



## 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

**Jeff Pon**, Director, Office of Personnel Management

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



## Goal Statement

A Federal workforce entrusted to protect Government information and property and to promote a safe and secure work environment, sustained by an enhanced risk management approach. Supported by:

- Improved early detection enabled by an informed, aware, and responsible Federal workforce
- Quality decisions enabled by improved investigative and adjudicative capabilities
- Optimized government-wide capabilities through enterprise approaches
- Strong partnership with Insider Threat Programs to strengthen the identification, deterrence, and mitigation of problems before they negatively impact the workforce or national security.



## Urgency

Our world is changing at a pace that requires the security, suitability/fitness, and credentialing community to anticipate, detect, and counter both internal and external threats, such as those posed by trusted insiders who may seek to do harm to the Federal Government's policies, processes, and information systems.



## Goal Leaders:





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

The Security Clearance, Suitability, and Credentialing Performance Accountability Council (PAC) Principal agencies include the Office of Management and Budget, the Office of the Director of National Intelligence, Office of Personnel Management, and Department of Defense. The PAC\* is responsible for driving government-wide implementation of security, suitability, and credentialing reform.

\* PAC members are the Office of Management and Budget, Office of the Director of National Intelligence, Office of Personnel Management, Department of Defense; the Departments of State, the Treasury, Justice, Energy, and Homeland Security; the Federal Bureau of Investigation, the General Services Administration, the National Archives and Records Administration, the National Security Council, and the National Background Investigations Bureau.



## Goal Structure

Goal	
<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 Processes &amp; IT</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

**Executive Agents Take Bold Action to Reduce Investigation Inventory.** In an Executive Correspondence released on June 5<sup>th</sup>, the Security Executive Agent (ODNI) and Suitability and Credentialing Executive Agent (OPM) approved measures focused on reducing and mitigating the background investigation inventory. The approved measures make thoughtful, risk-based modifications to the background investigation process. Since the Executive Correspondence release, the National Background Investigation Bureau has reduced their background investigation inventory by over 9%, from 725,000 to 657,000. Reductions are expected to continue as policy changes are further implemented.

**White House Plans Move of Background Investigation Mission to the Department of Defense.** The White House Reform Plan and Reorganization Recommendations released on June 21<sup>st</sup> included the transfer of the background investigation mission from the Office of Personnel Management to the Department of Defense. The transfer provides the opportunity to achieve an efficient, effective, fiscally viable, and secure operation that meets all agencies' needs. It avoids potential problems inherent in splitting the existing program and provides the means to achieve bold, transformative reform in the manner in which background investigations are conducted. Opportunities exist to improve timeliness, strengthen management of sensitive information, and ensure a more trusted workforce.

**Development Begun to Rebuild Background Investigation Systems.** In June, the Department of Defense awarded a contract to develop new systems to replace the legacy systems currently used in the background investigation process. This platform is a critical component in modernizing the legacy background investigation technology and processes while establishing a new suite of end-to-end shared services. Releases of the Position Designation Tool and eApplication are planned for the near future.





## 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	Performance Accountability Council approved short-term and long-term initiatives.
Expand reporting requirements to the entire workforce.	Oct-2021	On Track	OPM	Review of federal regulations regarding standards of conduct.



## 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	Completed draft of policy, solicited comments from PAC principals and relevant agencies, and submitted to General Counsel for a legal review.
Establish standards and requirements for Trusted Information Providers to provide shared data with Investigative Service Providers.	Oct-2018	On Track	ODNI, OPM	Completed draft of policy, including updates consistent with the Trusted Workforce 2.0 effort and the draft FY20 NDAA.



## 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	On Track	ODNI	Policy completed formal interagency coordination and final updates in accordance with interagency input.
Refine standards and guidelines under the new Federal vetting approach.	Dec-2018	On Track	ODNI, OPM	PAC approved initial analysis and high-level approach. First draft of policy documents currently being drafted.
Develop quality standards for adjudicative determinations and expand quality tools to include adjudications.	Jul-2019	On Track	ODNI, OPM	No significant actions during the reporting period.
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	On Track	OPM	Recommendation presented to PAC Deputies and approved as part of the Trusted Workforce 2.0 future vetting approach. Development of enabling policy is underway.





## 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	The Executive Agents issued measures to reduce and mitigate the inventory, which has now reduced from 725k to 657k.
Stand up DoD background investigation capability and complete phased transition of cases from NBIB to DoD.	Oct-2021	On Track	DoD	Significant progress in transfer planning efforts between DoD and NBIB, initial transfer plan in final coordination. Establishment of Defense Vetting Directorate and early operational capabilities in support of inventory reduction efforts.
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	DoD and NBIB are working to map proposed business process. This review is needed to ensure that the changes align to the new vetting approach planned under the Trusted Workforce 2.0 initiative.





