

# Cross Agency Priority Goal Quarterly Progress Update

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## Insider Threat and Security Clearance Reform

Goal Leaders:

Dave Mader, Acting Deputy Director for Management, Office of Management and Budget;

James Clapper, Director of National Intelligence;

Beth Cobert, Acting Director, Office of Personnel Management;

Michael Daniel, Special Assistant to the President and Cybersecurity Coordinator



FY2015 Quarter 3

# Overview

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## Goal Statement

Mitigate the inherent risks and vulnerabilities posed by personnel with trusted access to government information, facilities, systems and other personnel

## Urgency

A series of vetting program failures, followed immediately by Presidentially directed reviews, identified solutions needed to safeguard our personnel and protect our nation's most sensitive information.

## Vision

The Federal Government will mitigate the inherent risks posed by personnel with access to government information, facilities, systems and other personnel. To achieve this objective, agencies will work with the Performance Accountability Council (PAC) and the Senior Information Sharing and Safeguarding Steering Committee (SISSSC) to:

- Improve Enterprise Management of Information Technology and Resources
- Develop Insider Threat Programs
- Implement Continuous Evaluation
- Improve Availability and Sharing of Relevant Information
- Implement Federal Investigative Standards (FIS)
- Improve Oversight and Quality of Background Investigations (BI) and Adjudications
- Improve Risk Management with Appropriate Position Designations and Associated Investigations
- Improve Security and Suitability Alignment and Reciprocity

# Meeting the Risks and Challenges

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## **Strong Foundation**

- Program Management Office (PMO) established and fully staffed
- Governance identified, strong PAC leadership engagement
- Leveraging on-going Agencies' security and suitability reform efforts
- Multiple interagency working groups established, work well underway
- PAC Strategic Intent for FY2016-2020 developed

## **Aligned Vision**

- Overlapping Enterprise Management efforts (directed by the National Defense Authorization Act (NDAA) and the White House review) have been aligned for synergy and efficiency. Updates are reflected in the key milestone under "Improve Enterprise Management of Information Technology and Resources."

## **Overall Risks and Challenges**

- Harmonizing government-wide efforts across divergent cultures
- Integrating similar agency-centric projects at varying stages of development
- Developing new or updating existing Information Technology (IT) capabilities to achieve Reform goals
- Overlapping authorities may impact enterprise solutions
- Legislation competing with Administration plans and policies
- Sustaining sufficient resources and leadership focus beyond current crises

# Progress Update FY15 Q3

## **Enterprise Management of Information Technology and Resources**

- Signed Security, Suitability, and Credentialing Line of Business (SSCLoB) Charter
- Signed Memo establishing the Enterprise Investment Board (EIB), an executive steering committee for the SSCLoB
- Convened inaugural meeting of the EIB
- Completed PAC Strategic Intent for FY2016-2020
- Began updating the ITSCR CAP Goal to align with the PAC Strategic Intent

## **Develop Insider Threat Programs**

- Developed in-house, and at no additional cost to the government, an analysis tool that all agencies can use to visualize and analyze network audit information and generate reports
- Conducted scenario-based training course for Insider Threat program personnel
- Conducted independent assessments of six agencies
- Initiated a 6-month follow-up program to ensure previously assessed agencies are progressing

## **Continuous Evaluation (CE)**

- Public Records CE pilot ongoing at the U.S. Department of State
- Continued ODNI efforts to develop government-wide capability

## **Availability and Sharing of Relevant Information**

- Coordinating Security Executive Agent Directive (SEAD) 3 Reporting Requirements
- Ongoing Mental Health Working Group study of the intersection between mental health issues and reporting
- Continuing efforts to establish a Federal Background Investigation Liaison Office to improve records sharing

## **Federal Investigative Standards**

- Continuing efforts for Tier 3 IOC

## **Oversight and Quality of Background Investigations and Adjudications**

- Quality Assessment and Reporting Tool coding expected to be completed by the end of Sept 2015. Testing with the community and A & A process to begin through IC CIO.

## **Security and Suitability Alignment and Reciprocity**

- Completed training gap analysis and mitigation plan development, and implemented mitigation strategies to close gaps
- Coordinating credentialing memo to mandate use of OPM's supplemental criteria and authorize OPM to develop suspension procedures

# Action Plan Summary

| Impact Area / Sub-Goal   | Major Actions to Achieve Impact  | Key Indicators   |
|--|--|--|
| <b>Improve Enterprise Management of Information Technology (IT) and Resources:</b> Increase enterprise management and oversight and make greater use of automation to access information relevant to background investigations and adjudications.                | <ul style="list-style-type: none"> <li>• Recompose the PAC to actively manage and oversee enterprise issues</li> <li>• Develop strategic IT initiatives to ensure IT interoperability, operationalize CE, automate suitability processes, and improve sharing of relevant information</li> <li>• Establish Enterprise Line of Business (LOB) mechanisms to collect, analyze, manage, oversee government-wide spending linked to enterprise information technology and workforce development</li> </ul> | <ul style="list-style-type: none"> <li>• Number of agencies investing in enterprise line of business</li> <li>• Percentage of Increase/Decrease of Annual Suitability/Security Program Costs by Agencies</li> </ul>                      |
| <b>Develop Insider Threat Programs:</b> Establish an insider threat program that complies with the President’s National Insider Threat Policy and Minimum Standards in each department or agency that handles classified information.                            | <ul style="list-style-type: none"> <li>• Achieve program establishment</li> <li>• Achieve Initial Operating Capability (IOC)</li> <li>• Achieve Full Operating Capability (FOC)</li> </ul> <p><i>Note: As defined and promulgated by the National Insider Threat Task Force (NITTF) and Steering Committee.</i></p>  | <ul style="list-style-type: none"> <li>• Percentage of Departments or Agencies (D/As) that have met the three program establishment criteria</li> <li>• Percentage of agencies that have met the IOC/FOC criteria</li> </ul>             |
| <b>Implement Continuous Evaluation:</b> Accelerate the implementation of a standardized program of Continuous Evaluation (CE), ensure full integration with agency Insider Threat Programs, and reassess Periodic Reinvestigation (PR) intervals as appropriate. | <ul style="list-style-type: none"> <li>• Accelerate government wide implementation of a standardized program of CE, ensure full integration with agency Insider Threat Programs, and reassess PR intervals as appropriate</li> </ul>   | <ul style="list-style-type: none"> <li>• Percentage of designated D/As meeting IOC</li> <li>• Percentage of designated D/As meeting FOC</li> <li>• Percentage of overdue PR population screened using automated record checks</li> </ul> |

