

National Industrial Security Program Policy Advisory Committee (NISPPAC)

Meeting Minutes

November 15, 2018

The NISPPAC held its 60th meeting on Thursday, November 15, 2018, at the National Archives and Records Administration (NARA), 700 Pennsylvania Avenue, NW, Washington, DC. Mark Bradley, Director, Information Security Oversight Office (ISOO), served as Chair. The minutes to this meeting were certified on March 11, 2019.

I. Welcome:

The Chair welcomed everyone, and reminded participants that this was a public meeting and was being recorded. The Chair recognized Quinton Wilkes as the new industry spokesperson and welcomed the two new industry representatives, Rosael Borrero and Cheryl Stone. In addition, the Chair welcomed the two new government members, Christine Gunning from the Department of Justice (DOJ) and Michael Scott from the Department of Homeland Security (DHS). Finally, the Director thanked Steve Lynch of DHS and Anna Harrison, for their service to the NISPPAC. He also noted that Heather McMahon of the Department of Defense (DOD) is no longer serving on the NISPPAC and has not been replaced. The Chair turned to Greg Pannoni, NISPPAC Designated Federal Official (DFO), to address administrative items and old business.

II. Administrative Items

Mr. Pannoni informed that all of the committee members should have received the presentations and handouts in electronic format prior to the meeting and that the transcript, along with the minutes and presentations for this meeting, would be posted to the ISOO website. He also mentioned that NISPPAC meeting announcements are posted on the federal register, approximately 30 days prior to the meeting.

III. Old Business

Action Items from Previous Meetings

Mr. Pannoni addressed and provided updates to the NISPPAC action items from the July 19, 2018 meeting;

- Industry was to meet with Defense Security Service (DSS) to seek more clarity on the use of consultants and security services that continue to support small business.
STATUS: OPEN. While there have been informal discussions, the meeting between DSS and industry is still pending.
- DSS and ISOO were going to have a discussion with the directors and secretaries of federal executive branch agencies that are responsible for the implementation of Controlled Unclassified Information (CUI).
STATUS: OPEN. ISOO and DSS had a meeting regarding DSS' role in overseeing the implementations of the CUI program for the defense industrial base on behalf of DoD. DSS has a draft plan that is very close to finalization.

- NBIB was to provide information on companies that are going to participate in a pilot program. Part of what is being considered is to establish base lines from what information is already being gathered by industry.
STATUS: CLOSED. This issue was discussed during the November 15, 2018 NISPPAC meeting.
- The Insider Threat Working Group was going to meet before the next NISPPAC meeting.
STATUS: CLOSED. The meeting was held on October 30.
- Industry requested a debrief from ISOO on a meeting held with the CSA's on the processing of National Interest Determinations (NIDs).
STATUS: OPEN: This meeting was not held, but plans are for a December meeting on said topic.
- ISOO inquired about the obstacles to obtaining sponsorship for eMASS training, and who is the authority for the sponsorship.
STATUS: CLOSED. These issues were later discussed during Keith Minard's presentation.
- There was a question as to why some companies have been receiving notices that de-establishes their ATO authorization to operate.
STATUS: CLOSED. These letters are used for a variety of reasons, and each DATO is an independent decision.

IV. Reports and Updates

NBIB update (Attachment 2)

Charles Phalen, NBIB, provided an update on the security clearance numbers, noting that several reports stated the number is much higher than it actually is. The numbers revealed that as of that Monday, (November 12), the total inventory of pending investigations for clearance determinations stood at about 630,000 which is 100,000 less than it was at springtime earlier this year.

Mr. Phalen mentioned that the other factor in the clearance process is timeliness. He acknowledged that the timeliness figures were disappointing, but added that NBIB is closing out a substantial number of investigations older investigations.

Mr. Phalen advised that NBIB has rebuilt their investigative capacity to 8,800 people. He also discussed the pilot program, which has worked out well with some of the government organizations, such as DOE, Air Force, Navy, and DoD. The first two hubs with Industry, which were pilots are now going mainstream. Mr. Phalen extolled Trusted Workforce 2.0, (TW 2.0) which is revisiting the policies of investigations. He also mentioned that NBIB has been working with a number of companies, and have put together a draft of how TW 2.0 will work.

Caroline D'Agati, Industry questioned the number of clearances that were reported at the meeting and Mr. Phalen stated that the total inventory of clearances is closer to 500,000. Leonard Moss, Industry, inquired as to where the hubs are listed and Mr. Phalen replied that NBIB is reaching out to industries that have locations within that area. Lindy Kyser, Industry, followed up with a question on the disparity of the numbers and Mr. Phalen explained that part of the problem with the report is the way they were asked the questions by legislation, which

caused them to write the answers the way they are viewed in the Secret Act, but not all of those numbers are discreet. Mr. Phalen was going to reach out to Ms. Kyser to go into greater explanation about the numbers subsequent to the meeting.

NISS Update (Attachment 3)

Ryan Deloney, DSS, provided an update on the National Industrial Security System (NISS), noting they have enjoyed great success since the last meeting. NISS successfully deployed on October 8 for both industry and government users. As of November 14, they were looking at 6,500 users, of which there are about 5,000 unique users. In addition, there have been over 400 facility clearance sponsorships submitted.

Among the comments that NISS has received is to provide more training as well as developing more job aids. With the new system, it is easy to submit and track the facility clearance request. In addition, NISS is determining what trends and issues exist. Mr. Deloney mentioned that the new system is more pro-active than in the past. In the automated notifications, the sponsoring company receives emails, as well as an update on the information. NISS will be using this for the PSI projection survey that was done in EFCL. This capability will be deployed sometime in early 2019. They are also looking at how they can enhance the system reporting, whether it is suspicious contact reports or security violations.

A key point in the NISS is the establishment of an operational requirements committee, consisting of participants from industry and government to review the backlog. This group would begin to prioritize as a community, and then start addressing those capabilities. This process is being finalized with a meeting planned for December. Mr. Deloney reminded participants that they can access the system through EnCare, which is a separate application that DSS hosts. He added that the turn-around time for government accounts should be rapid, and with the industry side, it is sent to the industrial security representative and may take a couple of days. The main technical issue is that they have encountered some system latency, and there is team working to resolve that issue.

Defense Manpower Data Center (DMDC) update

Sandra Langley, DMDC, provided an update on the DoD Information System for Security (DISS). As of October, 2018, DMDC has completed building DISS phase one, and they have actively provisioned over 5,000 users. DMDC is contacting those that were not auto-provisioned, and have notified all but 8% of the users.

Ms. Langley mentioned they are encountering a large rejection rate with only approximately one-third of the packages being approved. In addition, she stated that there is a large group of security management offices that did not have an active account manager in the JPAS (Joint Personnel Adjudication System), and they are working with DSS to contact those security management offices. She mentioned that at the present time, people need to maintain accounts in both DISS and JPAS, and that users are provisioned correctly. She added that DSS is assisting in an incremental phased transition, from JPAS capabilities to DISS which will provide information in the transition process.

Kim Baugher, State Department, inquired if non-DoD agencies would be able to access the DISS. Ms. Langley replied DISS and JPAS are still limiting who will gain access to the systems, and added that she looks forward for additional federal adopters. One of those systems supported by DMDC will transition to the end of the contract, and DMDC will be following their lead for federal adopters. She added that Sheldon Soltis, National Background Investigation System (NBIS) would discuss this issue during the following presentation.

Mr. Wilkes inquired if it was possible to set up a meeting so that DMDC can collaborate with all of the non-DoD agencies. Ms. Langley replied in the affirmative, stating that there is a campaign underway by DSS to reach out to federal partners to have discussions on shared services. Patricia Stokes, DVD (Defense Vetting Directorate) interjected that her office will be assuming the national background investigation mission, and that they are the functional requirements lead. She added that all questions concerning this matter should be sent to her.

NBIS update (Attachment 4)

Mr. Soltis provided a slide presentation on the NBIS. He reminded the participants that his organization provides the Information Technology, but is not part of making policy decisions. He referred to the slide which illustrated position designations and that they are the functional requirements lead. He also referred to the eApplication, which is better known as eApp which is the replacement for the SF 386. There is also another application which will be a replacement for EQUIP.

Mr. Soltis explained that NBIS is different than most DoD applications as it is part of the agile project within DoD. They want to use agile methodology to do the development for NBIS. There is currently a large project of 10 teams working on the Investigation Management (IM) portion of it as well as a team working on eApp. Agile is a methodology that produces software faster and directly to the user needs versus building to documentation. Currently, they are focused primarily on the IM capability.

Mr. Soltis discussed DevOps, and he stated they are moving into the cloud environment in March of 2019, which will integrate the development security and operation environment. There will also be a release in March of the cloud and other functionalities. He concluded that the information on the slide, may or may not hold, depending on what kind of requirements there are and what kind of priorities change. Ms. Stokes, added that they are working diligently towards the desired goal, but there is a lot of work to do in the business office with all of the components being able to deploy this. She concluded with the observation that the road map and true capability and delivery schedule is under development.

DOD update

Valerie Heil, DoD, provided several updates. First, DoD is establishing a personal vetting transformation office (PVTO) which will support planning and enable execution both for transferring background investigations to DSS and reforming the personal vetting enterprise.

Secondly, the FY 19 National Defense Authorization Act, included Section 842, stating that by October, 2020, the Secretary of Defense would not have to require NIDs for access to proscribed information. The ownership is referred to as National Technology and Industrial Based (NTIB)

Companies. Concerning what constitutes a NTIB company, they are U.S. companies owned by Canada, Australia, and the UK. Currently, DoD is evaluating legislation on how to implement it as a DoD policy and in consultation with ISOO and the other four NISP cognizance security agencies CSAs).

Thirdly, the NISPOM issuance draft is currently in DoD coordination. Then, they must receive concurrence from the other four CSAs. Ms. Heil added that they are at least two years away from publication.

Lastly, Ms. Heil discussed NISPOM Change 3.. Last month, DoD provided a draft industrial letter to the NISPPAC for comment. The main obstacle at this point is foreign travel reporting requirements. Dennis Keith, industry, inquired if there is a newly established technology protection taskforce. Ms. Heil replied that there is a critical technology protection task force that's been established for DoD under the direction of the Deputy Secretary. Ms. Heil is going to take it back and provide feedback about what the taskforce considers about how it will interact with industry. One possibility is more periodic round tables. Mr. Keith also asked about the new Defense Federal Acquisition Regulations (DFARS) requirements. Ms. Heil was going to take that back as well to her acquisition colleague who handles the DFAR. Robert Harney, industry, inquired if there would be any variations to the themes that are coming out of Air Force or Navy as well as how to handle cyber threats. Ms. Heil is going to take that back as well.

Industry presentation (Attachment 5)

Mr. Wilkes provided the industry update with a slide presentation. Mr. Wilkes stated that industry is concerned about variances in implementation from one field office to the next. He is also concerned about how CUI contracts will be distinguished from the government. Industry is also concerned about the small businesses and the impact on the supply chain.

Mr. Wilkes acknowledged that there are new systems and that industry is concerned with the ability to obtain access to these systems in a timely manner. In one slide, Mr. Wilkes verified that industry is still waiting for the implementation information regarding foreign travel reporting under Continuous Evaluation (CE). Another slide revealed that industry is waiting for more clarification on the information of the advisory committee on industrial security and industrial base policy.

Mr. Bradley observed that in the two years he has served as ISOO director, that the same concerns are voiced repeatedly. Mr. Wilkes replied that he is seeking more engagement with government. Mr. Bradley suggested that perhaps they should schedule a meeting and address one particular topic that is of vital concern to industry. Mr. Pannoni agreed and mentioned that many of these issues remain unresolved and suggested that the committee take advantage of the expertise on both government and industry members and put it to good use. Mr. Bradley reiterated that he would like to get answers to the long-time outstanding issues while respecting the legitimate concerns on both sides. Mr. Pannoni suggested a program resolution meeting because of the volume of issues that are unresolved in an attempt to get more clarity on these unresolved issues.

DSS update

Mr. Minard commenced the DSS presentation by stating that it has been a slow process for the NISP contract classification system. Their service partners are Army, Air Force, and Navy. He added that with Industry, the process begins with the DD 254. The system itself will generate the 254 from the prime contractor and send it by email.

Mr. Minard mentioned that they do have a Defense Logistics Agency (DLA) helpdesk. There is also an email address on their website to help address operational issues outside to what DLA provides. People also have the option to dial the DSS knowledge center. Mr. Minard stated that what is needed at the present time is a discussion of the issues that need to be addressed in the future through helpdesk or knowledge center. The second issue is the advisory committee, and that DSS is in the process of working nominees for both government and industry, primary and alternate. Mr. Minard added that over the time period of the last two NISPPACs that DSS has been working on the operations side of the house and there was going to be a meeting in early December with Michelle Sutphin, Industry. There was also going to be a meeting with 12 additional industry partners to further address those issues for small businesses, security consultants and security services.

In addition, Mr. Minard mentioned that DSS is in the final stages of recommendations and plans for CUI. It is scheduled to go to the OUSD(I) based on the May, 2018 memo and they are working it with their government partners. Mr. Minard stressed that DSS is the functional manager, and when they start reaching out for CUI and Industry as partners, this will be a component of that. In the very near future, DSS will start looking for the right industry partners as they work towards the process. Lastly, Mr. Minard reminded the audience that USA Learning is in a state of transition and that information is being posted on the Center for Development of Security Education (CDSE) website.

Defense Vetting Directorate (DVD) DSS Update

Ms. Stokes, mentioned that DVD is anxiously awaiting the incoming executive order as they continue to move forward in planning with their NBIB partners. In particular, DVD is focusing on the transformation aspects of the transition. DVD is handling all of the transfer activities, to include the DoD Consolidated Adjudication Facility (CAF) as well as small portions of the DMDC. All of these entities will be transferring to the DSS.

