



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

### Goal Leaders

Daniel Coats, Director of National Intelligence, Office of the Director of National Intelligence

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## Goal Statement

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

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



## Urgency

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





## Goal Leaders:

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

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

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





# Goal Structure

## Goal

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

<p>1</p>  <p>Trusted Workforce</p>	<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>
<p>2</p>  <p>Modern Processes &amp; Processes</p>	<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>
<p>3</p>  <p>Secure and Modern Mission-Capable IT</p>	<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>
<p>4</p>  <p>Continuous Performance Improvement</p>	<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

NBIB Reduces Background Investigation Inventory by 18%. Through the implementation of measures approved by the Security Executive Agent (ODNI) and Suitability and Credentialing Executive Agent (OPM) and internal business process improvements, NBIB has now reduced the background investigation inventory from a high of 725,000 in June to 594,000 in December. Reductions are expected to continue as policy changes are implemented.

ODNI Issues Policy Mandating Government-wide Reciprocity of Background Investigations. On November 9<sup>th</sup>, the Security Executive Agent issued policy for the reciprocity of background investigations and national security adjudications. The policy aligns and establishes the requirements for reciprocal acceptance of background investigations and national security adjudications for initial or continued eligibility for access to classified information or eligibility to hold a sensitive position. It will improve mission readiness through an efficient, timely, and effective security clearance process that supports the Federal Government's ability to recruit and mobilize top talent where and when needed.

OPM issues New Training for Suitability and Fitness to Promote Reciprocity. The Suitability Executive Agent (OPM) joined the Department of Defense (DoD) Defense Civilian Personnel Advisory Service **to amend the training objectives of the National Training Standards for Suitability Adjudicators to respond to requests for suitability training that could be offered to fitness and other adjudicators.** After socializing the new training objectives with all stakeholders, OPM used the new standards to reformulate its reimbursable training. In July, OPM began offering a new class, *Fundamentals of Suitability Adjudication for Suitability and Fitness Adjudicators*. Expansion of this offering resulted in more adjudicators being trained in the final quarter than in the previous three quarters combined, promoting reciprocity by increasing the use of like standards across agencies.

NBIB Partners with Customer Agencies and Industry to Create Efficiencies. NBIB has partnered with customer agencies and industry to target high volume geographical areas, centralize investigative workforce, and automate processes. These initiatives have improved efficiencies through a reduced the level of effort to complete investigative elements, such as travel time, and improved the partnerships between the Government and industry to meet a common mission. Additionally, NBIB is in collaboration with the Uniformed Military Services to pilot the Trusted Information Provider (TIP) Program, an initiative aimed at reducing duplication of information previously collected during the recruitment process. When implemented, the TIP Program will further improve the timeliness, efficiency, effectiveness, and cost of a Federal background investigation.





# 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	Began analysis of requirements consistent with the Trusted Workforce 2.0 effort.





# Key Milestones

## Sub-Goal 2: Modern Policies & Processes

- Challenge: The SSC community faces an ever-changing global environment with an increasing mobile workforce, emerging global threats, and advancements in cutting-edge technology and innovations.
- Theory of Change: To successfully modernize our processes, the SSC community must develop agile capabilities that integrate the latest innovative technologies to facilitate continuous vetting of more of our trusted workforce and promote delivery of real-time information to the appropriate SSC professional responsible for making risk-based decisions.

Milestone Summary				
Key Milestones	Milestone Due Date	Milestone Status	Owner	Recent Actions
Issue updated standards for denying, suspending, and revoking Federal credentials.	Jun-2018	Missed	OPM	OPM issued draft policy to PAC Principals for concurrence in December 2018.
Establish standards and requirements for Trusted Information Providers to provide shared data with Investigative Service Providers.	Oct-2018	Missed (Previously On Track)	ODNI, OPM	Policy draft developed but delayed one quarter to harmonize standards with the Trusted Workforce 2.0 effort.





# Key Milestones

## Sub-Goal 2: Modern Policies & Processes

<b>Milestone Summary</b>				
<b>Key Milestones</b>	<b>Milestone Due Date</b>	<b>Milestone Status</b>	<b>Owner</b>	<b>Recent Actions</b>
Issue Executive Branch-wide reciprocity policy for national security/sensitive positions.	Dec-2018	Complete (Previously On Track)	ODNI	Policy released November 9, 2018.
Refine standards and guidelines under the new Federal vetting approach.	Dec-2018	On Track	ODNI, OPM	Completed first draft of new approach policy as part of the Trusted Workforce 2.0 effort.
Develop quality standards for adjudicative determinations and expand quality tools to include adjudications.	Jul-2019	On Track	ODNI, OPM	Reviewed research regarding methodologies to improve quality of adjudications.
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 (Previously On Track)	OPM	Developed and provided a recommendation as part of the Trusted Workforce 2.0 efforts and began incorporating feedback into the new approach policy documents.







# Key Milestones

## Sub-Goal 2: Modern Policies & Processes

Milestone Summary				
Key Milestones	Milestone Due Date	Milestone Status	Owner	Recent Actions
Reduce the inventory of background investigations to a steady and sustainable state.	Mar-2021	On Track	NBIB, ODNI, OPM	NBIB continues to implement measures approved by the Executive Agents to reduce and mitigate the background investigation inventory, which has now reduced from 725k to 594k.
Stand up DoD background investigation capability and complete phased transition of cases from NBIB to DoD.	Oct-2021	On Track	DoD	Transfer plan complete and under legal review and first draft of implementation plan complete.
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 completed high-level business process efforts and began lower-level decomposition efforts.