# Action Plan Summary

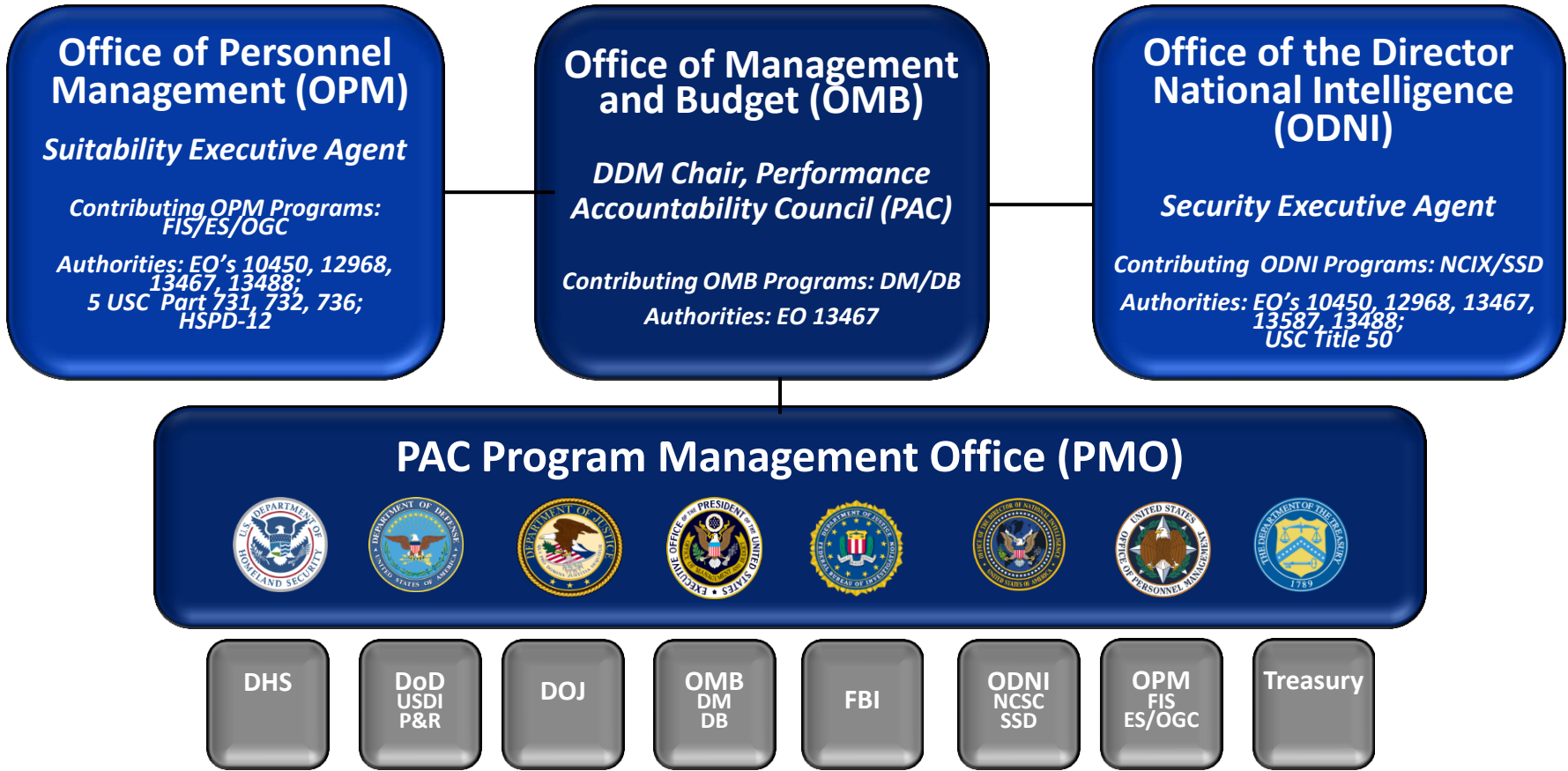
| Impact Area / Sub-Goal  | Major Actions to Achieve Impact  | Key Indicators  |
|---|--|---|
| <b>Improve Availability and Sharing of Relevant Information:</b><br>Ensure internal and external processes exist for reporting and sharing information.   | <ul style="list-style-type: none"> <li>• Improve access to and availability of state and local criminal records</li> <li>• Clarify and expand requirements for reporting actions and behavior of employees and contractors to support decisions on access to facilities, classified/sensitive information, and IT systems</li> </ul>   | <ul style="list-style-type: none"> <li>• Percentage of local law enforcement records provided of total number requested</li> <li>• Percentage of local law enforcement records provided via automated means</li> </ul>  |
| <b>Implement Federal Investigative Standards:</b><br>Accelerate implementation of elements of Revised Federal Investigative Standards (FIS) to address gaps identified in existing investigative processes. | <ul style="list-style-type: none"> <li>• Accelerate implementation of elements of Revised FIS to address gaps identified in existing investigative processes</li> </ul>  | <ul style="list-style-type: none"> <li>• Percentage of agencies in compliance with Tiers 1 &amp; 2 IOC</li> <li>• Percentage of agencies in compliance with Tier 3 IOC</li> <li>• Percentage of agencies in compliance with Tiers 4 &amp; 5 IOC</li> <li>• Percentage of agencies in compliance with FOC</li> </ul> |
| <b>Improve Oversight and Quality of Background Investigations and Adjudications:</b><br>Improve oversight to ensure investigations and adjudication meet government-wide quality standards.                 | <ul style="list-style-type: none"> <li>• Accelerate the development of quality standards and implementation of consistent measures and metrics for investigations and adjudications</li> <li>• Improve the quality of existing oversight mechanisms for federal and contract investigators, and federal adjudicators</li> <li>• Improve detection of and response to applicant falsification in current processes</li> </ul> | <ul style="list-style-type: none"> <li>• Percentage of agencies using Investigative Quality Standards</li> <li>• Ratio of Quality to Non-Quality completed investigations</li> <li>• Percentage of targeted agencies assessed for oversight purposes</li> </ul>   |

# Action Plan Summary

| Impact Area / Sub-Goal  | Major Actions to Achieve Impact   | Key Indicators   |
|---|---|--|
| <b>Improve Risk Management with Appropriate Position Designations and Associated Investigations:</b><br>Drive adherence to existing security and suitability position designation, reinvestigation timeliness guidelines, prioritizing submissions based on risk, and increasing the frequency of reinvestigations for high risk populations. | <ul style="list-style-type: none"><li>• Reduce reinvestigation backlog using a risk-based approach</li><li>• Reduce total population of 5.1M Secret and TS/SCI clearance holders to minimize risk of access to sensitive information and reduce cost</li></ul>  | <ul style="list-style-type: none"><li>• Percent reduction in overdue reinvestigations</li><li>• Percent reduction in total number of clearance holders</li></ul>   |
| <b>Improve Security and Suitability Alignment and Reciprocity:</b><br>Ensure alignment through consistent standards, training and processes, avoiding redundancy and duplicative systems and effort, and improving reciprocity.   | <ul style="list-style-type: none"><li>• Establish new government-wide adjudication requirements for credentials issued to include the currently optional OPM supplementary standards</li><li>• Revise the Final Credentialing Standards to establish a suspension mechanism</li><li>• Accelerate implementation of National Security and Suitability Investigator and Adjudicator Training Standards to drive consistency and improve reciprocity</li></ul> | <ul style="list-style-type: none"><li>• Number of agencies fully implementing government-wide credential standards/criteria</li><li>• Percent of agencies in compliance with Training Standards (with measurements beginning one year from standards signature date)</li></ul> |

# Governance and Contributing Programs (PAC)

The Performance Accountability Council\* (PAC) is ultimately responsible to the President for driving implementation of the reform effort, ensuring accountability by agencies, ensuring the Security and Suitability Executive Agents (EA) align their respective processes, and sustaining reform momentum.

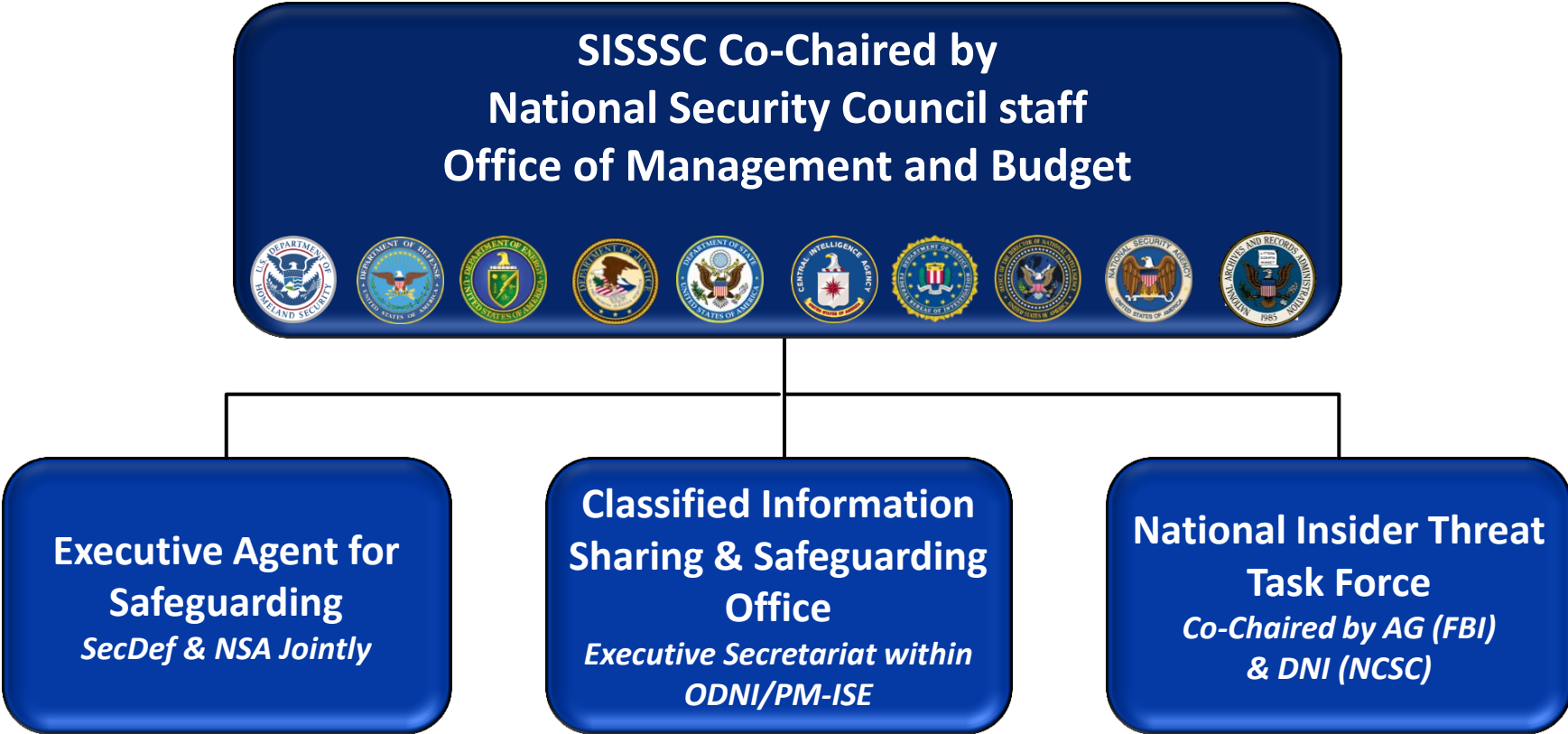


\*Current PAC member agencies: Department of Homeland Security (DHS), Department of Defense (DoD), Department of Justice (DOJ), Office of Management and Budget (OMB), Federal Bureau of Investigation (FBI), Office of the Director of National Intelligence (ODNI), Office of Personnel Management (OPM), Department of the Treasury (Treasury), Department of Energy (DOE), ISOO, National Security Council (NSC), General Services Administration (GSA)