## 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	System rollout of DISS to all DoD users, including Industry, nearing completion. DISS rollout to SSA underway. Workshops conducted to identify user stories for modifications to meet interagency needs.
Implement a new electronic Application shared service capability and continue to make iterative improvements.	Oct-2019	On Track	DoD, NBIB, ODNI, OPM	Planning is complete and preparation is underway for pilot of SF-86 in eApp.
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	No significant actions during the reporting period.





## 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	Development complete and testing started on a new position designation tool.
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 started for an investigation management system.
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 underway. Modifications to eAdjudication capability 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	Continued phased deployment of capability to include deployment of capability to Industry and SSA. Workshops conducted to gather user stories for interagency needs.





## 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

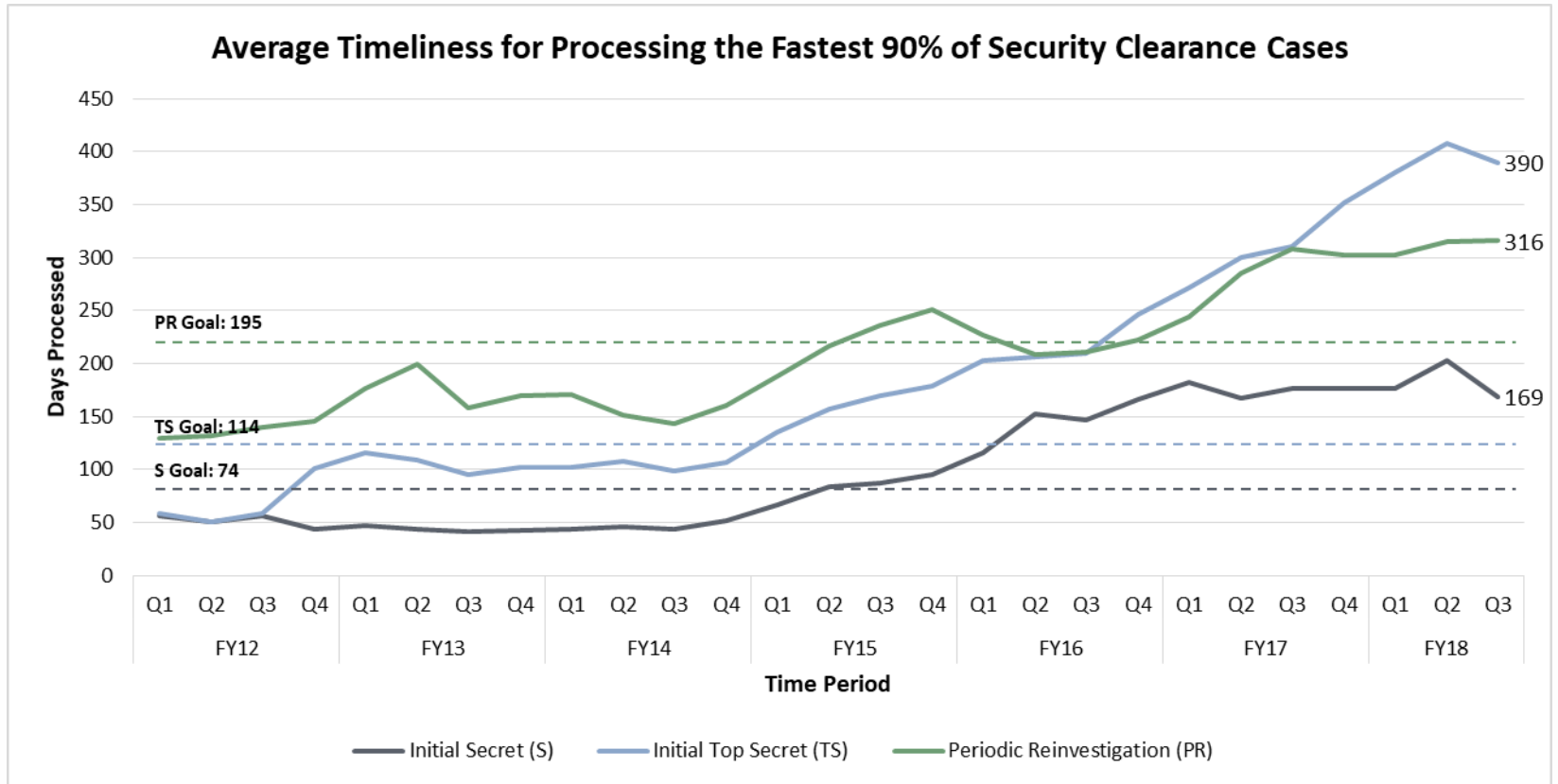
Key Milestones	Milestone Due Date	Milestone Status	Owner	Recent Actions
Improve public transparency of progress and performance.	Apr-2019	On Track	PAC PMO, ODNI, OPM	Release of Q3 key indicators (see slides 14-22). Project started to gather reciprocity data with Industry.
Improve decision-making by increasing access to research findings across the Executive Branch.	May-2019	On Track	PAC PMO, ODNI, OPM	No significant actions during the reporting period.
Continue to mature the research & innovation program to support SSC priorities.	Oct-2019	On Track	PAC PMO, ODNI, OPM	No significant actions during the reporting period.