# Key Milestones

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

- Challenge: The end-to-end SSC process relies heavily on data sharing and information technology (IT) to operate efficiently, effectively, and securely.
- Theory of Change: The SSC mission must develop and deploy a modern, secure, and mission-capable, end-to-end digital environment that builds on a foundation of government-wide standards, promotes interoperability and information sharing, and collaboration across the SSC community.

### Milestone Summary

Key Milestones	Milestone Due Date	Milestone Status	Owner	Recent Actions
Implement a shared unclassified record repository to store background investigation and adjudication history.	Oct-2019	On Track	DoD, NBIB, ODNI, OPM	Completed system rollout of DISS to all DoD users, including Industry. DISS rollout to SSA is pending, and the process of rolling out to Treasury and Labor is underway.
Implement a new electronic Application shared service capability and continue to make iterative improvements.	Oct-2019	On Track	DoD, NBIB, ODNI, OPM	Initial pilot capability deployed into production for limited population (Army).
Implement a shared service to provide an unclassified information exchange for ready and efficient access to data, and continue to make iterative improvements.	Oct-2019	On Track	DoD, NBIB, ODNI, OPM	Contract awarded and development work started as part of NBIS.





# Key Milestones

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

<b>Milestone Summary</b>				
<b>Key Milestones</b>	<b>Milestone Due Date</b>	<b>Milestone Status</b>	<b>Owner</b>	<b>Recent Actions</b>
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	Initial pilot capability deployed into production for limited population (Army and OPM).
Implement a shared service capability that supports the development of background investigation reports, and continue to make iterative improvements.	Oct-2019	On Track	DoD, NBIB, ODNI, OPM	Contract awarded and development work started as part of NBIS.
Implement a shared service capability that supports the adjudication of background investigations, and continue to make iterative improvements.	Oct-2019	On Track	DoD, NBIB, ODNI, OPM	Deployment of adjudication management capability to SSA is pending and efforts to coordinate with Treasury are underway. eAdjudication capability modified to improve performance.
Implement a shared service capability that supports security or suitability manager functions that take place after adjudication (e.g. reciprocity, visit requests), and continue to make iterative improvements.	Oct-2019	On Track	DoD, NBIB, ODNI, OPM	Completed system rollout of DISS to all DoD users, including Industry. DISS rollout to SSA is pending and the process of rolling out to Treasury and Labor is underway.





# Key Milestones

## Sub-Goal 4: Continuous Performance Improvement

- Challenge: The SSC has faced challenges in monitoring performance and identifying and driving enterprise-level enhancements to policy, oversight, and operational processes.
- Theory of Change: To initiate the necessary culture shift across the enterprise, the SSC community must institutionalize and integrate a continuous performance improvement model that will establish outcome-based performance metrics and measures; inform policy, process, and technology with empirical-based decisions; and continuously evaluate its performance and identify efficient and effective ways to perform its mission.

Milestone Summary				
Key Milestones	Milestone Due Date	Milestone Status	Owner	Recent Actions
Improve public transparency of progress and performance.	Apr-2019	On Track	PAC PMO, ODNI, OPM	Release of Q4 key indicators (see slides 14- 22). Participating with industry on effort to gather reciprocity data.
Improve decision-making by increasing access to research findings across the Executive Branch.	May-2019	On Track	PAC PMO, ODNI, OPM	Finalized six projects, including projects on falsification in the background investigation process and improving SF-86 questions. Kicked off new efforts, including projects on improving access to criminal history records, exploring machine learning, and evaluating the economics of the ecosystem.
Continue to mature the research & innovation program to support SSC priorities.	Oct-2019	On Track	PAC PMO, ODNI, OPM	Initiated efforts for FY19 Research & Innovation program at PAC PMO.





