



## Security Clearance, Suitability/Fitness, and Credentialing Reform

### Goal Leaders

**John Ratcliffe**, Director of National Intelligence, Office of the Director of National Intelligence

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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:





- John Ratcliffe, DNI
- Ezra A. Cohen, Acting USD(I&S)
- Mike Rigas, Acting DDM, OMB and Acting Director, OPM

The Security, 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
<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 and 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>



**New Executive Correspondence Charts Path to TW 2.0 Implementation.** The Office of the Director of National Intelligence and Office of Personnel Management have prepared an Executive Correspondence defining milestones for the transition from the current personnel vetting model to Trusted Workforce (TW) 2.0. Signaling the shift from policy development to active implementation, the Executive Correspondence establishes clear guidance for agencies to reach TW 2.0 incrementally and details how periodic reinvestigations will be phased out as continuous vetting – a model that reduces risk by conducting key checks on a more frequent basis – is phased in.

**Over Two Million Individuals Enrolled in New Trusted Workforce Model.** Executive Branch agencies have enrolled more than two million individuals, nearly half the total cleared population, in continuous vetting capabilities. The Executive Branch has prioritized continuous vetting enrollment in order to accelerate the adoption of risk-reducing capabilities government-wide, acclimating agencies to the operational changes coming with TW 2.0, and meeting conditions for deferring periodic reinvestigations in many circumstances.

**NBIS Rebaselined.** The Defense Counterintelligence and Security Agency's (DCSA) recent programmatic adjustments to the development of the TW 2.0 IT backbone—the National Background Investigations Services (NBIS)—have taken into account requirements to replace the OPM legacy investigation system and include a high-side continuous vetting capability. The revisions have entailed adapting priorities, schedule, organization, management, and security measures. Since then, DCSA has executed two major NBIS technical releases on schedule and expects to deliver its next technical release in Q2 2021.



**DCSA Case Review and Closure Goes Paperless.** DCSA has completely eliminated the need for paper in case reviews, case closures, and electronic delivery to most customer agencies. Begun as an initiative to enhance efficiency, the project was accelerated earlier this year to maintain productivity despite COVID-19 restrictions. Staff and customer agencies are now able to transport, review, and store investigations electronically rather than handling hard-copy files.

**Background Investigation Timeliness and Inventory Remain Stable During COVID-19.** DCSA's timeliness remains stable, at 54 days for Secret clearances and 83 days for Top Secret clearances, remaining within target range. The background investigation inventory level remains stable as well at 213K, despite COVID-19 challenges.



## 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/DoD	NISPOM rule expanding SEAD-3 reporting requirements to cleared industry was approved and will be posted to the Federal Register for public comment.





## 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	Complete (Previously Missed)	OPM	The Credentialing Standards Procedures, providing guidance to agencies on how to deny, suspend, or revoke Federal credentials, have been issued.
Establish standards and requirements for Trusted Information Providers to provide shared data with Investigative Service Providers.	Dec-2019	Missed	ODNI, OPM	Kicked off a new pilot with DoD.
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	ODNI, OPM	None*
Develop quality standards for adjudicative determinations and expand quality tools to include adjudications.	May-2021	On Track	ODNI, OPM	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	

\* There have been no additional requests this reporting period from agencies regarding the Federal Investigative Standards, Adjudicative Guidelines, continuous vetting, or other personnel security national policy.





## 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	Complete	DCSA, ODNI, OPM	The background investigation inventory remains stable.
Stand up DoD background investigation capability and complete phased transition of cases from NBIB to DoD.	Oct-2021	Complete	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	DCSA	DCSA is piloting its TW 1.25 service offering with select agencies. DCSA's TW 1.25 service will be fully deployed once the pilot is complete.



## 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.	Mar-2022 (Previously Jan-2020)	On Track (Previously Missed)	DCSA	NBIS implementation was re-baselined. Since doing so, DCSA established secure data interfaces and environments for the movement of data for incorporation into the NBIS Enterprise environment.
Implement a new electronic Application shared service capability and continue to make iterative improvements.	Mar-2021 (Previously Oct-2019)	Missed	DCSA	NBIS implementation was re-baselined. Since doing so, testing of eApp has begun, to include SF-86, SF-85, and SF-85P. Testing is scheduled to complete February 2021, and customer deployment will commence in 2QFY21.



## 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.	Mar-2022 (Previously Sep-2020)	On Track (Previously At Risk)	DCSA	NBIS implementation was re-baselined. Since doing so, DCSA has implemented NBIS data broker ability to securely manage unclassified information exchange and serve as core data integration point for NBIS information exchanges.
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	DCSA	
Implement a shared service capability that supports the development of background investigation reports, and continue to make iterative improvements.	Mar-2022 (Previously Jul-2020)	On Track (Previously Missed)	DCSA	NBIS implementation was re-baselined. Since doing so, DCSA has implemented data broker appliance to serve as core data integration point for BI data sources. BI capability development continues.





## Key Milestones

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

#### Milestone Summary

Key Milestones	Milestone Due Date	Milestone Status	Owner	Recent Actions
Implement a shared service capability that supports the adjudication of background investigations, and continue to make iterative improvements.	Jun-2021 (Previously Jul-2020)	On Track (Previously Missed)	DCSA	NBIS implementation was re-baselined. Since doing so, initial adjudication capability is in the development pipeline for delivery in Q2 FY21. Remaining adjudicative functionality will complete Q3 FY21. Customer deployment will commence in Q3 FY21.
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.	Jun-2021 (Previously Jul-2020)	On Track (Previously Missed)	DCSA	NBIS implementation was re-baselined. Since doing so, initial adjudication capability is in the development pipeline for delivery in Q2 FY21. Remaining adjudicative functionality will complete Q3 FY21. Customer deployment will commence in Q3 FY21.





