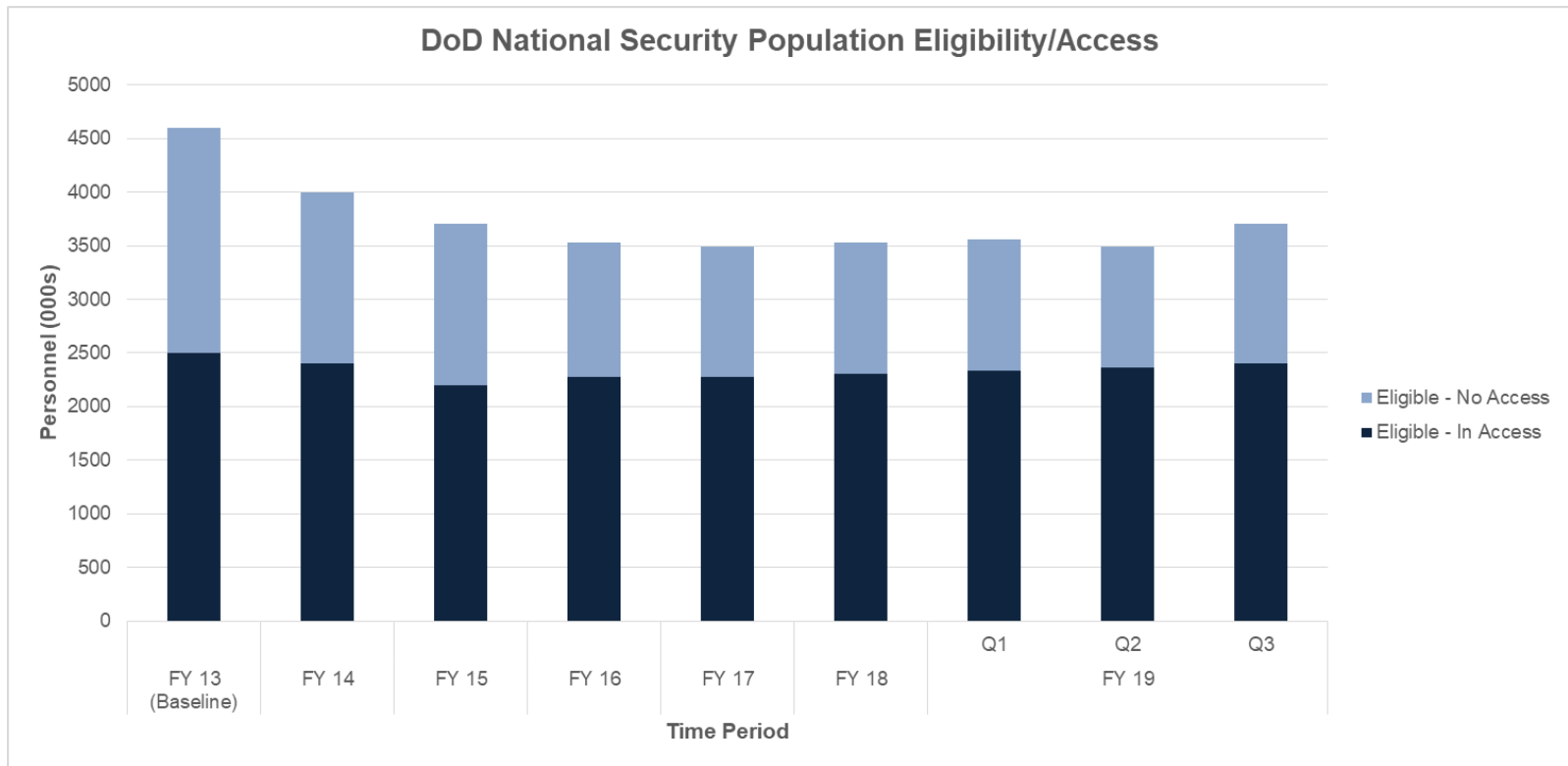


NBIB successfully increased its workforce capacity to decrease the pending inventory and will continue to maintain a healthy workforce capacity as it stabilizes its inventory.