Ms. Stokes added that they are supporting and participating in the Trusted Work Force 2.0 initiative. Much of the work has been completed by the Performance Accountability Council Program Management Office (PAC PMO). Some of the recent accomplishments by DVD is they have established an enterprise business support office.

In addition, DVD is focusing on building capability and deploying enterprise capability. Secondly, DVD is working diligently on the execution of the last executive correspondence which allowed them to defer investigations and put them directly in the continuous evaluation program. To date, they have deferred over 35,000 cases. Finally, DVD is working with ODNI as the security executive agent for access eligibility determinations to further refine the business rules so they can increase deferment thresholds.

Ms. Baugher, inquired if DVD will be the center for everything concerning background investigations, and Ms. Stokes replied in the affirmative. However, DVD will not take responsibility for background investigations and vetting missions. Also, Mr. Scott, asked if there would be interim guidance on locating information during the transition period. Patrick Hogan, DSS, answered this question by stating that the information is on the website, and there is also a frequently asked questions section related to the deferment.

Ms. Stokes notified the attendees that on June 21st, the administration announced the background investigations program would be moving from the NBIB to DoD. She informed the attendees that they are working on a transfer plan with their NBIB partners, and the administration is working on an Executive Order to enact the transfer responsibilities from NBIB to the DoD/DSS. DSS has also been working with the PAC PMO and the Executive Agents to identify backlog mitigation strategies and transformation initiatives associated with Trusted Workforce 2.0.

ODNI (Office of the Director of National Intelligence) Update

Valerie Kerben, ODNI, provided an update on security policy stating that Security Executive Agent Directive (SEAD) 7, Reciprocity of Background Investigations and National Security Adjudications was signed by the DNI on November 9th, and has been prepared for distribution to executive departments and agencies. SEAD 8, Temporary Eligibility, is still in draft, and ODNI has received comments from all agencies as the adjudication process is being finalized.

Currently, they are working on phase two, which is to revamp the fundamental approach and supporting policy framework, and they are overhauling the business process plans to improve timeliness, quality, and effectiveness of the process. Mr. Pannoni, inquired about Trusted Workforce 2.0, and inquired why industry participants are not allowed to share information they are learning while participating in a working group. Mr. Pannoni requested that this be further investigated so industry members will be able to share their expertise.

In addition, Mr. Harney asked if there is any language about reciprocity in the SEAD. Ms. Kerben stated the SEAD does talk about different ways of accepting reciprocity in SEAD 7. For SEAD 8, it is still in process of being developed. Ms. Kerben concluded by saying that they are still moving along to get the draft to OMB.

CUI Update (Attachment 6)

Mark Riddle, ISOO, provided the CUI update with a slide, and began by noting that they are busy with agency implementation and agency reporting on their efforts to implement the program. He also observed that the majority of agencies in the executive branch have reported on their status and that a number of agencies are in full compliance with the CUI program. He also mentioned that ISOO will be continuing to serve as oversight for the CUI program and they will be evaluating agencies. Mr. Riddle also recommended that participants view the CUI registry pages which lists all the categories of CUI. He also mentioned that ISOO has developed a number of training modules to assist agencies and stakeholders. He added that over the next 30 days there will be several new CUI notices to assist agencies.

The third bullet from Mr. Riddle's slide concerned the federal acquisition regulation which will standardize the way that executive branch agencies convey safeguarding and guidance to non-

federal entities. He added that CUI will have a similar form to the DD254 for agencies when they issue a contract in which CUI is involved. Mr. Riddle also encouraged the participants to view the CUI blog and to provide comments.

The fourth bullet on the slide addressed the regular update that is given to stakeholders. Every quarter, the CUI program hosts a webinar for all stakeholders in the CUI program. The next briefing will be on February 13th, 2019. Finally, Mr. Riddle announced that there will be a CUI industry day on December 10th and encouraged a heavy turnout from the audience. The schedule of all the vendors and presenters had been posted to the CUI blog.

Mr. Pannoni commended the CUI team, and Mr. Riddle in particular, and observed that there is a CUI advisory council which is only comprised of government members. He discussed the possibility of extending an observer role to a non-federal entity on that advisory council and requested that this matter be further explored. Mr. Riddle agreed and urged participants to look at the blog for possible upcoming details.

Insider Threat Working Group

Mr. Pannoni provided the update on the Insider Threat Working Group, which held a meeting on October 30th. The group had received two briefings, one was on the DoD ITP policy and foundational documents and one was from DSS which was an overview of insider threat effectiveness. The primary principles for the program effectiveness conveyed were program management, awareness training, information systems protection, collection and integration, and analysis and response. Other points in evaluating effectiveness discussed included size and complicity. The group plans to meet again sometime in mid-January or early February.

NISPPAC Information Systems Authorization Working Group (NISA) update (Attachment 7)

Karl Hellman, DSS, provided the next update on the NISA Working Group. He commented that since the last meeting, there has been a transition to eMASS. Initially, they had been looking at a transition date of October 1, but they ran into an issue with access to the training. DISA was able to fix these issues. Now, the date for transition to eMass is March 19th. There will also be a new version of the process manual available in mid-February which will allow people to read it and comment on it. He added that they had used the NISA Working Group to get comment and feedback on the process manual. Mr. Hellman also mentioned that in a couple of months, they will use the working group to send out what is going to be the final draft for one last comment from industry and some of the government stakeholders.

Mr. Hellman also mentioned that the working group has been working on a proposal systems initiative, and he has received much feedback from industry. He added that they have been working with the CSAs on this issue as well, and they are currently working with a draft. He observed that they are not going to try and reinvent the whole process, but instead, are going to try and take the best efforts that people have already created and come up with a more consistent way to address the issues.

Mr. Hellman's slide focused on the metrics, noting they are measuring workload in resources, both in the field and at headquarters. He mentioned that about 15% of the submissions they receive for classified information are returned back to industry for needed corrections to the plan.

ODNI Update (Attachment 8)

Olga Delgado, ODNI, delivered a slide presentation which illustrated where they stand with Information Technology and DSS' security clearances at the present time. The data for Industry for DoD is provided by OPM and IT contract data is provide by, CIA, FBI, NGA, NRO, NSA and the Department of State. Ms. Delgado added that they don't account for pre and post case works. For the remainder of the presentation, Ms. Delgado focused on the timeliness of the investigations for clearances. Data in the slides reflected security clearance timeliness on contractor cases. The slides identified industry submission, investigation, and adjudicative timelines.

PSMO-I DSS Update (Attachment 9)

Mr. Hogan provided a yearly update on the PSMO-I metrics for clearance initiation and submission timelines. He discussed the budget challenges with DSS metering investigations which reached a high of nearly 24,000 cases in August. At the end of the year, they were able to significantly reduce the EQIP inventory to only 2,980 cases. The FY 18 included 253,000 industry submitted, 95,000 in terms of determinations processed, averaging 20 days on 108,000 knowledge center calls which have resulted in the inventory being in the 21,000 range.

DoD CAF Update (Attachment 10)

Steve DeMarco, DSS, provided the status of the CAF inventory for industry cases. He noted that the inventory has doubled to the end of the third quarter due to a number of factors such as NBIB putting additional resources in processing or investigating their cases which has caused a surge. Another issue was that cases were not being adjusted the way they were supposed to work with DMDC and NBIB. Mr. DeMarco added that another issue is the network issues or application issues. DISS has not been operating optimally which has presented a problem. CAF is observing reduced capacity in putting cases through the system.

The CAF is trying to improve internally by restructuring the way their divisions are structured. Mr. DeMarco added that he expects the backlog to grow tremendously over the next several years while they try to allocate additional resources. Furthermore, he expects the timelines will continue to grow. He added that the industry portfolio is the highest within the CAF. Mr. DeMarco admitted that there had been problems with legacy issues with document migration, but those issues appear to be resolved. He did warn that it is going to take CAF some time to get through the inventory.

Defense Office of Hearings and Appeals (DOHA) Update

Perry Russell-Hunter, DOHA, stated that he had a good news story observing that they have less than 900 active cases. They do not have a backlog. The other good news is that the number of denials and revocations has been less than 2%. Mr. Russell-Hunter added that he is optimistic because they are working so well with the DoD CAF, adding that the issues with DISS are not affecting DOHA and reiterated that Industry has the healthiest portfolio within the CAF. In addition, DoD CAF does not have a backlog.

New Business

Mr. Pannoni mentioned that on December 6, ISOO will be having a 40th anniversary, half-day celebration, and the primary focus of which will be information security. Mr. Minard, DSS, referred to a comment that the Director had made earlier concerning the relevance of the group and stated that he feels strongly that this group has a very important function for both government and industry. He acknowledged that there are issues that need to be fixed but had confidence in the leadership of the group

VII. Closing Remarks and Adjournment

The Chair mentioned that while no dates have been set for meetings in 2019, that ISOO is focusing on March 13th in the McGowan Theater of the National Archives, and the dates should be finalized shortly. He reminded the participants that announcements are made in the Federal Register about a month before each meeting.

SUMMARY OF ACTION ITEMS

- Charles Phalen (NBIB) was going to speak with Lindy Kaiser about security clearance numbers.
- Valerie Heil is to go back to DoD about how the task force will interact. She will also see if there are any variations as how to handle cyber threats. She was also going to investigate the new DFARS requirements.
- Mr. Pannoni was to create a resolution meeting for Industry issues.
- Mr. Pannoni inquired of Ms. Kerben about Trusted Work Force 2.0 industry participation, and requested that this be investigated so Industry members may share their expertise.
- Mr. Pannoni discussed the possibility of extending an observer role to a non-federal entity on the CUI advisory council.
- ISOO was to finalize the dates for the next NISPPAC meetings.

Attachments:

1. Attendee List
2. Briefing: NBIB
3. Briefing: NISS
4. Briefing: NBIS
5. Briefing: Industry
6. Briefing: Controlled Unclassified Information
7. Briefing: NISA
8. Briefing: ODNI Security Performance Metrics
9. Briefing: PSMO-1
10. Briefing: DoD Central Adjudication Facility

Attachment 1

NISPPAC Attendance November 15, 2018 Sub Category

Last Name	F. Name	Agency or Org	Sub Category
Abbott	Aprille	NCMS	MITRE
Aghdam	Laura	DOD	DSS
Arriaga	Dennis		SRI International
Baughner	Kimberly	Department of State	
Borrero	Rosie	Industry	
Bowman	Deborah	DNI	
Brady	Denis	NRC	
Bradley	Mark	ISOO	Director, ISOO
Brooks	Marc	DOE	
Brown	Shirley	DOD	NSA
Bruce	Erin		Stroock & Stroock & Lavan LLP
Devin	Casey	ISOO	
Cicirelli	Steve		BAE
Clay	Glenn	DOD	NAVY
Davidson	William		Bill Davidson Associates, LLC
Delgado	Olga	ODNI	
Deloney	Ryan	DOD	DSS
Demarco	Steve	DoD	DoD/CAF
DeSousa	David		UTC
Dinkel	Jane		LMCO
Dondlinger	Sharon	DOD	AIR FORCE
Ervin	James	DHS	
Forrest	Christopher	DOD	DSS
Gortler	Fred	DOD	DSS
Gunning	Christine	DOJ	
Harney	Robert		NGC
Heil	Valerie	DoD	OUSDI
Hellmann	Karl	DOD	DSS
Hogan	Patrick	DOD	DSS
Keith	Dennis		Harris
Kerben	Valerie	ODNI	
Kirby	Jennifer		Deloitte

Last Name	First Name	Agency or Org	SubCategory
Klink	Carolina	ISOO	
Kyzer	Lindy		ClearanceJobs
Ladner	George	CIA	
Langley	Sandra	DoD	DoD/DMDC
Lilje	Bob	ASIS	Peerless Technologies
Mackey	Brian	CSSWG	BAE
Massey	John	DOD	DSS
Matchett	Noel		NDM Technologies
McGlone	Amanda	DOD	OUSD(I)
McLeod	Donna	NBIB	
Minard	Keith	DOD	DSS
Moss	Leonard		DynCorp International
Ohlemacher	Richard		NGC
Pannoni	Greg	ISOO	DFO
Peters-Carr	Carla		BAE
Phalen	Charlie	NBIB	
Pherson	Kathy	INSA	Pherson Associates LLC
Pyles	Larry	DOD	DSS
Raynor	Dianne		Boeing
Reidy	Lisa		General Dynamics
Renzella	Allyson	DOD	DSS
Riddle	Mark	ISOO	
Roundtree	Amy	NRC	
Steinke	Susan		Keypoint
Stokes	Patricia	DOD	DSS
Stone	Cheryl		RAND
Taylor-Dunn	Zudayyah	NASA	
Timmons	Katharine	Admin Support	VIASAT
Tringali	Robert	ISOO	
Wilkes	Quinton		L-3 Technologies Inc