## 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	PAC PMO, ODNI, OPM	

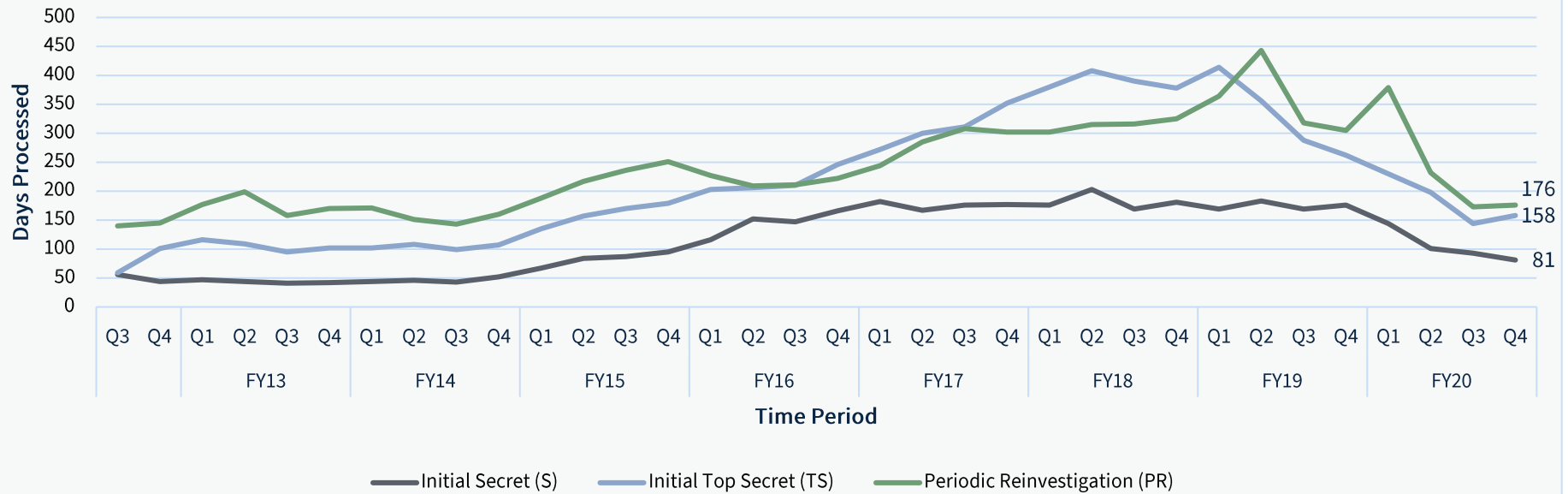


Focus Area	Key Indicator Title	Description
Timeliness	End-to-End Process Timeliness (2 slides)	Average number of days to complete end-to-end processing for the national security population
	Background Investigation Timeliness	Average number of days to complete Secret and Top Secret background investigations
	Number of Cases Meeting Timeliness Standards	Average percentage of end-to-end 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



End-to-end cases from the time of agency initiation of information collection from an applicant to the date adjudication is reported in a repository.







## Key Indicator: End-to-End Process Timeliness

Government-wide end-to-end processing timeliness continues to improve.

### Government-Wide Security Clearance Performance (PAC Methodology)

Fastest 90%

		<div>➔</div>												End-to-End (Initiate + Inv. + Adj.)			
		Initiate				Investigate				Adjudicate							
		Average Days				Average Days				Average Days				Average Days			
		Q1 20	Q2 20	Q3 20	Q4 20	Q1 20	Q2 20	Q3 20	Q4 20	Q1 20	Q2 20	Q3 20	Q4 20	Q1 20	Q2 20	Q3 20	Q4 20
Initial Secret Cases	Volume	Goal: 14 Days				40 Days				20 Days				74 Days			
	451,342	11	9	9	6	94	72	62	58	39	20	21	17	144	101	93	81
Initial Top Secret Cases	Volume	Goal: 14 Days				80 Days				20 Days				114 Days			
	138,379	17	14	15	13	166	138	98	118	47	47	31	27	230	198	144	158
Periodic Reinvestigations	Volume	Goal: 15 Days				150 Days				30 Days				195 Days			
	210,393	18	12	15	13	207	132	100	110	153	89	57	52	379	232	173	176
Total	800,114	Red Text: Goal Not Met								Blue Text: Goal Met							