# Key Indicator: Portfolio

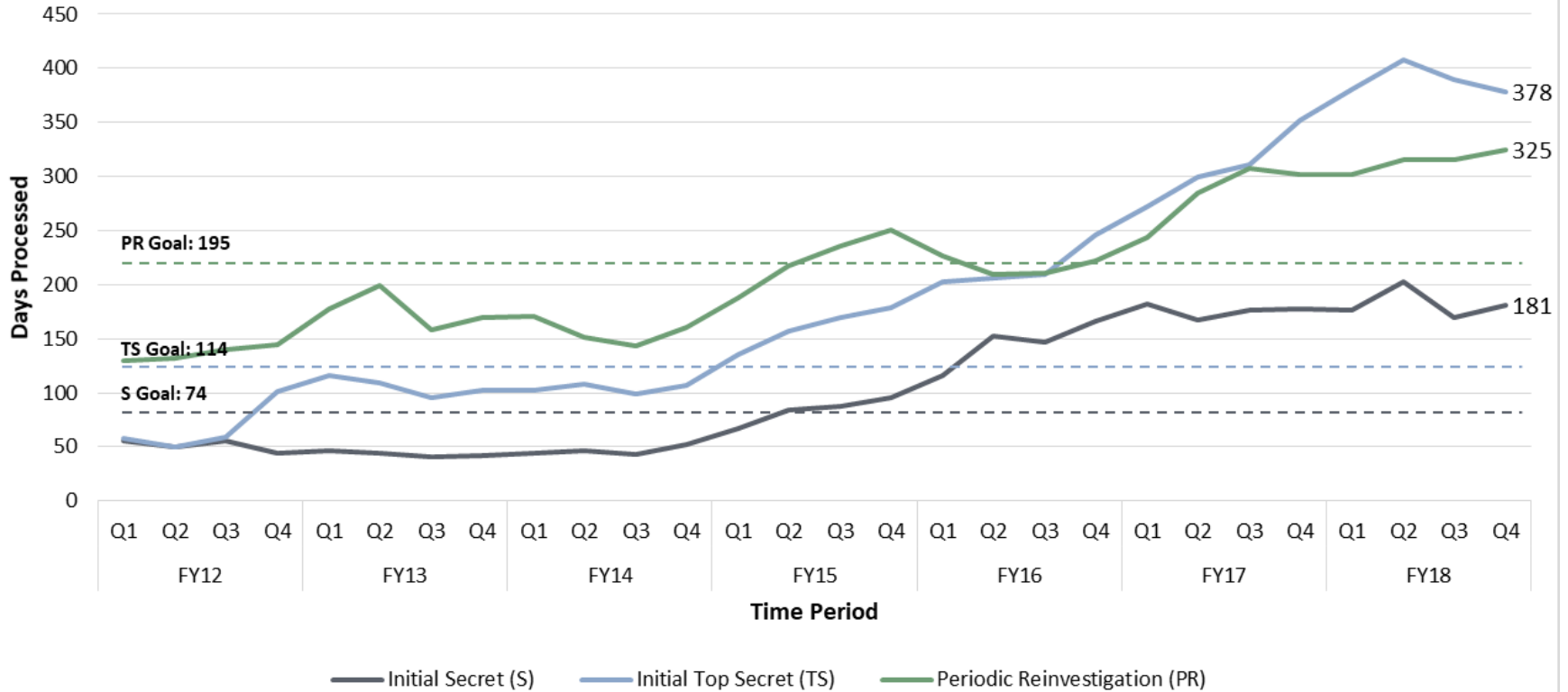
Focus Area	Key Indicator Title	Description
Timeliness	End-to-End Process Timeliness (2 slides)	Average number of days to complete end-to-end processing for the national security population
Volume	NBIB Investigations Inventory	Total inventory of pending NBIB investigations by anticipated workload effort
	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 <b>personnel enrolled in the Department's Continuous Evaluation (CE) Program</b>
	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





# 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)

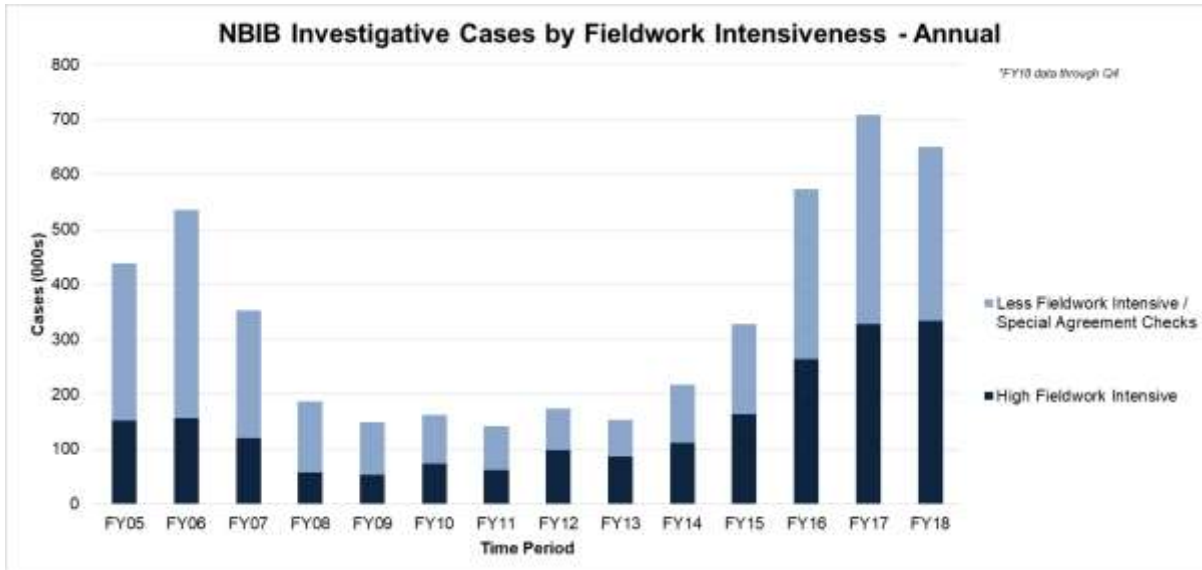
Fastest 90% →

		Fastest 90% →												End-to-End (Initiate + Inv. + Adj.)					
		Initiate				Investigate				Adjudicate				Average Days					
		Average Days				Average Days				Average Days				Average Days					
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4		
100%		18	18	18	18	18	18	18	18	18	18	18	18	18	18	18	18		
Initial Secret Cases	Volume	Goal: 14 Days				40 Days				20 Days				74 Days					
	344,920	11	13	10	10	142	162	126	141	23	28	33	30	176	203	169	181		
Initial Top Secret Cases	Volume	Goal: 14 Days				80 Days				20 Days				114 Days					
	99,084	20	20	21	20	333	345	340	318	26	42	29	40	379	407	390	378		
Periodic Reinvestigations	Volume	Goal: 15 Days				150 Days				30 Days				195 Days					
	198,943	26	26	18	19	249	253	271	273	27	36	27	33	302	315	316	325		
												Red Text: Goal Not Met				Green Text: Goal Met			



