



## 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

**Margaret Weichert**, Deputy Director of Management, Office of Management and Budget and  
Acting Director, Office of Personnel Management



## 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:





- Daniel Coats, DNI
- Joseph Kernan, USD(I)
- Margaret Weichert, DDM OMB and Acting Director, OPM

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	
<b>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.</b>	
Sub-Goal	Major Strategies to Achieve Sub-Goal
<b>1</b>  <b>Trusted Workforce</b>	<ul style="list-style-type: none"><li>• Develop aligned and consistent policy for reporting potential security risks or observable behaviors of concern</li><li>• Train and educate the Federal workforce on their vital role in the early detection of potential issues or risks</li><li>• Build an SSC awareness campaign to reinforce the early identification of reportable behaviors</li><li>• Study other related mission areas for potential information-sharing opportunities to streamline processes</li></ul>
<b>2</b>  <b>Modern Policies &amp; Processes</b>	<ul style="list-style-type: none"><li>• Establish an agile, data-driven, and transparent policy-making process that simplifies traditional overly complex policy development processes</li><li>• Review current end-to-end SSC processes and identify the most cost-effective and efficient methods to vet the Federal workforce</li><li>• Professionalize the SSC workforce through community training, certificate programs, and collaboration with universities</li></ul>
<b>3</b>  <b>Secure Modern Mission-Capable IT</b>	<ul style="list-style-type: none"><li>• Modernize the lifecycle through the use of agency federated systems and shared services</li><li>• Identify enhanced security and interoperability standards and capabilities to better inform IT cost and planning decisions</li><li>• Provide agencies with a mechanism to adopt modern technology, automate manual processes, reduce duplicative investments, and decrease the cyber threat footprint</li></ul>
<b>4</b>  <b>Continuous Performance Improvement</b>	<ul style="list-style-type: none"><li>• Establish and implement outcome-based performance metrics and measures</li><li>• Develop a Research and Innovation program to inform policy, process, and technology with empirical data-driven decisions</li><li>• Establish a Continuous Performance Improvement model that will continuously evaluate the performance of the SSC policies and processes</li></ul>



## Summary of Progress

**President Signs Executive Order Transferring NBIB to DoD.** On April 24<sup>th</sup> the President signed an Executive Order transferring the background investigation mission from the OPM to the DoD. The Defense Counterintelligence and Security Agency, formerly known as the Defense Security Service, will serve as the primary background investigation provider for the Federal Government beginning June 24<sup>th</sup> and the transfer will be complete by October 1<sup>st</sup>.

**NBIB Reduces Background Investigation Inventory by 40%.** Through the implementation of measures approved by the Security Executive Agent (ODNI) and Suitability and Credentialing Executive Agent (OPM) and internal business process improvements, NBIB has now reduced the background investigation inventory from a high of 725,000 in June to 433,000 in May.

**DoD Establishes Personnel Vetting Transformation Office.** The Department of Defense has established a Personnel Vetting Transformation Office (PVTO) to facilitate the transfer of mission, personnel, and resources from OPM to the nascent Defense Counterintelligence and Security Agency (DCSA), and to oversee reform efforts to enable mission success for DCSA throughout the transformation period. The PVTO is designed to ensure the purposes of the functional reorganization under DCSA are realized – that being to optimize the personnel vetting and counterintelligence processes that ensure continuous and uncompromised trust in the U.S. Government's personnel, technology, and infrastructure.





## Summary of Progress

**ODNI, OPM, and the DOD Partner to Enhance Automation.** In March, as a part of ongoing efforts to improve automation within the personnel vetting process, the Executive Agents issued guidance refining the electronic adjudication business rules. The changes, deployed into production in April by DoD as an IT Shared Service, refine the automation rule set to reduce risk and improve the throughput of low-risk cases to allow departments and agencies to focus resources on higher risk and more complex cases.

**DoD Expands IT Shared Service Rollout.** As part of strategic efforts to modernize the Executive Branch's personnel vetting enterprise information technology, the DoD has expanded its rollout of IT shared service capabilities as part of the National Background Information System. The adjudication management shared service becomes the second shared service provided by DoD and available to departments and agencies; the first was electronic adjudication, which leverages automation and business intelligence to provide a determination on low risk cases and has 17 department and agency subscribers. In May, the Social Security Administration became the first adopter of the adjudication management shared service. The capability will automatically receive background investigations, provide capabilities for departments and agencies to adjudicate the cases and automatically update the reciprocity repositories. The system is expected to reduce overall processing times and increase information sharing and threat awareness.

**ODNI Expands Continuous Evaluation System Deployment.** Earlier this year the ODNI Continuous Evaluation System begun conducting automated record checks within each of the seven required continuous evaluation information categories and expanding the enrolled population. In January, ODNI provided a Congressional Notification memorandum to congressional leadership to advise them of key progress.





## 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	OPM updated draft policy to align with Trusted Workforce 2.0 and completed interagency coordination.
Establish standards and requirements for Trusted Information Providers to provide shared data with Investigative Service Providers.	Dec-2019	On Track (Previously Missed)	ODNI, OPM	Policy under development; milestones have been adjusted to align with Trusted Workforce 2.0 milestones.