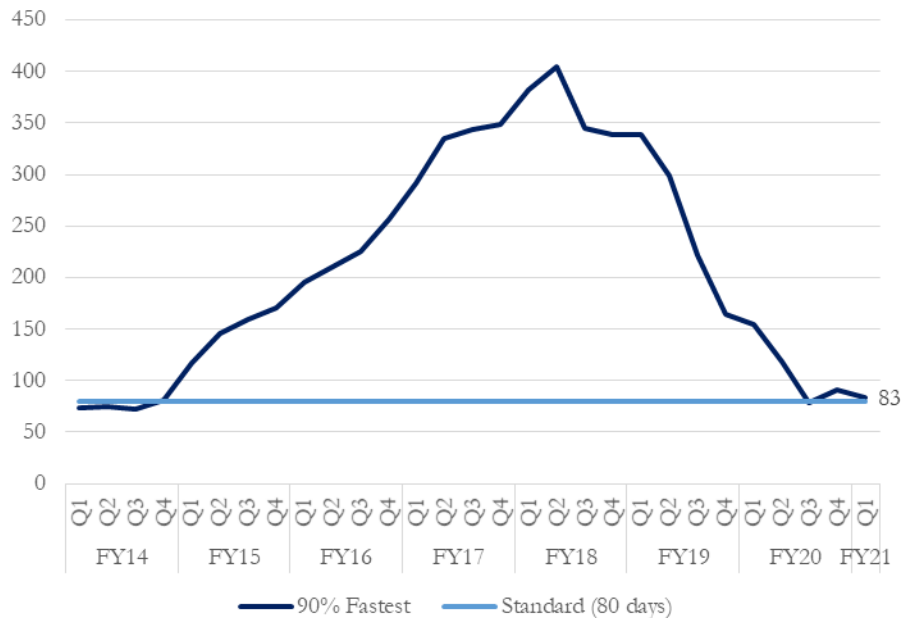
As of 11/2/20



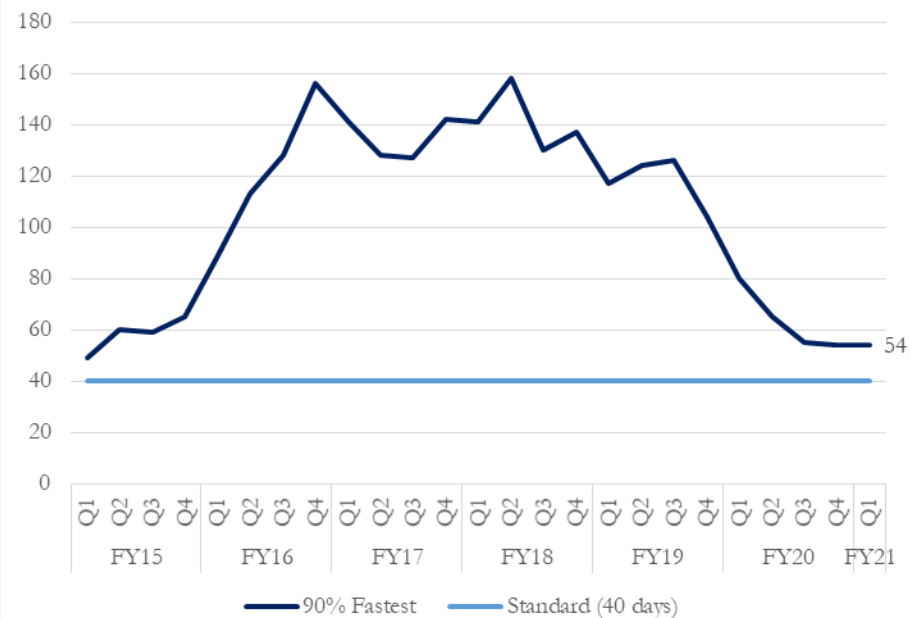
## Key Indicator: Timeliness Metrics

Overall, timeliness of background investigations has decreased and continues to hover around goals. 92% of Top Secret cases are beneath the 80-day goal set by IRTPA, and 8% have delays due to COVID-19. Timeliness for Secret cases is stable.

Top Secret Timeliness



Secret Timeliness

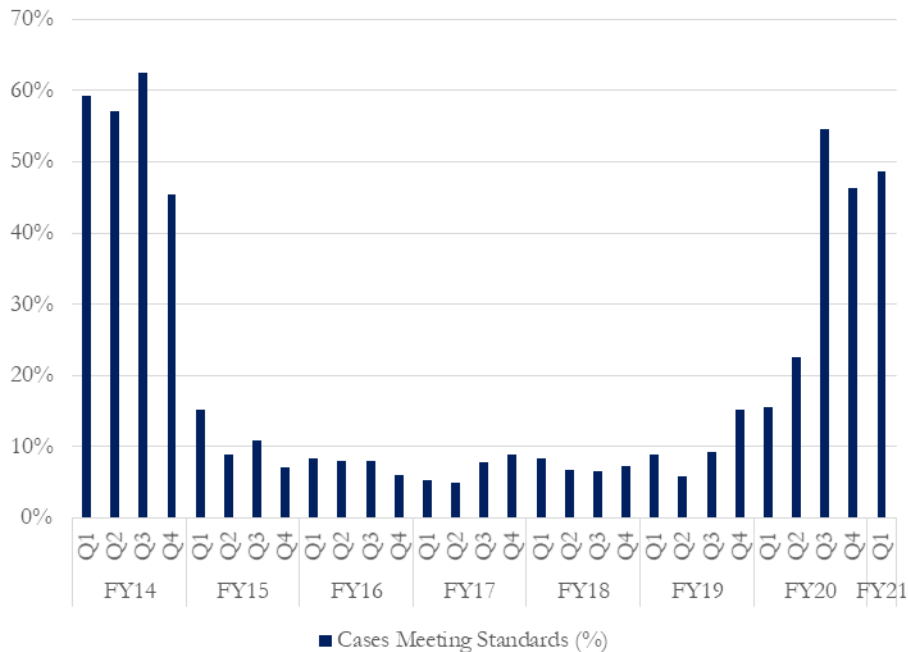




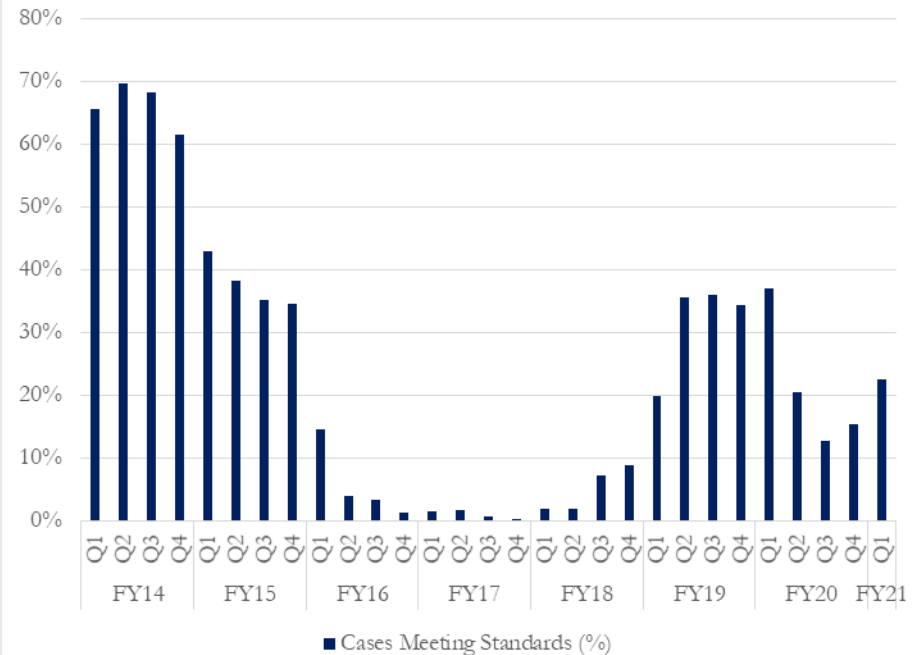
## Key Indicator: Number of Cases Meeting Timeliness Standards

Timeliness is improving in both Top Secret and Secret cases.