Attachment 2



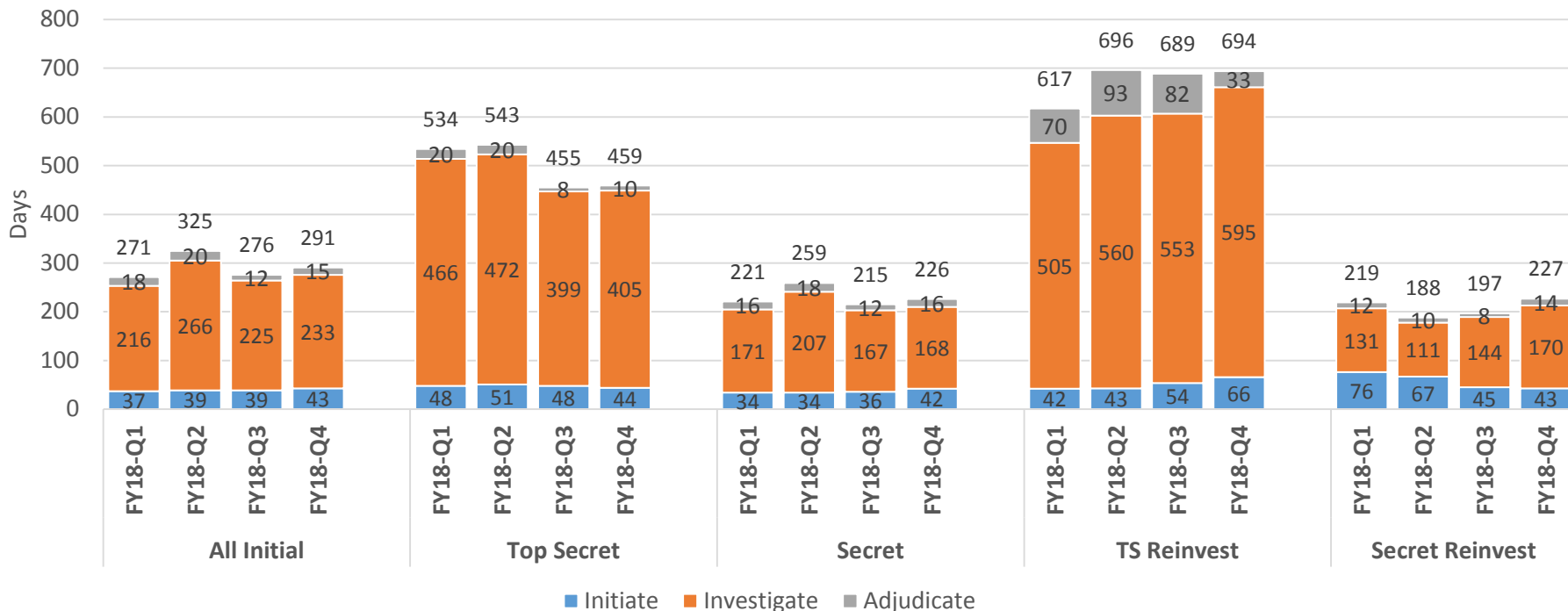
Timeliness Performance Metrics for Submission, Investigation & Adjudication Time

DoD-Industry

OCTOBER 2018

QUARTERLY TIMELINESS PERFORMANCE METRICS FOR SUBMISSION, INVESTIGATION & ADJUDICATION* TIME

AVERAGE DAYS OF FASTEST 90% OF REPORTED CLEARANCE DECISIONS MADE

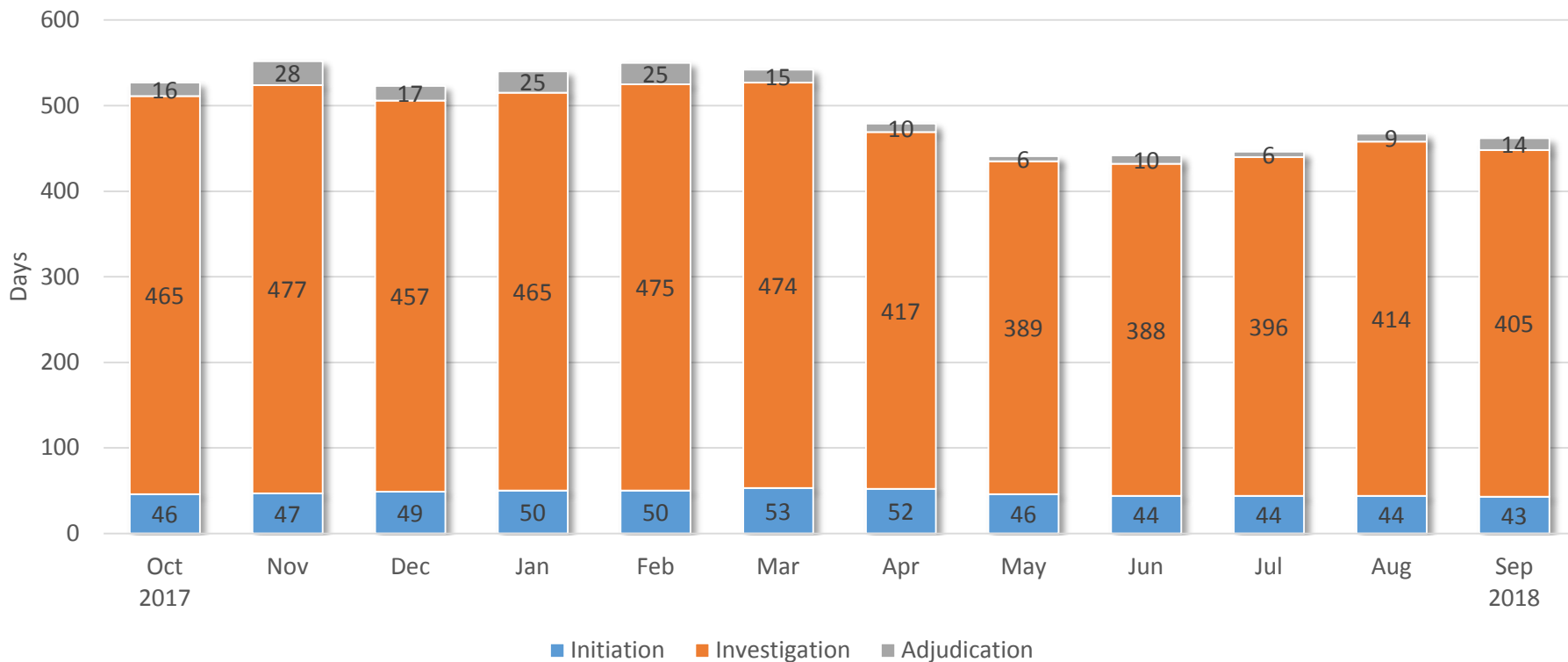


	All Initial	Top Secret	Secret/ Confidential	Top Secret Reinvestigations	Secret Reinvestigations
Adjudication actions taken – 1 st Q FY18	16,588	3,052	13,536	3,954	7,548
Adjudication actions taken – 2 nd Q FY18	17,685	4,511	13,174	3,264	10,689
Adjudication actions taken – 3 rd Q FY18	21,170	5,610	15,560	4,155	8,543
Adjudication actions taken – 4 th Q FY18	16,094	4,732	11,362	3,745	7,676

*The adjudication timeliness includes collateral adjudication by DoD CAF and SCI adjudication by other DoD adjudication facilities



INDUSTRY'S AVERAGE TIMELINESS TRENDS FOR 90% INITIAL TOP SECRET SECURITY CLEARANCE DECISIONS



GOAL: Initiation – 14 days

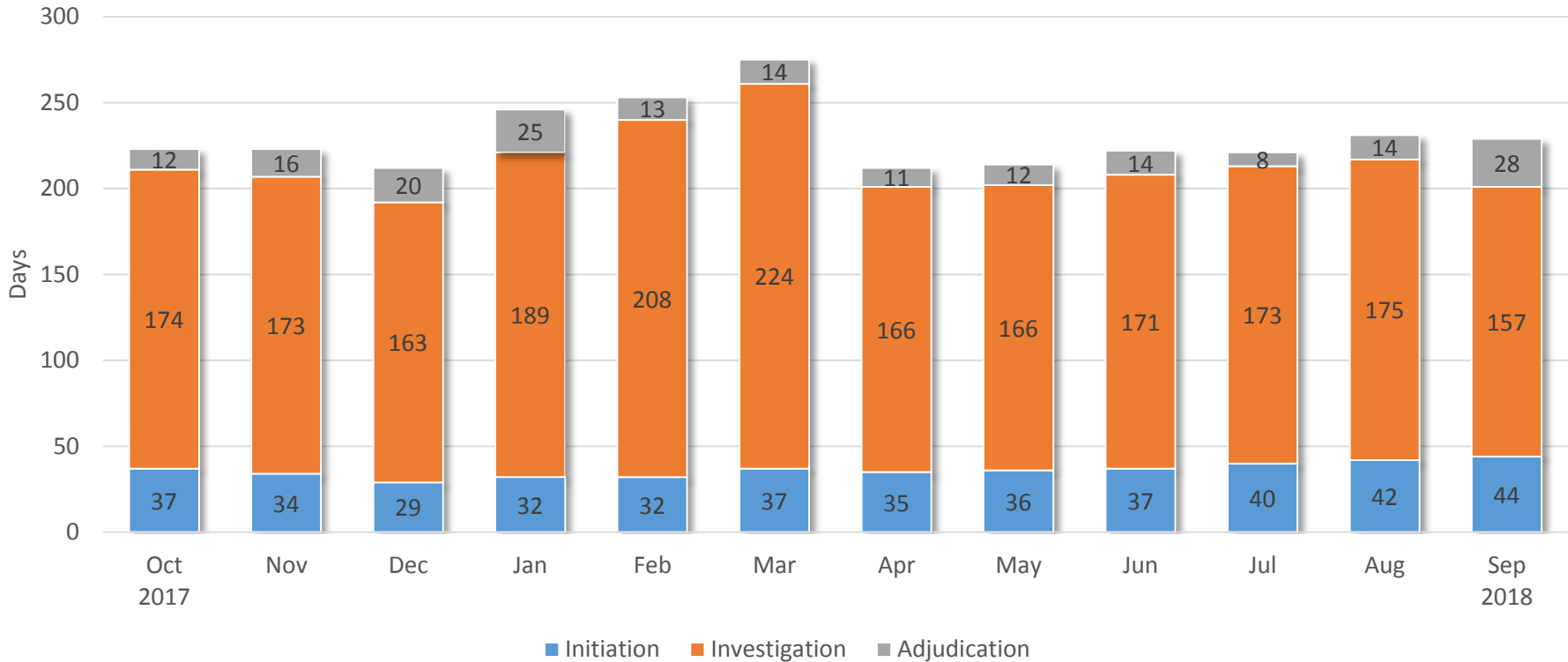
Investigation – 80 days

Adjudication – 20 days

	Oct 2017	Nov 2017	Dec 2017	Jan 2018	Feb 2018	Mar 2018	Apr 2018	May 2018	Jun 2018	Jul 2018	Aug 2018	Sep 2018
Total Adjudications Reported	940	937	1,181	942	1,339	2,234	2,054	1,741	1,817	1,510	1,496	1,726
End-to-End Timeliness (Fastest 90%)	527 days	552 days	523 days	539 days	549 days	541 days	478 days	442 days	441 days	444 days	467 days	462 days



INDUSTRY'S AVERAGE TIMELINESS TRENDS FOR 90% SECRET/CONFIDENTIAL SECURITY CLEARANCE DECISIONS



GOAL: Initiation – 14 days

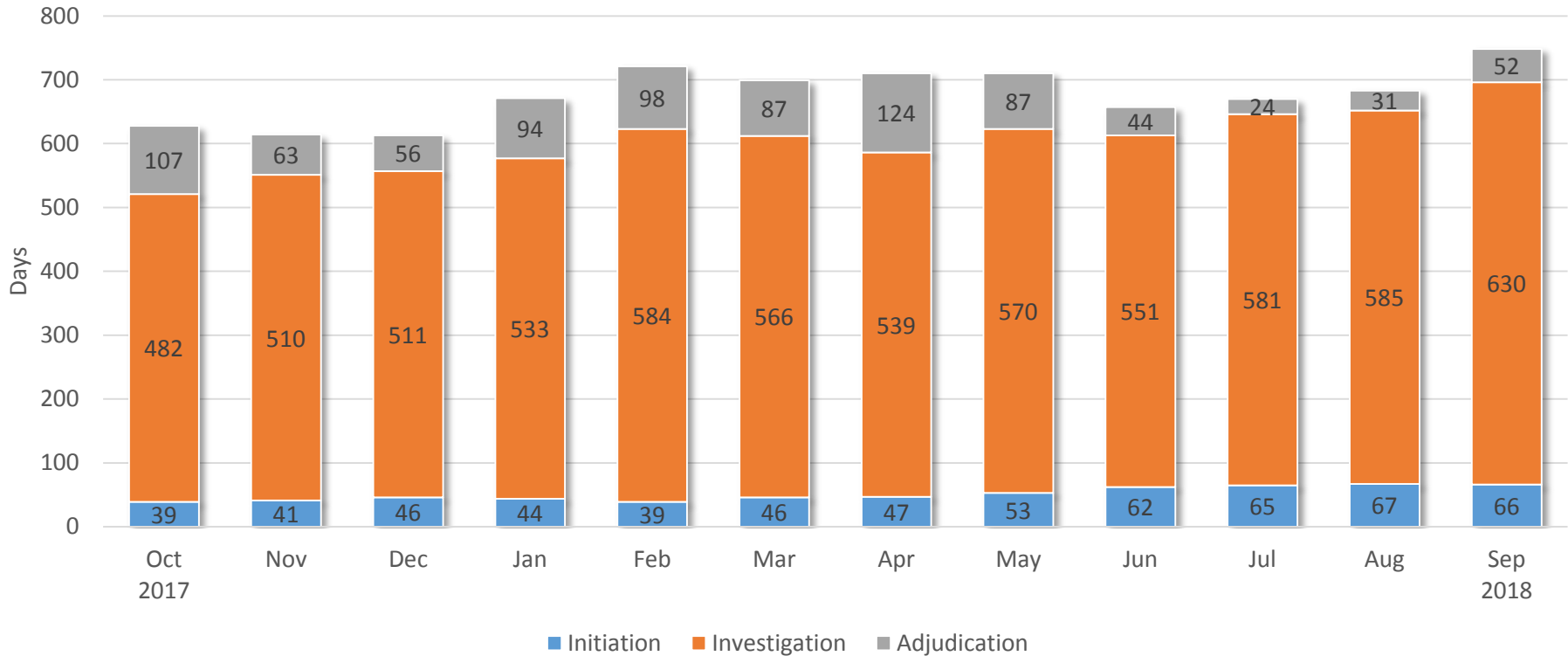
Investigation – 40 days

Adjudication – 20 days

	Oct 2017	Nov 2017	Dec 2017	Jan 2018	Feb 2018	Mar 2018	Apr 2018	May 2018	Jun 2018	Jul 2018	Aug 2018	Sep 2018
Total Adjudications Reported	5,337	4,244	3,963	4,563	4,360	4,258	5,931	5,291	4,343	4,185	3,996	3,186
End-to-End Timeliness (Fastest 90%)	223 days	223 days	212 days	246 days	254 days	275 days	211 days	214 days	222 days	217 days	230 days	229 days