## Key Milestones

### Sub-Goal 2: Modern Policies & Processes

Milestone Summary				
Key Milestones	Milestone Due Date	Milestone Status	Owner	Recent Actions
Issue Executive Branch-wide reciprocity policy for national security/sensitive positions.	Dec-2018	Complete	ODNI	Policy released November 9, 2018.
Refine standards and guidelines under the new Federal vetting approach.	Dec-2019	On Track	ODNI, OPM	New approach policy framework approved in Dec 2018. Policy development on track for Dec 2019.
Develop quality standards for adjudicative determinations and expand quality tools to include adjudications.	Dec-2019	On Track	ODNI, OPM	Policy under development; milestones have been adjusted to align with Trusted Workforce 2.0 milestones.
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	





## Key Milestones

### Sub-Goal 2: Modern Policies & Processes

Milestone Summary				
Key Milestones	Milestone Due Date	Milestone Status	Owner	Recent Actions
Reduce the inventory of background investigations to a steady and sustainable state.	Mar-2021	On Track	NBIB, ODNI, OPM	NBIB continues to implement measures approved by the Executive Agents to reduce and mitigate the background investigation inventory, which has now reduced from 725k to 433k.
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, NBIB	



## 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.	Oct-2019	On Track	DoD, NBIB, ODNI, OPM	Completed system rollout of DISS to SSA is pending, and the process of rolling out to Treasury is underway.
Implement a new electronic Application shared service capability and continue to make iterative improvements.	Oct-2019	On Track	DoD, NBIB, ODNI, OPM	DOD has begun rolling out the applications after working extensively with key stakeholders to gather feedback on enhancing usability.
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	Contract awarded and development work started as part of NBIS.





# 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 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	Usability testing and limited deployment completed. Efforts to expanded deployment is underway.
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	Contract awarded and development work started as part of NBIS.
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	Deployment of adjudication management capability to SSA is pending and efforts to coordinate with Treasury are underway. eAdjudication capability modified to improve performance.
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	Completed system rollout of DISS to SSA is pending and the process of rolling out to Treasury is underway.





## 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 an 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 falsification in the background investigation process and improving SF-86 questions. Kicked off new efforts, including projects on improving access to criminal history records, exploring machine learning, and evaluating the economics of the ecosystem.