% of Top Secret Cases Meeting Timeliness Goals



% of Secret Cases Meeting Timeliness Goals





## Key Indicator: DCSA Investigations Inventory

The background investigation inventory remains largely stable, despite delays related to COVID-19.

DCSA Investigative Inventory - Quarter

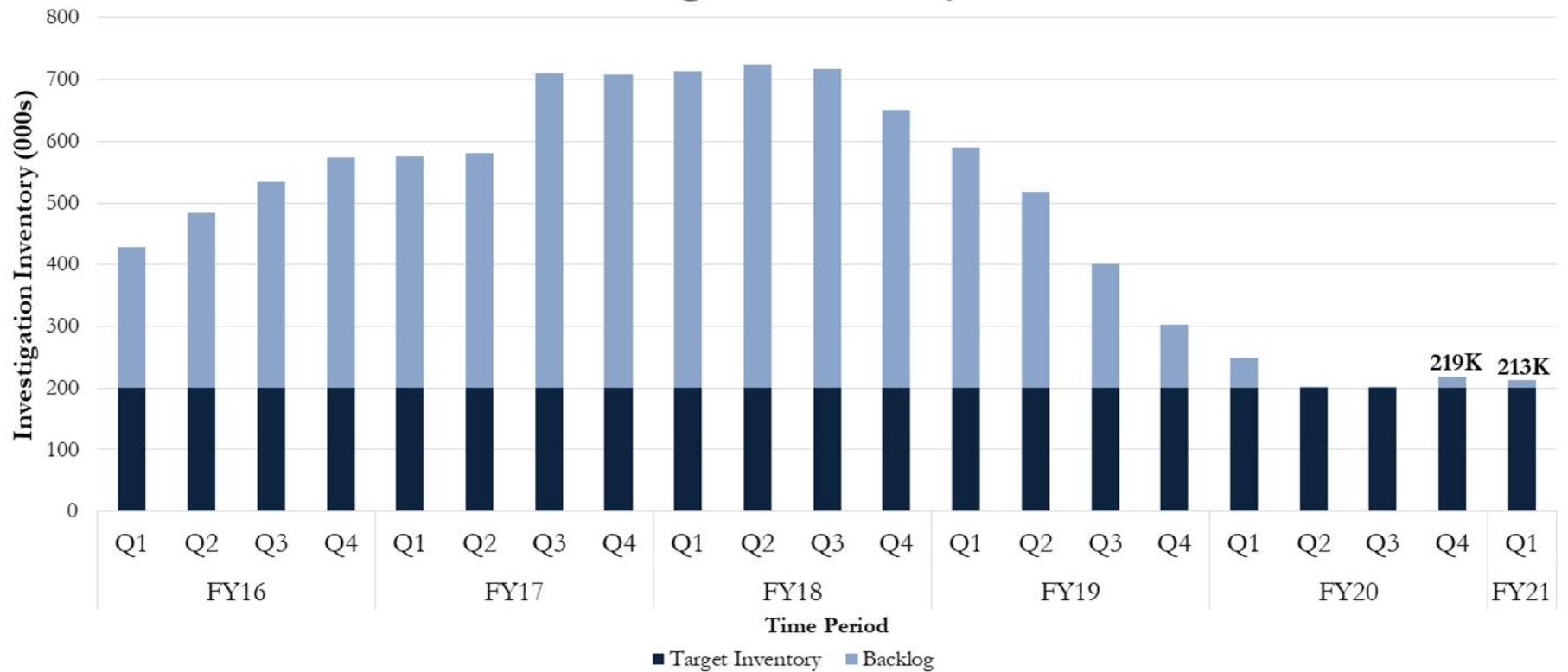
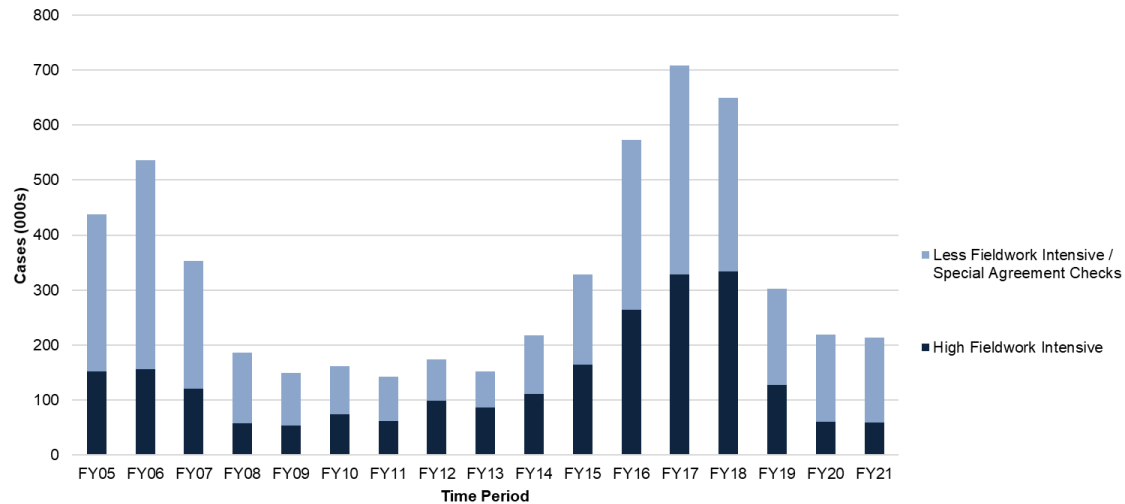


Chart reflects only DCSA data and is current as of 1/4.



