



Security Clearance, Suitability/Fitness, and Credentialing Reform

Goal Leaders

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

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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 Defense Counterintelligence Security Agency.



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 Policies & Processes	<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

DCSA 91% to Goal on Backlog Reduction and Significantly Improves Timeliness. Through the implementation of measures approved by the Security Executive Agent (ODNI) and Suitability and Credentialing Executive Agent (OPM), internal business process improvements, department and agency implementation, and additional resource capacity, DCSA has now reduced the background investigation inventory from a high of 725,000 in April 2018 to 248,000 in December 2019. With a steady-state inventory target of 200,000 cases, the reduction translates to 91% of progress to goal. As a direct reflection of the reduced background investigative inventory, DCSA has achieved a significant improvement on timeliness of investigations. These results include a decrease of over 55% on Secret investigations, with timeliness down from a high of 96 days to 77 days and a decrease of over 60% on Top Secret investigations, down from a high of 254 days to 157 days. DCSA will continue to focus on further improving on the timeliness of its investigations.

NBIB-to-DoD Transfer of Background Investigation Mission Complete. On October 1, 2019, the background investigation mission for 95% of the Federal Government officially moved from OPM's National Background Investigation Bureau (NBIB) to the Department of Defense's Defense Counterintelligence and Security Agency (DCSA). DCSA is now the largest security organization in the Federal Government. "Merging the components into one organization will allow us to execute our two core missions: personnel vetting and critical technology protection, underpinned by counterintelligence and training," said Charlie Phalen, acting director of DCSA. Transition teams from both organizations worked closely to enable the seamless transfer of 2,957 NBIB employees to DCSA Title 10 positions (only 17 employees declined), six attorneys, and 637 DoD Consolidated Adjudications Facility employees; coordination and distribution of approximately 8,600 DCSA badges and credentials; transfer of leases of over 2,000 vehicles; transfer of leases of 49 GSA occupancy agreements; and transfer of 65 inter-service support agreements. Now that the transfer is complete, DoD will turn its focus to transition and transformation.





DoD Predicts Continuous Evaluation Will More than Double in 2020. DCSA said in November that the number of people enrolled in continuous evaluation programs will more than double in 2020. Currently, 1.4 million clearance holders are enrolled in DoD's continuous evaluation program. That number is expected to reach 3.6 million by the end of next year. The Executive Correspondence that will be issued early in 2020 will direct departments and agencies to transition from periodic reinvestigations to continuous vetting, which allows earlier intervention into issues that may arise.

ODNI Continuous Evaluation System Passes Quarter Million Enrollees. The number of security clearance holders enrolled in the ODNI Continuous Evaluation System (CES) for automated records checks passed the quarter-million mark in October 2019, and the enrolled population now exceeds 300,000. To highlight the significance of this milestone, the CES enrolled population in November 2018 was approximately 29,000. The CES enrolled population comprises Federal civilian, contractor, and military employees from 26 Executive Branch agencies, and enrollment continues to grow. ODNI's CES technical capability is a cornerstone of security clearance modernization efforts to reduce the inventory of personnel security background investigations, increase the timeliness and frequency of information reviewed between reinvestigation cycles, and help maintain a trusted workforce. As the Executive Branch moves toward a continuous vetting framework under the trusted Workforce 2.0 initiative, continued enrollment in ODNI CES is anticipated.



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	DCSA is piloting with select customers.
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	Complete (Previously On Track)	ODNI, OPM	Draft content refined and interagency coordination underway.
Develop quality standards for adjudicative determinations and expand quality tools to include adjudications.	Dec-2019	At Risk (Previously On Track)	ODNI, OPM	Draft content developed. Interagency workshops continue to refine standards.
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	DCSA, ODNI, OPM	Background investigation inventory reduced from a high of 725k in April 2018 to 248k in December.





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	Complete (Previously On Track)	DoD	Transfer of NBIB to DCSA complete.
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, DCSA	Completed an onboarding strategy for customer agencies to begin incremental onboarding into the National Background Investigations Services (NBIS) IT capability. Once onboarded, agencies will begin submission of background investigations through the NBIS capability.



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	On Track	DoD, DCSA, ODNI, OPM	Low-side repository enhancements to allow an ability to view continuous vetting enrollment status is being tested in preparation for capability rollout.
Implement a new electronic Application shared service capability and continue to make iterative improvements.	Oct-2019	Missed (Previously On Track)	DoD, DCSA, ODNI, OPM	Initial capability development, testing, and security activities complete and preparing for phased capability rollout.



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	On Track	DoD, DCSA, ODNI, OPM	
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	DoD, DCSA, ODNI, OPM	
Implement a shared service capability that supports the development of background investigation reports, and continue to make iterative improvements.	Jul-2020	On Track	DoD, DCSA, ODNI, OPM	
Implement a shared service capability that supports the adjudication of background investigations, and continue to make iterative improvements.	Jul-2020	On Track	DoD, DCSA, ODNI, OPM	Deployed a shared service solution that supports the adjudication of background investigations to the Department of Treasury.
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	On Track	DoD, DCSA, ODNI, OPM	Refined strategy for the implementation of an improved low-side repository and milestones to align with TW 2.0 rollout, with initial delivery slated for late FY20.





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	PAC PMO, ODNI, OPM	
Improve decision-making by increasing access to research findings across the Executive Branch.	May-2019	Complete	PAC PMO, ODNI, OPM	
Continue to mature the research & innovation program to support SSC priorities.	Oct-2019	Complete (Previously On Track)	PAC PMO, ODNI, OPM	Completed six projects, including machine learning, quantitative risk management, and the efficacy of social change-point detection. Initiated six projects, including a visualization tool prototype, impact of generation change, rap sheet review guide, eInterview questions, and efficacy of new interviewing methods.