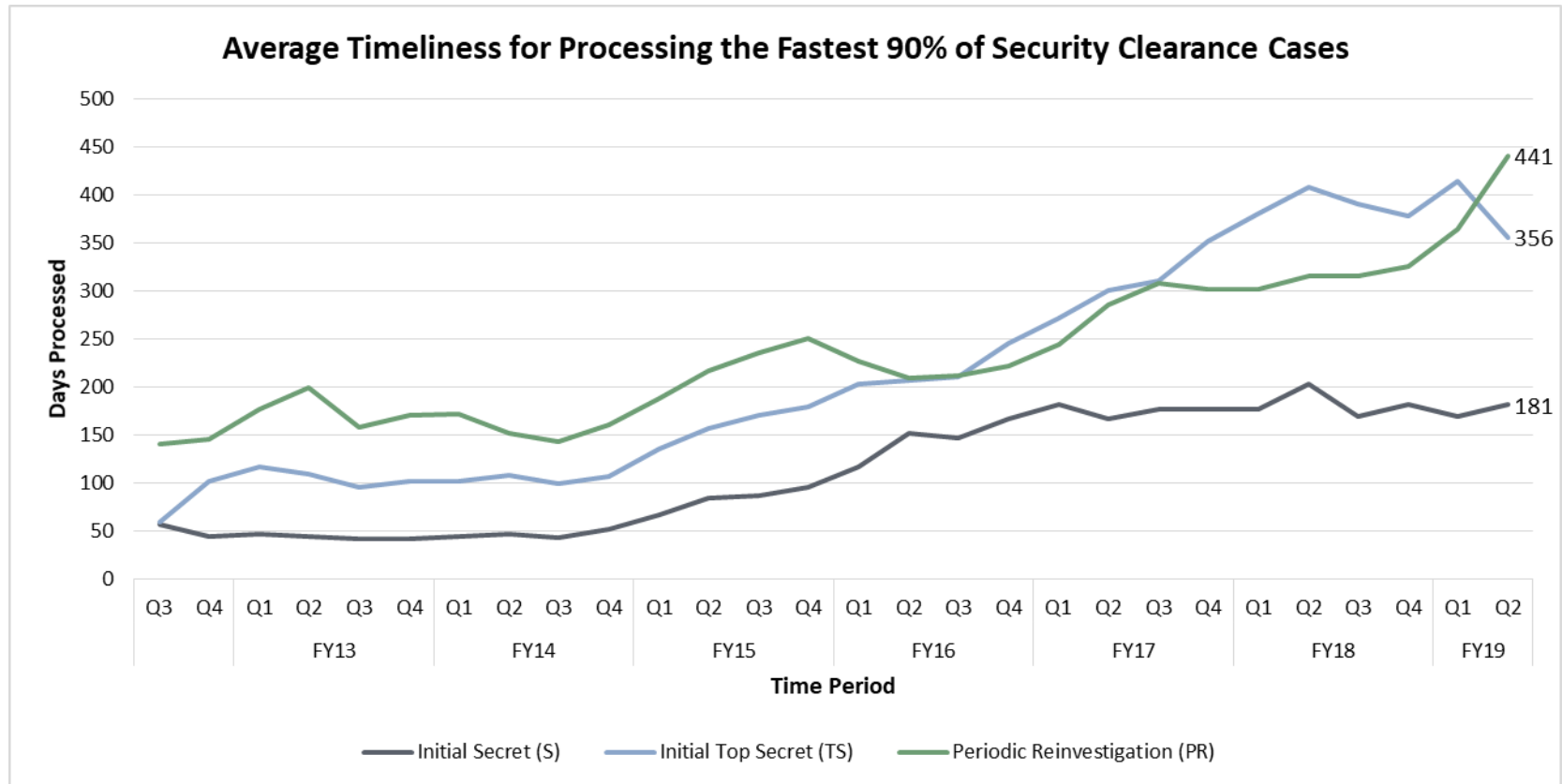




Focus Area	Key Indicator Title	Description
Timeliness	End-to-End Process Timeliness (2 slides)	Average number of days to complete end-to-end processing for the national security population
Volume	NBIB Investigations Inventory	Total inventory of pending NBIB investigations by anticipated workload effort
	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 90<sup>th</sup> percentile,  
by case type as defined under IRTPA

(PAC Methodology)

Fastest 90% →

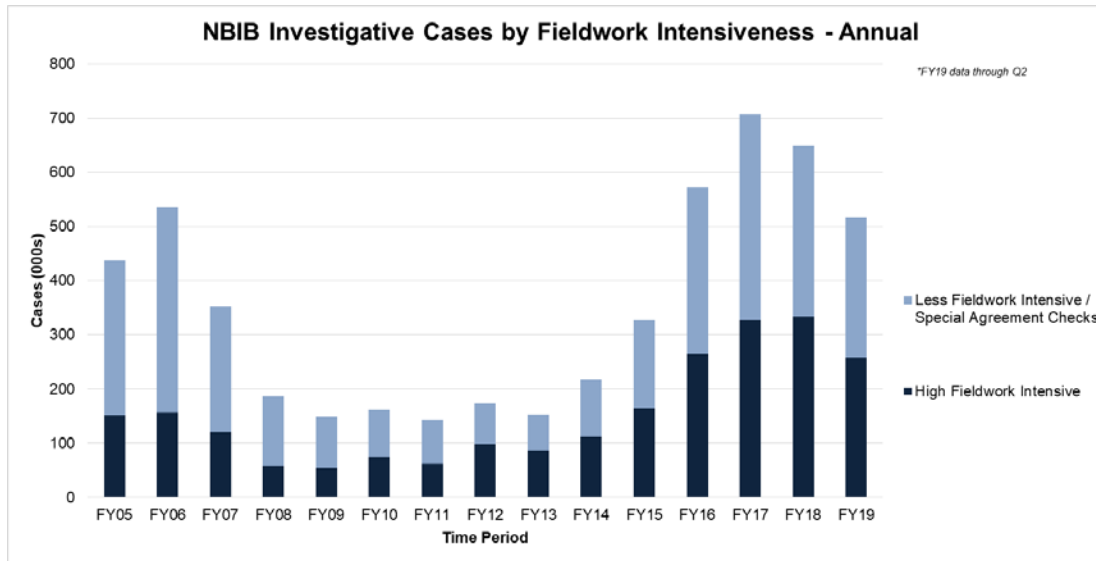
		Initiate				Investigate				Adjudicate				End-to-End (Initiate + Inv. + Adj.)			
		Average Days				Average Days				Average Days				Average Days			
		Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2
		18	18	19	19	18	18	19	19	18	18	19	19	18	18	19	19
		Goal: 14 Days				40 Days				20 Days				74 Days			
Initial Secret Cases	Volume	100%															
	404,847	10	10	11	12	126	141	124	139	33	30	34	30	169	181	169	181
Initial Top Secret Cases	Volume	Goal: 14 Days				80 Days				20 Days				114 Days			
	124,410	21	20	20	18	340	318	334	296	29	40	60	42	390	378	414	356
Periodic Reinvestigations	Volume	Goal: 15 Days				150 Days				30 Days				195 Days			
	193,858	18	19	17	16	271	273	284	325	27	33	63	100	316	325	364	441
Red Text: Goal Not Met										Green Text: Goal Met							