## Key Indicator: DCSA Investigations Inventory

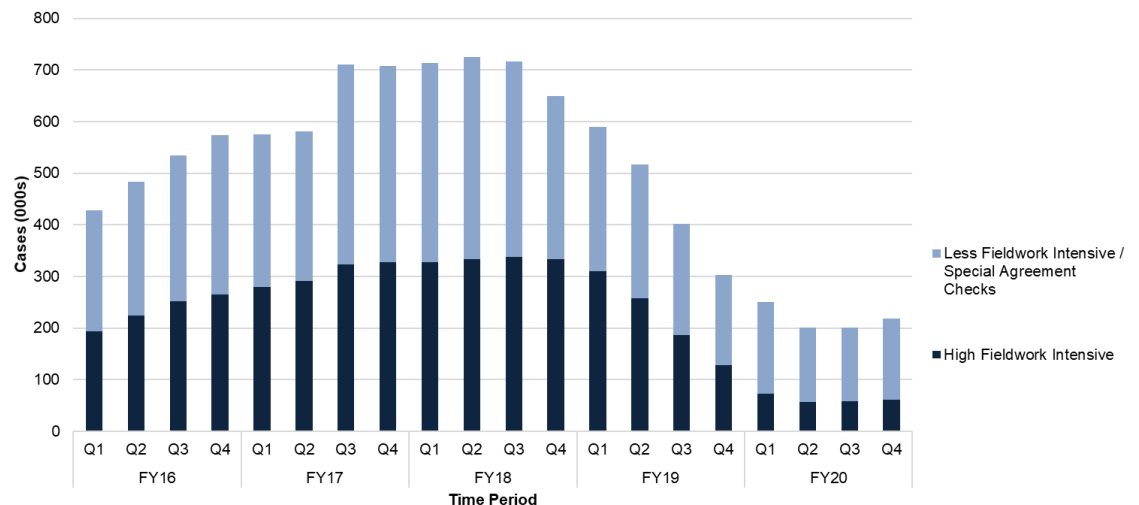
DCSA Investigative Cases by Fieldwork Intensiveness - Annual



**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.

DCSA Investigative Cases by Fieldwork Intensiveness - Quarter



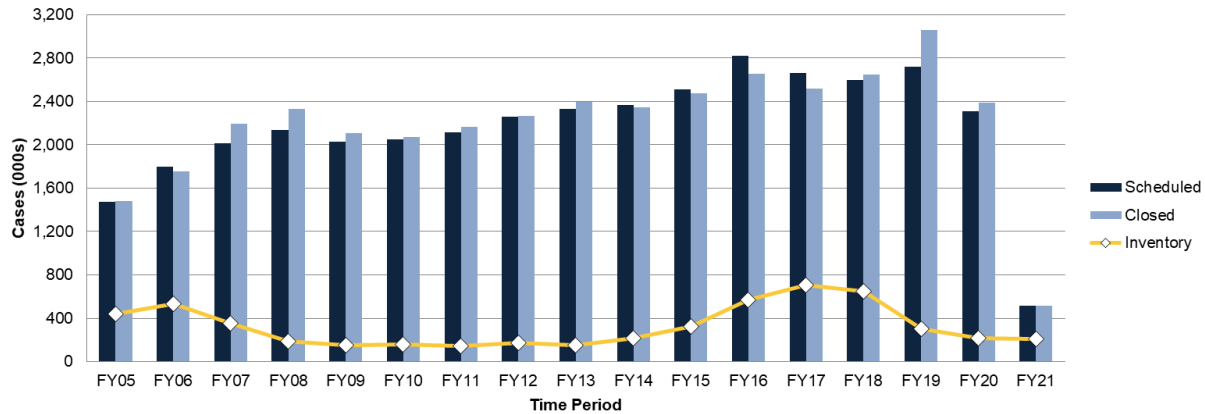
Charts reflect only DCSA data and are current as of 1/4.