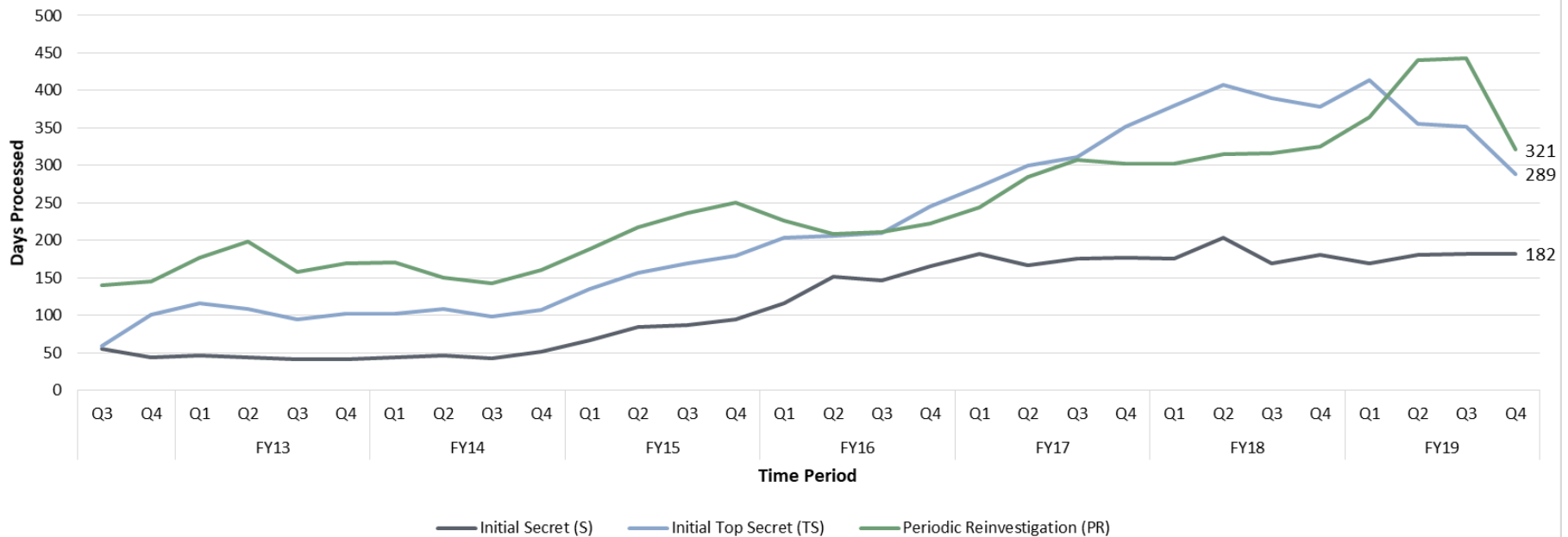


Focus Area	Key Indicator Title	Description
Timeliness	End-to-End Process Timeliness (2 slides)	Average number of days to complete end-to-end processing for the national security population
	Background Investigation Timeliness	Average number of days to complete Secret and Top Secret background investigations
	Number of Cases Meeting Timeliness Standards	Average percentage of cases that are meeting timeliness standards
Volume	DCSA Investigations Inventory (2 slides)	Total inventory of pending DCSA investigations by progress to goal and by anticipated workload effort
	DCSA Investigations Case Flow	Total number of cases closed and scheduled per month, which drives changes to the Investigations Inventory
	DCSA Investigator Headcount	Total number of investigators performing investigations for DCSA 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

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





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)

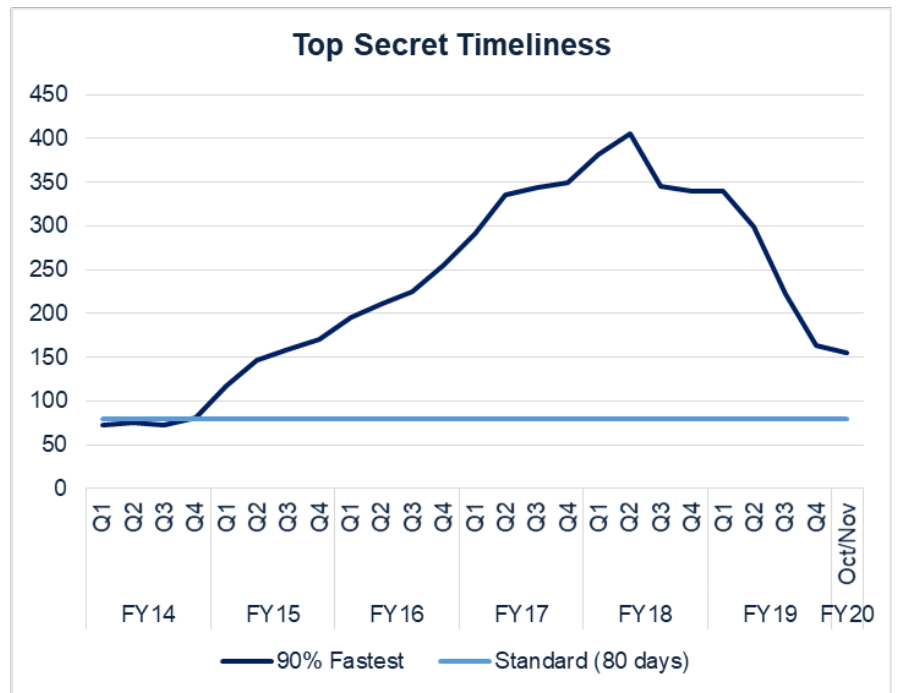
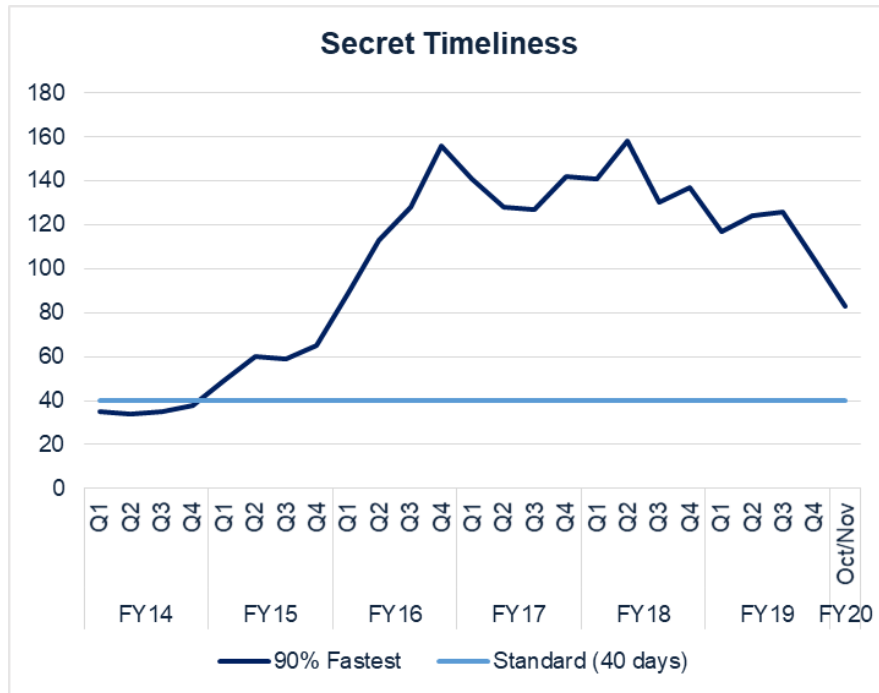
Fastest 90% →