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

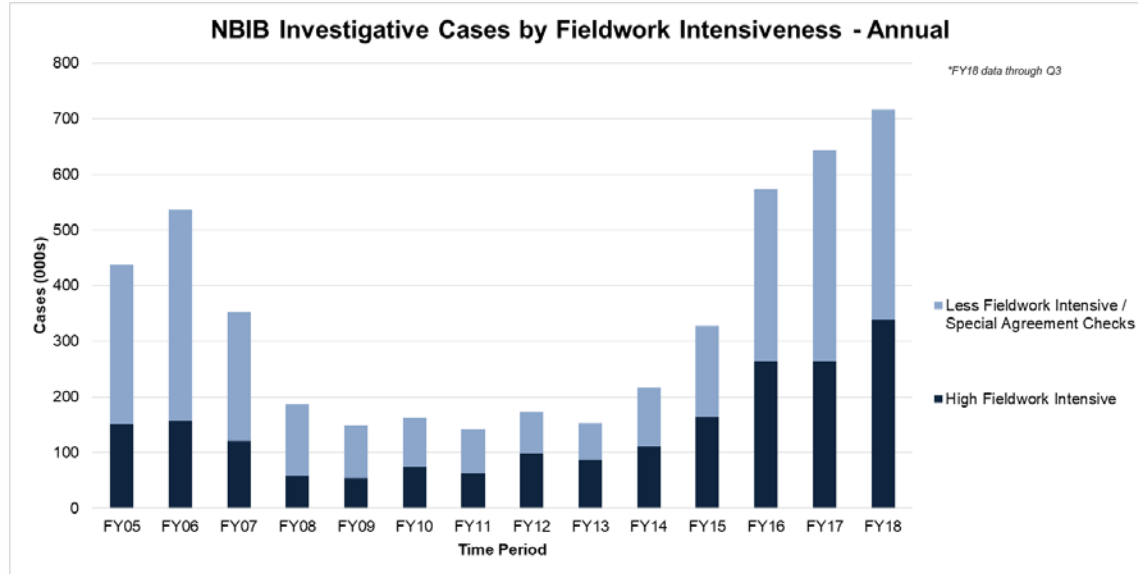
(PAC Methodology)

Fastest 90% →

		Initiate				Investigate				Adjudicate				End-to-End (Initiate + Inv. + Adj.)			
		Average Days				Average Days				Average Days				Average Days			
		Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3
		17	18	18	18	17	18	18	18	17	18	18	18	17	18	18	18
Initial Secret Cases	Volume	Goal: 14 Days				40 Days				20 Days				74 Days			
	318,532	13	11	13	10	141	142	162	126	23	23	28	33	177	176	203	169
Initial Top Secret Cases	Volume	Goal: 14 Days				80 Days				20 Days				114 Days			
	97,018	18	21	20	21	306	333	345	340	28	26	43	29	352	380	408	390
Periodic Reinvestigations	Volume	Goal: 15 Days				150 Days				30 Days				195 Days			
	192,245	24	26	26	18	243	247	253	271	35	29	36	27	302	302	315	316
Red Text: Goal Not Met															Green Text: Goal Met		