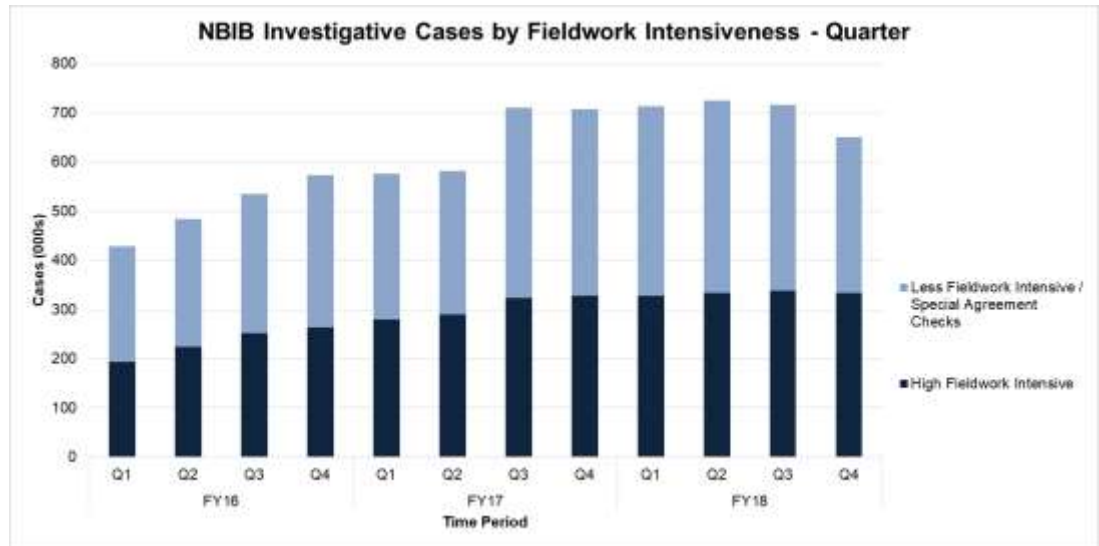


# Key Indicator: NBIB Investigations Inventory



**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.



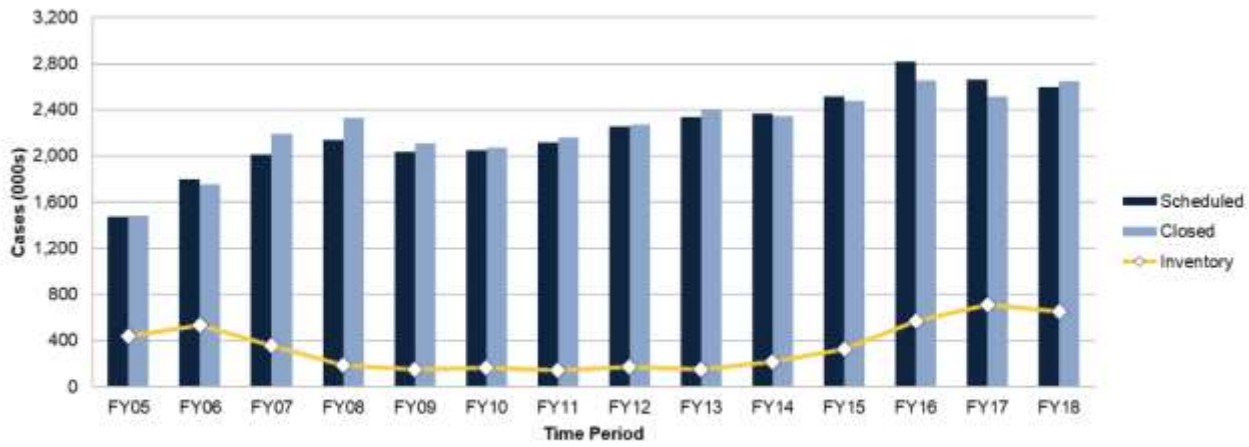




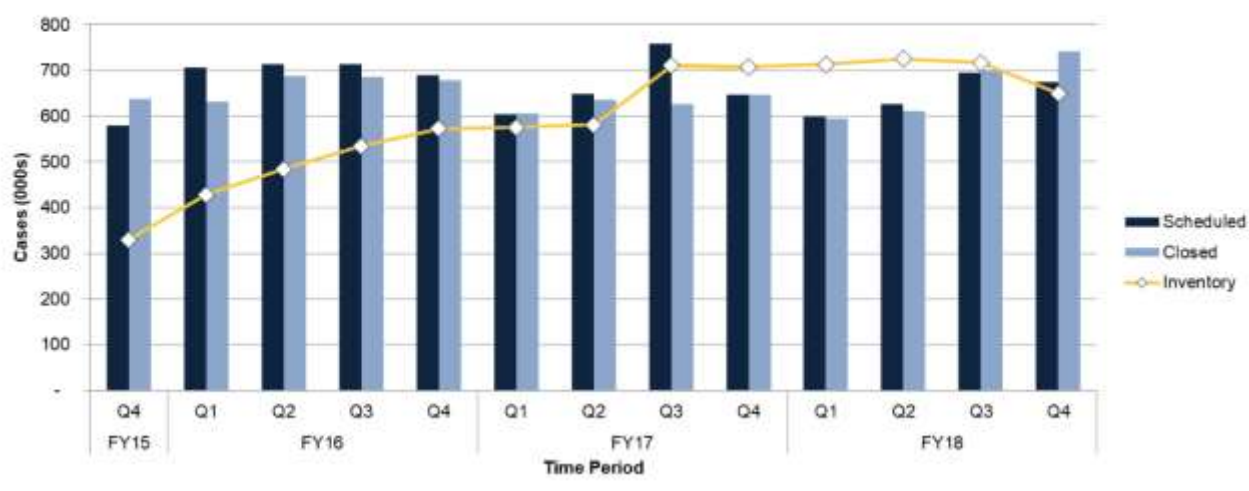
# Key Indicator: NBIB Investigations Case Flow