		Initiate				Investigate				Adjudicate				End-to-End (Initiate + Inv. + Adj.)			
		Average Days				Average Days				Average Days				Average Days			
		Q1 19	Q2 19	Q3 19	Q4 19	Q1 19	Q2 19	Q3 19	Q4 19	Q1 19	Q2 19	Q3 19	Q4 19	Q1 19	Q2 19	Q3 19	Q4 19
Initial Secret Cases	Volume	Goal: 14 Days				40 Days				20 Days				74 Days			
	459,395	11	12	15	17	124	139	119	123	34	30	34	42	169	181	168	182
Initial Top Secret Cases	Volume	Goal: 14 Days				80 Days				20 Days				114 Days			
	159,329	20	18	21	20	334	296	239	226	60	42	43	43	414	356	303	289
Periodic Reinvestigations	Volume	Goal: 15 Days				150 Days				30 Days				195 Days			
	372,957	17	16	16	15	284	325	223	221	63	100	86	85	364	441	325	321
Red Text: Goal Not Met										Blue Text: Goal Met							

As of 11/13/2019



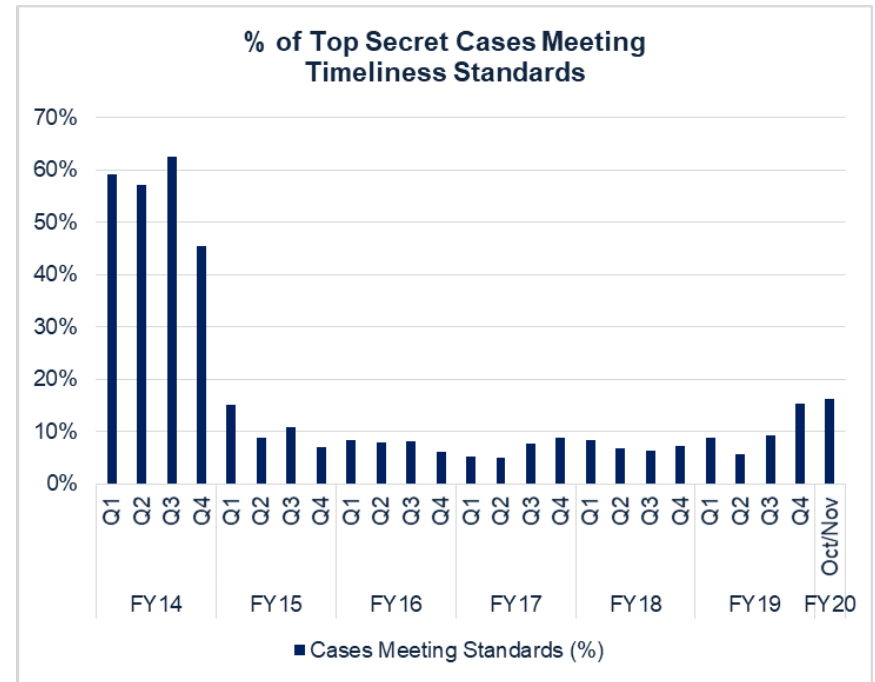
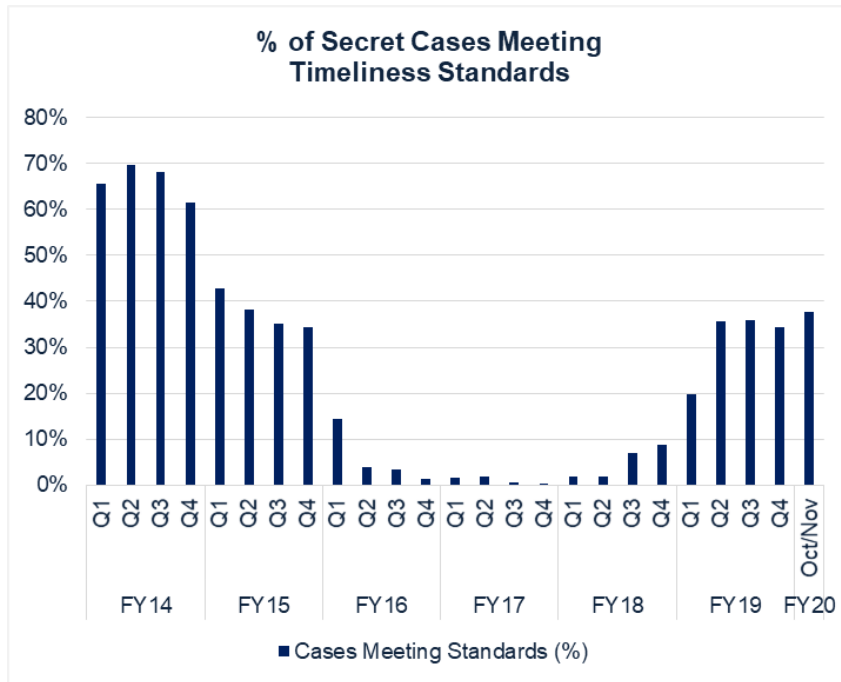
Background investigation timeliness, while still not meeting standards, is improving.