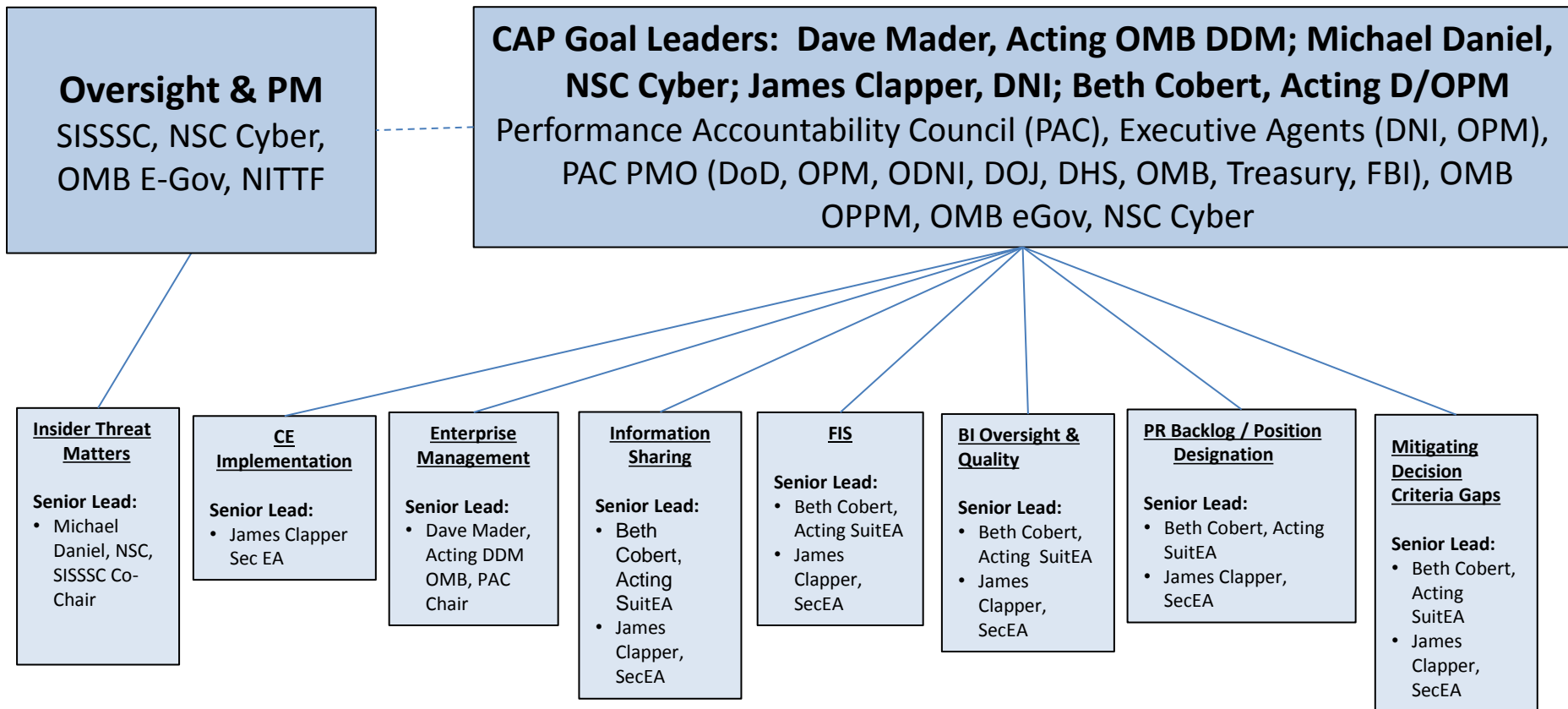


# Governance (SISSSC)

The Senior Information Sharing and Safeguarding Steering Committee (SISSSC) is ultimately responsible to the President for ensuring senior-level accountability for the coordinated interagency development and implementation of policies and standards regarding the sharing and safeguarding of classified information on computer networks.



# Governance (CAP Goal)



**Governance** – The Performance Accountability Council’s Program Management Office, comprised of representatives from the Office of Management and Budget, Office of the Director of National Intelligence, Office of Personnel Management, Department of Defense, Department of Homeland Security, Department of Treasury, Department of Justice, the Federal Bureau of Investigation, as well as the Senior Information Sharing and Safeguarding Steering Committee, will be responsible for driving government-wide implementation of these goals, and identify recommended solutions to further safeguard our personnel and protect our nation’s most sensitive information.

# Work Plan: Improve Enterprise Management of Information Technology and Resources

## **Alignment Goals:**

- Improve enterprise operations

## **Major Actions:**

- Recompose the PAC to actively manage and oversee enterprise issues
- Develop strategic IT initiatives to ensure IT interoperability, operationalize CE, automate suitability processes, and improve sharing of relevant information
- Establish mechanisms to manage and oversee government-wide spending for suitability and security processes

| Milestone Summary   |                    |                  |         |
|---|--------------------|------------------|---------|
| Key Milestones  | Milestone Due Date | Milestone Status | Owner   |
| The PAC Chair will engage the Federal CIO and or OSTP/Chief Technology Officer for support to the assessment of current IT capabilities across this “line of business” and to develop IT strategy inclusive of line of business objectives for long term needs of suitability and security processes. | 1/2015             | Complete         | PAC     |
| The PAC will conduct benchmarking of similar government screening technologies (DHS, TSA, National Counterterrorism Center), as well as benchmarking of commercial solutions for risk-management and rules-based automation of previously manual workflows.   | 10/2014            | Complete         | PAC PMO |
| The PAC will establish a mechanism to collect baseline financial data on security and suitability activities.   | 4/2015             | Complete         | PAC PMO |
| PAC will build on the conclusions of the NDAA efficiency and quality study to develop specific plans for an ongoing capability to evaluate costs of suitability and security activities; identify opportunities for improvement; and provide agency information on quality and timeliness.            | 3/2015             | Complete         | PAC PMO |

# Work Plan: Improve Enterprise Management of Information Technology and Resources (cont.)

| Milestone Summary   |                    |                  |                         |
|---|--------------------|------------------|-------------------------|
| Key Milestones  | Milestone Due Date | Milestone Status | Owner                   |
| The PAC PMO will lead the joint development of a PAC Strategic Intent for the Security, Suitability, and Credentialing LOB. | 12/2014            | Complete*        | PAC PMO, ODNI, OPM, DoD |
| PAC will issue an enterprise implementation plan to accomplish the PAC Strategic Intent                                     | TBD**              | On Track**       | PAC PMO, ODNI, OPM, DoD |
| Develop a DoD modernization strategy in alignment with the PAC Strategic Intent for FY2016-2020.                            | TBD***             | Not Started***   | DoD                     |
| Develop metrics for the DoD modernization strategy in alignment with the PAC Strategic Intent implementation plan.          | TBD****            | Not Started****  | DoD                     |

\*The PAC Strategic intent was formally coordinated across the executive branch in June 2015 and was approved by the PAC on 7/7/2015.

\*\*Strategic Intent implementation planning has started. Due date is dependent on the PAC 90 Day Review.

\*\*\*DoD strategy is dependent on issuance of the PAC Strategic Intent implementation plan.

\*\*\*\*DoD metrics development is dependent on completion of the DoD Modernization Strategy and the issuance of the PAC Strategic Intent implementation plan.

# Work Plan: Improve Enterprise Management of Information Technology and Resources (cont.)

| Milestone Summary  |                    |                  |                     |
|--|--------------------|------------------|---------------------|
| Key Milestones   | Milestone Due Date | Milestone Status | Owner               |
| ODNI shall develop a risk-based approach that prioritizes which cleared individuals shall be subject to frequent reinvestigations and random checks and ensure that if the system of continuous monitoring for all cleared individuals is implemented in phases, it will be implemented on a priority basis and at the level of scrutiny based on level of risk. | 10/2014            | Complete         | ODNI                |
| Modify Security/Suitability forms to account for reform activities such as mental health question, expanded reporting requirements and CE<br><br>SF 86 - 8/2014<br>SF85P - 8/2015<br>SF85 – 8/2015   | 8/2014<br>8/2015   | Missed**         | ODNI, OPM, OMB, PAC |

\* \*\*Awaiting Senior Leadership decision on revising Question 21 on the SF86. Modifications to the SF85 and SF85P are dependent on decisions on expanded reporting requirements.