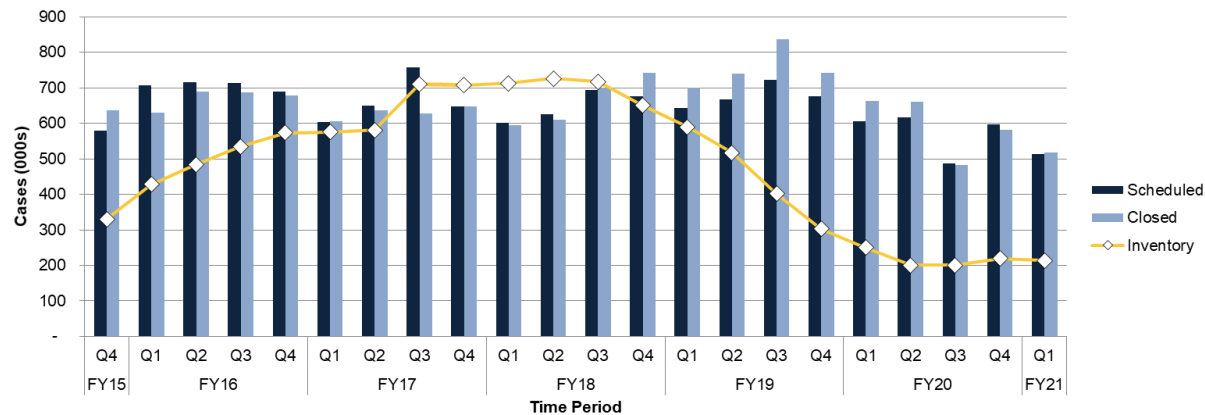


## Key Indicator: DCSA Investigations Case Flow

DCSA Cases Scheduled and Closed - Annual



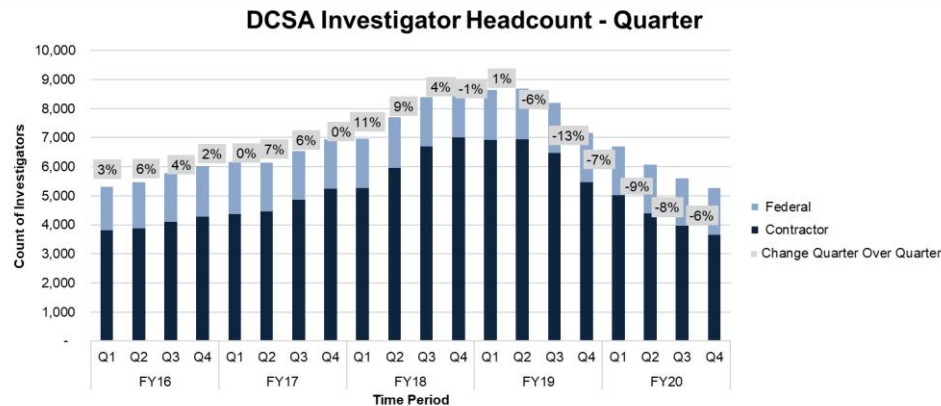
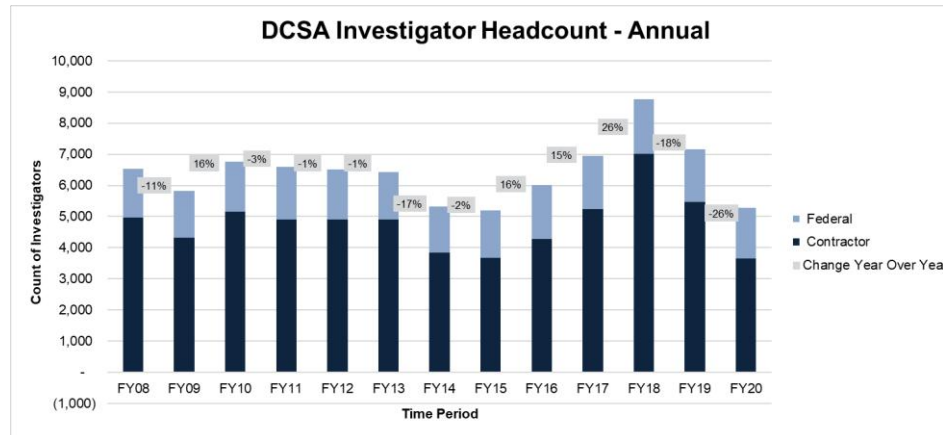
DCSA Cases Scheduled and Closed - Quarter





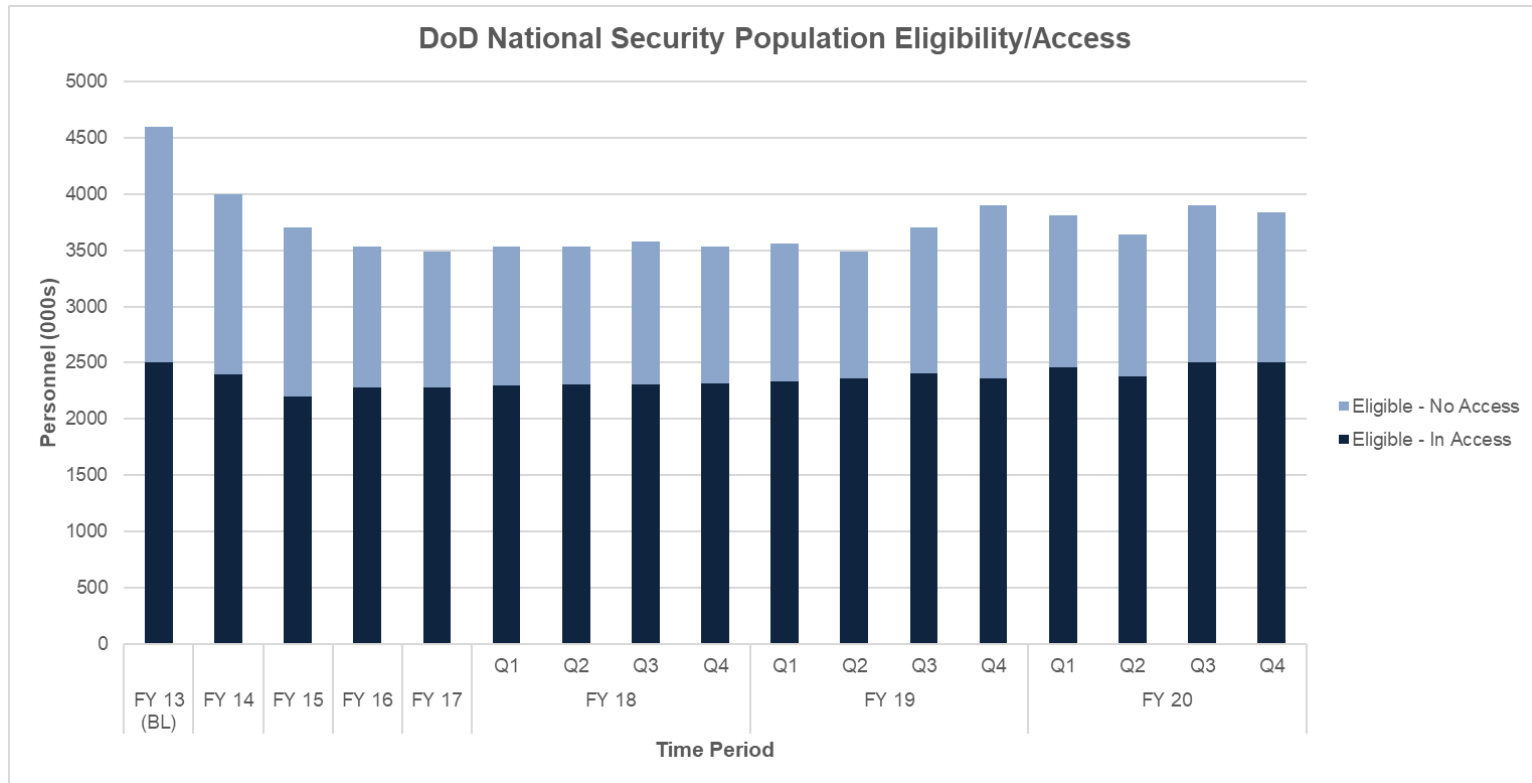
## Key Indicator: DCSA Investigator Headcount

Having eliminated the case inventory backlog, DCSA investigator headcount has adjusted to maximize efficiency and optimize cost.