Key Indicator: Number of Cases Meeting Timeliness Standards

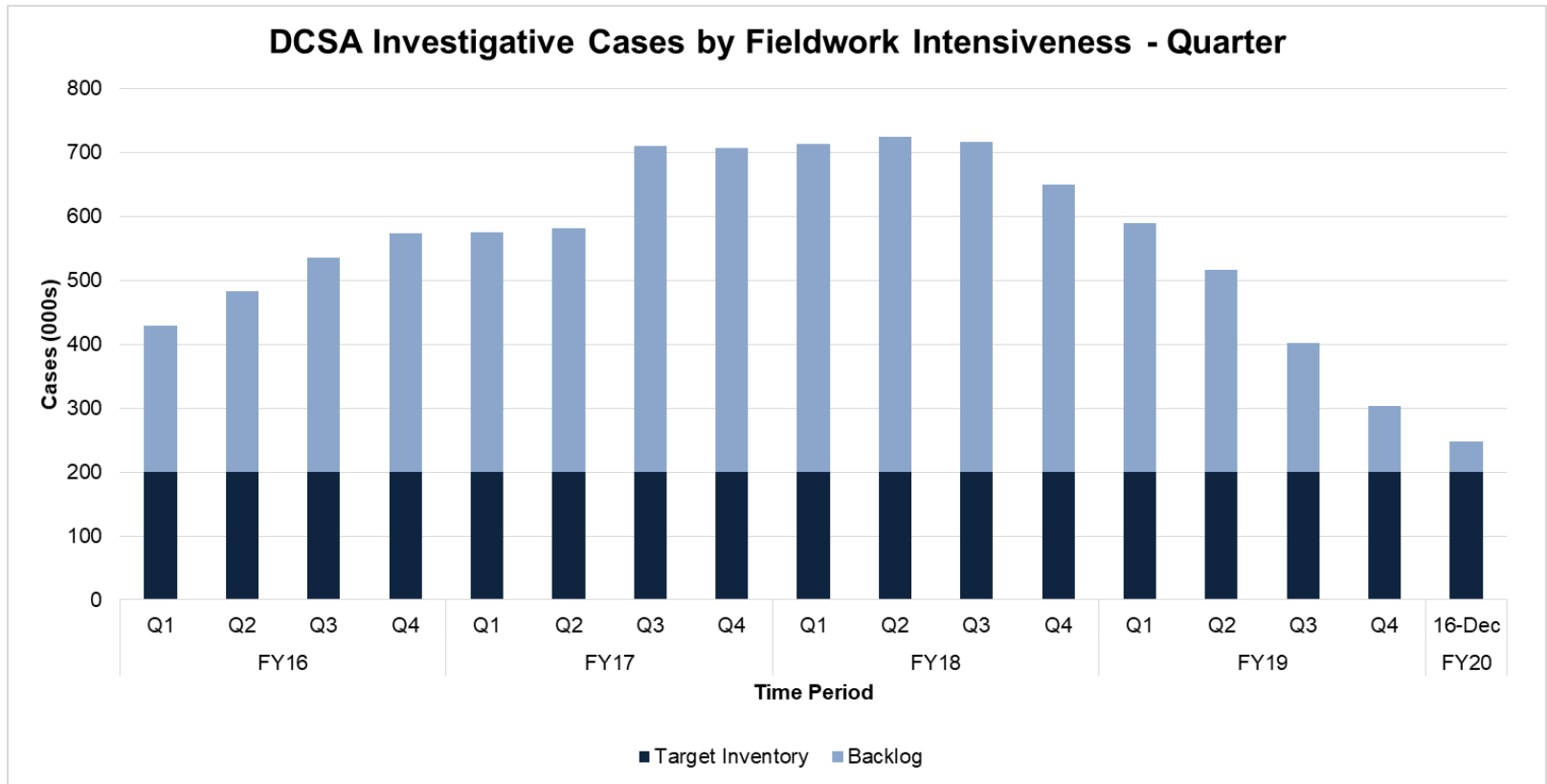
The number of cases meeting timeliness standards is increasing.





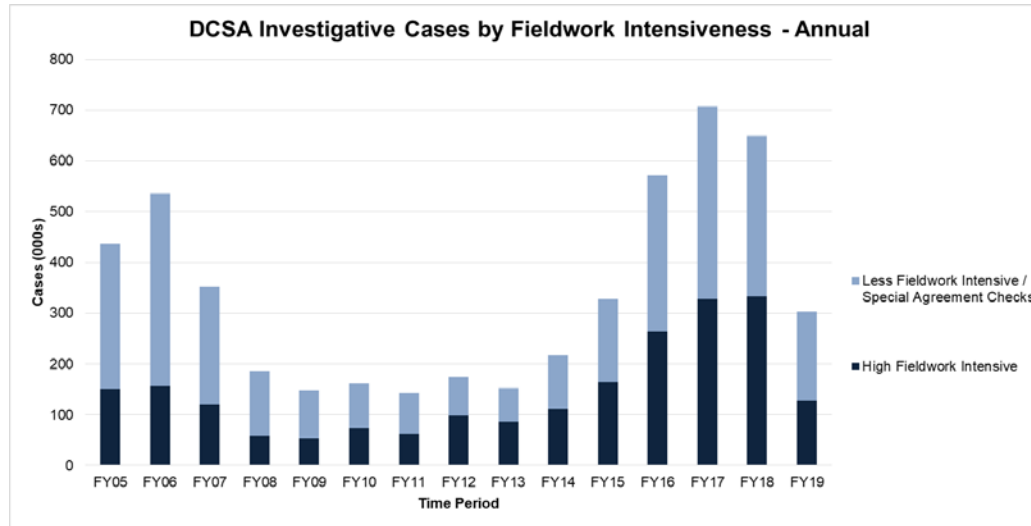
Key Indicator: DCSA Investigations Inventory

The DCSA inventory has achieved 91% progress toward returning to target levels.