# Work Plan: Develop Insider Threat Programs

## **Alignment Goals:**

- E.O. 13587, Steering Committee Priority #2: *Establish Insider Threat Programs*

## **Major Actions:**

- Achieve program establishment
- Achieve Initial Operating Capability (IOC), see detailed IOC requirements on next slide
- Achieve Final Operating Capability (FOC), see detailed FOC requirements on next slide

### Milestone Summary

| Key Milestones                  | Milestone Due Date | Milestone Status | Owner |
|---------------------------------|--------------------|------------------|-------|
| Achieve establishment criteria* | 1/2015             | Missed**         | NITTF |
| Achieve IOC*                    | 12/2015            | On Track         | NITTF |
| Achieve FOC*                    | 12/2016            | On Track         | NITTF |

\*Defined on next slide.

\*\*Most of the executive branch departments and agencies have accomplished this task. Many of those that have not are discovering challenges with issues such as organizational culture, legal questions, and resource identification. The NITTF is working to address these issues as quickly as possible.

# Work Plan: Develop Insider Threat Programs (cont.)

## Requirements for Insider Threat Programs

| <i>Major Action #1:</i><br><b>Program Establishment</b><br>Basic requirements | <i>Major Action #2:</i><br><b>Initial Operating Capability (IOC)</b><br>Program establishment plus the following | <i>Major Action #3:</i><br><b>Final Operating Capability (FOC)</b><br>IOC plus the following  |
|---|--|---|
| Name a responsible senior official(s)   | Procedures in place for oversight, reporting, and record retention   | Regular (if possible, electronic) access to insider threat-related information from counterintelligence, security, information assurance, HR, law enforcement, etc. |
| Promulgate an agency head-signed Insider Threat Program policy                | Some capability to pull data from appropriate sources to retroactively analyze and respond to anomalies          | Tailored triggers to monitor cleared user activity on any agency network accessed (including unclassified), as well as portable devices                             |
| Develop an Insider Threat Program implementation plan                         | Monitoring of user activity on at least one classified network   | Access to counterintelligence reporting and adversarial threat information  |
|   | Employee notification of monitoring (i.e., banner)   | A centralized “hub” to proactively assess data  |
|   | Annual employee awareness training   | Response capability to follow-up on anomalous activity  |
|   | Trained Insider Threat Program personnel   | Conduct self-assessments  |

# Work Plan: Implement Continuous Evaluation

## Alignment Goals:

- Increase availability and quality of critical information to improve decision making
- Reduce inherent risk in current processes
- Improve enterprise operations

## Major Actions:

- Accelerate the implementation of a standardized program of CE, ensure full integration with agency Insider Threat Programs, and reassess Periodic Reinvestigation intervals as appropriate

## Milestone Summary

| Key Milestones  | Milestone Due Date | Milestone Status | Owner          |
|---|--------------------|------------------|----------------|
| ODNI will have an initial CE capability for the most sensitive TS and TS/SCI population.  | 12/2014            | Missed*          | ODNI           |
| ODNI will implement CE capability for at least 5% of the TS and TS/SCI cleared personnel.   | 3/2017             | On Track**       | ODNI           |
| DoD initiated a CE concept demonstration on approximately 100,000 cleared military, DoD civilian, and contractor personnel using a limited set of trusted commercial and government data sources. | 10/2014            | Completed        | DoD            |
| DoD will expand its CE capability to 225,000 personnel.   | 12/2015            | On Track         | DoD            |
| DoD will expands CE capability to 500,000 personnel by the end of 2016.   | 12/2016            | On Track         | DoD            |
| DoD will expand its CE capability to 1 million personnel during 2017.   | 12/2017            | On Track         | DoD            |
| Issue and promulgate CE Policy (SEAD # TBD)   | 9/2016             | On Track         | ODNI           |
| In response to the President's Review Group, provide a recommendation to the PAC on the use of a continuous monitoring standard for vetting personnel for access to classified information.       | 9/2017             | On Track***      | ODNI, NSC, OMB |

\*The ODNI is developing an Executive Branch-wide capability that will be implemented in a phased approach.

\*\* CE will be rolled out in a phased approach, with a goal to have CE completed on a portion of the TS and TS/SCI population in the Executive Branch by the end FY16.

\*\*\*Based on the understanding that the term "continuous monitoring" means "continuous evaluation".



# Work plan: Improve Availability and Sharing of Relevant Information

## **Alignment Goals:**

- Increase availability and quality of critical information to improve decision making

## **Major Actions:**

- Improve access to and availability of State and Local criminal records
- Clarify and expand requirements for reporting actions and behavior of employees and contractors to support decisions on access to facilities, classified/sensitive information, and IT systems

## **Milestone Summary**

| Key Milestones  | Milestone Due Date | Milestone Status | Owner        |
|---|--------------------|------------------|--------------|
| The PAC and DOJ will develop training and educational materials to help states and localities understand their legal obligations and the importance of data-sharing along with funding available to offset the cost of automation.  | 10/2015            | On Track*        | PAC PMO, DOJ |
| The ODNI will work with OMB to publish the revised Reporting Requirements policy (SEAD 3) for national security positions, and then establish a working group to expand those requirements to other suitability and contractor populations.   | 7/2014             | Missed**         | ODNI         |
| The PAC will work with OMB's Office of Federal Procurement Policy and the Federal Acquisition Regulation Council to propose an appropriate rule to establish needed reporting requirements for the contractor population.   | TBD***             | Not Started      | PAC PMO      |
| In coordination with other Administration efforts, the PAC will establish a working group with participation from ODNI, OPM, DoD, VA, the Department of Health and Human Services (HHS), and other appropriate federal experts to further examine the relevant intersection of mental health issues and suitability and security reporting. | 10/2014            | Complete         | PAC PMO      |

\*DOJ instructive materials are under development concurrent with the related Liaison Office stand up activities. Instructive materials will be disseminated as determined by the Liaison Office. This milestone is dependent on the Liaison Office "stand-up" milestone due 10/2015.

\*\*ODNI is adjudicating the 3<sup>rd</sup> round of comments received from inter-agency review.

\*\*\*Dependent on SEAD 3 policy issuance. Due date will be established upon consideration of the final issued Reporting Requirements policy.

# Work plan: Improve Availability and Sharing of Relevant Information (cont.)

## Milestone Summary

| Key Milestones   | Milestone Due Date | Milestone Status | Owner   |
|--|--------------------|------------------|---------|
| Further explore recommendations provided by the NDAA Records Access Task Force regarding amendment, modification or clarification to Title 5 U.S.C. Section 9101.  | 10/2015            | On Track         | PAC PMO |
| Explore feasibility for ISPs to include search of the Department of State, Bureau of Consular Affairs, American Citizen Services (ACS), where an individual has contacted ACS for assistance after they have been arrested abroad. | 10/2015            | On Track         | PAC PMO |
| Establish a Federal Background Investigations Liaison Office to oversee education initiatives and resolve issues that may develop between Federal investigative service providers and State/local law enforcement agencies         | 10/2015            | On Track         | PAC     |

# Work plan: Implement Federal Investigative Standards

## Alignment Goals:

- Increase availability and quality of critical information to improve decision making
- Reduce inherent risk in current processes
- Improve enterprise operations

## Major Actions:

- Accelerate implementation of elements of Revised Federal Investigative Standards (FIS) to address gaps identified in existing investigative processes

## Milestone Summary

| Key Milestones  | Milestone Due Date | Milestone Status | Owner              |
|---|--------------------|------------------|--------------------|
| The PAC will work with the Executive Agents and agencies to accelerate implementation of the critical checks to enable the acceleration of full implementation across government to 2016.   | 12/2016            | On Track         | PAC PMO            |
| Issue and promulgate SEAD 5 -Collection, Use, and Retention of Publicly Available Electronic Information (PAEI)   | 12/2014            | Missed*          | ODNI, OMB          |
| <ul style="list-style-type: none"> <li>• Develop a plan to Accelerate the following items:                             <ul style="list-style-type: none"> <li>○ SSA Check</li> <li>○ Defense Management Data Center Check</li> <li>○ Scattered Castles</li> <li>○ Fully Implement ESI</li> <li>○ Expand automated checks to verify citizenship, measure effectiveness of DHS SAVE checks</li> </ul> </li> </ul> | 10/2014            | Complete         | PAC PMO            |
| Achieve IOC for Tier 1 and Tier 2 investigations.   | 10/2014            | Complete         | OPM                |
| Achieve IOC for Tier 3 investigations.  | 10/2015            | At Risk**        | ODNI, OPM          |
| Achieve IOC for Tier 4 and Tier 5 investigations.   | 10/2016            | On Track         | ODNI, OPM          |
| Achieve FOC for all Tier level investigations.  | 9/2017             | On Track         | ODNI, OPM          |
| Finalize and issue the Community Handbook detailing the conduct of background investigations based on the FIS requirements and methodologies.   | 10/2015            | On Track         | ODNI, OPM (FISIWG) |

\*Completed adjudication of 1<sup>st</sup> round of comments received from interagency review on July 14, 2015.

\*\* Certain checks to achieve Tier 3 IOC have not yet been accomplished.