INDUSTRY'S AVERAGE TIMELINESS TRENDS FOR 90% TOP SECRET REINVESTIGATION SECURITY CLEARANCE DECISIONS



GOAL: Initiation – 14 days

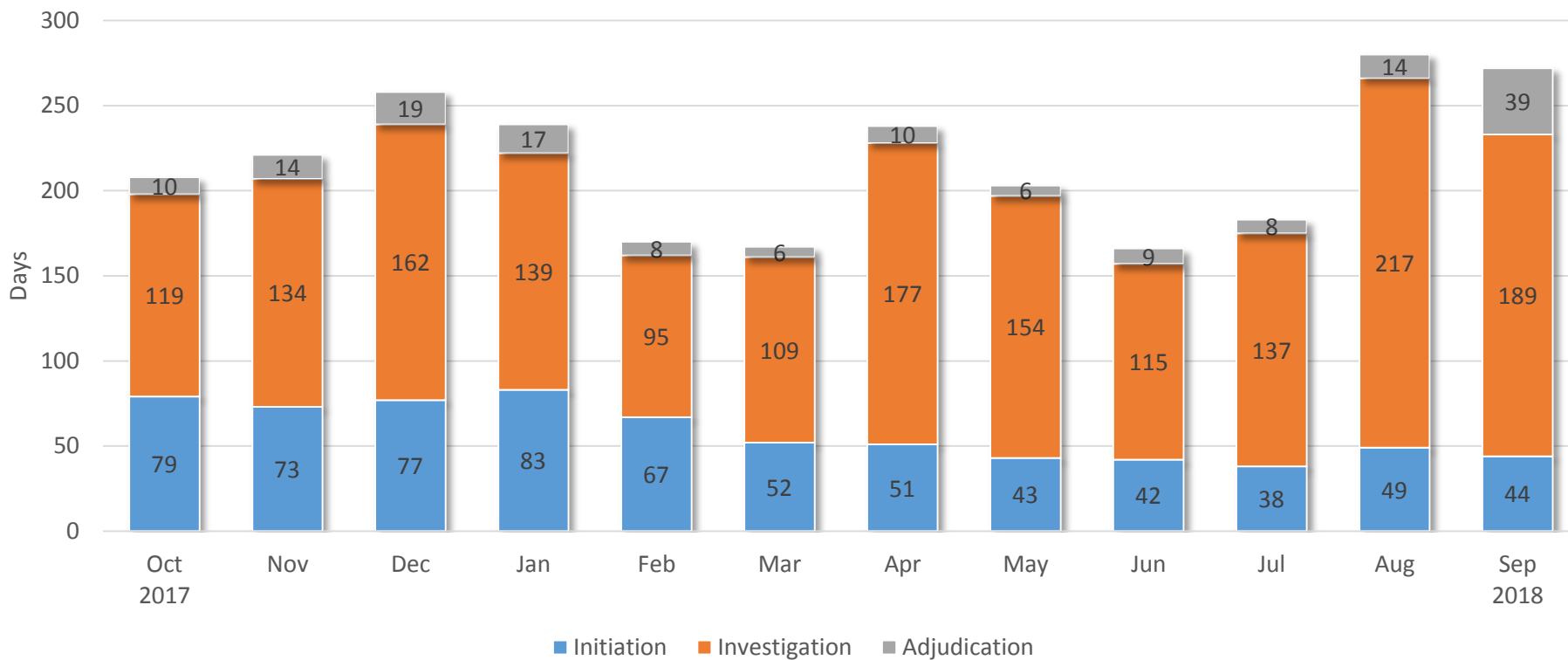
Investigation – 150 days

Adjudication – 30 days

	Oct 2017	Nov 2017	Dec 2017	Jan 2018	Feb 2018	Mar 2018	Apr 2018	May 2018	Jun 2018	Jul 2018	Aug 2018	Sep 2018
Total Adjudications Reported	1,181	1,589	1,192	1,094	950	1,221	1,204	1,439	1,514	1,277	1,537	936
End-to-End Timeliness (Fastest 90%)	627 days	615 days	613 days	671 days	721 days	699 days	711 days	710 days	657 days	669 days	683 days	748 days



INDUSTRY'S AVERAGE TIMELINESS TRENDS FOR 90% SECRET REINVESTIGATION SECURITY CLEARANCE DECISIONS (T3R)



	Oct 2017	Nov 2017	Dec 2017	Jan 2018	Feb 2018	Mar 2018	Apr 2018	May 2018	Jun 2018	Jul 2018	Aug 2018	Sep 2018
Total Adjudications Reported	3,838	2,234	1,477	3,010	4,205	3,477	2,028	3,280	3,235	4,009	2,784	883
End-to-End Timeliness (Fastest 90%)	207 days	220 days	258 days	239 days	171 days	168 days	239 days	204 days	166 days	183 days	280 days	272 days

Attachment 3



NISS (National Industrial Security System) Update

- **NISS Successfully Deployed on 8 October for Industry and Government users**
 - NISS is now the DSS System of Record for industrial security oversight activities
 - ISFD and e-FCL are no longer available
- **Deployment Notes** (as of 29 Oct)
 - 4,700+ users 3500 industry, 600 government, 600 DSS
 - Sample system activity
 - 7,000+ clearance verifications submitted
 - 200+ facility clearance sponsorships submitted
 - 300+ change conditions reported
 - User feedback
 - 600+ comments received
 - Training aides developed, knowledge center updated
 - 27 bugs resolved
- **Training**
 - USALearning/STEPP training: Course IS127.16
 - In-system shorts and job-aids

Sample Home Dashboard

The screenshot shows the NISS External Home Page dashboard. At the top, it displays the U.S. Department of Defense Defense Security Service logo and the text "NATIONAL INDUSTRIAL SECURITY SYSTEM". Below this is a navigation bar with tabs for "DASHBOARD", "SPONSORSHIP SUBMISSIONS", "FCL PACKAGES", "FACILITY PROFILES", "FACILITY ACTIONS", and "MORE". The main content area is titled "-NISS External Home Page" and includes a "Welcome" message, a "Welcome to the NISS!" greeting, and a section for "NISS Tips" with a "NISS Functionality Tip" updated on 17 Oct 14:32 EST. The tip states that many users have submitted questions about not seeing how to perform a function they require and provides a list of instructions: 1. Ensure you have the correct role for the functionality needed ("Sponsor" to submit FCL Sponsorships, "Clearance Verifier" to submit FCL Verifications, or a "Security Staff" role to submit FCL Change Conditions, Self-Inspection Certifications, etc.). If you do not have the needed role please request it through NCAISS. 2. If you need to switch between roles to access specific functionality, in your Quick Links below click the blue area stating: "Current Role (Click to Change Role):" (this is an example, your actual link to click is below). Below the tip is a "Quick Links" section with a "Current Role (Click to Change Role):" button and a list of links: 1. View My Messages, 2. View My Tasks, 3. Access the Knowledge Base, 4. Submit System Feedback, 5. Send Internal Message. The dashboard also shows the last successful login time: 11/02/2018 10:21:00 AM.

Contact: DSS.NISS@mail.mil
<http://www.dss.mil/is/niss.html>



NISS (National Industrial Security System) Update

• Key Industry & Government Capabilities Delivered:

- Submit & track facility clearance requests
- Submit clearance verifications
- Automated notifications

• Additional Industry Capabilities Delivered:

- Submit facility clearance documentation
- Submit Change Conditions
- Submit Annual Self-Inspection Certifications
- View Facility Profiles and Assessment history

• Upcoming capabilities in FY19:

- Personnel Security Investigation Projection Survey
- Industry updates for profile & vulnerability mitigation
- DiT related functions (i.e. Security Baseline)
- Enhanced in-system reporting (i.e. SCR, Security Violations)

• NISS Operational Requirements Committee

- Seeking Government and Industry participation

Sample Sponsorship Form

Test Record Status: Draft
— Hide Details —

Instructions **Sponsored Facility Information** Business Information FSO Information Contract Information Program-Specific GCA POC Sponsor Information

Upload Supporting Documents

CAGE Code

Facility Legal Name

Check the box below if the Sponsored Facility does not have an assigned CAGE Code. I request that DSS assign a temporary CAGE Code in order to initiate the facility clearance (FCL) process. I understand and have advised the sponsored facility that a facility cannot complete the FCL process without a permanent CAGE Code and that the FCL process for this facility will be discontinued if a permanent CAGE code is not obtained by day 20 of the FCL process. Please visit www.siam.gov to obtain or update a CAGE code.

No Assigned CAGE Code

1a. Physical Street Address 1 (Required)

1b. Physical Street Address 2

1c. Physical City Address (Required)

1d. Physical State (Required)

1e. Physical Zip Code (Required)

2. Company Website

Sample Facility Profile

Facility Overview **Business Information** FOCI & International Subcontracting Actions & Documentation

Business Information
Legal Structure
Customers and Programs
Subcontractors

Facility Information

CAGE Code

Facility Name

Physical Address

Website

DUNS Number

Oversight Team

Field Office

Industrial Security Representative

IS Rep Email

IS Rep Phone

ISSP

Field Office Region Name

FOC

RAO

MSU AO

Attachment 4



National Background Investigation Services

November 15, 2018



NBIS Current Efforts

Product Line	GOTS/COTS	Progress / Next Release Description	Product Partner
1. Position Designation	GOTs	<ul style="list-style-type: none"> MVP SW Released to the DevOps pipeline for Government Testing in preparation for deployment Part of NBIS Release 1.0 in Sep 2018 	OPM/CIO
2. E-Application Subject	GOTs	<ul style="list-style-type: none"> MVP release - SF-86 Form (Subject Side); Interface testing on going Cloud hosted test environment has been established (Subject Side) Part of NBIS Release 1.0 in Sep 2018 	NBIB
3. Investigation Management	COTs	<ul style="list-style-type: none"> IM OTA was awarded on 22 June, 2018 Sprint 3 completed 11 Sep 2018 Code delivery to support NBIS release 2.0 is scheduled for Sep 2018 NBIS release 2.0 Dec 2018 	NBIS
4. Fingerprint	GOTs	<ul style="list-style-type: none"> Production cutover completed on 24 June 2018; Deploy to all DoD Additional outreach to external Fed agencies needed at senior & action officer levels for Fed FP enrollment strategy into SWFT. 	DMDC
5. Automatic Record Checking	GOTs	<ul style="list-style-type: none"> Cutover completed August 2018 Continuing to push for joint-agency outreach to the ARC Data Vendors Continuing ARC ICD documentation effort 	NBIB / DMDC
6. Adjudication	GOTs	<ul style="list-style-type: none"> Switchover existing user population (DoD CAF, 4th Estate, Military Services and Industry – completed) CVS to DISS - Effort is scheduled for FY19 	DMDC
7. Continuous Evaluation	GOTS	<ul style="list-style-type: none"> Part of NBIS Release 2.0 Dec 2018 	DMDC



Acquisition Strategy

- **Selected into FY2018 NDAA Sec. 874 Agile Pilot Program**
- **Acquisition priorities:**
 - Leverage existing secure infrastructure/capabilities coordinated with USCYBERCOM and DoD security functions
 - Leverage existing GOTS/COTS products
 - Establish support agreements with capability/data providers
 - Incrementally test and release the 7 core capabilities using DevSecOps software development methodology
- **Government is the Lead System Integrator**
- **Contract Strategy**
 - **Compete Integrated Management (IM) prototype capability using Other Transactional Authority (Section 815 NDAA 2015/2016)**
 - Authority To provide prototypes and follow-on production items as government-furnished equipment
 - OTA awarded 22 June, 2018 to Enterprise Services LLC, a wholly owned subsidiary of Perspecta, Inc.
 - **Teamed with Pegasystems, Inc.; Accenture Federal Services, LLC; Torch Research LLC; and Next Tier Concepts, Inc.**
 - **Leverage investment in DMDC developed capabilities for:**
 - Fingerprint and biometrics processing
 - Automated records checking
 - Adjudication
 - Continuous evaluation

The NBIS Program faced a significant challenge:

- An aggressive timeline for initial product deployment
- Multiple organizations contributing parts of the system
- Need for multiple teams to innovate, develop, and deploy together with a common cadence and in a synchronized manner
- An enterprise transformation was needed to address systemic issues