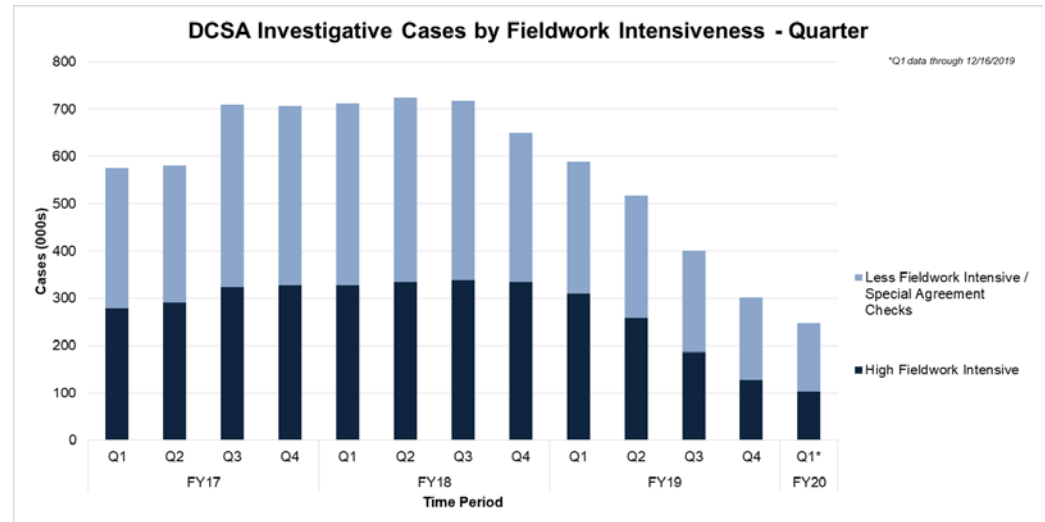


Key Indicator: DCSA Investigations Inventory



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.

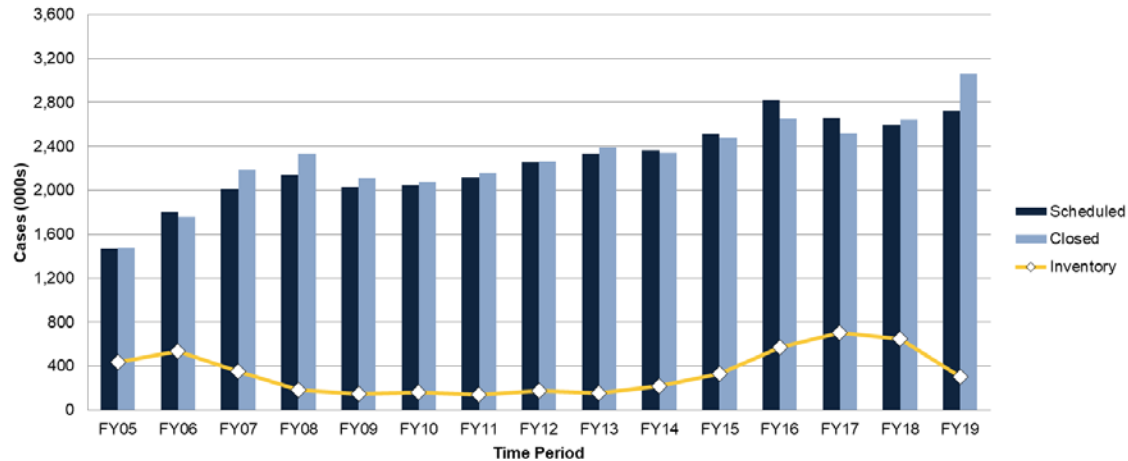
Less Fieldwork Intensive/Special Agreement Checks – Cases that typically require little to no work in the field (i.e. automated fingerprint checks or clean cases). These are used for lower risk positions.





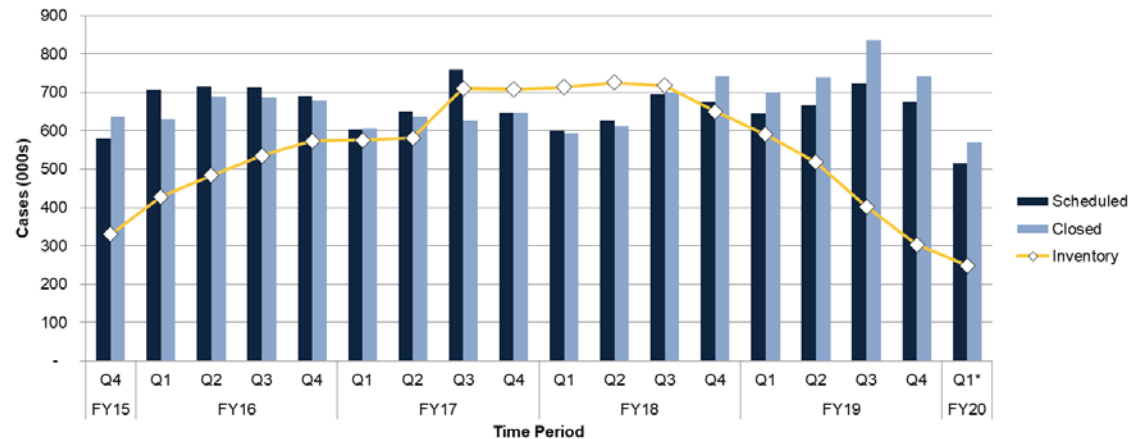
Key Indicator: DCSA Investigations Case Flow