As of 05/09/2019



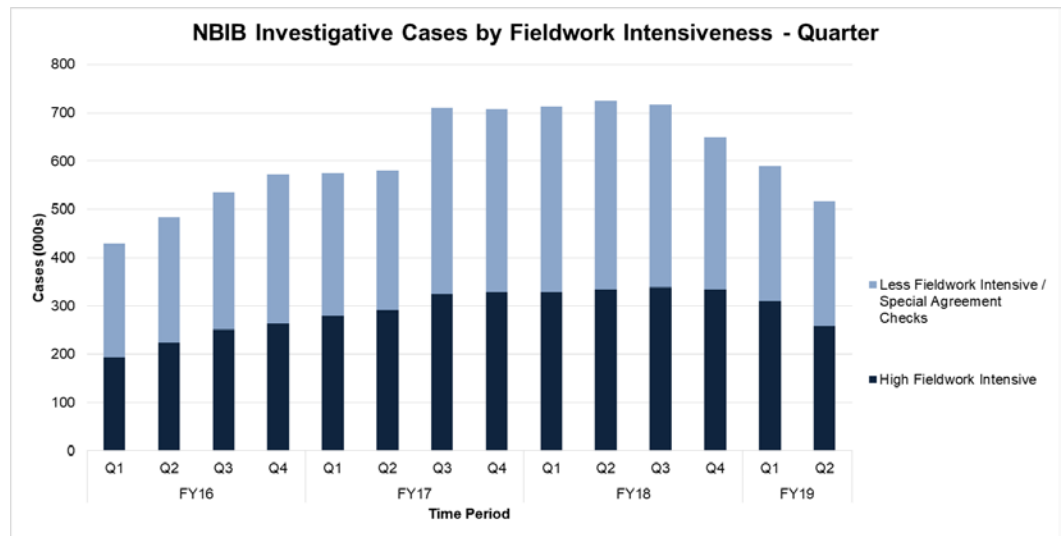


# Key Indicator: NBIB Investigations Inventory



**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.

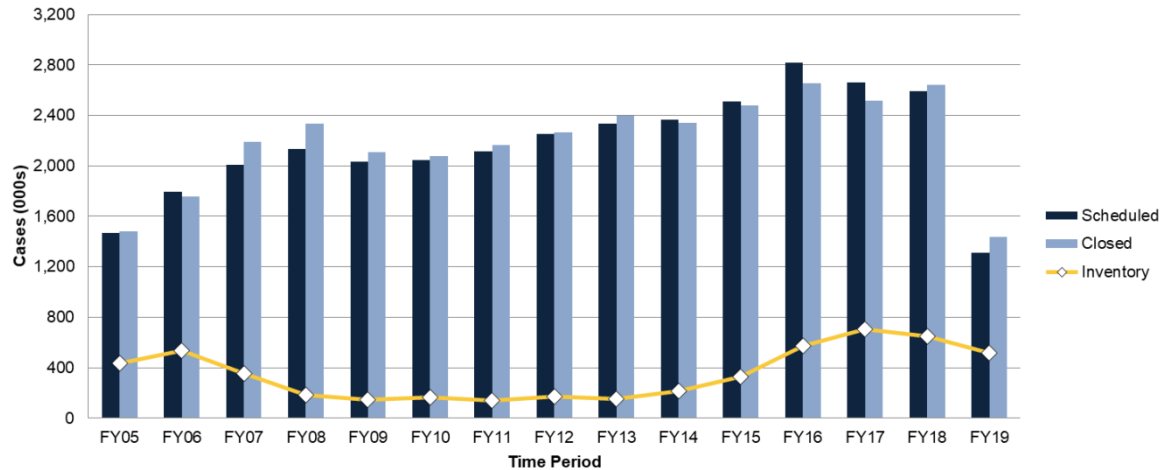




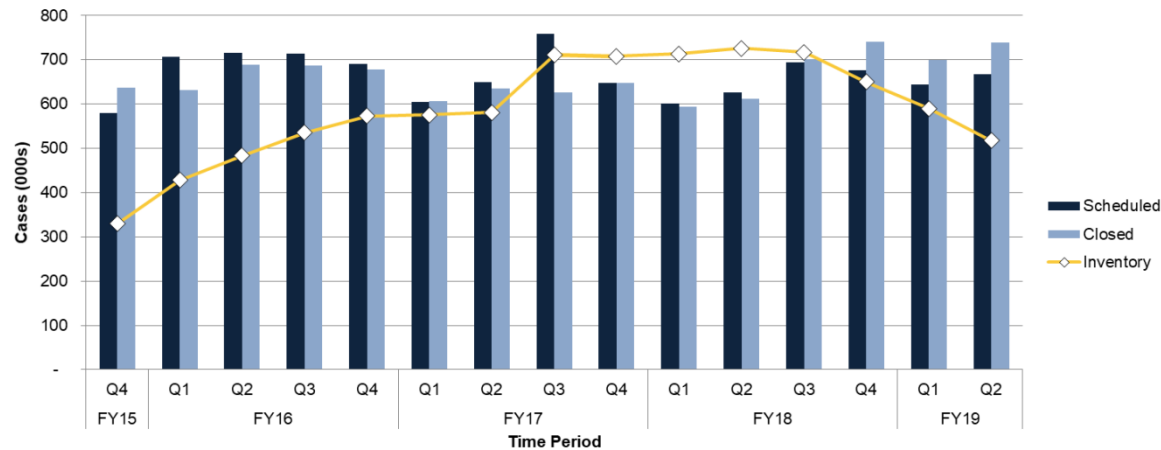
# Key Indicator: NBIB Investigations Case Flow