The Scaled Agile Framework was chosen to address the challenges above

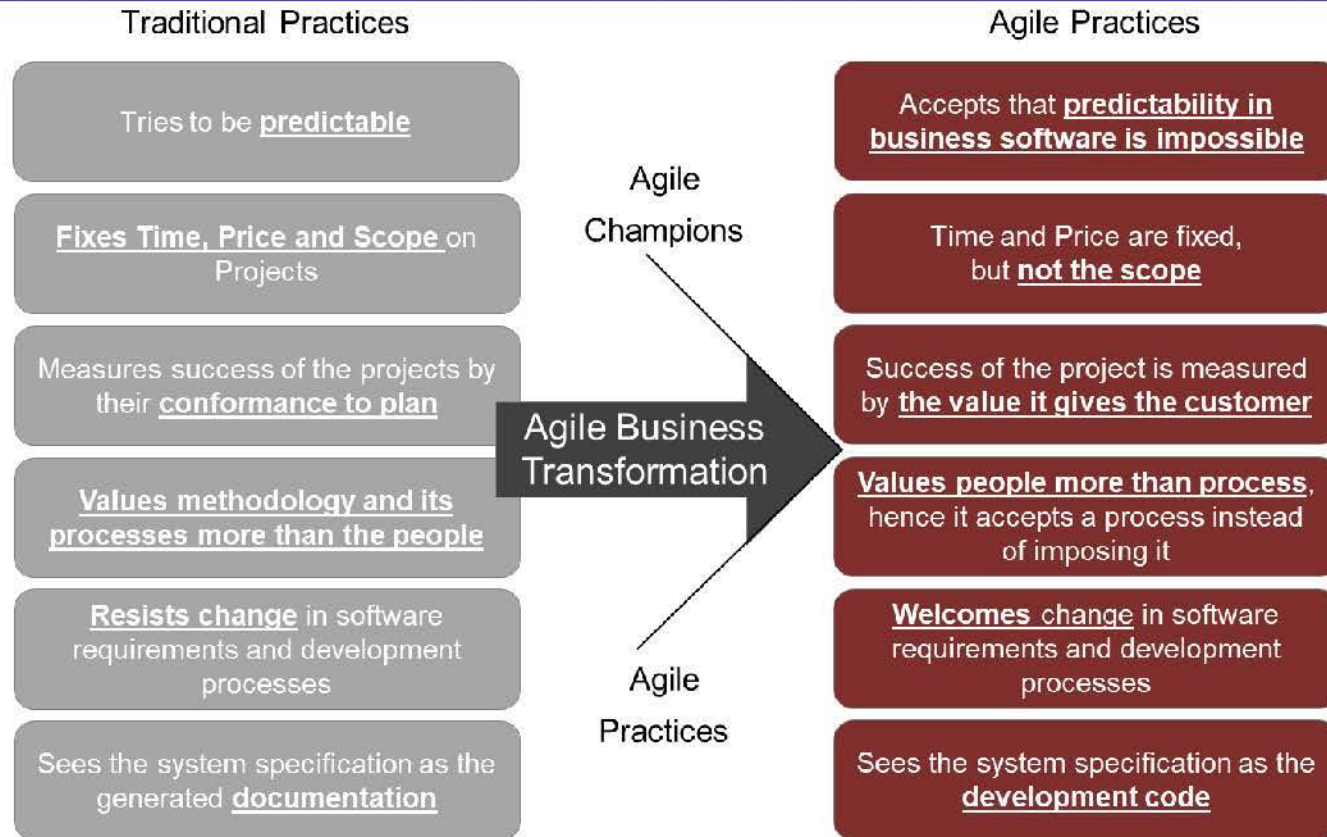


AGILE is

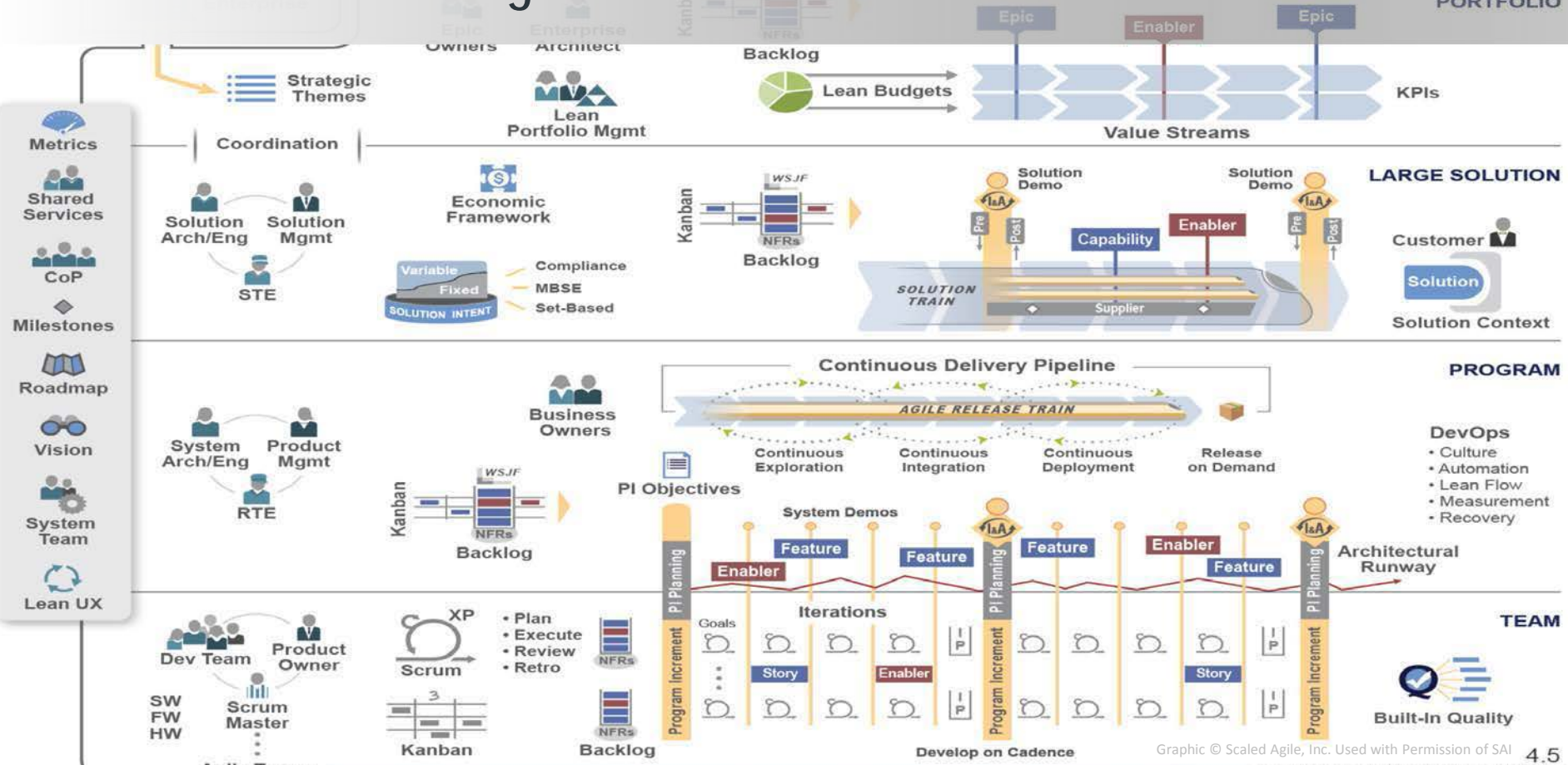
- **collection** of software and systems development **methodologies**
- focus on early and continual delivery of **Business Value**
- recognition of **change**
- emphasis on empowering **people** to collaborate and make team decisions



Same Engineering Practices / Different Mindset

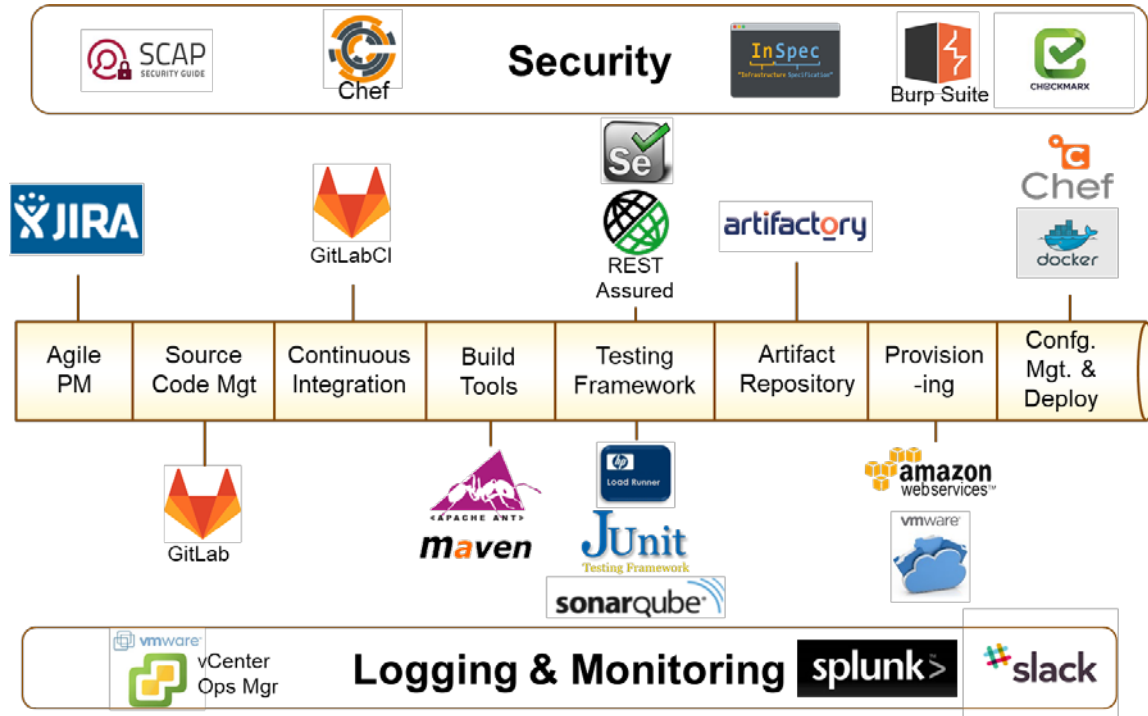


What is Agile?



- Metrics
- Shared Services
- CoP
- Milestones
- Roadmap
- Vision
- System Team
- Lean UX

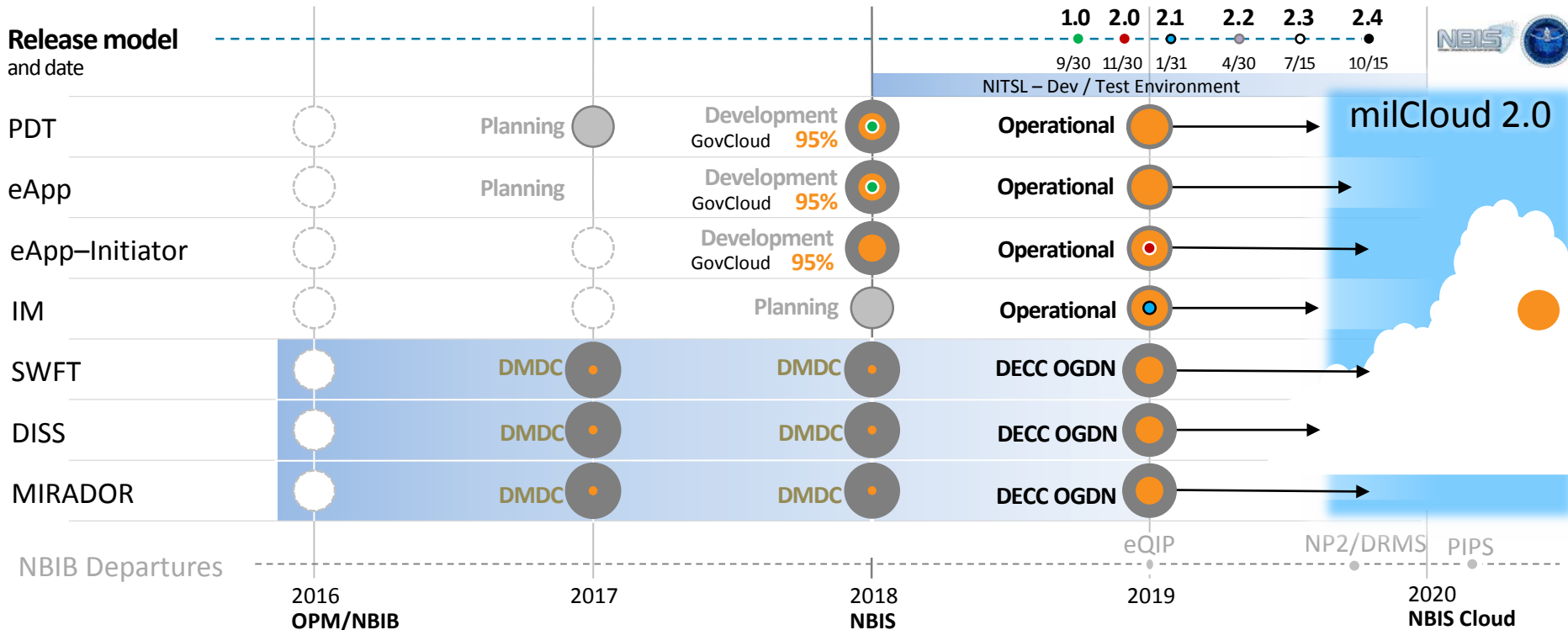
- A robust DevOps pipeline was instantiated at the MITRE NITSL for NBIS
- This provides the platform & tools necessary to shorten the cycle time between development and deployment
- Allows the teams to move with more velocity, & enables future success (continuous testing, continuous ATO, etc.)