DCSA Cases Scheduled and Closed - Annual



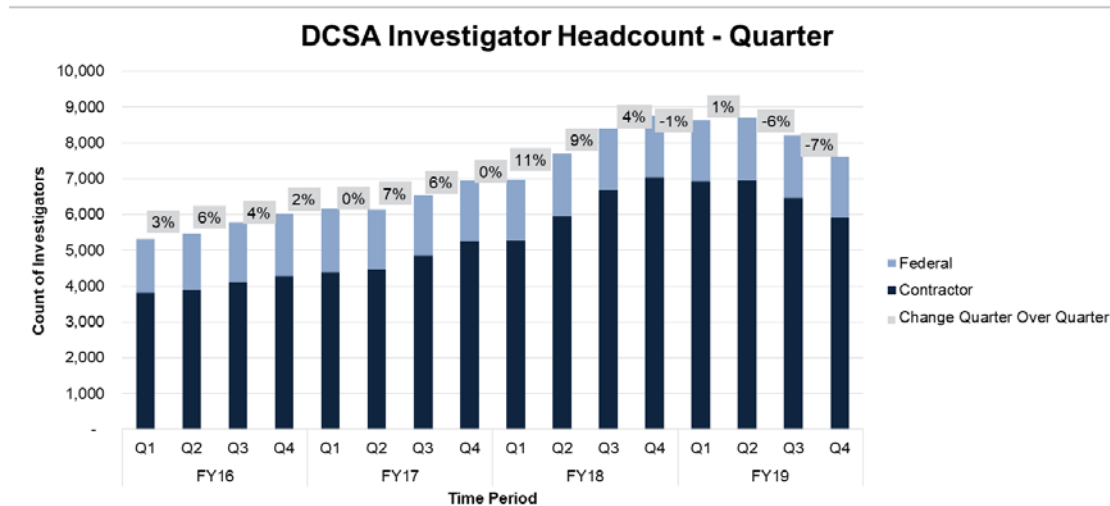
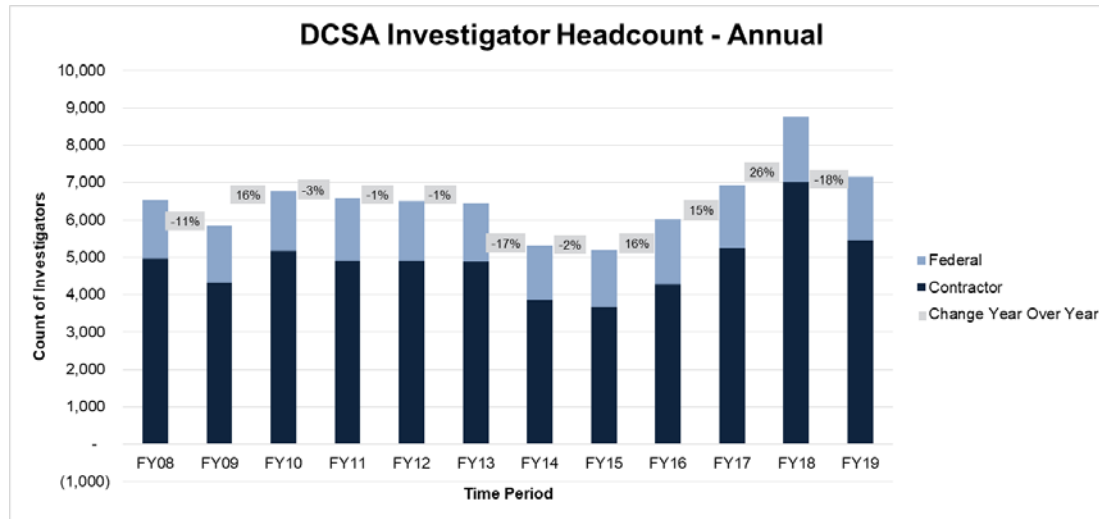
DCSA Cases Scheduled and Closed - Quarter

*Q1 data through 12/16/2019





Key Indicator: DCSA Investigator Headcount

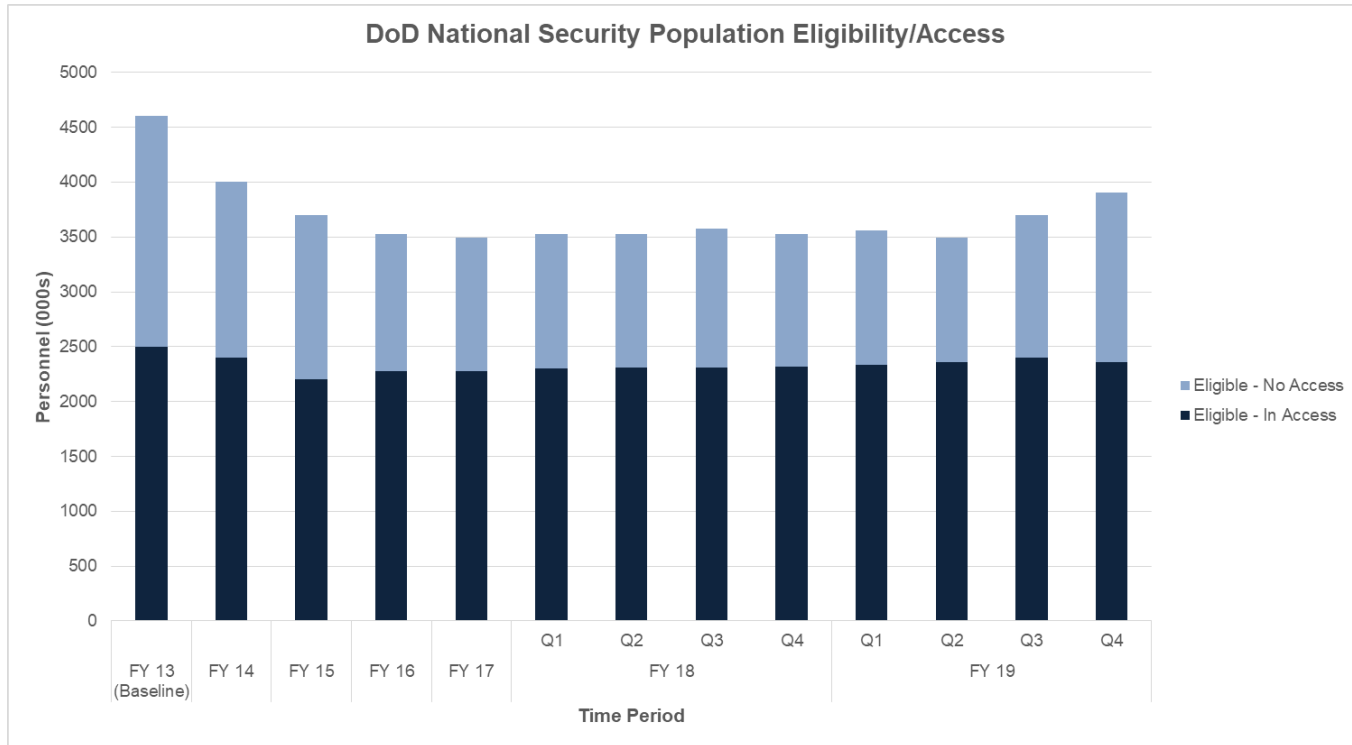


DCSA successfully increased its workforce capacity to decrease the pending inventory and will continue to maintain a healthy workforce capacity as it stabilizes its inventory.