### NBIB Cases Scheduled and Closed - Annual

FY18 data through Q4



### NBIB Cases Scheduled and Closed - Quarter



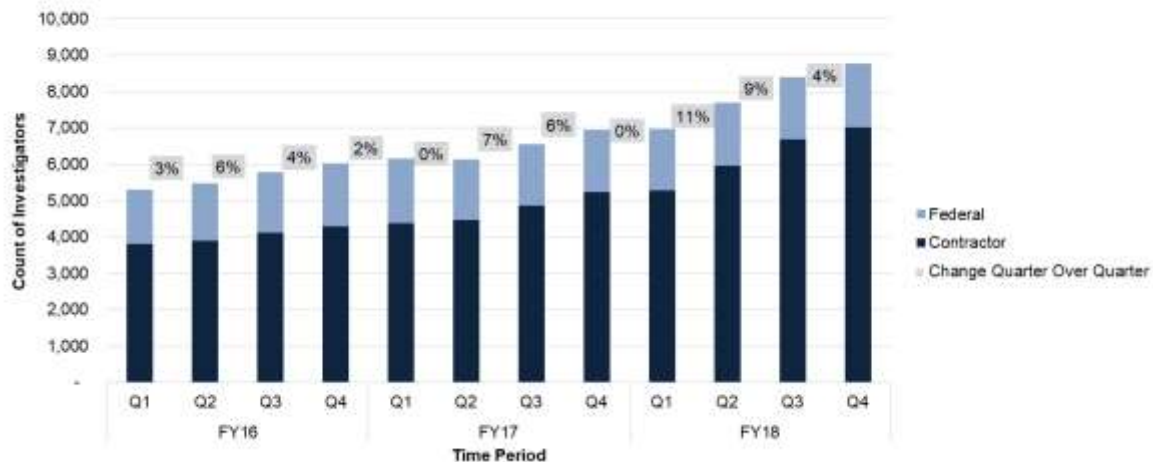


# Key Indicator: NBIB Investigator Headcount

### NBIB Investigator Headcount - Annual

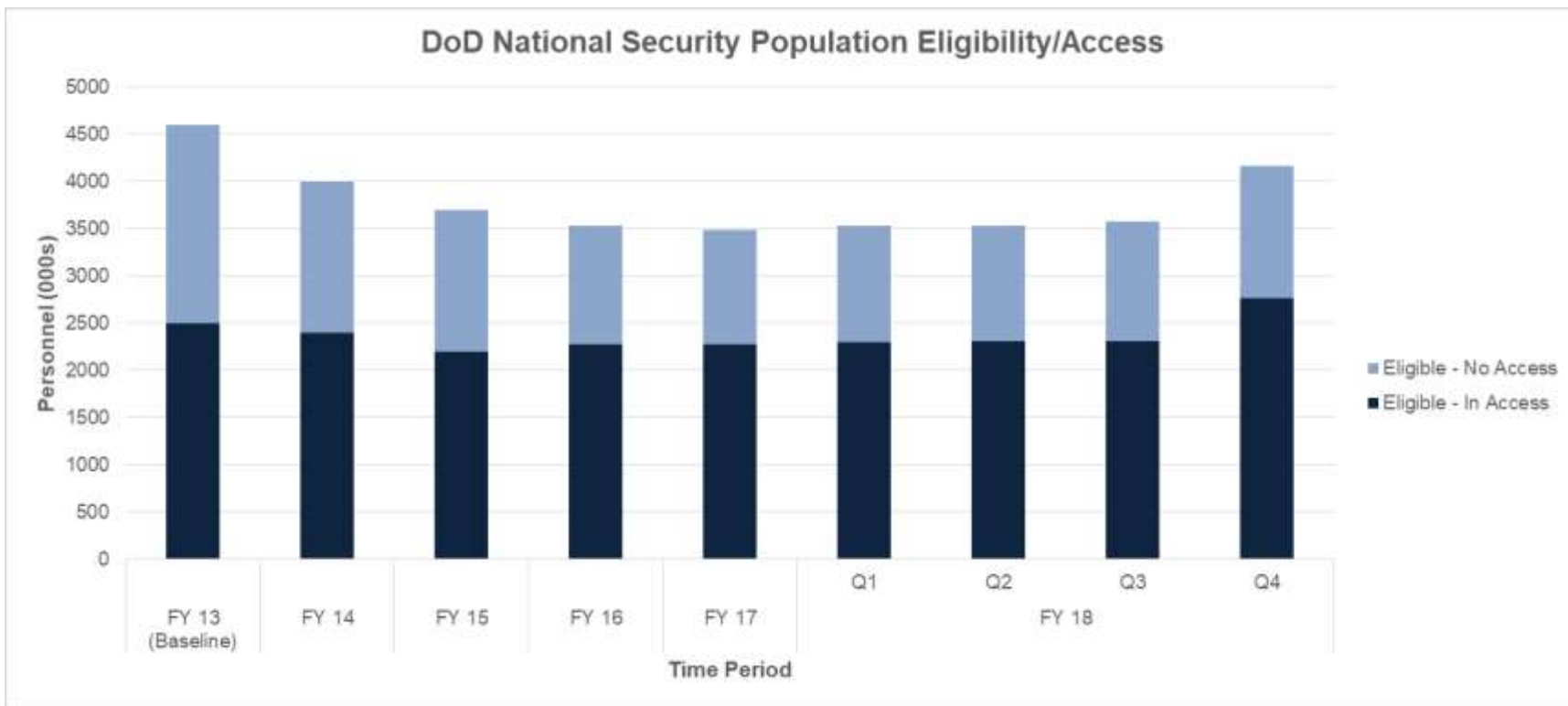