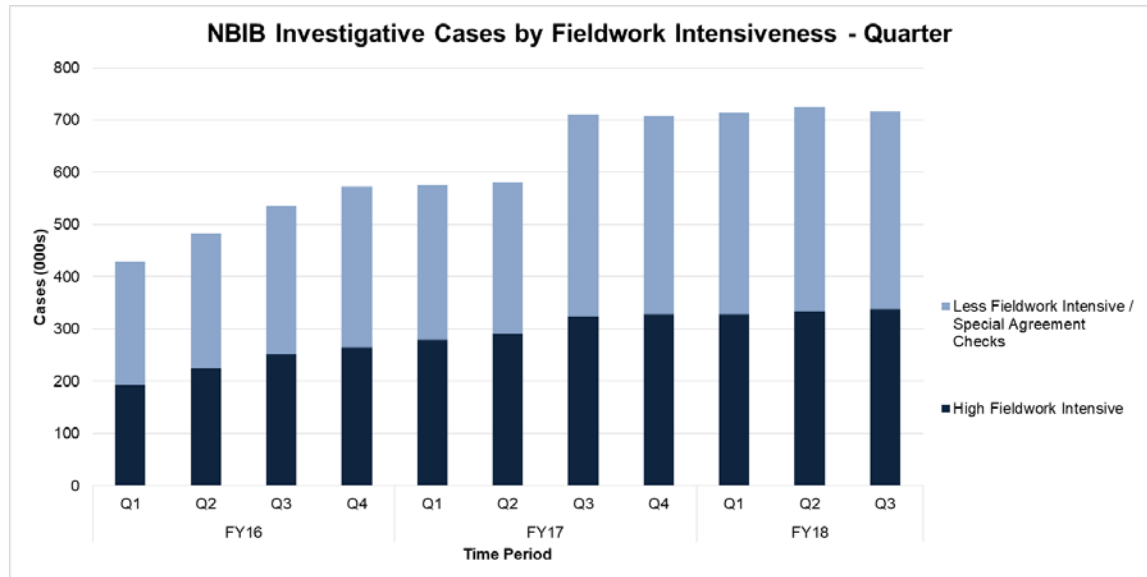


## Key Indicator: NBIB Investigations Inventory



**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.



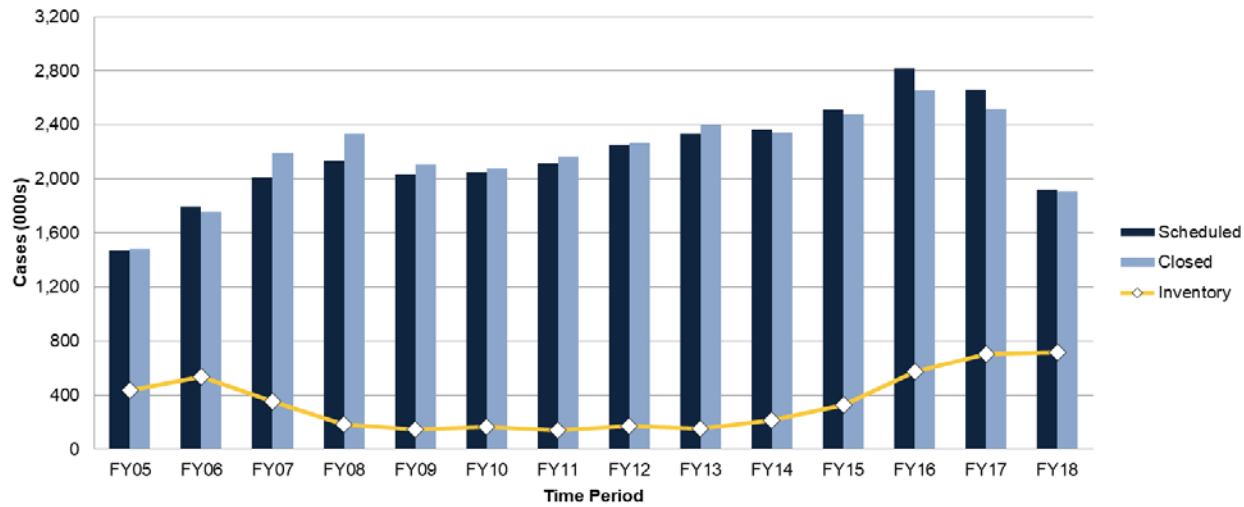




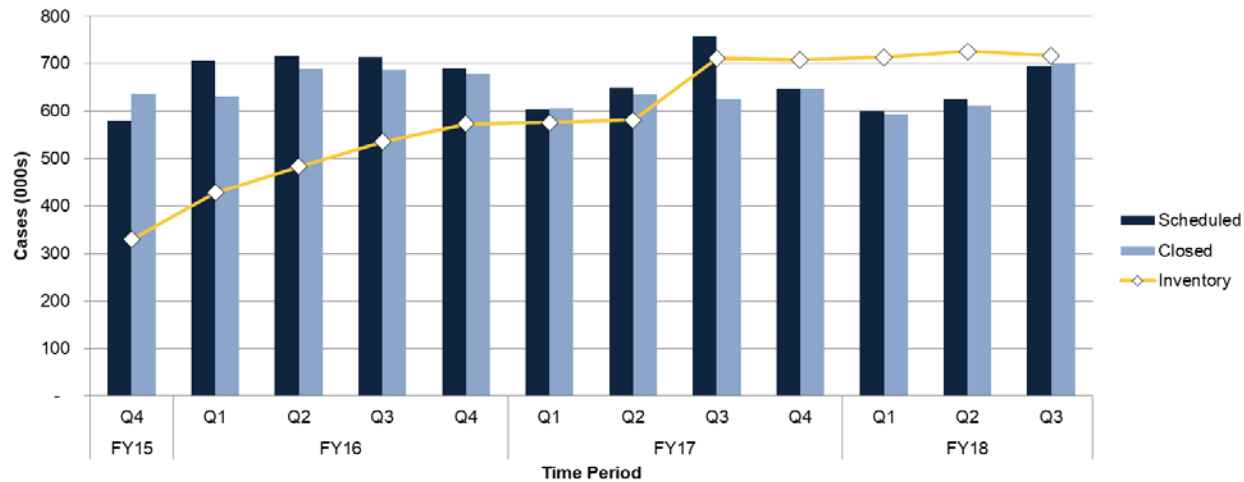
## Key Indicator: NBIB Investigations Case Flow