NBIB Cases Scheduled and Closed - Annual

\*FY19 data through Q2



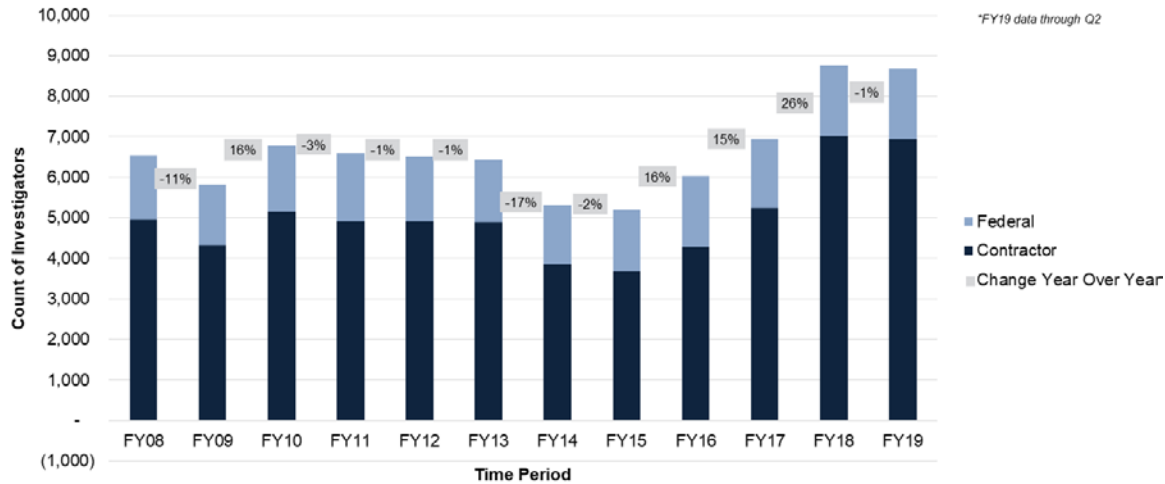
NBIB Cases Scheduled and Closed - Quarter