Key Indicator: DoD National Security Population Eligibility & Access

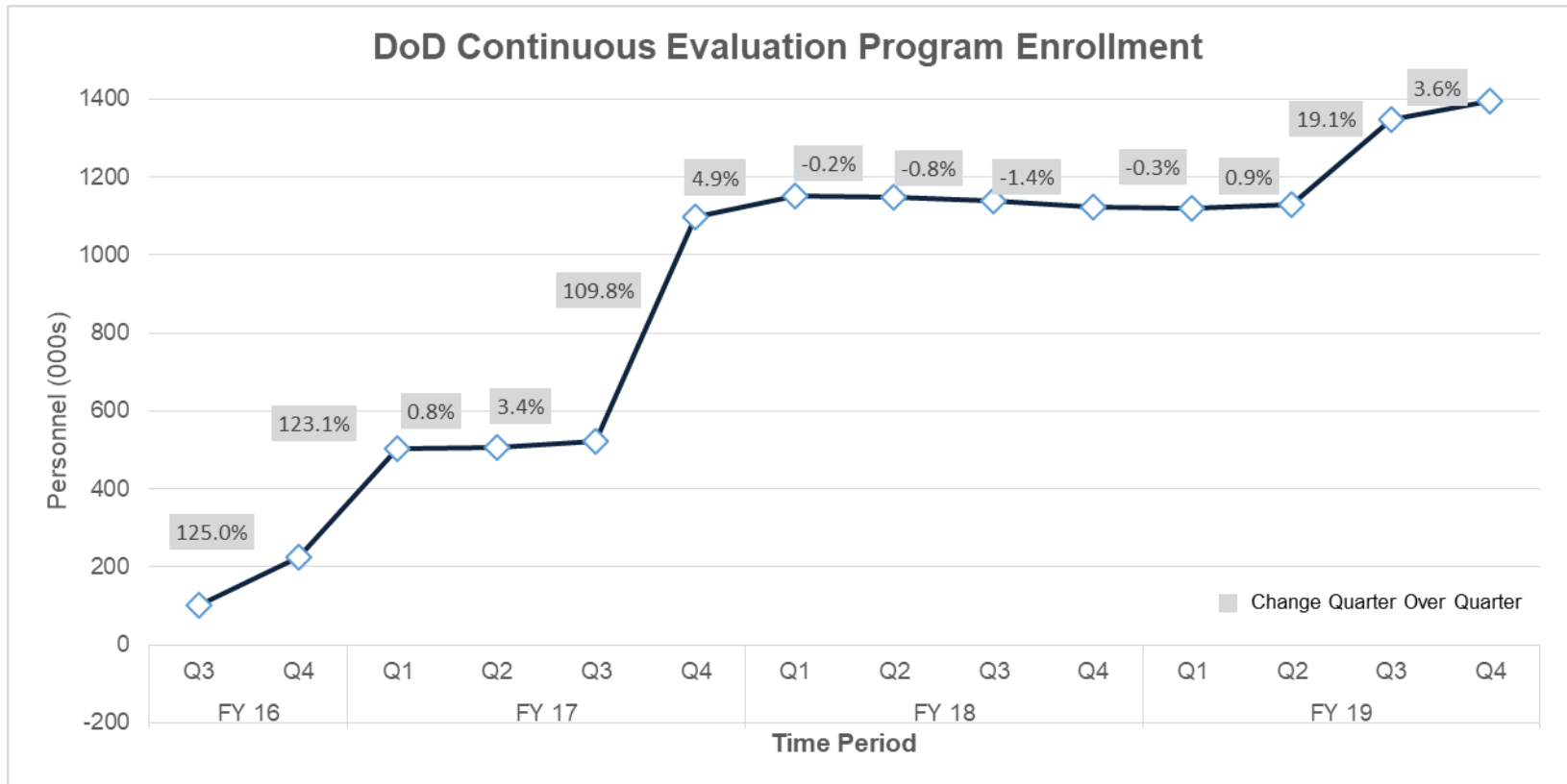


Change in DoD Clearance (in thousands)												
	FY13 (Baseline)	FY14	FY15	FY16	FY17	FY18	FY19Q1	FY19Q2	FY19Q3	FY19Q4	Number Decreased (from baseline)	FY13- FY19Q3 % Change
Eligible - In Access	2500	2400	2200	2280	2280	2420	2332	2362	2402	2362	-138	-6%
Eligible - No Access	2100	1600	1500	1250	1210	1280	1228	1130	1298	1539	-561	-27%
Total	4600	4000	3700	3530	3490	3700	3560	3492	3700	3901	-699	-15%