NBIB Cases Scheduled and Closed - Annual

\*FY18 data through Q3



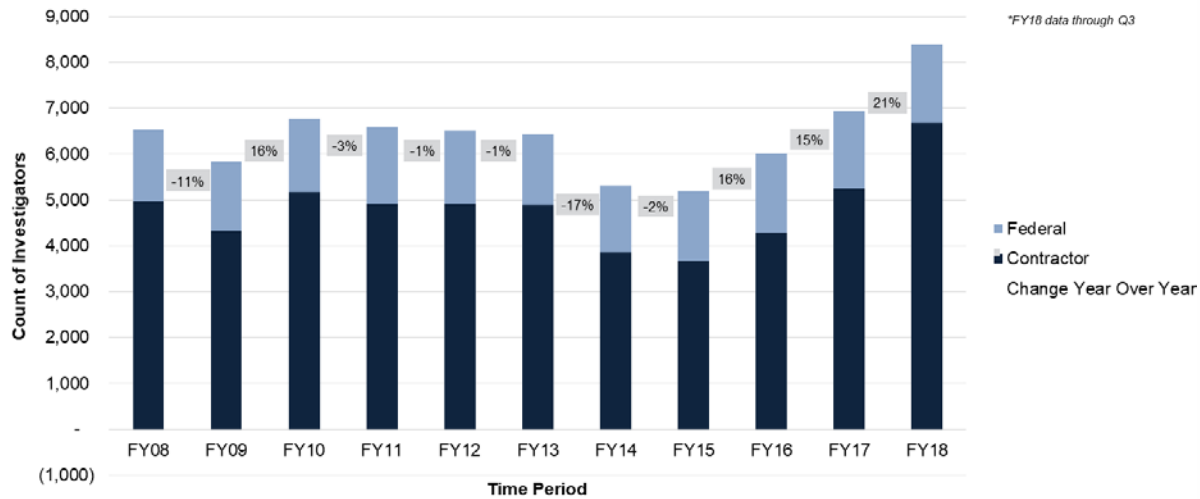
NBIB Cases Scheduled and Closed - Quarter