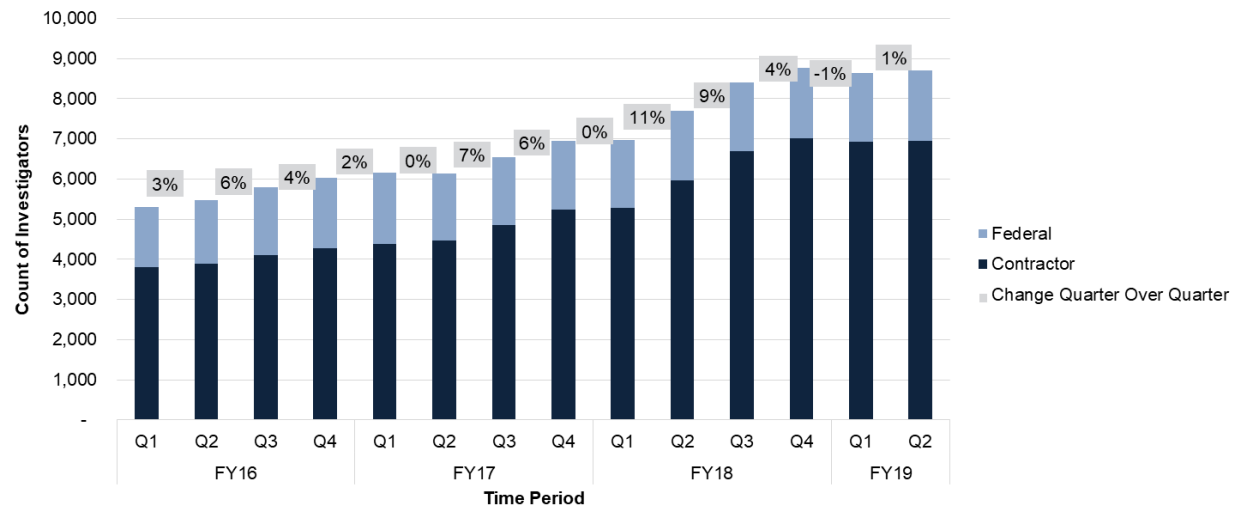


# Key Indicator: NBIB Investigator Headcount

## NBIB Investigator Headcount - Annual

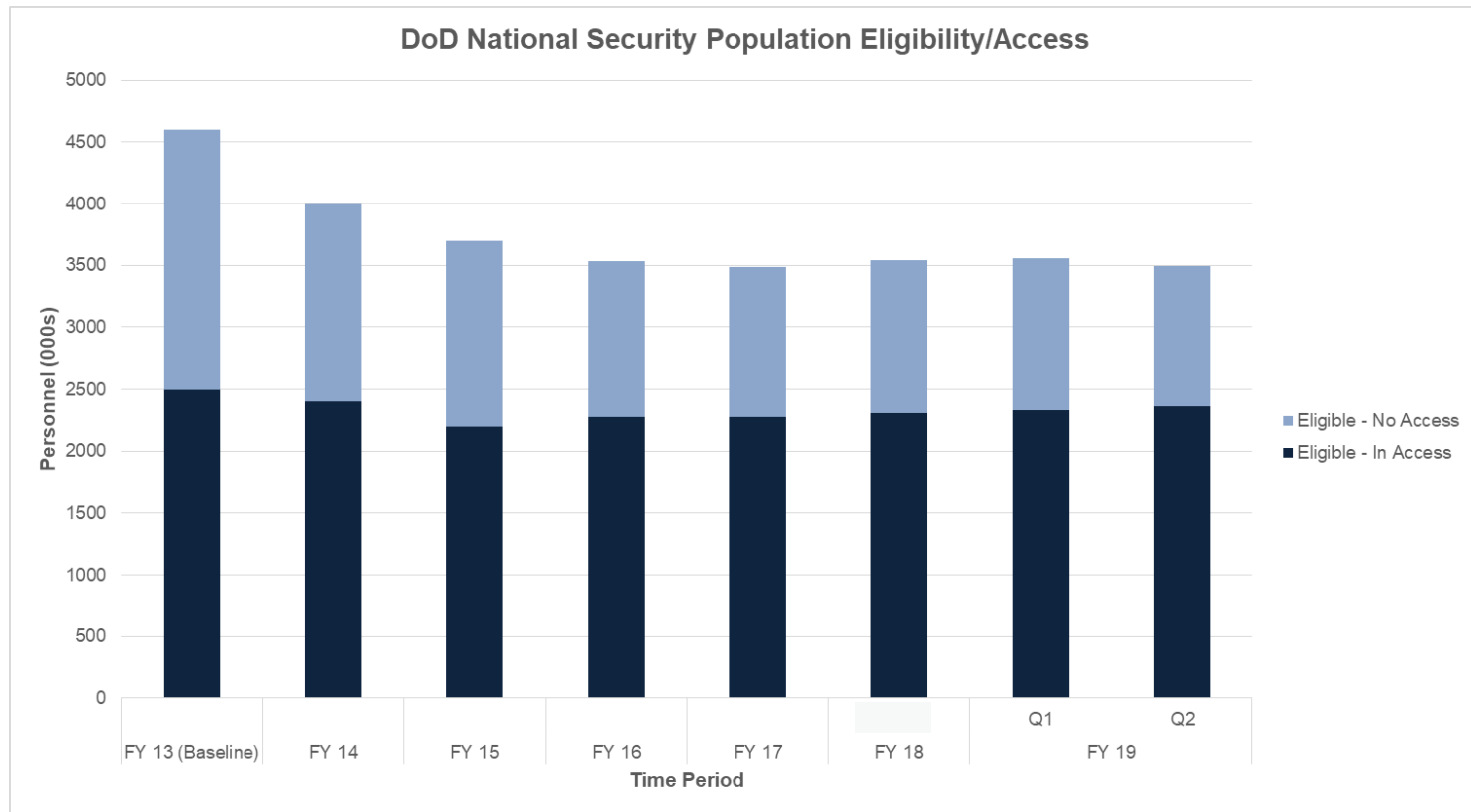


## NBIB Investigator Headcount - Quarter





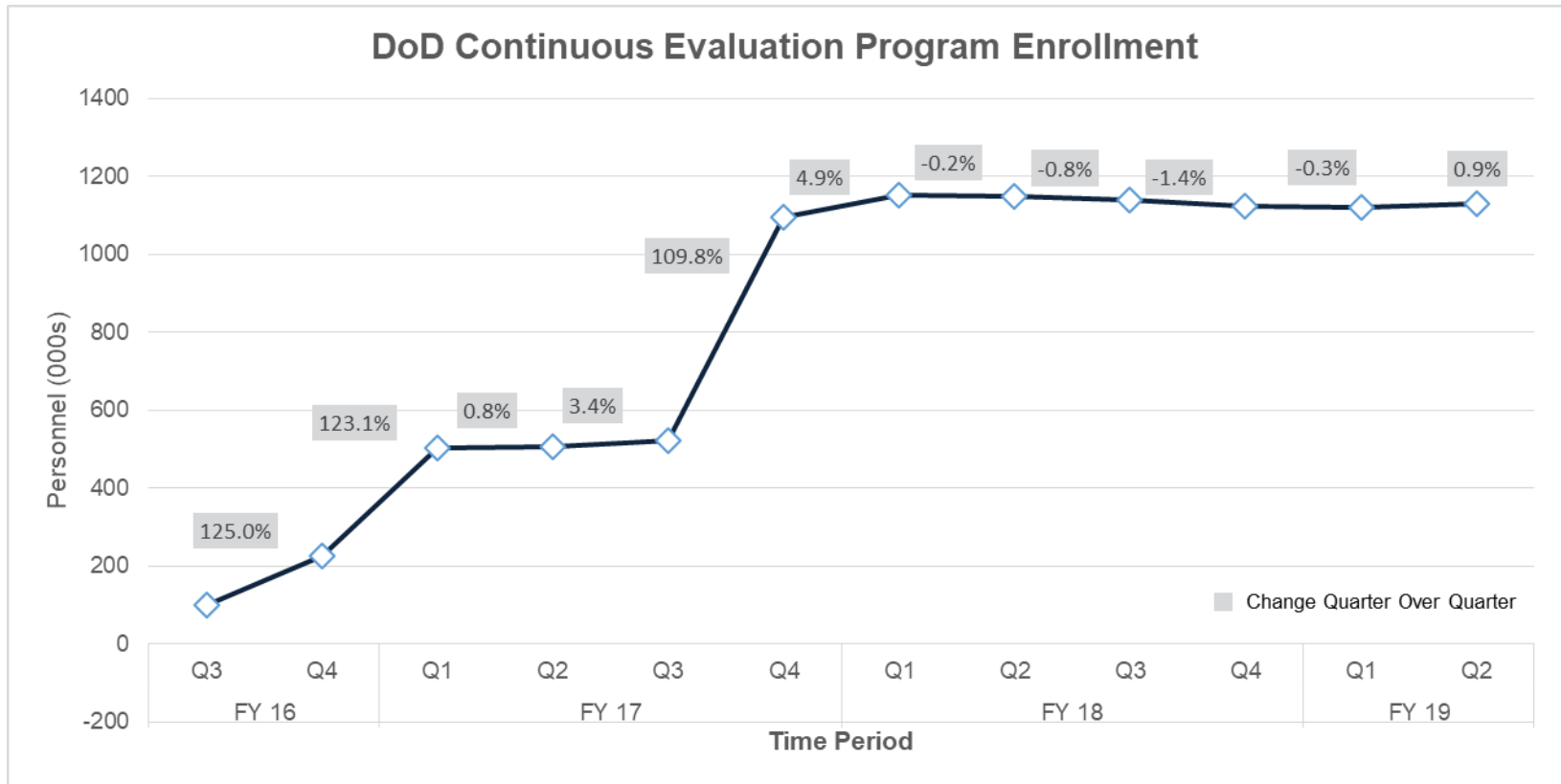
# Key Indicator: DoD National Security Population Eligibility & Access