# Work plan: Improve Oversight and Quality of Background Investigations and Adjudications

## **Alignment Goals:**

- Reduce risks that are inherent in our current processes

## **Major Actions:**

- Accelerate the development of quality standards and implementation of consistent measures and metrics for investigations and adjudications, and improve the quality of existing oversight mechanisms for Federal and contract investigators, and Federal adjudicators
- Improve detection of and response to applicant falsification in current processes

## Milestone Summary

| Key Milestones  | Milestone Due Date | Milestone Status | Owner                  |
|---|--------------------|------------------|------------------------|
| The Executive Agents will issue for PAC approval consistent government-wide quality standards for investigations for the first time and begin collecting quality metrics based on these standards by October 2014.  | 6/2014             | Complete*        | ODNI, OPM, DoD, (QAWG) |
| Once standards are approved and quality assessment tool is created issue implementation guidance for quality standards and tool.  | TBD**              | On Track**       | ODNI, OPM, DoD (QAWG)  |
| Ongoing, the PAC and the Security and Suitability Executive Agent will work with agencies to develop adjudicative quality standards, critically examine the existing process, assess the adequacy of oversight mechanisms in place, and share best practices. | 10/2015            | On Track         | ODNI, OPM, DoD (QAWG)  |
| The PAC will work with DoD and OPM to expand standardized e-QIP for military and contractor personnel to address third party influence/falsification.   | 10/2014            | Complete         | PAC PMO                |
| DoD and OPM will develop implementation plans to better align accessions and related investigative processes to more completely address third party influence   | 10/2015            | On Track         | DoD, OPM               |

*\*Standards signed January 2015.*

*\*\* Implementation guidance is in draft and will be coordinated with Working Group upon approval of standards. Coding expected to be completed by end of September 2015. Then testing with the community and A&A process to begin through IC CIO.*

# Work plan: Improve Oversight and Quality of Background Investigations and Adjudications (cont.)

| Milestone Summary  |                    |                  |                        |
|--|--------------------|------------------|------------------------|
| Key Milestones   | Milestone Due Date | Milestone Status | Owner                  |
| The PAC will develop IT capabilities and other tools to enable detection of falsification that can be integrated with existing systems.  | 9/2015             | At Risk*         | PAC                    |
| Develop standard criteria and procedures to ensure agencies respond appropriately to falsification in all types of security clearance, suitability and credentialing adjudications.                    | 10/2015            | At Risk*         | ODNI, OPM              |
| Develop plans to implement improved investigator and adjudicator training to better identify and act upon falsification.   | 10/2015            | At Risk*         | ODNI, OPM, DoD (TSIWG) |
| Develop policy and procedures to address problems that occur when third parties are involved in completing suitability and security questionnaires on behalf of applicants (e.g. military recruiters). | 10/2015            | On Track         | OPM, DoD               |
| Develop better tools to validate self-reported information against other available independent sources (e.g., social media, credit, or human resources data).  | 10/2015            | Not Started      | PAC PMO, OPM           |
| Issue and promulgate Security Executive Agent Directive on National Security Adjudicative Guidelines.  | 10/2015            | On Track         | ODNI, OMB              |

*\*Resources assigned to competing priorities. These items will be re-baselined in FY16 to align with PAC strategy and priorities.*

# Work plan: Improve Oversight and Quality of Background Investigations and Adjudications (cont.)

| Milestone Summary  |                    |                  |         |
|--|--------------------|------------------|---------|
| Key Milestones   | Milestone Due Date | Milestone Status | Owner   |
| PAC review of CAPE Study analysis and determination of whether the current DoD approach for obtaining personnel security investigations and reinvestigations is the most efficient and effective approach.   | 5/2016             | On Track         | DoD     |
| PAC review of and action on Comptroller General Quality Analysis (due May 2014) of the Executive branch personnel security process.  | TBD*               | Not Started      | PAC PMO |
| PAC review of and action on Comptroller General report to Congress (due June 2014) of its Quality Analysis.  | TBD*               | Not Started      | PAC PMO |
| In response to a President's Review Group recommendation, provide a recommendation to the PAC AG on whether background investigations/security clearance vetting should be an inherently governmental function, and if not, whether it could be performed by a non-profit, private sector corporation, considering best practices. | 10/2015**          | On Track         | PAC     |

*\*GAO study has not yet been published. Due Date will be established once study is published. The original milestone due date was 10/2014.*

*\*\* An informal assessment of inherently government functions was conducted by ODNI/OPM/DoD staff members as required, however, to more fully and appropriately satisfy the intent of the recommendation, this milestone was expanded to include assessment by the Program Management Office Advisory Group under their new "Best Practices" responsibilities. The original milestone due date of 10/2014 as adjusted to accommodate the best practice assessment.*

# Work plan: Improve Risk Management with Appropriate Position Designations and Associated Investigations

## **Alignment Goals:**

- Reduce inherent risk in current processes

## **Major Actions:**

- Reduce periodic reinvestigation backlog using a risk-based approach
- Reduce total population of 5.1M Secret and TS/SCI clearance holders to minimize risk of access to sensitive information and reduce cost

### Milestone Summary

| Key Milestones  | Milestone Due Date | Milestone Status | Owner          |
|---|--------------------|------------------|----------------|
| The Security Executive Agent will determine a near-term government-wide strategy for agencies to identify high risk populations through the use of automated records checks (e.g. derogatory credit or criminal activity) and prioritize overdue investigations based upon risk posed by job responsibilities and access in order to reduce risks posed by potential insider threats. | 10/2014            | Complete         | ODNI           |
| OPM and ODNI will work with OMB to finalize a joint regulation to refine the designation of national security positions and more accurately align investigations with risks.  | 8/2014             | Complete*        | OPM, ODNI, OMB |
| In response to a President's Review Group recommendation, provide advice to the PAC on whether there should be additional differentiation for security clearances including "administrative access" clearances for IT personnel.  | 10/2014            | Complete         | NSC, ODNI      |
| In response to a President's Review Group recommendation, advise the PAC on whether to develop an "access score" capability to evaluate access to sensitive information; and subject personnel with high access scores to additional monitoring.  | 10/2014            | Missed**         | OMB, DoD, NSC  |
| Modify existing position designation tool to reflect 5CFR 1400 requirements.  | 10/2015            | On Track         | OPM, ODNI      |
| Issue joint DNI/OPM implementation guidance for position designations under 5 CFR 1400 and other populations.   | 10/2015            | On Track***      | ODNI, OPM      |

\*5 CFR 1400 issued June 5, effective July 5, 2015.

\*\* Technical capabilities pilot (Phase 1) conducted and results provided to the Privileged Access Senior Steering Group. Phase 2 of pilot will begin in July 2015 to build upon, refine, and validate the results of the Phase 1 pilot. This item will be re-baselined in FY16 to align with PAC strategy and priorities.

\*\*\* ODNI will provide guidance via Executive Correspondence. OPM to issue guidance separately consistent with its authority.

# Work plan: Improve Security and Suitability Alignment and Reciprocity

## **Alignment Goals:**

- Reduce risks that are inherent in our current processes

## **Major Actions:**

- Establish new government-wide adjudication requirements for credentials issued to include the currently optional OPM supplementary standards
- Revise the Final Credentialing Standards to establish a suspension mechanism
- Promulgate necessary Executive Branch-wide policy to mitigate gaps and inconsistencies in decision criteria

## **Milestone Summary**

| <b>Key Milestones</b>  | <b>Milestone Due Date</b> | <b>Milestone Status</b> | <b>Owner</b>     |
|--|---------------------------|-------------------------|------------------|
| The PAC will identify the specific timing of actions to mandate supplemental credentialing criteria to apply to all persons with access to government facilities and information systems, including modifications to the FAR.                                      | 10/2014                   | Complete                | PAC PMO          |
| OPM will issue additional guidance to outline the criteria and procedures for suspension of PIV credentials.   | 3/2015*                   | Missed*                 | OPM              |
| Issue and promulgate updated National Security Reciprocity policy  | 9/2016                    | On Track                | ODNI             |
| Within 90 days of approval of implementation plan, agency heads must complete a training gap analysis and mitigation plan for each of the disciplines wherein government staff or contractor employees perform investigations or adjudications for their agencies. | 10/2014                   | Complete                | OPM, DNI (TSIWG) |
| Within 180 days of approval of implementation plan, agencies must develop and implement mitigation strategies to close training gaps.  | 2/2015                    | Complete                | OPM, DNI (TSIWG) |
| Within 270 days of approval of implementation plan, agencies must resolve training gaps identified for incumbent personnel.  | 5/2015                    | Complete                | OPM, DNI (TSIWG) |
| Within 365 days of approval of implementation plan, agencies must implement final compliant training programs for all future personnel performing investigations or adjudications.   | 8/2015                    | On Track                | OPM, DNI (TSIWG) |

*\*Suspension criteria will be incorporated into supplemental credentialing criteria. Memo authorizing the supplemental standards and development of suspension criteria is in final coordination.*



# Key Indicators – Enterprise Management of Information Technology and Resources

## Implement Enterprise Management – Timeliness Data (Fastest 90%)

| Indicator  | Source                | Baseline*                      | Target              | Frequency | Latest Data*<br>FY15 (Q2**) | Trend              |
|--|-----------------------|--------------------------------|---------------------|-----------|-----------------------------|--------------------|
| Government-wide Security Clearance Timeliness – Initial Secret Cases     | ODNI and all Agencies | In 2005 – 265 Days Average for | 74 Days End-to-End  | Quarterly | 84 Days                     | Missed Target Goal |
| Government-wide Security Clearance Timeliness – Initial Top Secret Cases | ODNI and all Agencies | Secret & Top Secret Combined   | 114 Days End-to-End | Quarterly | 157 Days                    | Missed Target Goal |

\*Baseline Timeliness metrics were based on IRTPA collection methodology, which only included investigation and adjudication timeliness, but did not include initiation timeliness.