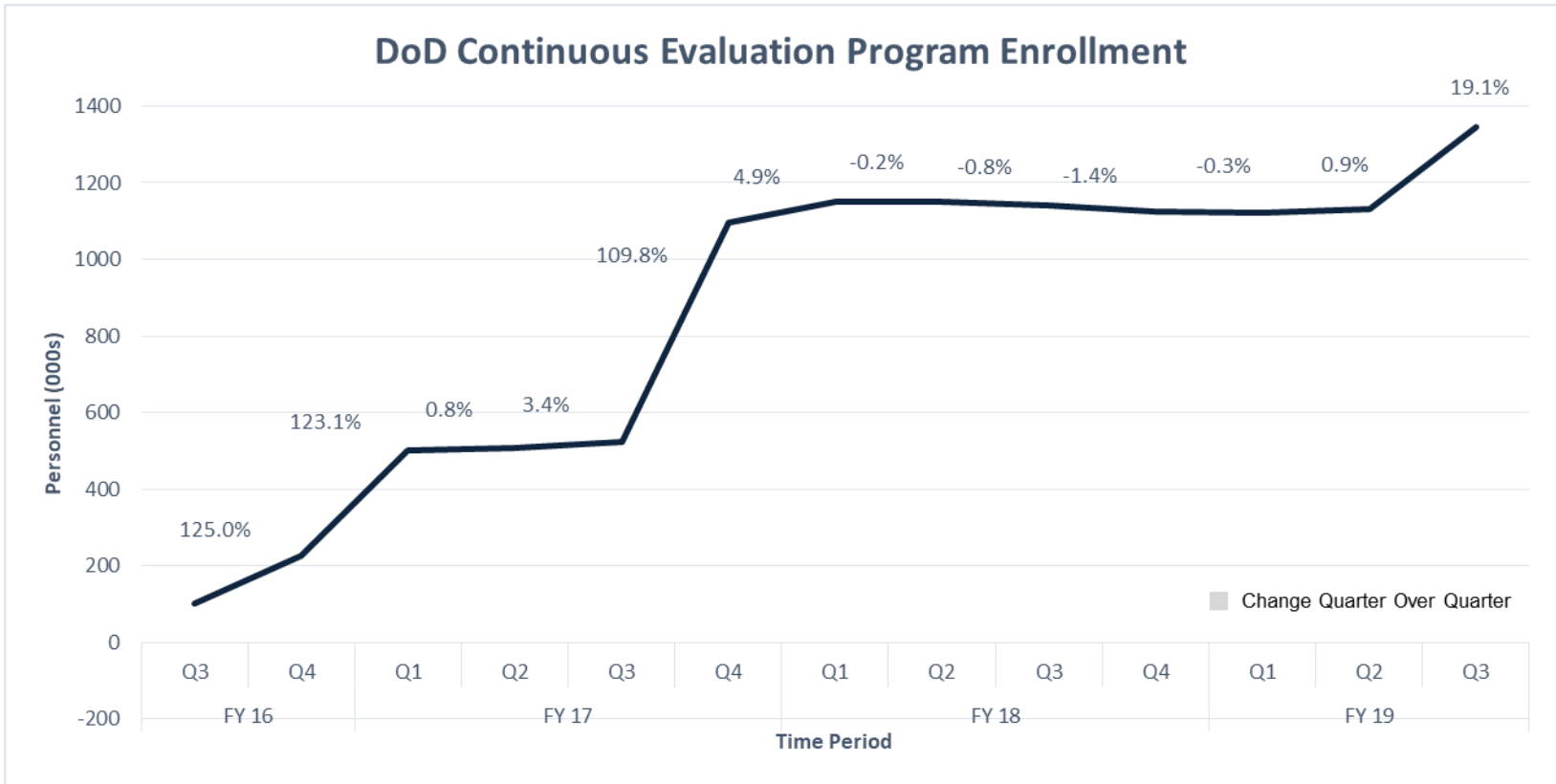
Key Indicator: DoD National Security Population Eligibility & Access



Change in DoD Clearance (in thousands)											
	FY13 (Baseline)	FY14	FY15	FY16	FY17	FY18	FY19Q1	FY19Q2	FY19Q3	Number Decreased (from baseline)	FY13-FY19Q3 % Change
Eligible - In Access	2500	2400	2200	2280	2280	2420	2332	2362	2402	-98	-4%
Eligible - No Access	2100	1600	1500	1250	1210	1280	1228	1130	1298	-802	-38%
Total	4600	4000	3700	3530	3490	3700	3560	3492	3700	-900	-20%