NBIS Roadmap to milCloud 2.0 – DoD RMG Initiative

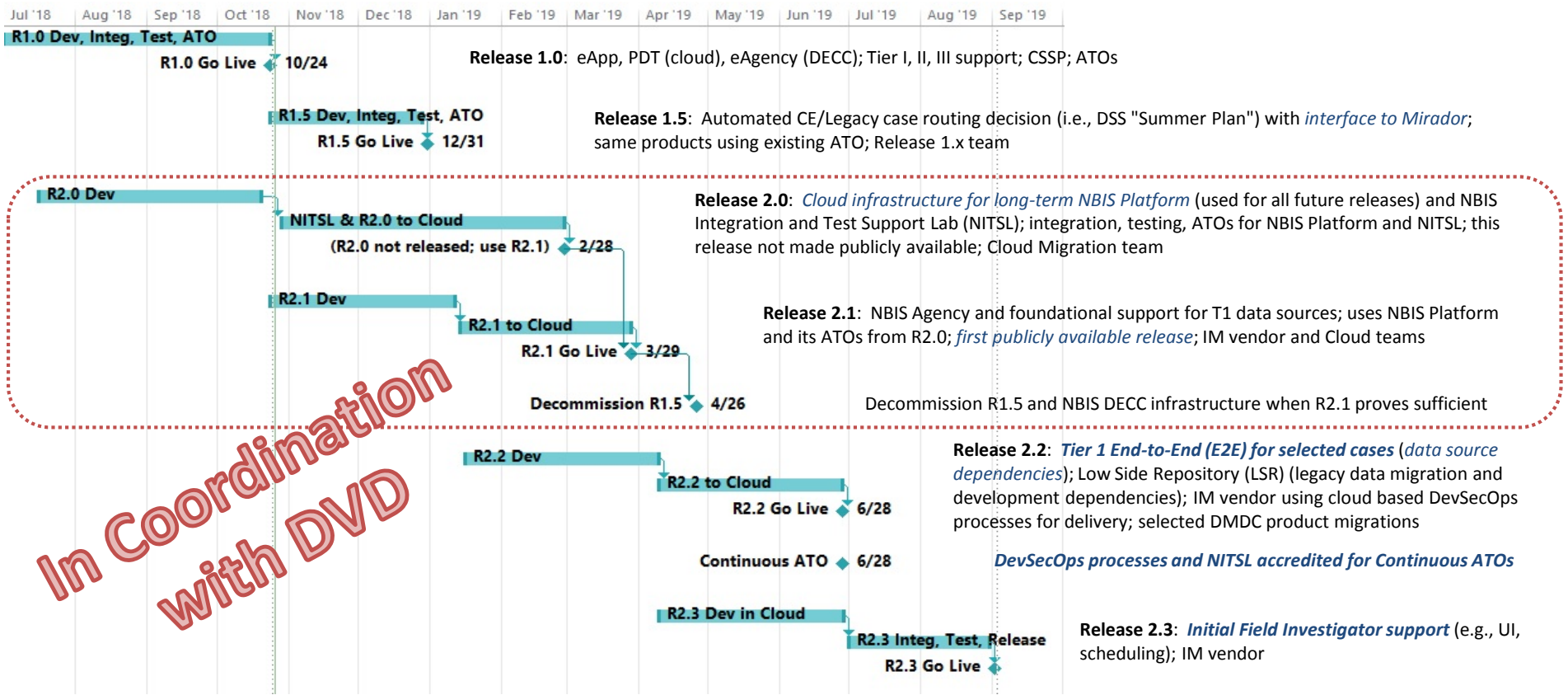
- Users/ Release:**
- Army PSI-CoE (eApp Initiator)
 - All Federal Applicants (eApp)
 - Analytic Cell, Reviewers (IM)
 - Investigative Support Staff (IM)
 - No new users this release
 - Records Management
 - Army SF86 Filers (eApp)
 - Federal Initiators (Agency)
 - Non-DoD Adjudicators (IM)
 - Federal Investigators (IM)
 - Significant enhancements for existing user population
 - Financial Personnel
 - Industry SF86 Filers
 - DoD Initiators (DISS)
 - Contract Investigators
 - Cleared Subject (Self Report)
 - Industry Submitters (DISS)
 - FOIA/PA

Release model and date





NBIS Schedule for Releases 1.0 - 2.3 (pre-decisional)



In Coordination with DVD



DEFENSE INFORMATION SYSTEMS AGENCY
The IT Combat Support Agency

UNITED IN SERVICE TO OUR NATION

Attachment 5

Industry NISPPAC Update

November 2018

Agenda

- **Current NISPPAC/MOU Membership**
- **Impacts of Policy Changes**

NISPPAC Industry Members

Members	Company	Term Expires
Quinton Wilkes	L3 Technologies	2019
Dennis Keith	Harris Corp	2019
Robert Harney	Northrop Grumman	2020
Kirk Poulsen	Palisade Consulting	2020
Dennis Arriaga	SRI International	2021
Dan McGarvey	Alion Science and Technology	2021
Rosie Borrero	ENSCO	2022
Cheryl Stone	RAND Corp	2022

National Industrial Security Program

Industry MOU Members

Industry Association	Chairperson
AIA	Kai Hanson*
ASIS	Bob Lilje
CSSWG	Brian Mackey
FFRDC/UARC	Shawn Daley
INSA	Kathy Pherson
ISWG	Marc Ryan
NCMS	Aprille Abbott
NDIA	Rick Lawhorn
PSC	Matt Hollandsworth

Impacts of Policy Changes - Overview

- **Industry and government have encountered vast amounts of security policy and procedural changes in the past two years and do not anticipate this slowing.**
- **The growing backlog of personnel security investigations and long lead time for meaningful reform to take hold will place national security at risk as both the USG and industry struggle to deliver responsive solutions from a tightening cleared labor market.**
- **Implementation is enhanced when industry's significant national security expertise is leveraged collaboratively early in the planning process.**
- **New matters of concern**
 - Interested in learning more on the “Delivery Uncompromised” initiative and the possible impacts for industry if adopted.
 - NSA revokes all blanket NIDs without notice or coordination with Industry.
- Industry is appreciative of the ISOO facilitated dialogue with NCSC Director Evanina to discuss information sharing and collaboration on SecEA policy issuances.

New Business: DSS in Transition

- NISPPAC has been participating on a Core Group and a Focus Group in order to partner with DSS on formulating a new methodology.
- DiT success is contingent upon an enhanced understanding of threat and vulnerability which is not supported by the current information sharing infrastructure.
- We are concerned about variances in implementation from one field office to the next.
-
- We are concerned that smaller companies without key technologies will not be seen or reviewed for several iterations...and what vulnerabilities that might introduce into the supply chain.
- We are still unclear as to the coordination with the GCA's and are concerned about the impacts of introducing vulnerability information to the GCA outside the scope of a contract.

Activity	Asset ID	Business Processes	12x13	TSP	Rating
Comprehensive Security Review	Yes	Yes	Yes	Yes	No
Targeted Security Reviews	Yes	Yes	Yes	No	Yes
Enhanced SVAs	Introduce	Introduce	Introduce	No	Yes
Meaningful Engagements	No	No	No	No	No
Enhanced Engagements	No	No	No	No	No

New Business: NDAA 2018

- *Clearance Reform*
NDAA 2018, Section 938: DOD Investigations transition from NBIB to DSS
 - Will require DSS to conduct all DOD investigations not later than October 1, 2020
 - Will transition the DOD CAF to DSS
 - Will transition the Personnel Security Assurance Division of the DMDC to DSS
- Looking forward to learning more about the NBIB/DSS transition and Trusted Workforce 2.0 as Industry engages in the TW working groups.



June 21, 2018

Colleagues,

The announcement by the Administration regarding the alignment of background investigations is of great importance to our organizations. It is our aim to keep you well informed as this effort progresses, so we want to provide you with additional information today.

For several months, DSS and NBIB have been working closely to execute the legislative mandate to move responsibility for the DoD-related portion of NBIB's background investigations mission to DSS. Upon further review, the Administration has indicated its intent to keep the background investigative program intact and under a single organizational banner. It has further determined that the program will be housed under DoD. As a result, we will focus our efforts on planning and executing an orderly and timely transfer of mission, personnel, resources, and assets from NBIB to DoD.

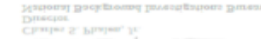
It is important for everyone to understand that with the consolidation of this mission in DoD, we collectively have an unprecedented opportunity to modernize and reform background investigations across the Federal Government. A strong NBIB-DoD team is our best combination for success. Our goals are to ensure this transfer is seamless and transparent, and to avoid interruptions to our missions or impact to our customers. Ongoing work to enhance capabilities and effect policy changes will not be interrupted by this transfer. We remain dedicated to providing the best service to our customers and our nation.

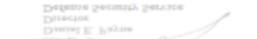
This will be a collaborative process and require coordination to prepare all staff for the integration of NBIB with DSS. Though the effective date is yet to be determined, we have already established working groups that will work in earnest to accomplish this transfer quickly and efficiently. We understand the importance of open and transparent communication with all NBIB and DSS personnel, and will provide you frequent updates and future opportunities to get answers to the questions you will have as we progress. We are planning to visit a number of field locations for both agencies to discuss the transfer in more detail. We look forward to the conversation.

Looking Toward the Future!


Charles S. Phalen, Jr.
Director
National Background Investigations Bureau



Daniel E. Payne
Director
Defense Security Service





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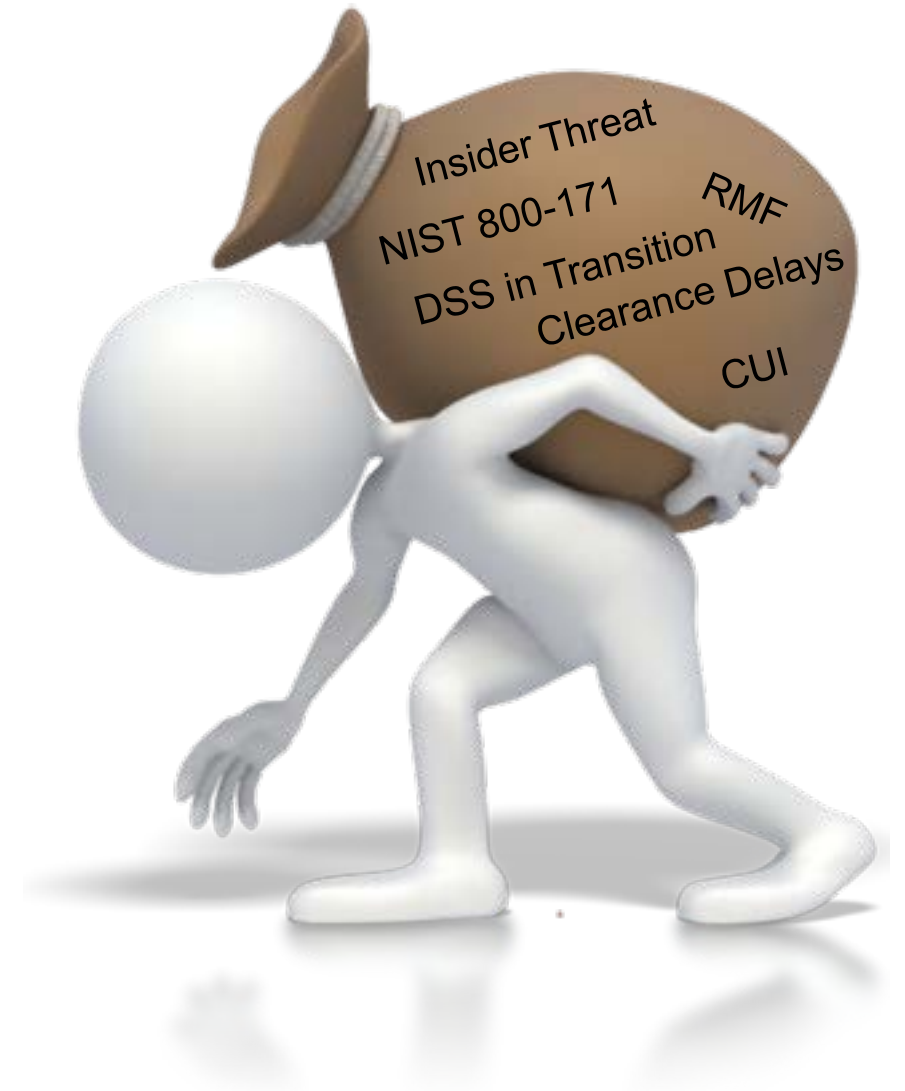
Looking Toward the Future!


Charles S. Phalen, Jr.
Director
National Background Investigations Bureau


Daniel E. Payne
Director
Defense Security Service

New Business: Small Business

- Small businesses starting to discuss terminating FCLs due to complexities with RMF, Insider Threat implementation and now DSS in Transition.
- Higher scrutiny on the use of Security Consultants and Security Service Providers, concern that there will be a gap regarding being able to support small CDCs in their pursuit of NISP compliance.
- Concern over supply chain dwindling as well as foreign entities purchasing these small businesses as they relinquish their FCLs.
- NCMS Security Consultant Working Group submitted a White Paper to DSS for review and comment.

