(U//FOUO) Fiscal Year 2019
Annual Report on Security
Clearance Determinations

(U) Congressional Tasking

April 2020
(U) CONTENTS

(U) INTRODUCTION .................................................................................................................. 2
(U) EXECUTIVE SUMMARY ....................................................................................................... 4
(U) METHODOLOGY .................................................................................................................. 5
(U) SECURITY CLEARANCE VOLUME FOR THE ENTIRE FEDERAL GOVERNMENT ............... 6
(U) SECURITY CLEARANCE PERFORMANCE FOR IC AGENCIES AND ELEMENTS OF THE IC ..... 9
(U) CONCLUSION .................................................................................................................... 13
(U) **INTRODUCTION**

(U) The Intelligence Authorization Act (IAA) for Fiscal Year (FY) 2010, as amended, now codified as 50 U.S.C. 3104, requires the President to submit an annual report on security clearance determinations to Congress. The statute directs that this report include: 1) the number of United States Government (USG) employees and contractors who held a security clearance at each level as of 1 October of the preceding fiscal year (FY) and; 2) the number of USG employees and contractors who were approved for a security clearance at each level during the preceding FY. The statute also requires in-depth security clearance determination timeliness metrics for each element of the Intelligence Community (IC). In response to these statutory requirements, the Office of the Director of National Intelligence (ODNI) National Counterintelligence and Security Center (NCSC) has prepared this *Fiscal Year 2019 Annual Report on Security Clearance Determinations*, consistent with the security clearance data requirements outlined by the categories listed below.

(U) **Security Clearance Data Required by 50 U.S.C. 3104**

<table>
<thead>
<tr>
<th>Security Clearance Volume Levels for USG Employees and Contractors</th>
<th>Security Clearance Determination Timeliness Metrics for IC Agencies and Elements of the IC</th>
</tr>
</thead>
<tbody>
<tr>
<td>The number of individuals, categorized as government employees and contractors, who held and who were approved for a security clearance as of 1 October 2019, sorted by security clearance level.</td>
<td>i. The time (in days) to process the shortest and longest security clearance determination made among 80 percent of security clearance determinations, and the time (in days) to process, the shortest and longest security clearance determination made among 90 percent of determinations.</td>
</tr>
<tr>
<td></td>
<td>ii. The number of security clearance investigations as of 1 October of the preceding FY that were open for: o 4 months or less o 4-8 months o 8-12 months o More than 1 year</td>
</tr>
<tr>
<td></td>
<td>iii. Percentage of reviews during the preceding FY that resulted in a denial or revocation of a security clearance.</td>
</tr>
<tr>
<td></td>
<td>iv. Percentage of investigations during the preceding FY that resulted in incomplete information.</td>
</tr>
<tr>
<td></td>
<td>v. Percentage of investigations during the preceding FY that did not result in enough information to make an adverse decision.</td>
</tr>
<tr>
<td></td>
<td>vi. The number of completed or pending security clearance determinations for government employees and contractors during the preceding FY that have taken longer than one year to complete, the agencies that investigated and adjudicated such determinations, and the cause of significant delays in such determinations.</td>
</tr>
</tbody>
</table>

(U) Table is UNCLASSIFIED.

1 (U) For the purposes of this report, “USG” includes Non-Title 50 agencies, the Department of Defense (DoD), IC agencies, and elements of the IC.
(U) The National Defense Authorization Act (NDAA) for FY 2018 outlined new data collection and reporting requirements for Executive Branch Departments and Agencies (D/A). These new requirements, along with the existing requirements found in the Intelligence Reform and Terrorism Prevention Act of 2004 (IRTPA) and the IAA for FY 2016, levy substantial data collection and reporting upon D/As. In an effort to standardize data collection and reporting across the Executive Branch, the Director of National Intelligence (DNI), as the Security Executive Agent (SecEA), consolidated all reporting requirements and tasked the D/A heads to collect and report the relevant data. Various D/A heads expressed concerns, as they must alter their internal reporting systems to collect the newly identified metrics, which will require time and resources. While this standardized approach aligns all reporting requirements and minimizes the impact on reporting D/As across the Executive Branch, delays in responses to certain requirements continue; for FY 2019 some delays have been the result of government shutdown. Since some D/As are unable to respond to all metrics requirements, the SecEA will provide initial reporting with available data, and subsequent reporting as additional data becomes available.
(U) **EXECUTIVE SUMMARY**


(U) The first section reports the total volume of individuals across the USG who are eligible for access to classified information, and aligns with the language of 50 U.S.C. 3104. It includes data for the number of individuals who are currently “in access,” as well as those who are eligible but currently “not in access.” In FY 2019, there was a 4.2 percent increase in the cleared population. This change may have resulted from initiatives implemented to reduce the National Background Investigations Bureau’s (NBIB) investigation inventory that impacts mission and operational requirements across the Executive Branch. These initiatives were implemented by the SecEA, the Suitability and Credentialing Executive Agent (SuitEA/CredEA), the Performance Accountability Council (PAC), and other key stakeholders.