\*\*Due to ODNI Data Collection and Reporting cycles, the data provided is for the previous quarter.

**Indicators in development:** Number of agencies investing in enterprise line of business, Percentage of Suitability and Security processes that are automated, Percentage of Increase/Decrease of Cost by Agencies

| High Level Indicator   | Projected Initial Collection Date | Potential Target Areas |
|--|-----------------------------------|------------------------|
| Number of agencies investing in enterprise line of business                              | TBD                               | TBD                    |
| Percentage of Suitability and Security processes that are automated                      | TBD                               | TBD                    |
| Percentage of Increase/Decrease of Annual Suitability/Security Programs Cost by Agencies | TBD                               | TBD                    |

## Key Indicators – Implement Enterprise Management

## FY 2015 USG Performance to Date

# Government-Wide Security Clearance Performance

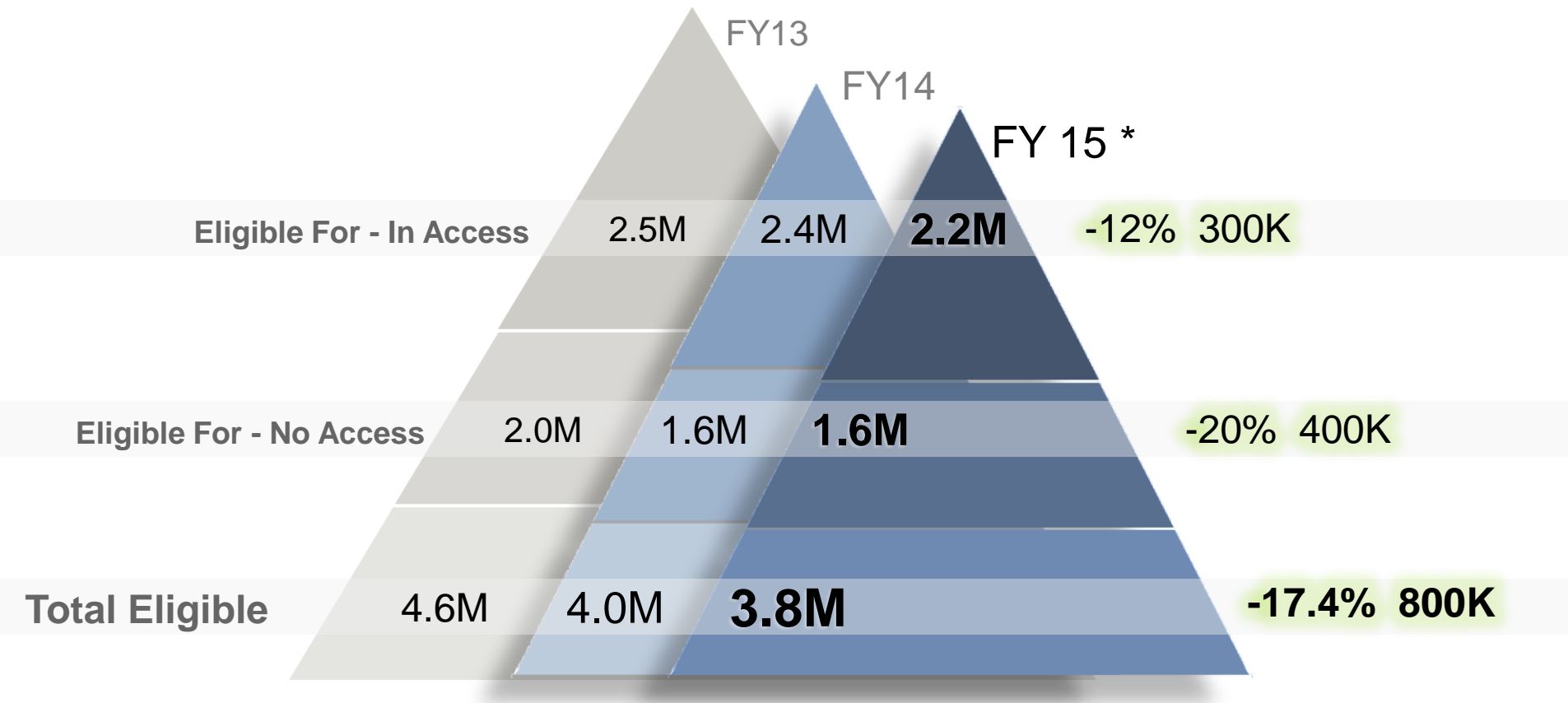
## (PAC Methodology)

Fastest 90%

|                               |         | Timeline               |          |          |          |              |          |          |          |                     |          |          |          |  |          |          |          |
|-------------------------------|---------|------------------------|----------|----------|----------|--------------|----------|----------|----------|---------------------|----------|----------|----------|--|----------|----------|----------|
|                               |         | Initiate               |          |          |          | Investigate  |          |          |          | Adjudicate          |          |          |          | End-to-End<br>(Initiate + Inv. + Adj.) |          |          |          |
|                               |         | Average Days           |          |          |          | Average Days |          |          |          | Average Days        |          |          |          | Average Days                           |          |          |          |
|                               |         | Q4<br>14               | Q1<br>15 | Q2<br>15 | Q3<br>15 | Q4<br>14     | Q1<br>15 | Q2<br>15 | Q3<br>15 | Q4<br>14            | Q1<br>15 | Q2<br>15 | Q3<br>15 | Q4<br>14                               | Q1<br>15 | Q2<br>15 | Q3<br>15 |
| Initial<br>Secret Cases       | Volume: | Goal: 14 Days          |          |          |          | 40 Days      |          |          |          | 20 Days             |          |          |          | 74 Days                                |          |          |          |
|                               | 370,402 | 9                      | 8        | 9        | 9        | 35           | 48       | 61       | 61       | 8                   | 11       | 14       | 17       | 52                                     | 67       | 84       | 87       |
| Initial<br>Top Secret Cases   | Volume: | Goal: 14 Days          |          |          |          | 80 Days      |          |          |          | 20 Days             |          |          |          | 114 Days                               |          |          |          |
|                               | 73,582  | 13                     | 13       | 12       | 13       | 76           | 101      | 123      | 135      | 18                  | 21       | 22       | 22       | 107                                    | 135      | 157      | 170      |
| Periodic<br>Reinvestigations: | Volume: | Goal: 15 Days          |          |          |          | 150 Days     |          |          |          | 30 Days             |          |          |          | 195 Days                               |          |          |          |
|                               | 116,188 | 13                     | 13       | 12       | 11       | 118          | 129      | 165      | 189      | 29                  | 46       | 40       | 36       | 160                                    | 188      | 217      | 236      |
|                               |         | Red Text: Goal Not Met |          |          |          |              |          |          |          | Blue Text: Goal Met |          |          |          |  |          |          |          |