	Change in DoD Clearance (in thousands)								Number Decreased (from baseline)	FY13-FY19Q2 % Change
	FY13 (Baseline)	FY14	FY15	FY16	FY17	FY18	FY19Q1	FY19Q2		
Eligible - In Access	2500	2400	2200	2280	2280	2420	2332	2362	-138	-6%
Eligible - No Access	2100	1600	1500	1250	1210	1280	1228	1130	-970	-46%
Total	4600	4000	3700	3530	3490	3700	3560	3492	-1108	-24%



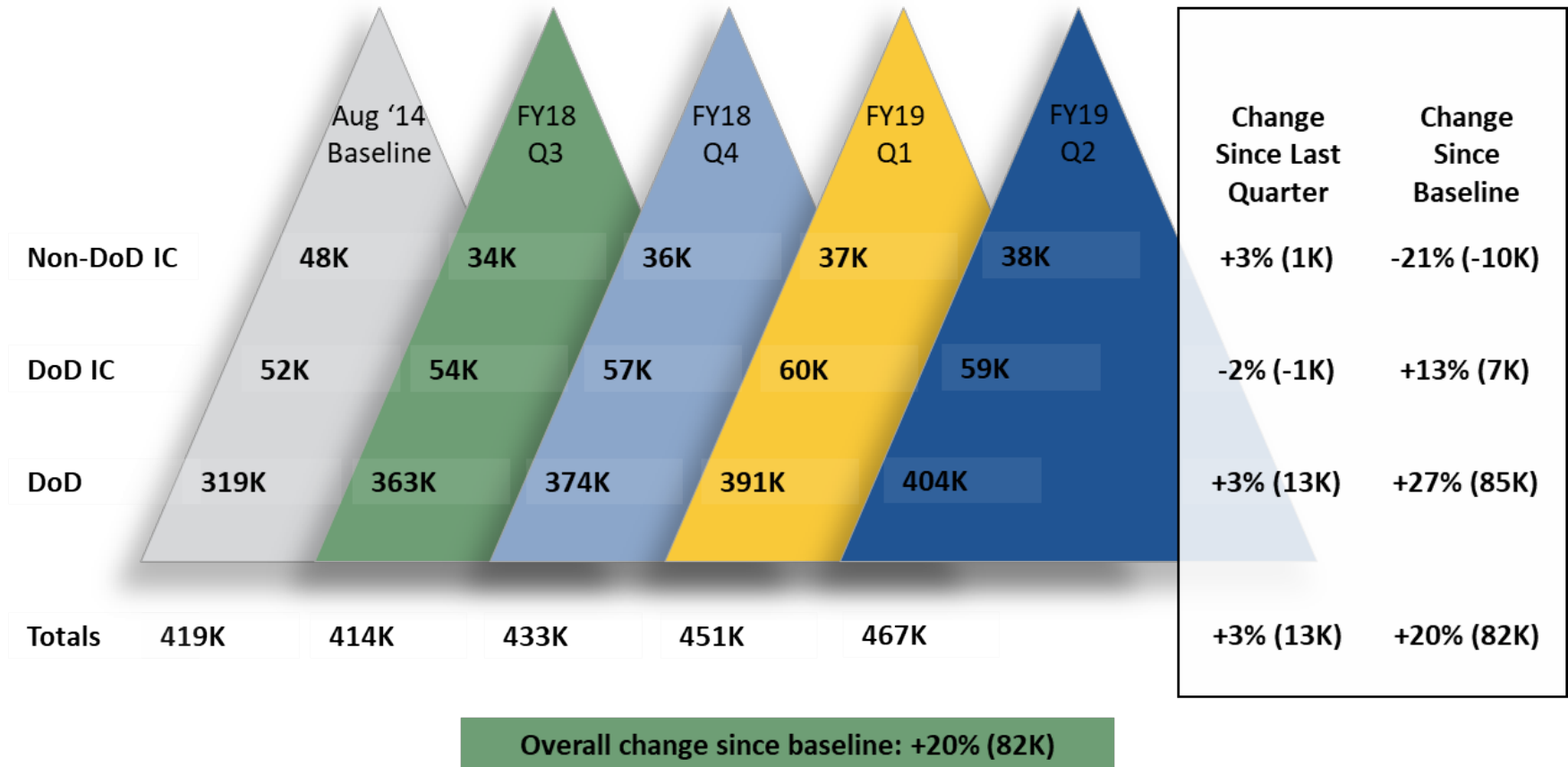
# Key Indicator: DoD Continuous Evaluation Enrollment