(U) The “Security Clearance Performance for IC Agencies and Elements of the IC” data continues to be unavailable for some of the IC elements due to the impact of new reporting requirements levied in the National Defense Authorization Act (NDAA) for FY 2018. As a result of the new requirements, in November 2018 the SecEA announced the upcoming release of a single consolidated metrics reporting requirement for the Executive Branch to standardize and align collection of data outlined in the FY 2018 NDAA, IRTPA and the FY 2016 IAA. Many D/As continue to work on modifying their internal reporting systems to collect the newly identified metrics, which will require time and resources. During the upcoming calendar year, we expect D/As to improve with a more robust collection of reportable metrics. Upon receipt, we will incorporate that additional information into next year’s annual report.

---


(U) Methodology

To report security clearance volume levels, NCSC compiled, processed, and analyzed data from the three security clearance record repositories—ODNI's Scattered Castles (SC), DoD's Joint Personnel Adjudication System (JPAS), and the Office of Personnel Management's Central Verification System (CVS)—and ensured there was no duplication. To fulfill specific reporting requirements of the FY 2010 IAA that were not captured in these repositories, the ODNI is in the process of conducting a data call to collect the appropriate information, which will be provided accordingly.
(U) **SECURITY CLEARANCE VOLUME FOR THE ENTIRE FEDERAL GOVERNMENT**

(U) The FY 2010 IAA requires that the number of individuals who held or were approved to hold a security clearance as of 1 October 2019 be calculated and categorized by personnel type and by security clearance level. The first set of tables, below, provides figures for both FY 2018 and FY 2019. Table 1.1 reflects the total number of individuals “in access,” Table 1.2 reflects those eligible but currently “not in access,” and Table 1.3 reflects the total number of individuals eligible to hold a security clearance, regardless of access status.

(U) To present accurate and detailed information on the number of security clearances, three sets of data are included below in tables 1.1, 1.2, and 1.3, broken out by “Eligible (in access),” “Eligible (not in access),” and “Total Eligible” population categories.

(U) **Table 1.1, Eligible (in access)**, refers to individuals who were investigated and adjudicated favorably and were briefed into access to classified information. As of 1 October 2019, 2,949,756 individuals were eligible and in access, which was 77,522 more individuals than on 1 October 2018 (2.7 percent increase).

<table>
<thead>
<tr>
<th>Employee Type</th>
<th>As of 10/1/18:</th>
<th>As of 10/1/19:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Conf/Secret</td>
<td>Top Secret</td>
</tr>
<tr>
<td>Government</td>
<td>1,079,550</td>
<td>605,873</td>
</tr>
<tr>
<td>Contractor</td>
<td>443,887</td>
<td>435,207</td>
</tr>
<tr>
<td>Other</td>
<td>136,709</td>
<td>171,008</td>
</tr>
<tr>
<td>Sub-Total:</td>
<td>1,660,146</td>
<td>1,212,088</td>
</tr>
<tr>
<td><strong>Total:</strong></td>
<td><strong>2,872,234</strong></td>
<td></td>
</tr>
</tbody>
</table>

(U) Table is U/FOUO.

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

---

(U) **Table 1.2, Eligible (not in access),** refers to individuals, such as those supporting the military, that may be determined eligible due to the sensitivity of their positions and the potential need for immediate access to classified information, but do not have actual access to classified information until the need arises. As of 1 October 2019, 1,294,181 eligible individuals were not in access, which was 91,600 more individuals than on 1 October 2018 (7.6 percent increase).