# DoD “In Access” and “Eligible” Populations\*

Decrease in DoD Clearances from FY13 to FY15



Source: DoD \* FY15 Q3 Reporting

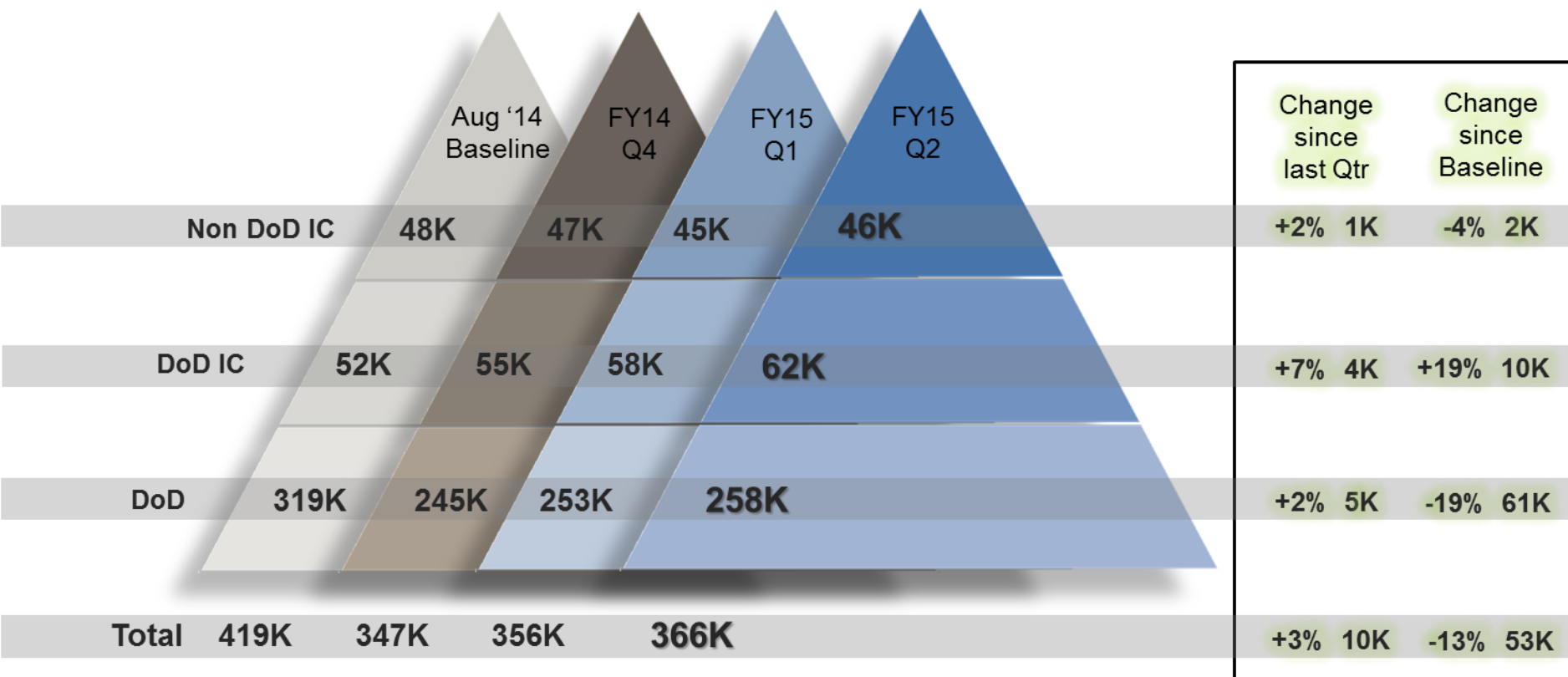
20 Jan 2015

\*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 to minimize risk of access to sensitive information and reduce costs

# Top Secret (TS) and TS/SCI “Out of Scope” Populations \*

Decrease in “Out of Scope” TS clearances from FY14 to FY15



**Overall change since baseline: -13% 53K**

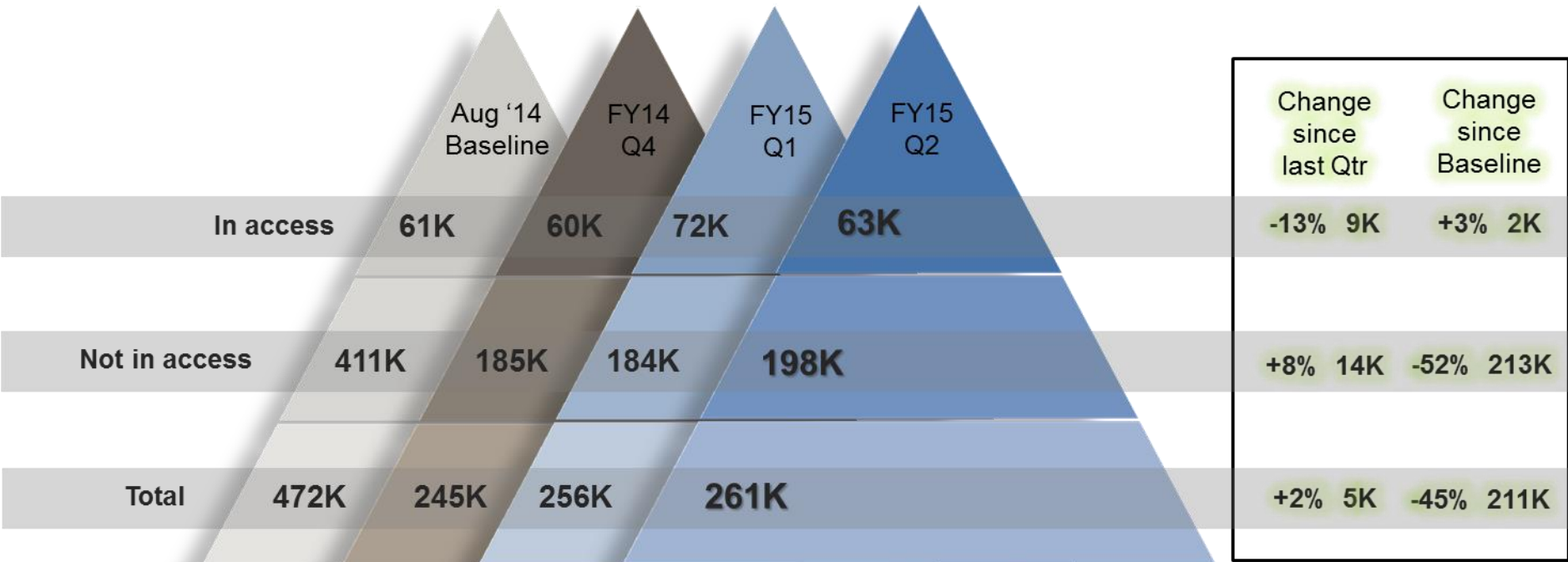
6/19/2015 Source: Scattered Castles & JPAS

\*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 to minimize risk of access to sensitive information and reduce costs

# DoD Secret “Out of Scope” Populations\*

Decrease in “Out of Scope” DoD Secret clearances from FY14 to FY15



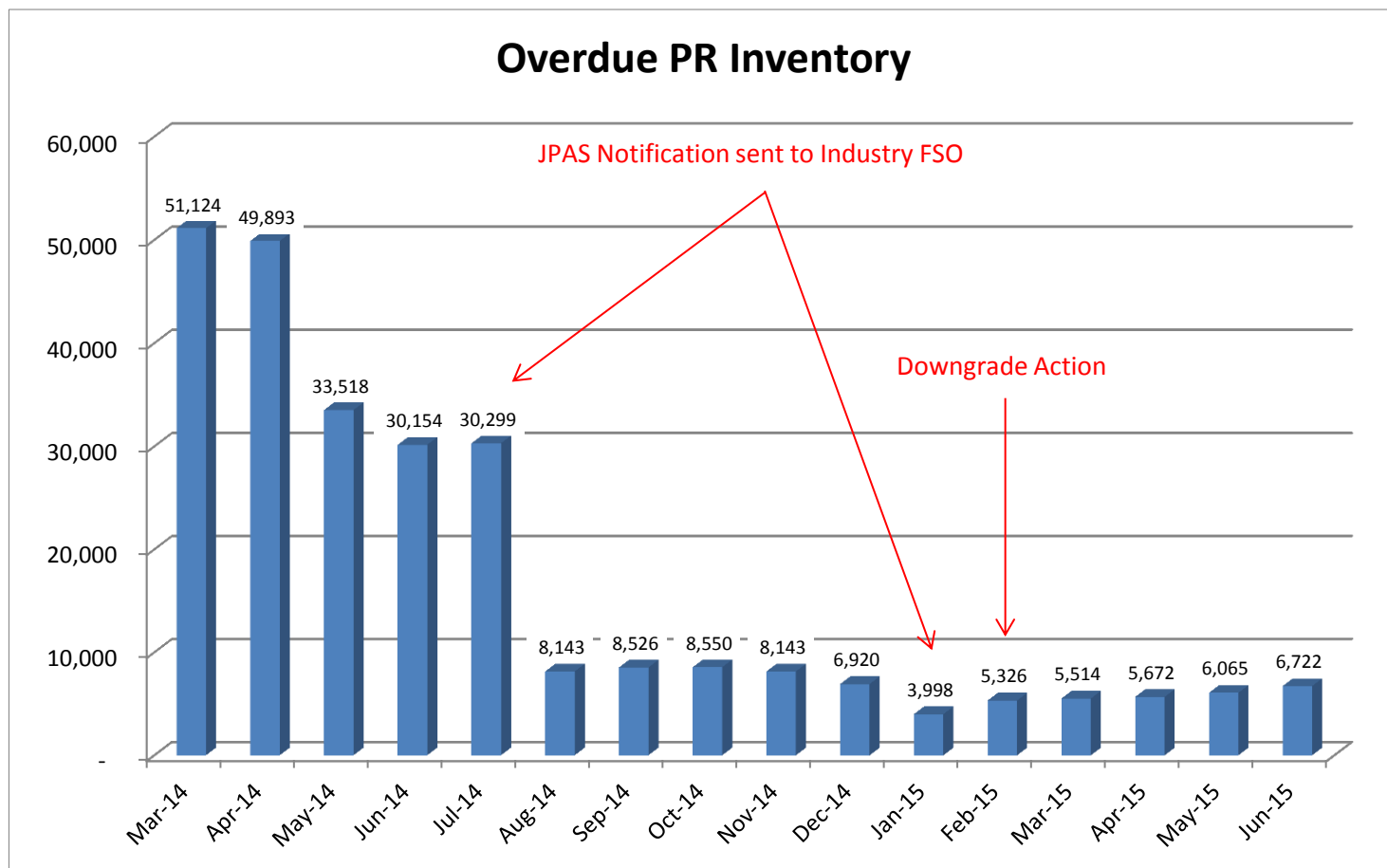
**Overall change since baseline: -45% 211K**