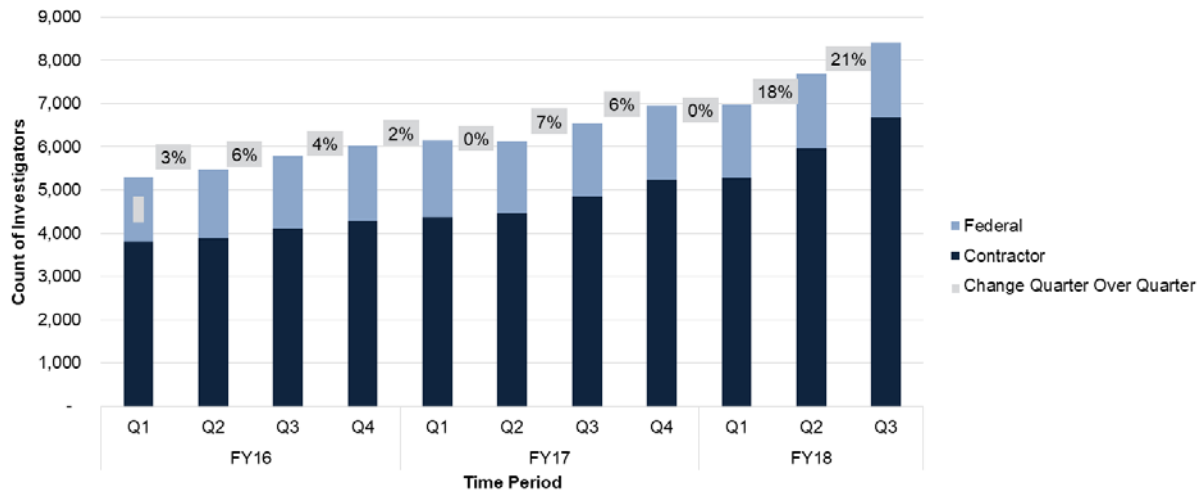


## Key Indicator: NBIB Investigator Headcount

NBIB Investigator Headcount - Annual

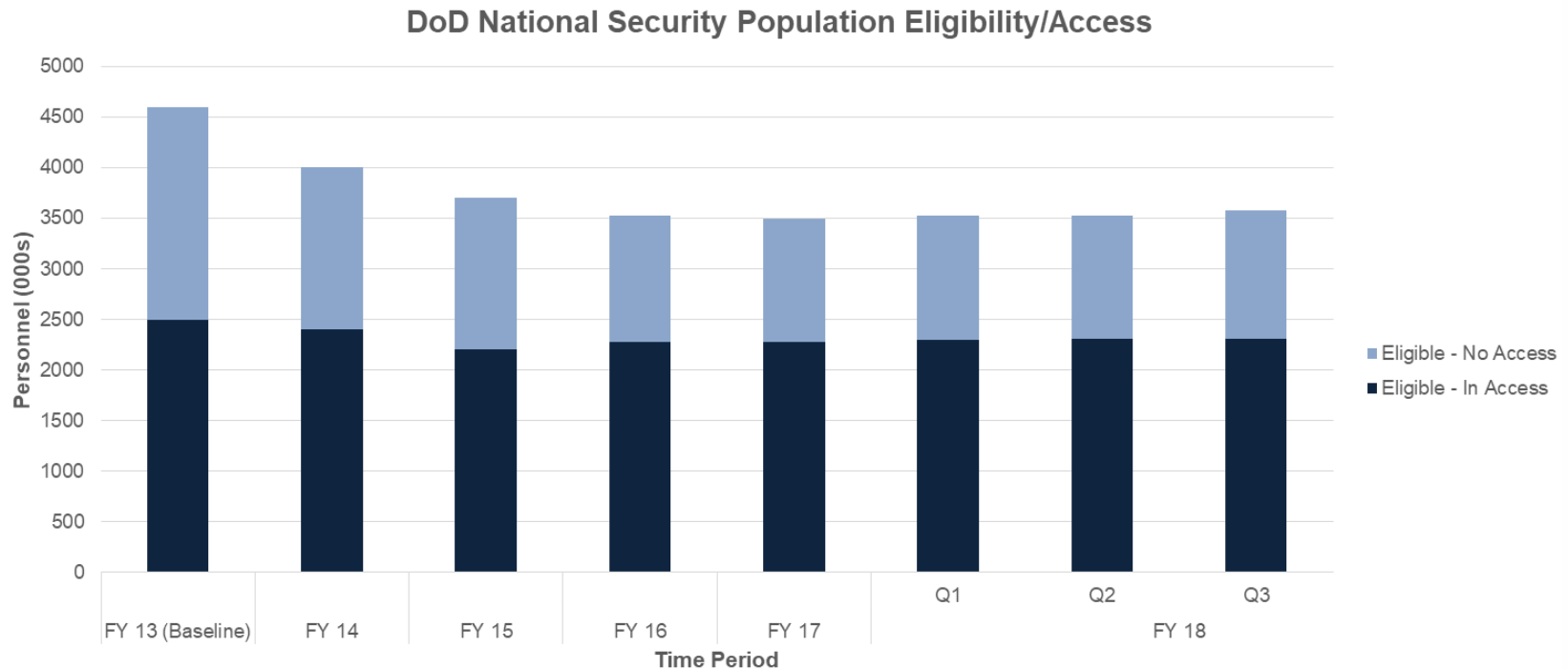


NBIB Investigator Headcount - Quarter





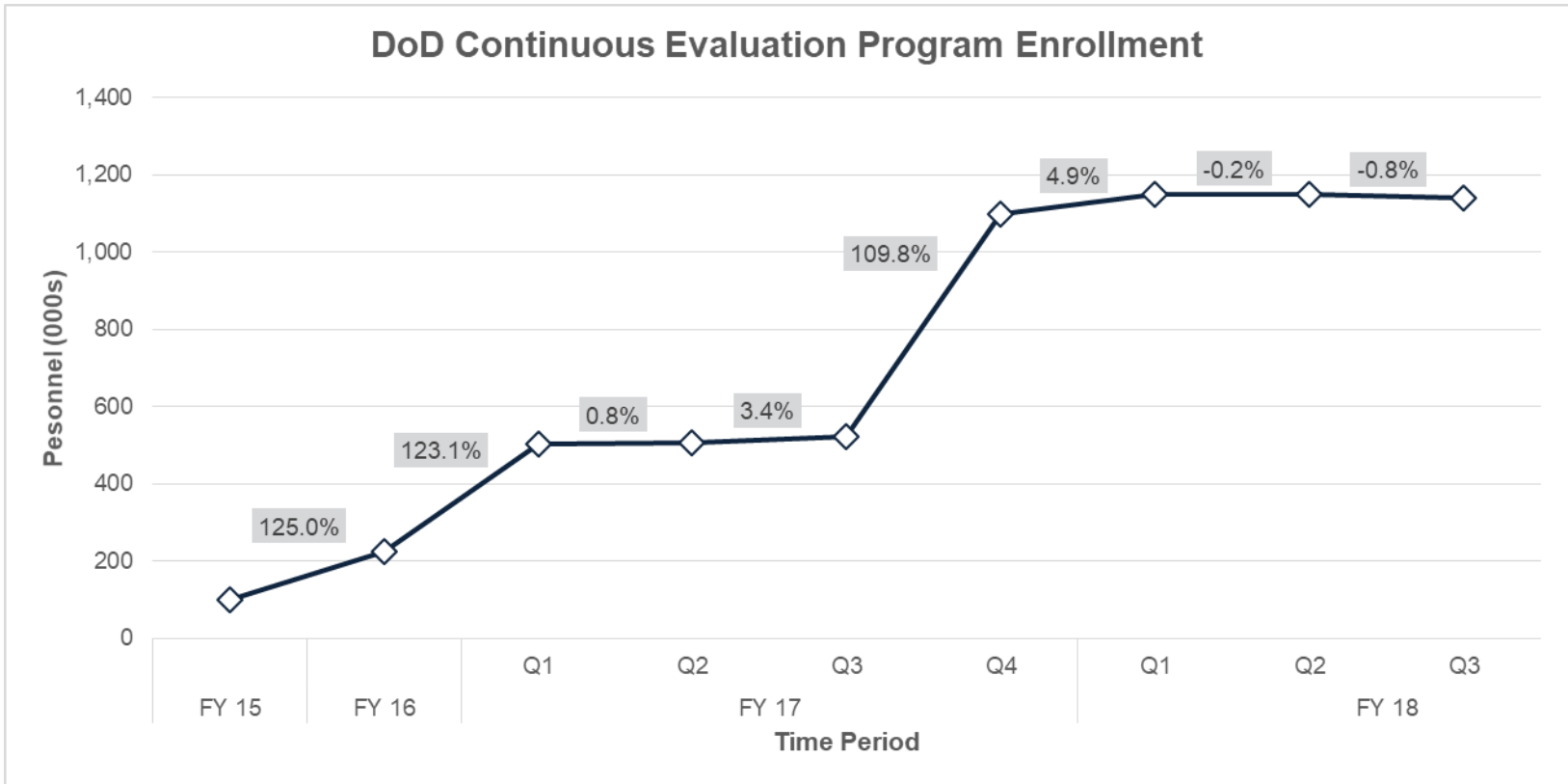
## Key Indicator: DoD National Security Population Eligibility & Access