### NBIB Investigator Headcount - Quarter





# Key Indicator: DoD National Security Population Eligibility & Access

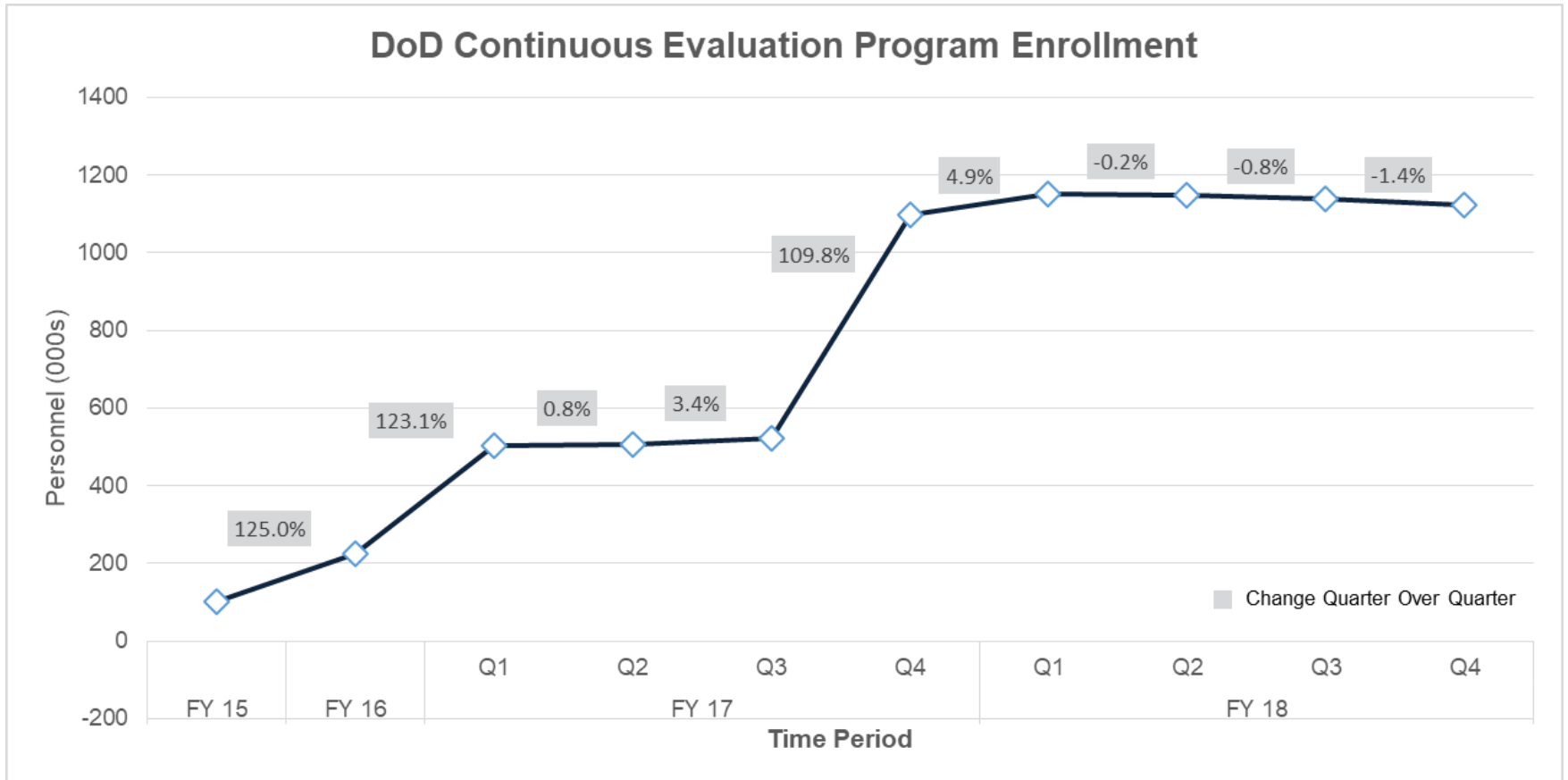


	Change in DoD Clearance (in thousands)									Number Decreased (from baseline)	FY13-FY18Q4 % Change
	FY13 (Baseline)	FY14	FY15	FY16	FY17	FY18Q1	FY18Q2	FY18Q3	FY18Q4		