6/19/2015 Source: Scattered Castles & JPAS

\*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 to minimize risk of access to sensitive information and reduce costs

# Overdue Industry Periodic Reinvestigations\*



\*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 to minimize risk of access to sensitive information and reduce costs

# Key Indicators – Insider Threat Programs

| Insider Threat - Key Implementation Data  |                    |                     |          |        |           |             |       |
|---|--------------------|---------------------|----------|--------|-----------|-------------|-------|
| Indicator   | Source             | Public/<br>Internal | Baseline | Target | Frequency | Latest data | Trend |
| Percentage of agencies <sup>1</sup> that have satisfied the program establishment criteria  | KISSI <sup>2</sup> | Internal            | 0%       | 100%   | Quarterly | FY15, Q3    |       |
| Percentage of agencies that have achieved IOC   | KISSI              | Internal            | 0%       | 100%   | Quarterly | FY15, Q3    |       |
| While in progress, the latest projected date for an agency achieving IOC  | KISSI              | Internal            | 0%       | 100%   | Quarterly | FY15, Q3    |       |
| Percentage of agencies that have achieved FOC   | KISSI              | Internal            | 0%       | 100%   | Quarterly | FY15, Q3    |       |
| While in progress, the latest projected date for an agency achieving FOC  | KISSI              | Internal            | 0%       | 100%   | Quarterly | FY15, Q3    |       |
| <sup>1</sup> Results reflected as a government-wide average. Individual agency results are weighted by the number of cleared persons in each agency |                    |                     |          |        |           |             |       |
| <sup>2</sup> KISSI data are often supplemented and validated by independent assessments conducted by the NITTF                                      |                    |                     |          |        |           |             |       |
| <sup>3</sup> KISSI results are classified and are therefore not displayed in this report  |                    |                     |          |        |           |             |       |

| Indicators in development: |  |
|----------------------------|--|
| High Level Indicator       | Potential Target Areas                             |
|                            | CE program data supporting Insider Threat Programs |

# Key Indicators – Continuous Evaluation / Availability and Sharing of Relevant Information

**Indicators in development:** Develop mechanism to track CE metrics, Percentage of designated D/As meeting IOC  
Percentage of designated D/As meeting FOC, Percentage of overdue PR population screened using automated record checks

| High Level Indicator   | Projected Initial Collection Date | Potential Target Areas |
|--|-----------------------------------|------------------------|
| Develop mechanism to track CE metrics                                      | TBD                               |                        |
| Percentage of designated D/As meeting IOC                                  |                                   |                        |
| Percentage of designated D/As meeting FOC                                  |                                   |                        |
| Percentage of overdue PR population screened using automated record checks |                                   |                        |

**Indicators in development:** Percentage of local law enforcement records provided of number requested, Percentage of local law enforcement records provided of number requested, Percentage of local law enforcement records provided via automated means

| High Level Indicator   | Projected Initial Collection Date | Potential Target Areas |
|--|-----------------------------------|------------------------|
| Percentage of local law enforcement records provided of number requested | TBD                               |                        |
| Percentage of local law enforcement records provided via automated means | TBD                               |                        |



# Key Indicators- Federal Investigative Standards

| Key Implementation Data                              |          |          |        |                              |                |       |
|--|----------|----------|--------|------------------------------|----------------|-------|
| Indicator  | Source   | Baseline | Target | Frequency                    | Latest data Q3 | Trend |
| Percentage of agencies in compliance with Tier 1 IOC | OPM      | 0%       | 100%   | Quarterly – Beginning FY15Q1 | 95%            | NA    |
| Percentage of agencies in compliance with Tier 2 IOC | OPM      | 0%       | 100%   | Quarterly – Beginning FY15Q1 | 95%            | NA    |
| Percentage of agencies in compliance with Tier 3 IOC | Agencies | 0%       | 100%   | Quarterly                    | TBD            | NA    |
| Percentage of agencies in compliance with Tier 4 IOC | Agencies | 0%       | 100%   | Quarterly                    | TBD            | NA    |
| Percentage of agencies in compliance with Tier 5 IOC | Agencies | 0%       | 100%   | Quarterly                    | TBD            | NA    |
| Percentage of agencies in compliance with Tier 1 FOC | Agencies | 0%       | 100%   | Quarterly                    | TBD            | NA    |

# Key Indicators – Oversight and Quality of Background Investigations and Adjudications

| <b>Indicators in development:</b> Assess and establish means and measures for Adjudicative Quality, Percentage of agencies using the Investigative Quality Standards, Ratio of Quality to Non-Quality completed investigations, Percentage of targeted agencies assessed for oversight purposes |                                   |                        |
|---|-----------------------------------|------------------------|
| High Level Indicator  | Projected Initial Collection Date | Potential Target Areas |
| Percentage of agencies using the Investigative Quality Standards  | TBD                               |                        |
| Ratio of Quality to Non-Quality completed investigations  | TBD                               |                        |
| Percentage of targeted agencies assessed for oversight purposes   | FY15 Q4                           |                        |

# Key Indicators – Risk Management with Appropriate Position Designations and Associated Investigations

| <b>Indicators in development:</b> Establish mechanism to track position re-designation outcomes/results, Agency reports of position re-designation results, Percent reduction in total number of clearance holders, Percent reduction in overdue reinvestigations |                                   |                        |
|---|-----------------------------------|------------------------|
| High Level Indicator  | Projected Initial Collection Date | Potential Target Areas |
| Agency reports of position re-designation outcomes/results  | TBD                               |                        |
| Percent reduction in total number of clearance holders  | FY15 Q4                           |                        |
| Percent reduction in overdue reinvestigations   | FY15 Q4                           |                        |

# Key Indicators – Security and Suitability Alignment and Reciprocity

| <b>Indicators in development:</b> Number of agencies fully implementing government wide credential standards/criteria, Percent of agencies in compliance with training standards |                                   |                        |
|--|-----------------------------------|------------------------|
| High Level Indicator   | Projected Initial Collection Date | Potential Target Areas |
| Number of agencies fully implementing government-wide credentialing standards/criteria   | TBD                               |                        |
| Percent of agencies in compliance with training standards  | FY15 Q4                           |                        |

# Acronyms

- ACS - American Citizens Services
- BI – Background Investigations
- CAP – Cross Agency Priority
- CAPE – Cost Assessment Program Evaluation
- CE – Continuous Evaluation
- CFR – Code of Federal Regulations
- CIO – Chief Information Officer
- D/A – Department or Agency
- DDM – Deputy Director of Management
- DHS – Department of Homeland Security
- DNI – Director of National Intelligence
- DoD – Department of Defense
- DOJ – Department of Justice
- EA – Executive Agents
- ESI – Emergency Severity Index
- E-QIP – Electronic Questionnaires for Investigations Processing
- Federal Acquisition Regulations
- FBI – Federal Bureau of Investigation
- FIS – Federal Investigative Standards
- FOC – Full Operating Capability
- FSO – Facility Security Officer
- FY – Fiscal Year
- GAO – United States Government Accountability Office
- GSA – General Services Administration
- HHS – Department of Health and Human Services
- HR – Human Resource
- IC – Intelligence Community
- IOC – Initial Operating Capability
- ISOO – Information Security Operation Office
- IT – Information Technology
- LOB – Line of Business
- NDAA – National Defense Authorization Act
- NITTF – National Insider Threat Task Force
- NSA – National Security Agency
- NSC – National Security Council
- ODNI – Office of the Director of National Intelligence
- OMB – Office of Management and Budget
- OPM – Office of Personnel Management
- OPPM – Office of Performance and Personnel Management
- PAC – Performance Accountability Council
- PAEI – Publically Available Electronic Information
- POTUS – President of the United States
- PM/ISE – Program Manager/Information Sharing Environment
- PMO – Project Management Office
- PR – Periodic Reinvestigation
- SAVE – Systematic Alien Verification for Entitlements
- SEAD – Security Executive Agent Directive
- SecDef- Secretary of Defense
- SISSSC – Senior Information Sharing and Safeguarding Steering Committee
- SSCLoB – Security, Suitability, and Credentialing Line of Business
- TBD – To Be Determined
- Treasury – Department of the Treasury
- TS/SCI – Top Secret/ Sensitive Compartmented Information
- U.S.C. – United States Code
- VA – Veterans Affairs
- WG – Work Group