Change in DoD Clearance (in Thousands)										
	FY13 (Baseline)	FY14	FY15	FY16	FY17	FY18Q1	FY18Q2	FY18Q3	Number Decreased (from baseline)	FY13-FY18Q3 % Change
Eligible - In Access	2500	2400	2200	2280	2280	2300	2310	2311	-189	-8%
Eligible - No Access	2100	1600	1500	1250	1210	1230	1220	1266	-834	-40%
Total	4600	4000	3700	3530	3490	3530	3530	3577	-1023	-22.2%



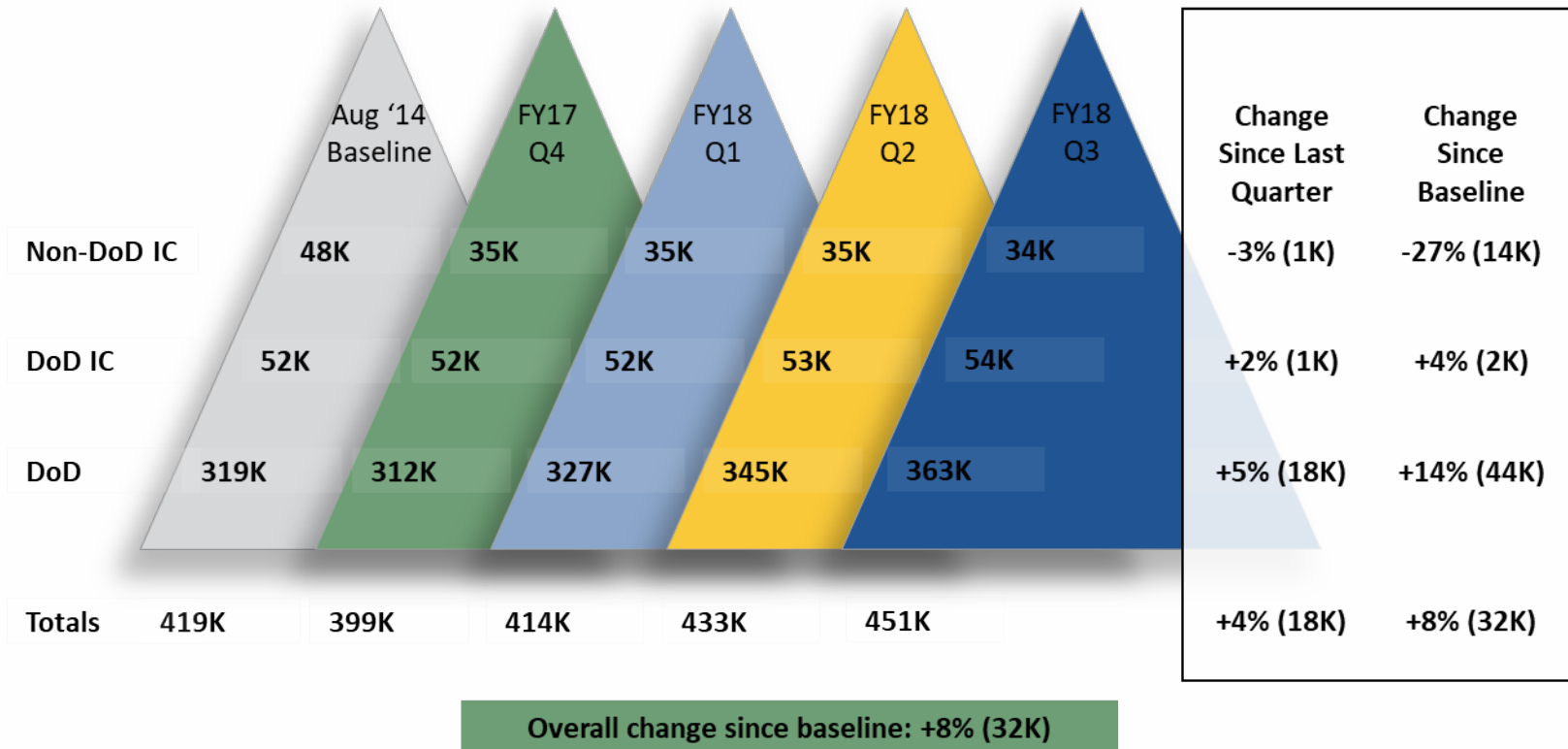
## Key Indicator: DoD Continuous Evaluation Enrollment