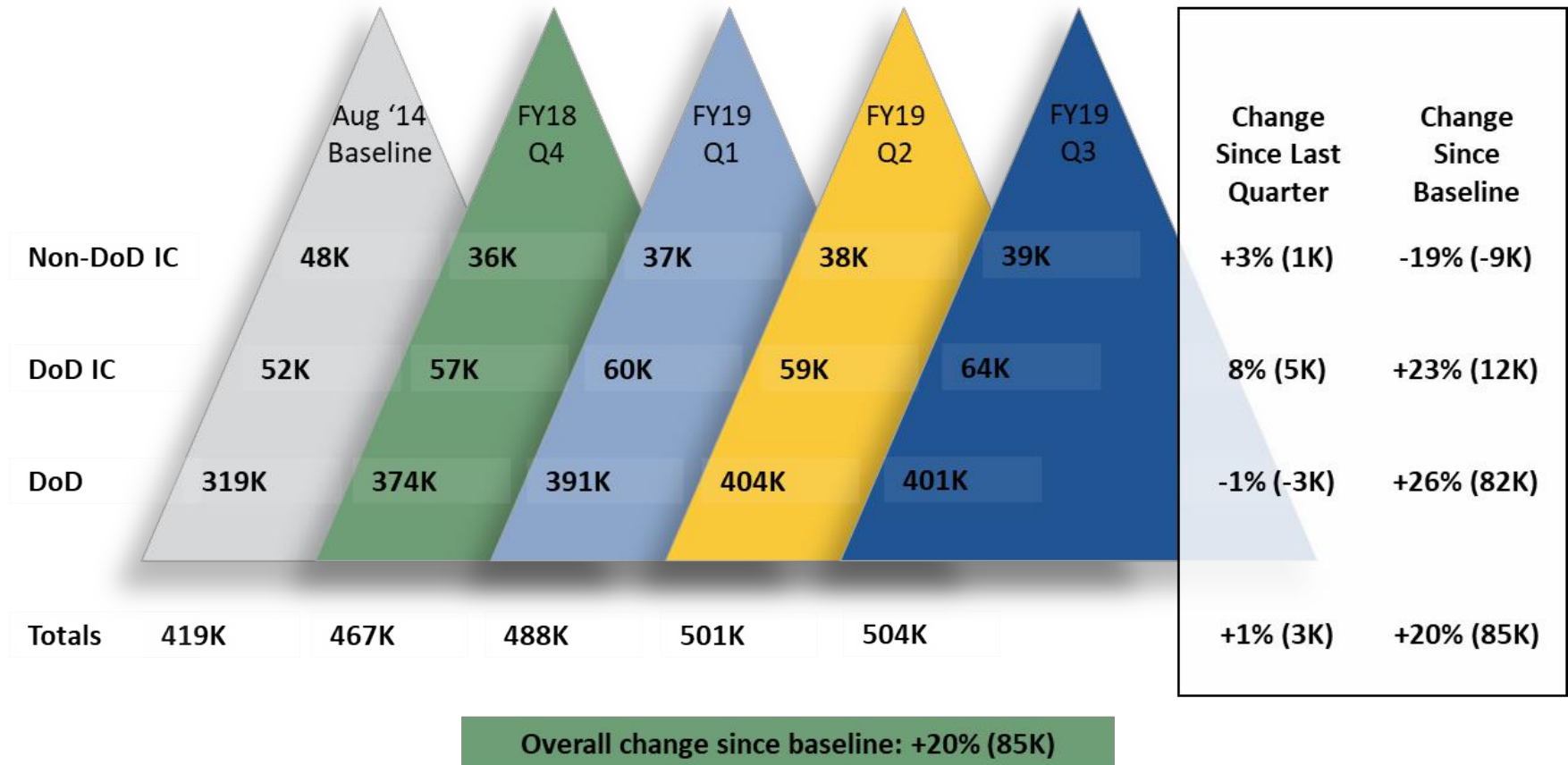
Key Indicator: DoD Continuous Evaluation Enrollment