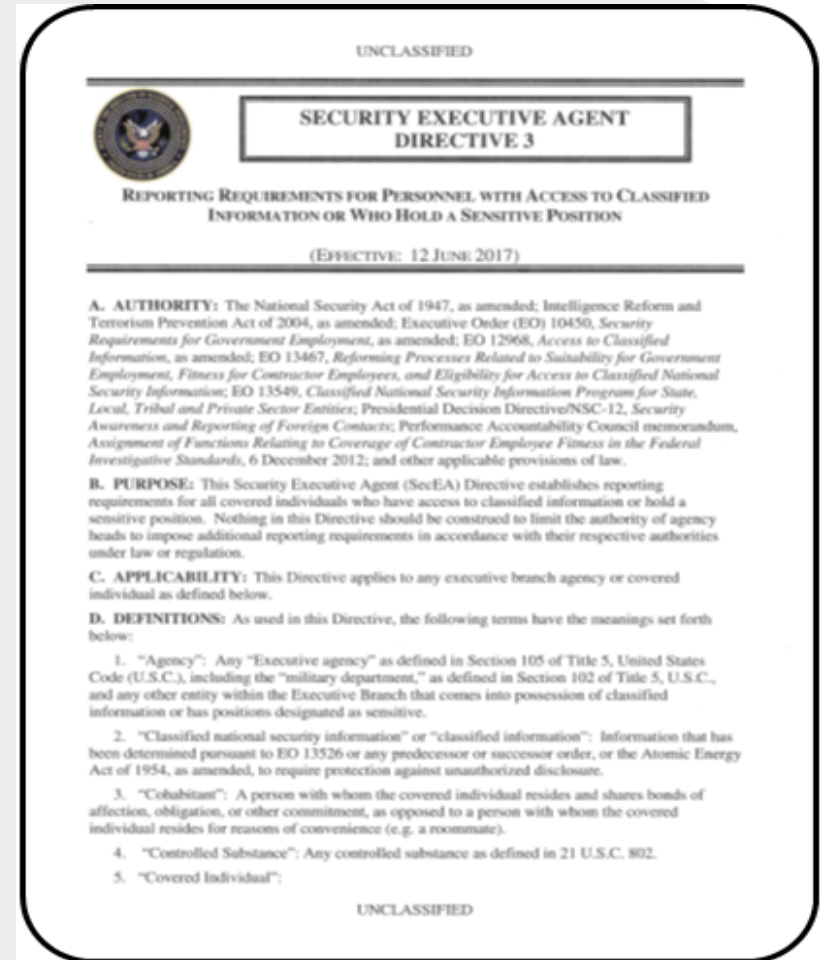


New Business: Systems

- **NISS:** In transition, concern on verification of facility clearances as industry users obtain access.
- **DISS:** Still concern regarding roll-out and lack of available training for both industry and government. Concern regarding timely provisioning of user accounts and increasing call volumes/wait times of DMDC help desk. *How many users with current accounts?*
- **NCCS:** Still awaiting information regarding a help desk for industry to call with questions.
- **eAPP:** Awaiting go live date and transition plan.
- **eQIP:** New website and design was released without proper communication to industry. FSOs were not prepared to support the influx of employee questions.

Old Business: SEADs

- Industry is still awaiting implementation information regarding travel reporting under SEAD 3. Reporting foreign travel for all suitability, collateral, SAP and SCI individuals may adversely impact both government and industry, especially if the reporting mechanisms vary per customer.
- Draft ISL SEAD 3 and 4 verbiage has been reviewed by industry and suggestions have been submitted.
- Industry is aware SEADs 7 and 8 drafts are under coordination and have requested the ability to provide input. We are still awaiting an answer.



Old Business: Legislation Watch

Creation of Committees

- **NDAA 2017 Section 1647: Formation of an “Advisory Committee on Industrial Security and Industrial Base Policy”**
 - Charter filed April 30, 2017
 - Awaiting more clarification on committee members and funding
- **NDAA 2018 Section 805: Formation of an “Defense Policy Advisory Committee on Technology”**
 - Committee comprised of Industry and Government to share technology threat information
 - Will meet at least annually from 2018 to 2022

Attachment 6

Attachment 7



NISA Working Group Update

Topics

- 1. Transition to Enterprise Mission Assurance Support Service (eMASS)**
- 2. NISP Proposal Systems Initiative**
- 3. DSS Authorization Metrics**



NISA Working Group Update

- **Transition to Enterprise Mission Assurance Support Service (eMASS)**
 - DSS will transition to eMASS as the System of Record for NISP Assessment and Authorization actions on March 18, 2019
 - DSS Assessment and Authorization Process Manual (DAAPM) Version 2.0 will be released February 19, 2019 with an effective date of the launch of NISP eMASS
 - NISP eMASS job aids and specific guidance will be available at www.dss.mil/rmf
- **NISP Proposal Systems Initiative**
 - The NISA WG is engaged to develop a Risk Management Framework (RMF) submission package and process which will streamline the authorization of Proposal Systems.
 - This initiative will be coordinated across all the Cognizant Security Agencies in an effort to gain a consistent package and submission process for Industry



DSS Authorization Metrics

Northern Region Actions (1806 Systems)

Past 12 months:

Submitted: **1752/146 mo.** ATO processed: **1362/114 mo.**
SSP Denied/Returned: **5/274 (17%)**
Cancelled (Industry): **111**

Current:

SSP in que/pending review: **307** Pending Approval: **146**
Expiring ATOs <90 days = **382**

Western Region Actions (1877 Systems)

Past 12 months:

Submitted: **1363/114 mo.** ATO processed: **1078/90 mo.**
SSP Denied/Returned: **22/149 (14%)**
Cancelled (Industry): **114**

Current:

SSP in que/pending review: **144** Pending Approval: **5**
Expiring ATOs <90 days = **210**

Southern Region Actions (1429 Systems)

Past 12 Months:

Submitted: **1302/109 mo.** ATO processed: **1048/87 mo.**
SSP Denied/Returned: **35/121 (13%)**
Cancelled (Industry): **98**

Current:

SSP in que/pending review: **247** Pending Approval: **1**
Expiring ATOs <90 days = **281**

Capital Region Actions (1064 Systems)

Past 12 Months:

Submitted: **960/80 mo.** ATO processed: **659/55 mo.**
SSP Denied/Returned: **119/85 (23%)**
Cancelled (Industry): **97**

Current:

SSP in que/pending review: **117** Pending Approval: **1**
Expiring ATOs <90 days = **195**

As of October 31, 2018



Attachment 8

OFFICE OF THE DIRECTOR OF NATIONAL INTELLIGENCE



INDUSTRY PERFORMANCE METRICS & OTHER SecEA INITIATIVES

NCSC/Special Security Directorate



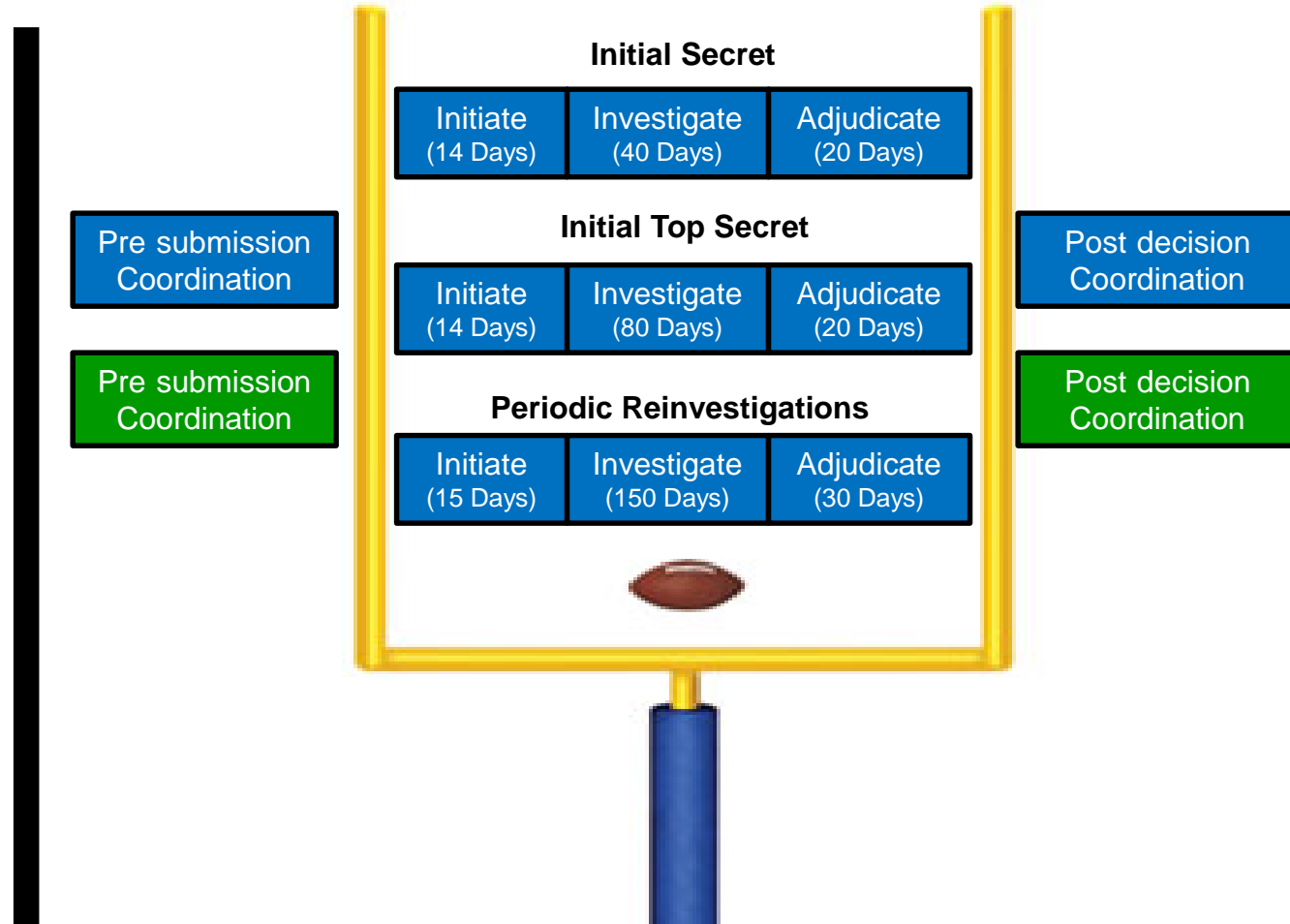
L E A D I N G I N T E L L I G E N C E I N T E G R A T I O N

Ms. Olga Delgado
Briefing to NISPPAC
November 2018



Performance Accountability Council (PAC) Security Clearance Methodology

- Data on the following slides reflects security clearance timeliness performance on contractor cases. DoD Industry data is provided by OPM and IC contractor data is provided by the following IC agencies: CIA, DIA, FBI, NGA, NRO, NSA and Department of State.
- Timeliness data is being provided to report the length of time contractor cases are taking - not contractor performance.
- As shown in the diagram, 'Pre/Post' casework is not considered in the PAC Timeliness Methodology.
- Unless otherwise specified, Initial Secret data is a combination of legacy investigative types and Tier 3 investigations.





Timeliness Methodology Evolution

**IRTPA
(2004)**

Initial Secret
and Top Secret



**PAC
(2008)**

Initial Secret
and Top Secret

Periodic Reinvestigations



**PAC/SecEA
(2012)**

Initial Secret

Initial Top Secret



Periodic Reinvestigations



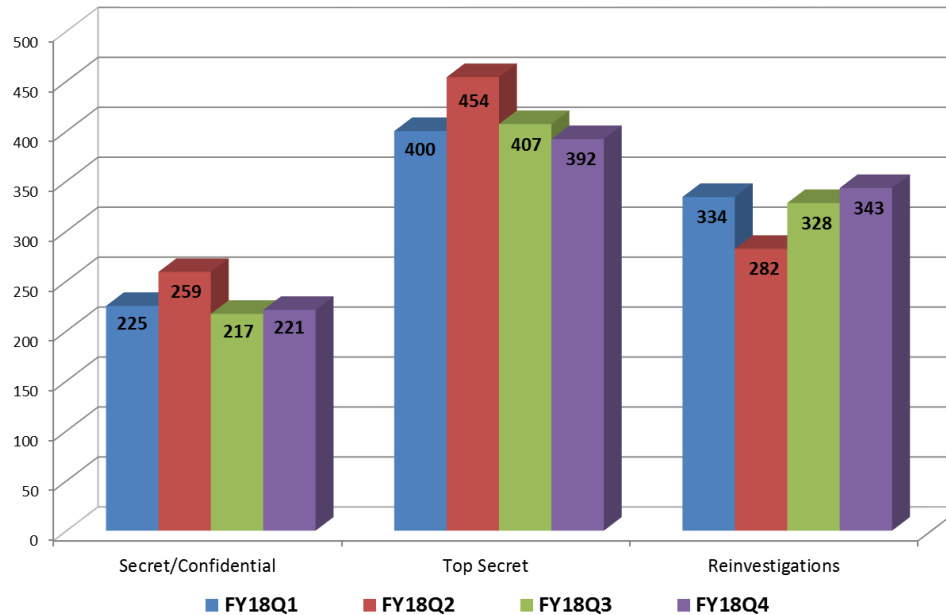
Pre submission
Coordination

Post decision
Employment
Coordination



Timeliness Performance Metrics for IC/DSS Industry Personnel Submission, Investigation & Adjudication* Time

Average Days of Fastest 90% of Reported Clearance Decisions Made



* Includes updated data for quarters 1-3

	Secret/ Confidential	Top Secret	Periodic Reinvestigations
Adjudication actions taken – 1st Q FY18	14,424	4,972	13,578
Adjudication actions taken – 2nd Q FY18	13,900	6,388	17,077
Adjudication actions taken – 3rd Q FY18	16,373	7,611	15,447
Adjudication actions taken – 4th Q FY18	12,276	6,711	14,273