<table>
<thead>
<tr>
<th>Employee Type</th>
<th>As of 10/1/18:</th>
<th>As of 10/1/19:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Conf/Secret</td>
<td>Top Secret</td>
</tr>
<tr>
<td>Government</td>
<td>1,030,185</td>
<td>93,075</td>
</tr>
<tr>
<td>Contractor</td>
<td>51,820</td>
<td>21,725</td>
</tr>
<tr>
<td>Other</td>
<td>4,775</td>
<td>1,001</td>
</tr>
<tr>
<td>Sub-Total</td>
<td>1,086,780</td>
<td>115,801</td>
</tr>
<tr>
<td>Total</td>
<td>1,202,581</td>
<td></td>
</tr>
</tbody>
</table>

(U) Table is U//FOUO.

(U) **Table 1.3, Total Eligibility,** shows the number of individuals who were investigated and adjudicated favorably and had access to classified information as well as those who were favorably adjudicated but did not have access to classified information. As of 1 October 2019, 4,243,937 individuals were eligible to hold a clearance, which was 169,122 more individuals than on 1 October 2018 (4.2 percent increase).

<table>
<thead>
<tr>
<th>Employee Type</th>
<th>As of 10/1/18:</th>
<th>As of 10/1/19:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Conf/Secret</td>
<td>Top Secret</td>
</tr>
<tr>
<td>Government</td>
<td>2,109,735</td>
<td>698,948</td>
</tr>
<tr>
<td>Contractor</td>
<td>495,707</td>
<td>456,932</td>
</tr>
<tr>
<td>Other</td>
<td>141,484</td>
<td>172,009</td>
</tr>
<tr>
<td>Sub-Total</td>
<td>2,746,926</td>
<td>1,327,889</td>
</tr>
<tr>
<td>Total</td>
<td>4,074,815</td>
<td></td>
</tr>
</tbody>
</table>

(U) Table is U//FOUO.
(U) Table 2, Number of Security Clearance Approvals, presents the number of individuals approved for a security clearance during the FY, by clearance level. Variations in data collection fields within the repositories limit our ability to collect precise data. For instance, a query of the security clearance determination approvals recorded in some repositories cannot distinguish between initial clearance and Periodic Reinvestigation (PR) approvals. As a result, the number of approvals represents a combination of initial clearances and PRs of existing clearances. Within this category, there was a 44 percent increase in the number of security clearances approved since FY 2018.

<table>
<thead>
<tr>
<th>Employee Type</th>
<th>Conf/Secret FY 2018</th>
<th>Top Secret FY 2018</th>
<th>Conf/Secret FY 2019</th>
<th>Top Secret FY 2019</th>
</tr>
</thead>
<tbody>
<tr>
<td>Government</td>
<td>337,734</td>
<td>107,741</td>
<td>470,461</td>
<td>182,062</td>
</tr>
<tr>
<td>Contractor</td>
<td>98,716</td>
<td>100,513</td>
<td>121,941</td>
<td>157,964</td>
</tr>
<tr>
<td>Other</td>
<td>18,409</td>
<td>5,433</td>
<td>23,890</td>
<td>7,820</td>
</tr>
<tr>
<td>Sub-Total:</td>
<td>454,859</td>
<td>213,687</td>
<td>616,292</td>
<td>347,846</td>
</tr>
<tr>
<td>Total:</td>
<td>668,546</td>
<td></td>
<td>964,138</td>
<td></td>
</tr>
</tbody>
</table>
(U//FOUO) As stated above, the data for Section 2 is unavailable for certain IC elements due to new reporting requirements in the National Defense Authorization Act (NDAA) for FY 2018. As a result of these requirements, in November 2018 the SecEA announced a single consolidated metrics-reporting requirement for the Executive Branch to standardize and align collection of the new metrics and those required by IRTPA and the IAA for FY 2016. As previously noted, many D/As are still in the process of modifying their internal reporting systems to collect the newly identified metrics, which will require time and resources. During the upcoming calendar year, we expect D/As to improve with a more robust collection of reportable metrics. We will incorporate that additional information into next year’s annual report.

(U) Table 3, IC Timeliness Performance Trend, presents the total amount of time to process the security determination for Secret cases, Top Secret cases, and PRs within the IC, and was among the 90 percent fastest security clearance determinations made during FY 2019.