## Key Indicator: DoD National Security Population Eligibility & Access



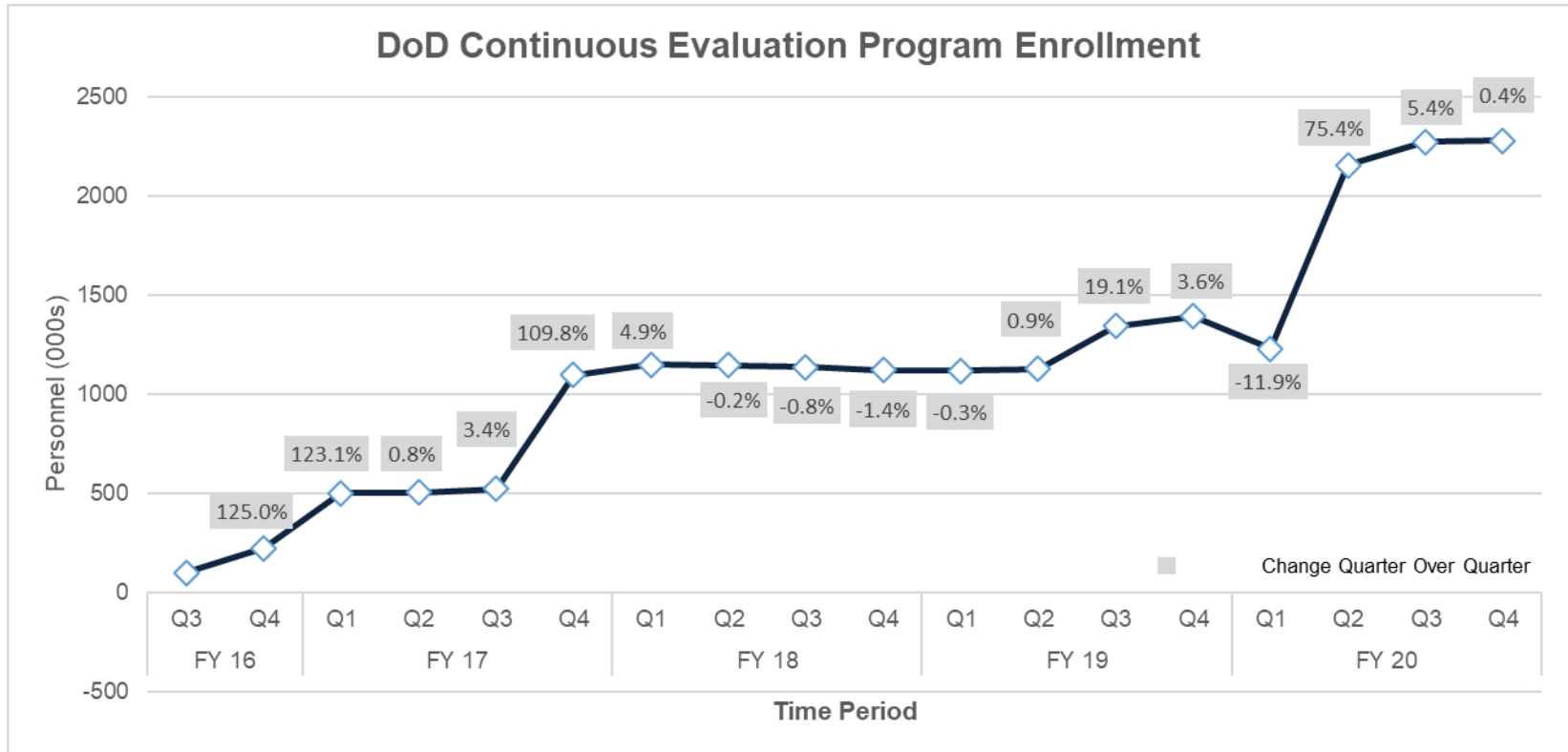
Changes in DoD Clearance (in thousands)													
	FY13 (Baseline)	FY14	FY15	FY16	FY17	FY18	FY19	FY20Q1	FY20Q2	FY20Q3	FY20Q4	Number Decreased (from baseline)	FY13- FY20Q4 % Decrease
Eligible - In Access	2500	2400	2200	2280	2280	2318	2362	2456	2380	2504	2508	-8	-1%
Eligible - No Access	2100	1600	1500	1250	1210	1211	1539	1357	1262	1395	1332	768	37%
Total	4600	4000	3700	3530	3490	3529	3901	3813	3642	3899	3840	760	17%