Key Indicator: Out-of-Scope National Security Population

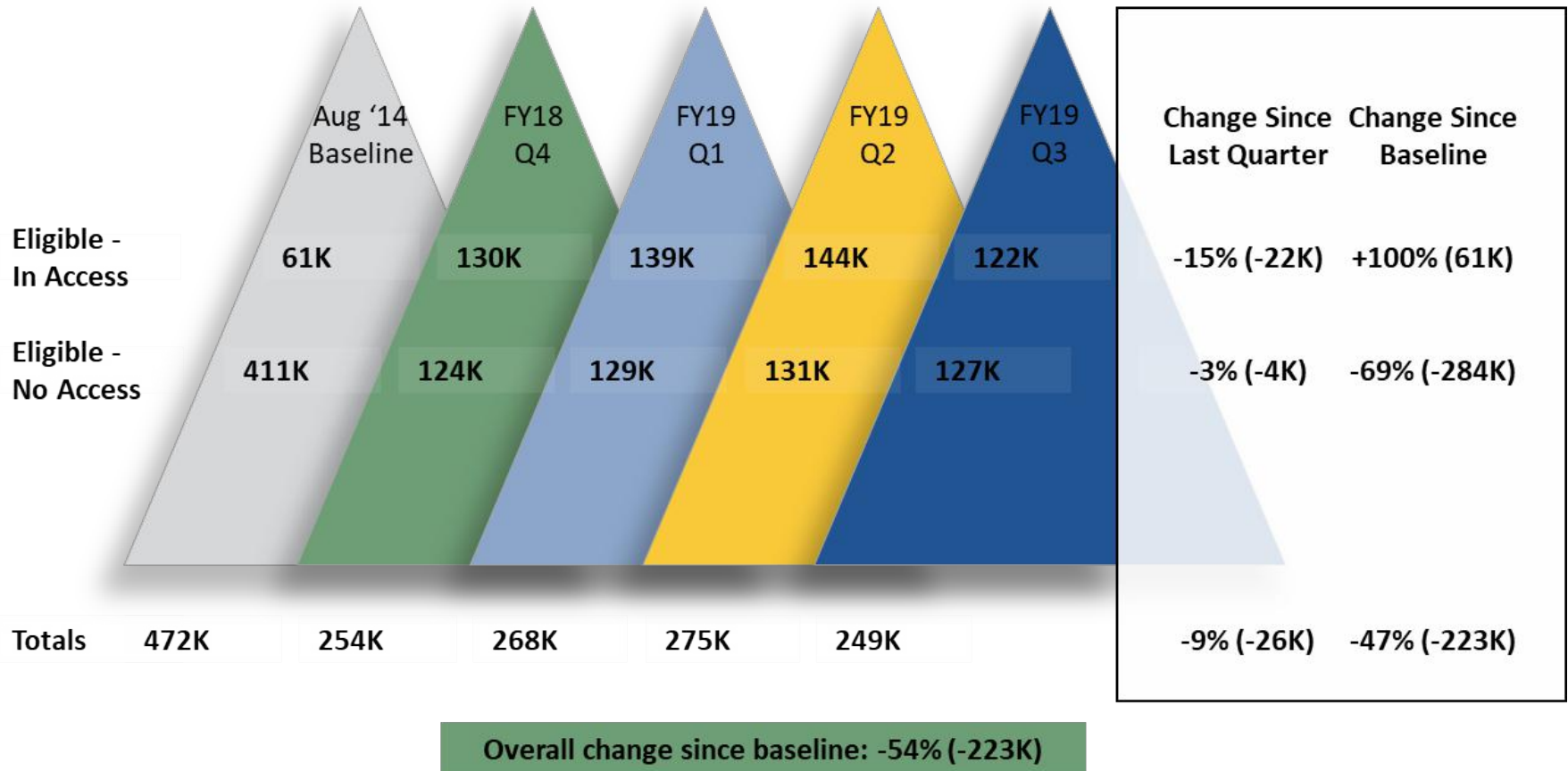
DoD and IC Top Secret & TS/SCI Out of Scope Population





Key Indicator: Out-of-Scope National Security Population

DoD Secret Out of Scope Population





PAC Member Agencies

- Office of Management and Budget
- Office of Personnel Management
- Department of Energy
- Department of Justice
- Department of the Treasury
- General Services Administration
- National Background Investigations Bureau
- Office of the Director of National Intelligence
- Department of Defense
- Department of Homeland Security
- Department of State
- Federal Bureau of Investigation
- National Archives and Records Administration
- National Security Council

PAC Ex Officio and Other Contributing Agencies

- Agency for International Development
- Department of Agriculture
- Department of Health & Human Services
- Department of Labor
- Drug Enforcement Administration
- National Geospatial-Intelligence Agency
- National Security Agency
- Social Security Administration
- Central Intelligence Agency
- Department of Commerce
- Department of Housing & Urban Development
- Department of Transportation
- Environmental Protection Agency
- National Reconnaissance Office
- Nuclear Regulatory Commission
- Defense Intelligence Agency
- Department of Education
- Department of Interior
- Department of Veterans Affairs
- National Aeronautics & Space Administration
- National Science Foundation
- Small Business Administration



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