## Key Indicator: Out-of-Scope National Security Population

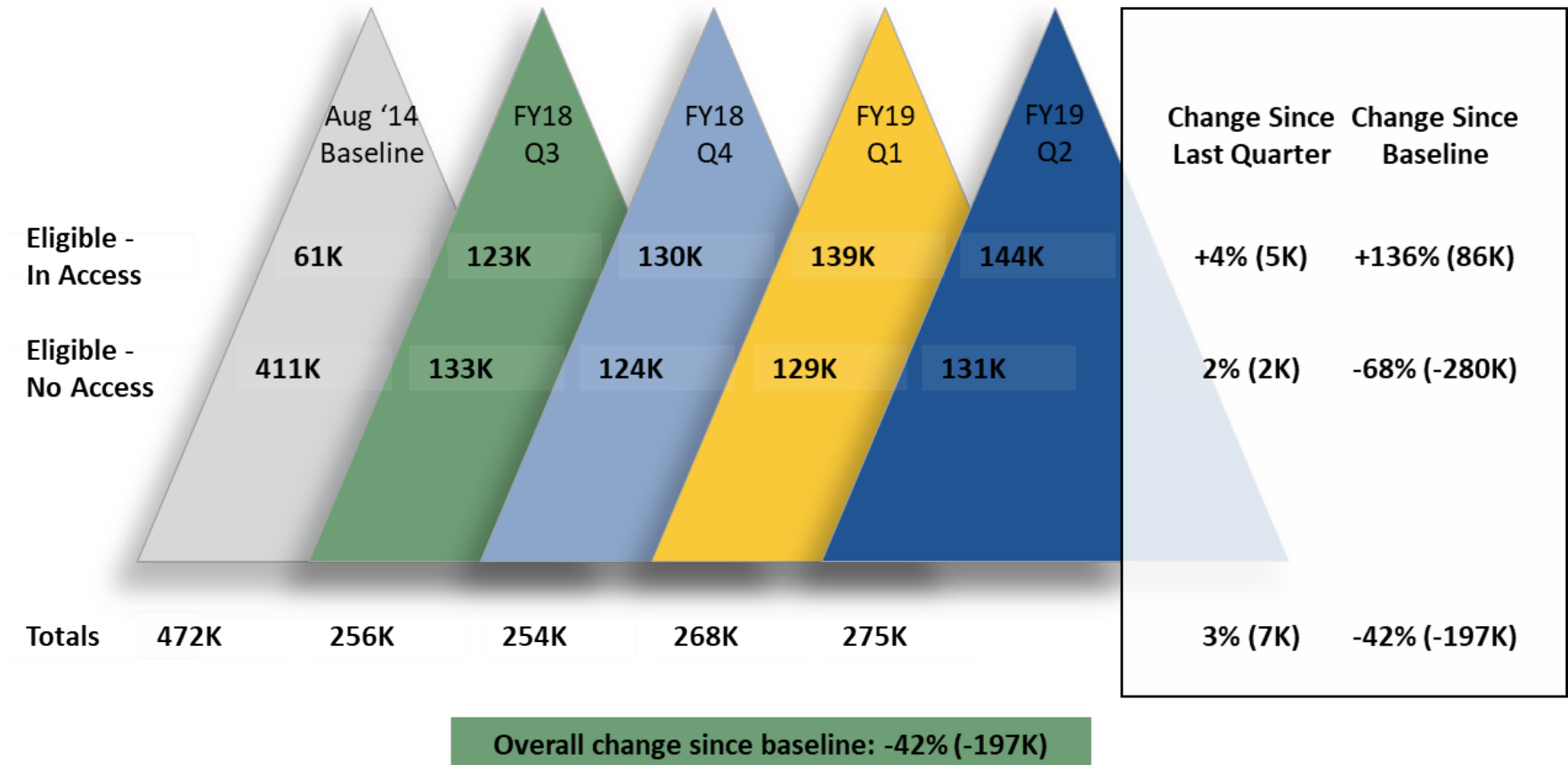
DoD and IC Top Secret & TS/SCI Out of Scope Population





## 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