<b>Eligible - In Access</b>	2500	2400	2200	2280	2280	2300	2310	2311	2760	260	10%
<b>Eligible - No Access</b>	2100	1600	1500	1250	1210	1230	1220	1266	1399	-701	-33%
<b>Total</b>	4600	4000	3700	3530	3490	3530	3530	3577	4159	-441	-10%





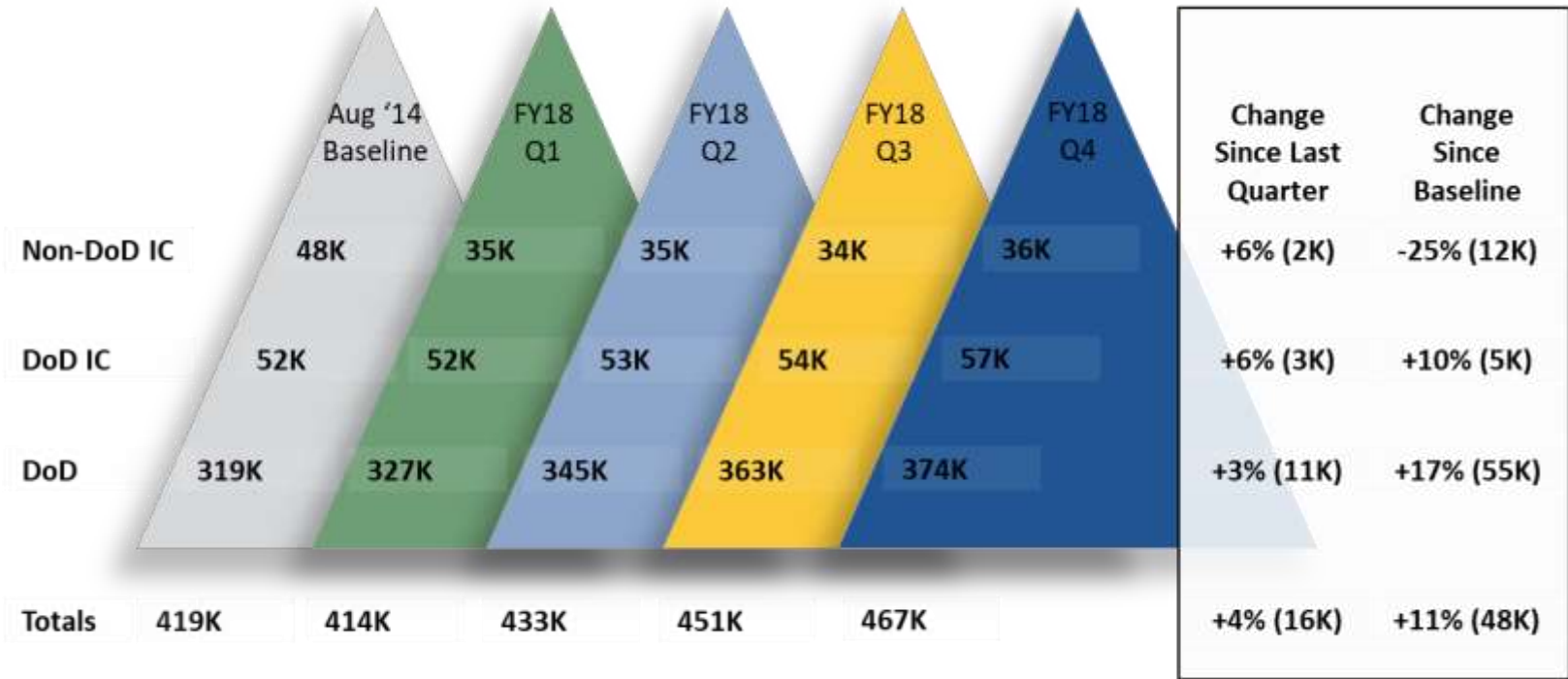
# Key Indicator: DoD Continuous Evaluation Enrollment