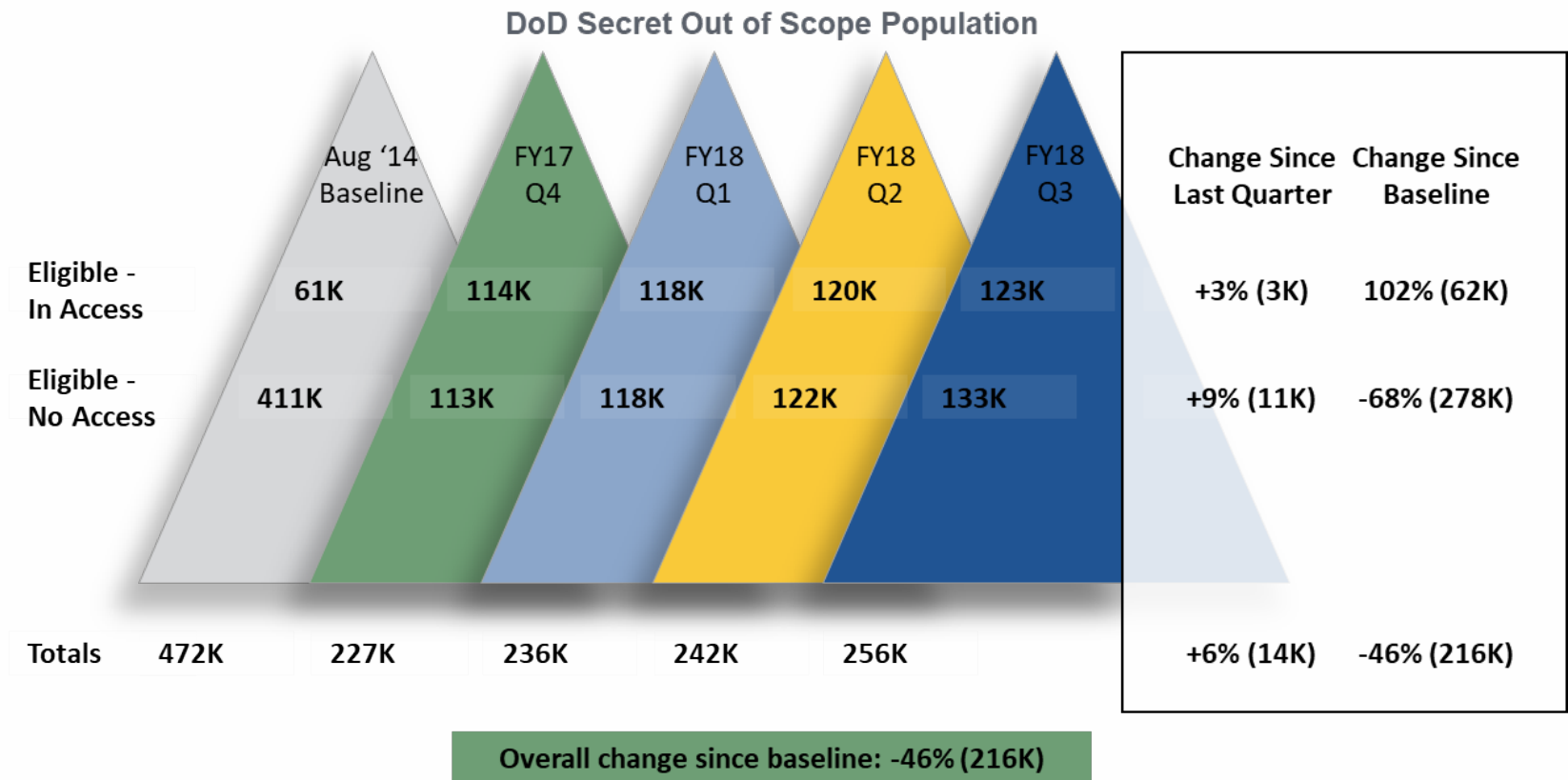
## Key Indicator: Out-of-Scope National Security Population

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





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





### 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