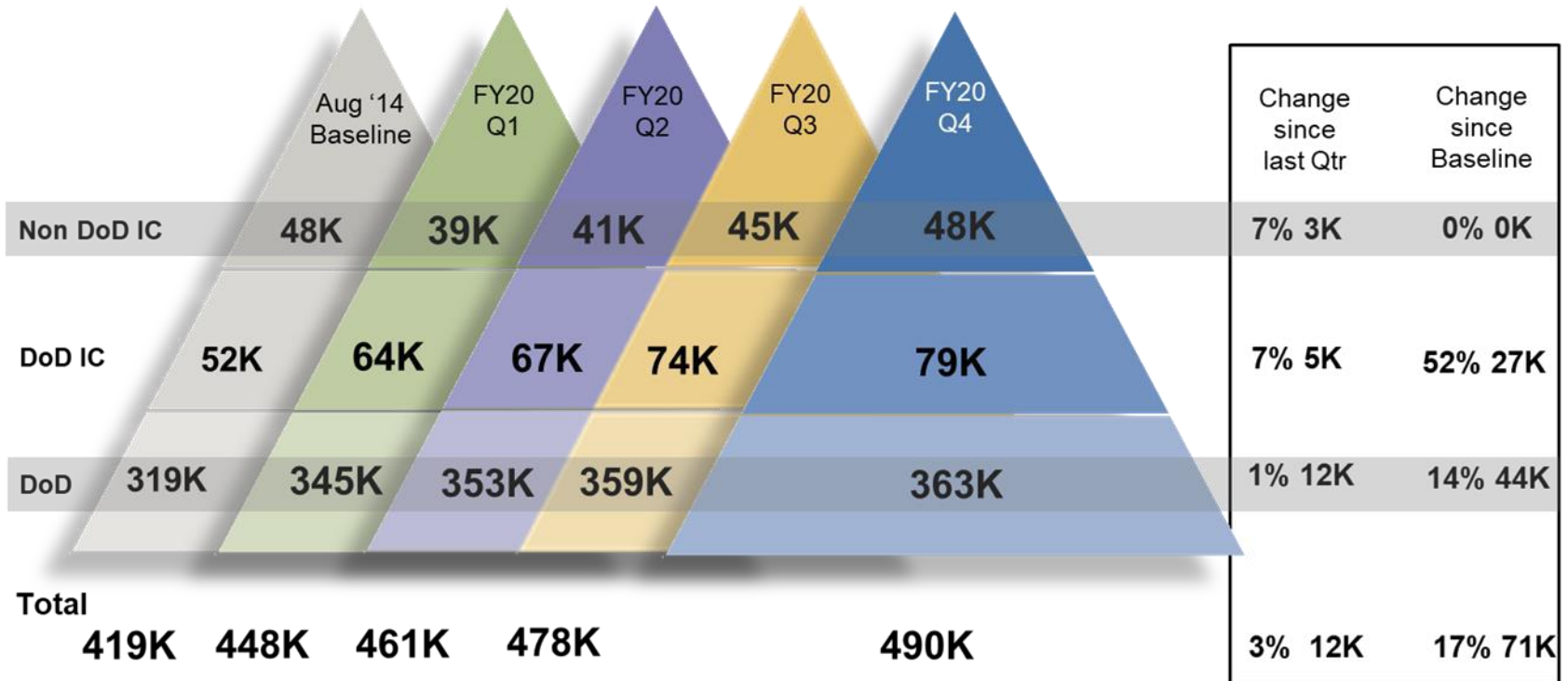
## Key Indicator: DoD Continuous Evaluation Enrollment





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

### TS and TS/SCI “Out of Scope” Populations

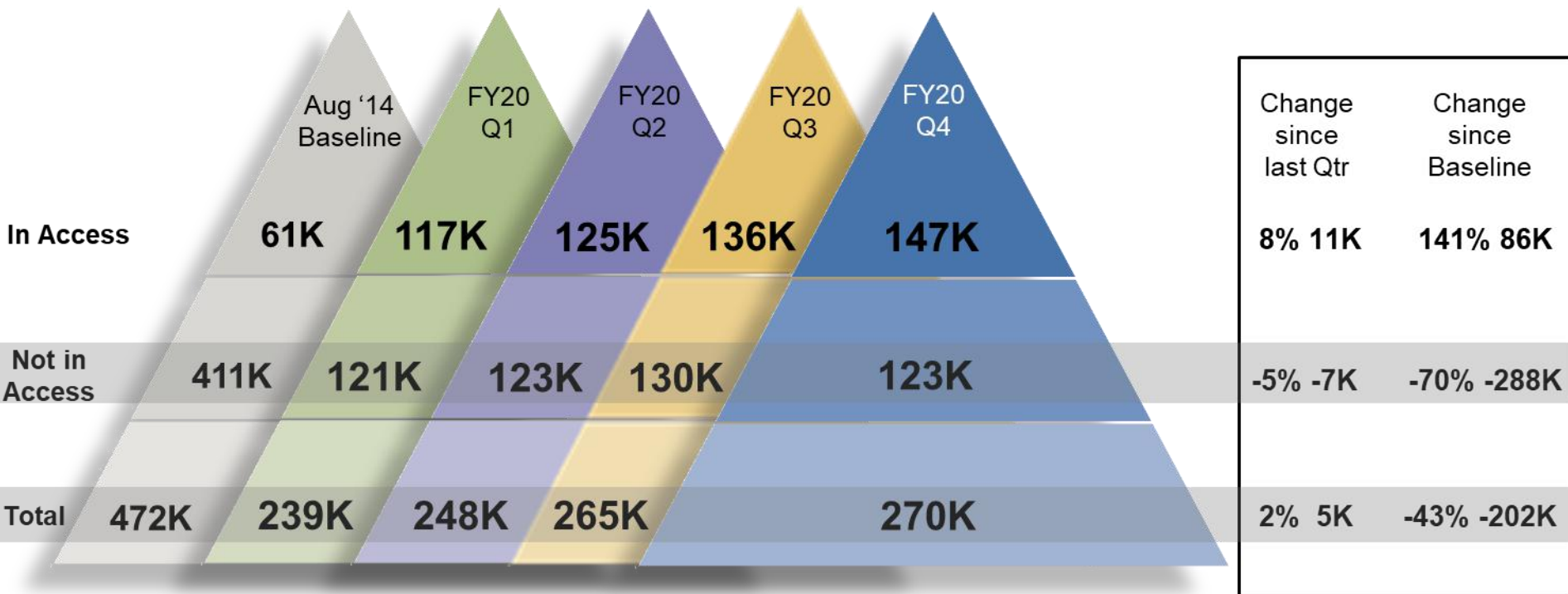


Overall change since baseline: 17% 71K



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

### DoD Secret “Out of Scope” Populations



Overall change since baseline: -43% -202K



### PAC Member Agencies

- Office of Management and Budget
- Office of Personnel Management
- Defense Counterintelligence and 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

DCSA – Defense Counterintelligence and Security Agency

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

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&S) – Under Secretary of Defense for Intelligence and Security