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

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



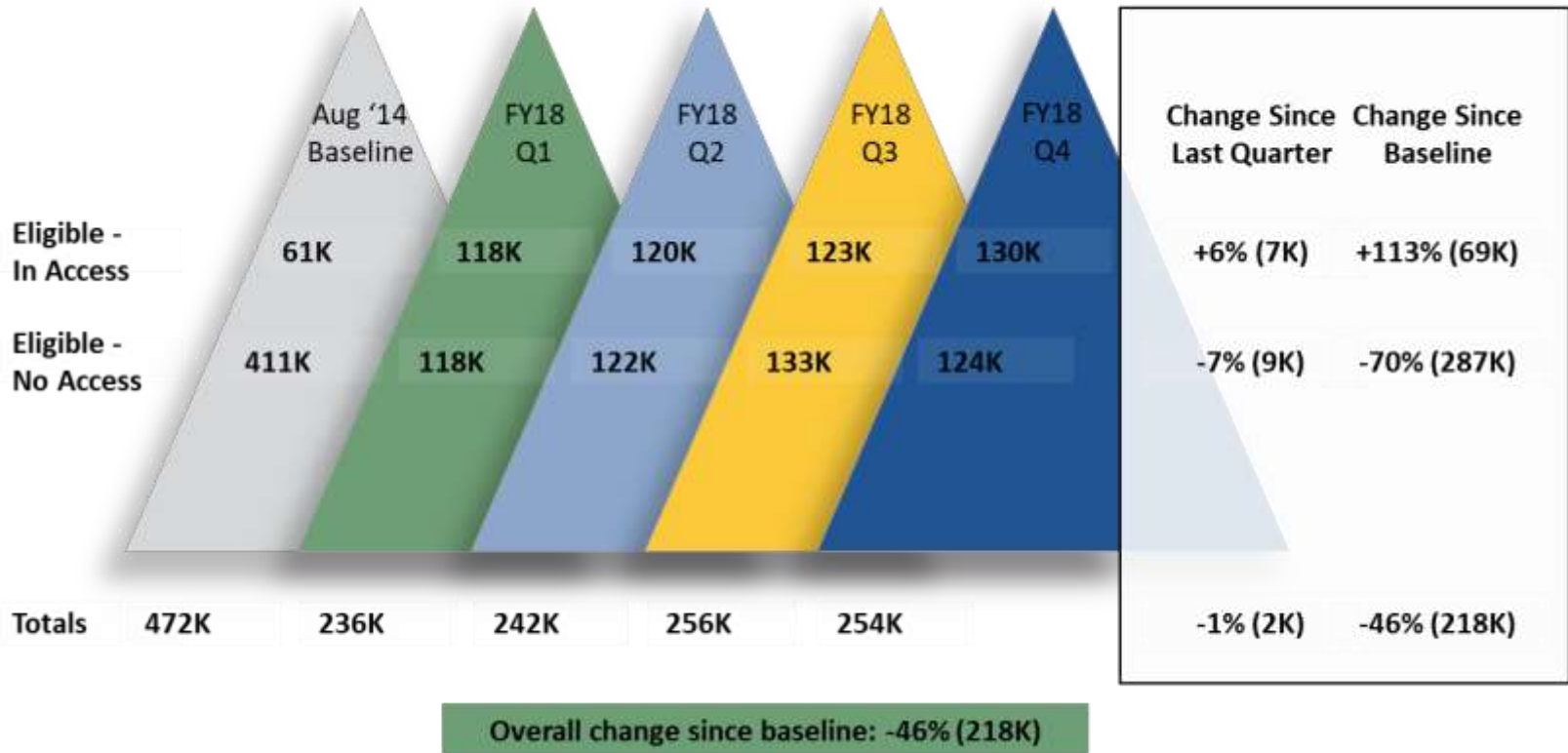
Overall change since baseline: +11% (48K)





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

DoD Secret Out of Scope Population





## PAC Member Agencies

- Office of Management and Budget
- Office of Personnel Management
- Department of Energy
- Department of Justice
- Department of the Treasury
- General Services Administration
- National Background Investigations Bureau
- Office of the Director of National Intelligence
- Department of Defense
- Department of Homeland Security
- Department of State
- Federal Bureau of Investigation
- National Archives and Records Administration
- National Security Council

## PAC Ex Officio and Other Contributing Agencies

- Agency for International Development
- Department of Agriculture
- Department of Health & Human Services
- Department of Labor
- Drug Enforcement Administration
- National Geospatial-Intelligence Agency
- National Security Agency
- Social Security Administration
- Central Intelligence Agency
- Department of Commerce
- Department of Housing & Urban Development
- Department of Transportation
- Environmental Protection Agency
- National Reconnaissance Office
- Nuclear Regulatory Commission
- Defense Intelligence Agency
- Department of Education
- Department of Interior
- Department of Veterans Affairs
- National Aeronautics & Space Administration
- National Science Foundation
- Small Business Administration





CE – Continuous Evaluation

DDM – Deputy Director of Management

DNI – Director of National Intelligence

DoD – Department of Defense

EA – Executive Agent

EIB – Enterprise Investment Board

IRTPA – Intelligence Reform and Terrorism Prevention Act of 2004

IT – Information Technology

NBIB – National Background Investigative Bureau

ODNI – Office of the Director of National Intelligence

OMB – Office of Management and Budget

OPM – Office of Personnel Management

PAC – Performance Accountability Council

PMO – Program Management Office

SSC – Security, Suitability/Fitness, and Credentialing

SecEA – Security Executive Agent

Suit & CredEA – Suitability & Credentialing Executive Agent

USD(I) – Under Secretary of Defense for Intelligence