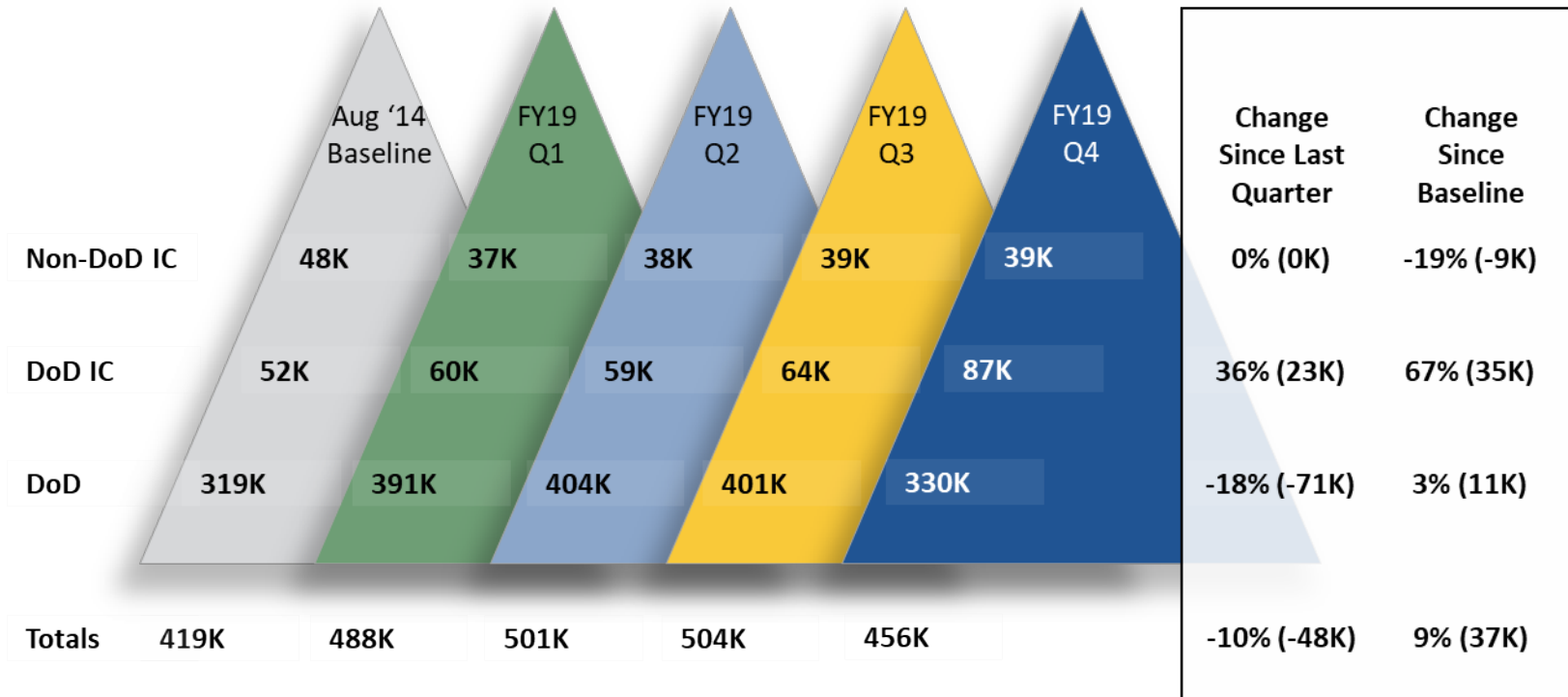
Key Indicator: DoD Continuous Evaluation Enrollment





Key Indicator: Out-of-Scope National Security Population

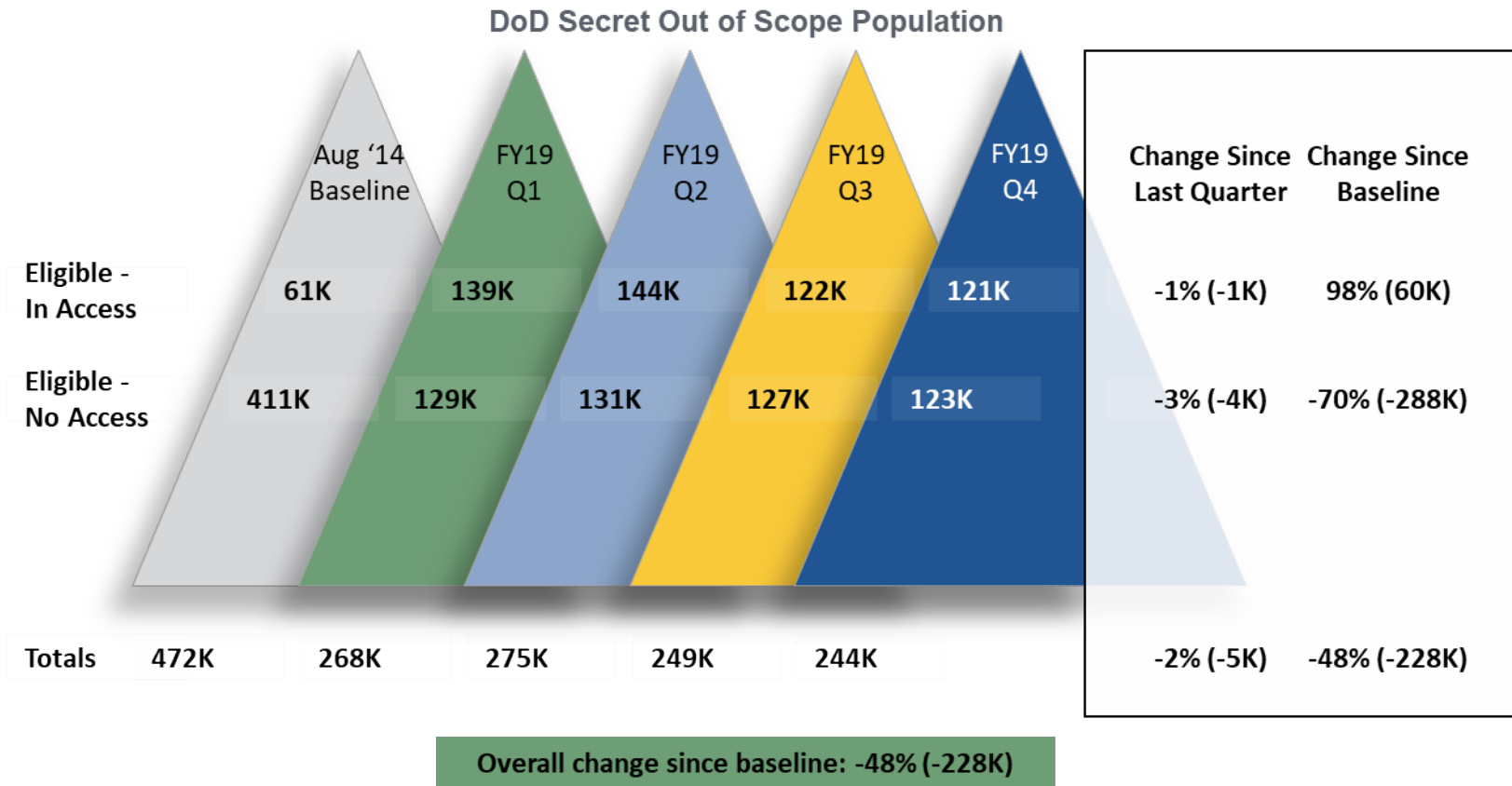
DoD and IC Top Secret & TS/SCI Out of Scope Population



Overall change since baseline: 9% (37K)



Key Indicator: Out-of-Scope National Security Population





PAC Member Agencies

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