<table>
<thead>
<tr>
<th></th>
<th>Initiate (Average Days)</th>
<th>Investigate (Average Days)</th>
<th>Adjudicate (Average Days)</th>
<th>End-to-End (Initiate + Investigate + Adjudicate) (Average Days)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Secret</td>
<td>19 19 19 19</td>
<td>16</td>
<td>30</td>
<td>133 124 131 113</td>
</tr>
<tr>
<td></td>
<td>Goal: 14 Days</td>
<td>40 Days</td>
<td>20 Days</td>
<td>54 47 37 30</td>
</tr>
<tr>
<td>Initial Top Secret</td>
<td>13 12 12 12</td>
<td>80 Days</td>
<td>109 128</td>
<td>133 124 131 113</td>
</tr>
<tr>
<td></td>
<td>Goal: 14 Days</td>
<td></td>
<td></td>
<td>54 47 37 30</td>
</tr>
<tr>
<td>Initial</td>
<td>13 12 12 12</td>
<td></td>
<td></td>
<td>195 Days</td>
</tr>
<tr>
<td></td>
<td>Goal: 15 Days</td>
<td></td>
<td></td>
<td>133 124 131 113</td>
</tr>
<tr>
<td>Periodic Reinvestigations</td>
<td>7 6 4 6</td>
<td>150 Days</td>
<td>30 Days</td>
<td>133 124 131 113</td>
</tr>
<tr>
<td></td>
<td>Goal: 15 Days</td>
<td></td>
<td></td>
<td>195 Days</td>
</tr>
<tr>
<td></td>
<td>133 124 131 113</td>
<td></td>
<td></td>
<td>122 187 179 166</td>
</tr>
</tbody>
</table>

Red Text: Goal Not Met
Blue Text: Goal Met

As of 01/15/2020

(U) Table is UNCLASSIFIED.
(U) **Table 4.1, Total FY 2019 IC Investigation Denials and Revocations**, the total number expressed in percentages of FY 2019 security clearance determinations that resulted in denial or revocation of Secret and Top Secret security cases, broken out by employee category.

<table>
<thead>
<tr>
<th>Percentage of Total IC Clearance Determinations for Government and Contractor Employees Resulting in Denials or Revocations in FY 2019</th>
</tr>
</thead>
<tbody>
<tr>
<td>Approvals</td>
</tr>
<tr>
<td>(b)(3)</td>
</tr>
</tbody>
</table>

(U) Chart is U/FOUO

(U) **Table 4.2: Government Employee FY 2019 IC Investigation Denials and Revocations**

<table>
<thead>
<tr>
<th>Percentage of Clearance Determinations for Government Employees Resulting in Denials or Revocations in FY 2019</th>
</tr>
</thead>
<tbody>
<tr>
<td>Approvals</td>
</tr>
<tr>
<td>(b)(3)</td>
</tr>
</tbody>
</table>

(U) Chart is U/FOUO.
Table 4.3: Contractor Employee FY 2019 IC Investigation Denials and Revocations

Percentage of Clearance Determinations for Contractor Employees Resulting in Denials or Revocations in FY 2019

Denials & Revocations = Approvals

(U) Chart is U/FOUO.

Table 5, Initial Investigations Resulting in Incomplete Information, presents the total number expressed in percentages of FY 2019 investigations that were incomplete due to insufficient information to make an adjudicative decision.

Percentage of Initial Investigations that were Incomplete or did not have Enough Information to Make an Adjudication Decision in FY 2019

Incomplete Information = Not Enough Information = Complete Cases

(U) Chart is U/FOUO.

* (U) This table does not include PRs.
(U) Table 6, Security Clearance Determinations Over 1 Year, presents the total number of IC security clearance determinations by employee category (government and contractor) that required more than one year to complete. The numbers presented below are broken out into two categories of Pending and Completed cases, and two sub-categories of Not Approved and Approved within the Completed category.

![FY 2019 IC Security Clearance Determinations Chart](chart)

(U) Chart is U/FOUO.
CONCLUSION

(U) Efforts to improve the timeliness, quality, and consistency of investigative and adjudicative processes have focused on better management of the size of the cleared population and reduction of the size of the NBIB investigations inventory. In FY 2019, the number of security clearance approvals increased by 44 percent, and the cleared population increased by 4.1 percent. These increases appear to reflect IC agencies’ continued response to DNI guidance and are the result of initiatives implemented to mitigate and significantly reduce NBIB’s investigation inventory.

(U) Both Executive Branch D/As and IC personnel security programs are challenged by the uncertainty of future budgets, furlough, and the increasingly competitive marketplace for background investigators and polygraphers. The ODNI, in partnership with the PAC and DoD, is committed to addressing these challenges while driving Executive Branch improvements in the timeliness, quality, and consistency of investigative and adjudicative processes.