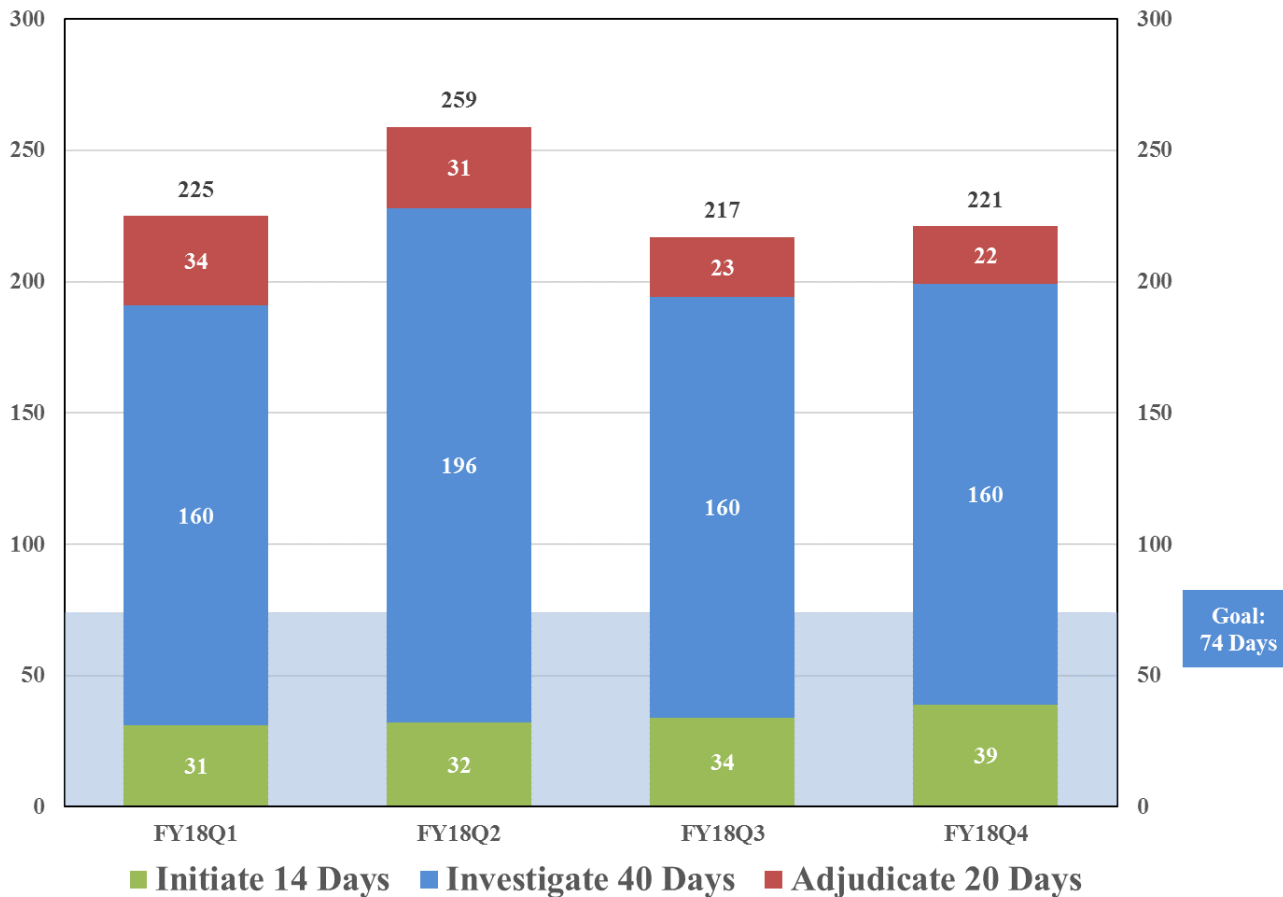
*The adjudication timeliness includes collateral adjudication and SCI, if conducted concurrently.

As of 11/07/2018



IC and DoD Industry – Secret Clearances

Average Days of Fastest 90% of Reported Clearance Decisions Made



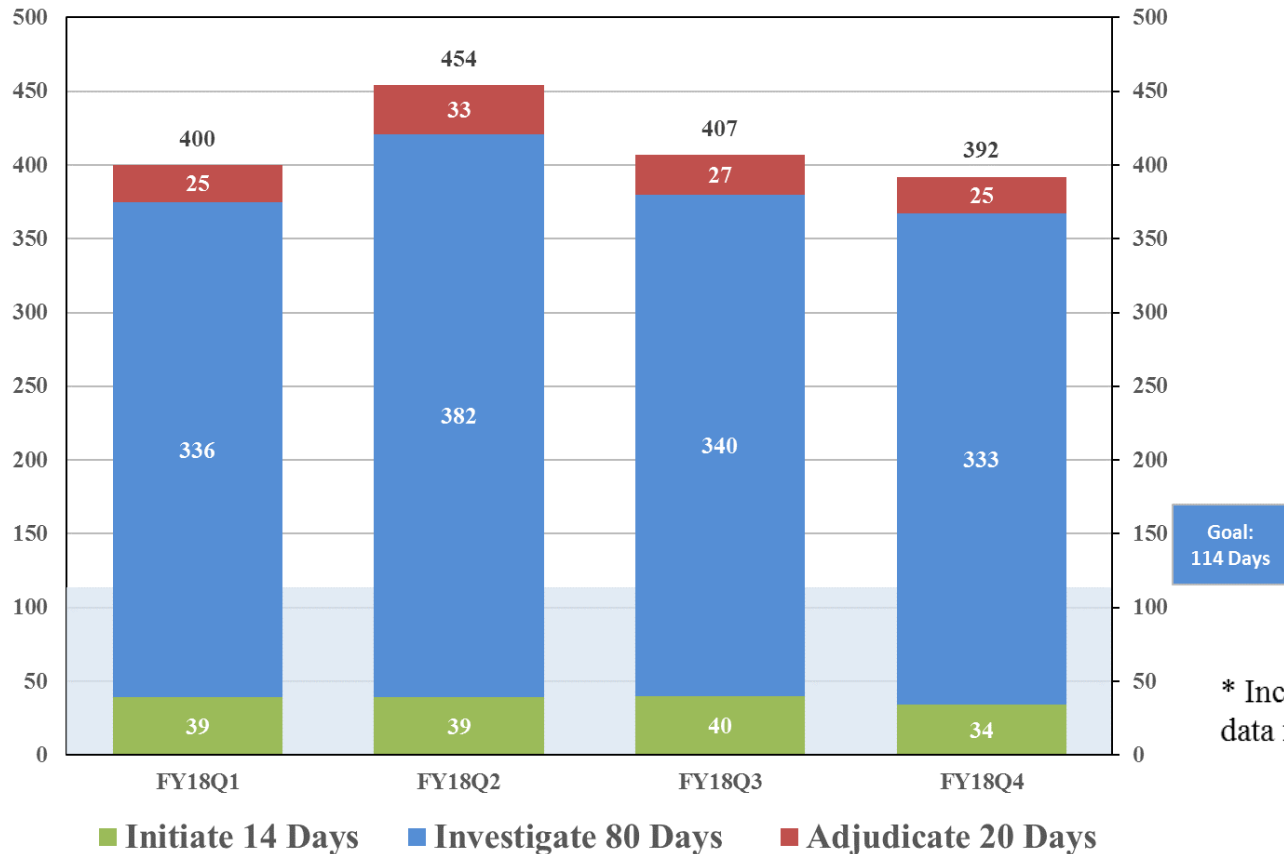
es updated
quarters 1-3

As of 11/07/2018



IC and DoD Industry - Top Secret Clearances SSBI and Tier 5

Average Days of Fastest 90% of Reported Clearance Decisions Made

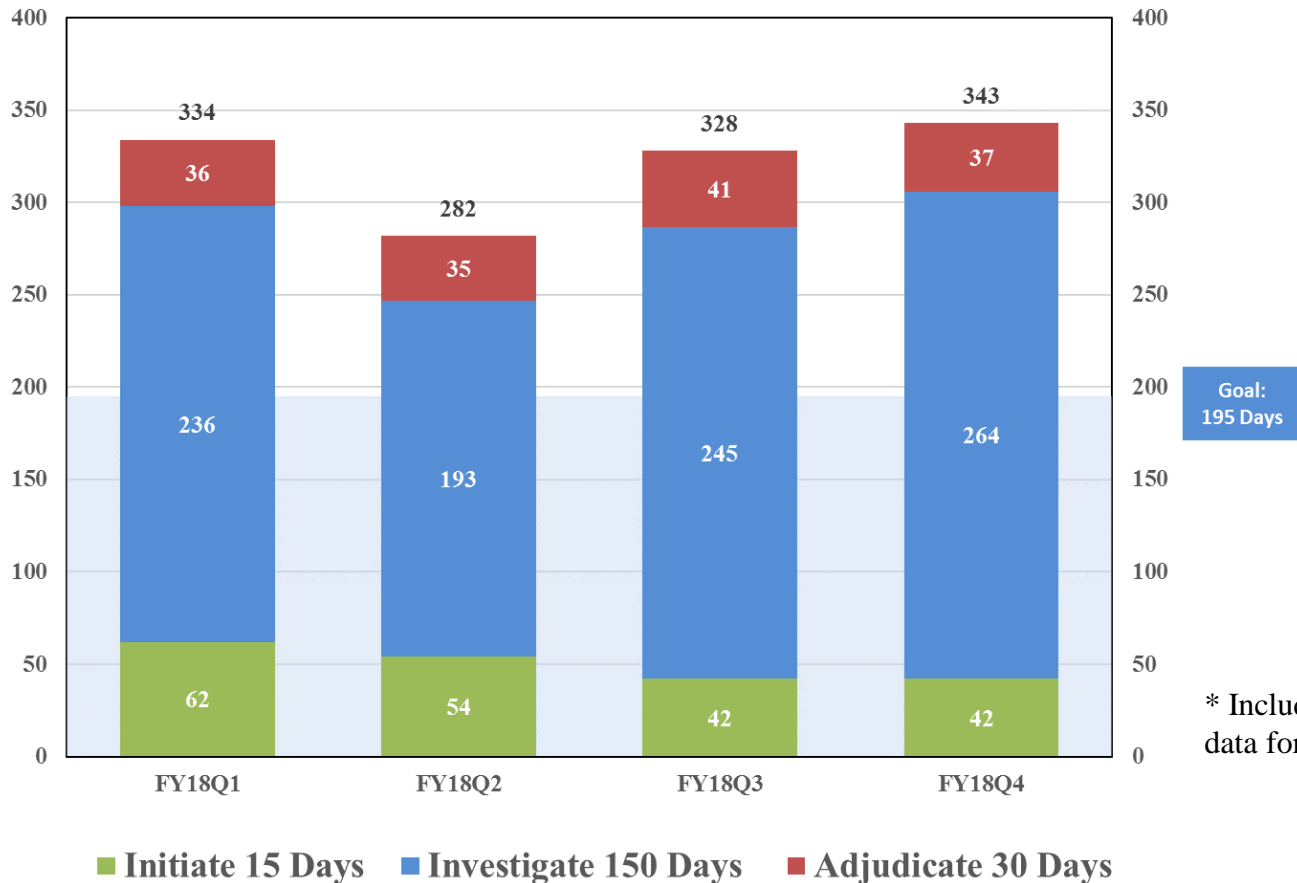


* Includes updated data for quarters 1-3

As of 11/07/2018



IC and DoD Industry - Periodic Reinvestigations SSBI-PR's and Tier 5R



As of 11/07/2018



Questions?

Email: [SecEA @dni.gov](mailto:SecEA@dni.gov)

Attachment 9

NISPPAC Briefing



Heather Green, Director, Vetting Risk Operations Center (VROC)

FY 18 VROC Metrics



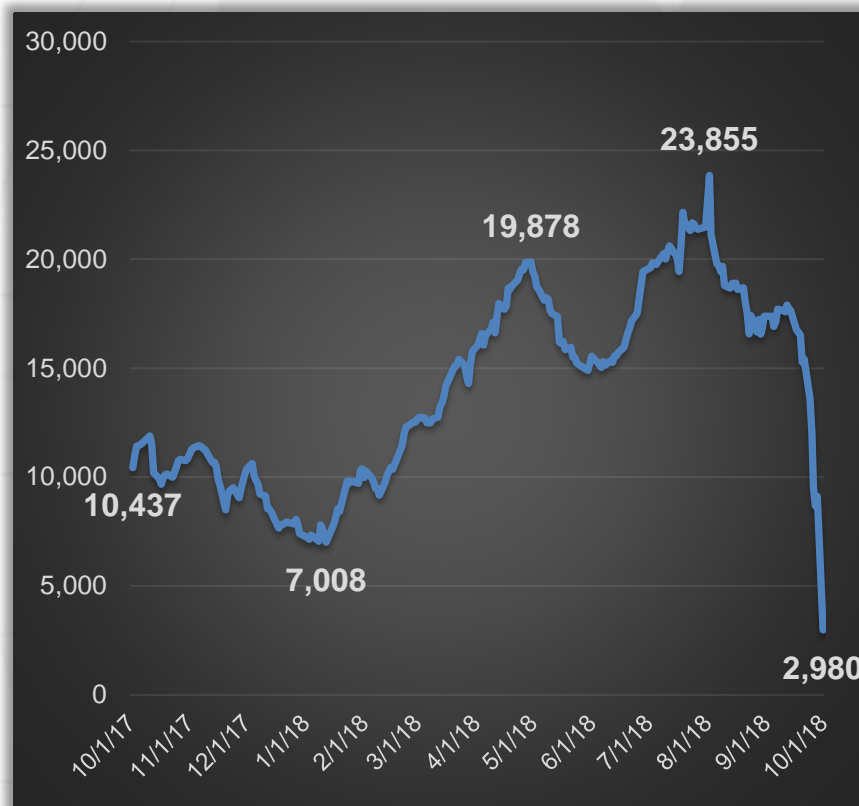
FY 18 Annual e-QIP Submissions **263,450**

FY 18 End of Year Inventory **2,980**

FY18 Interims Processed **95,000**

Average Interim Timeliness **20 days**

Knowledge Center Calls **108,726**



Attachment 10

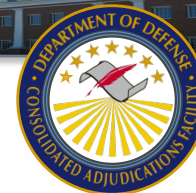


Department of Defense Consolidated Adjudications Facility

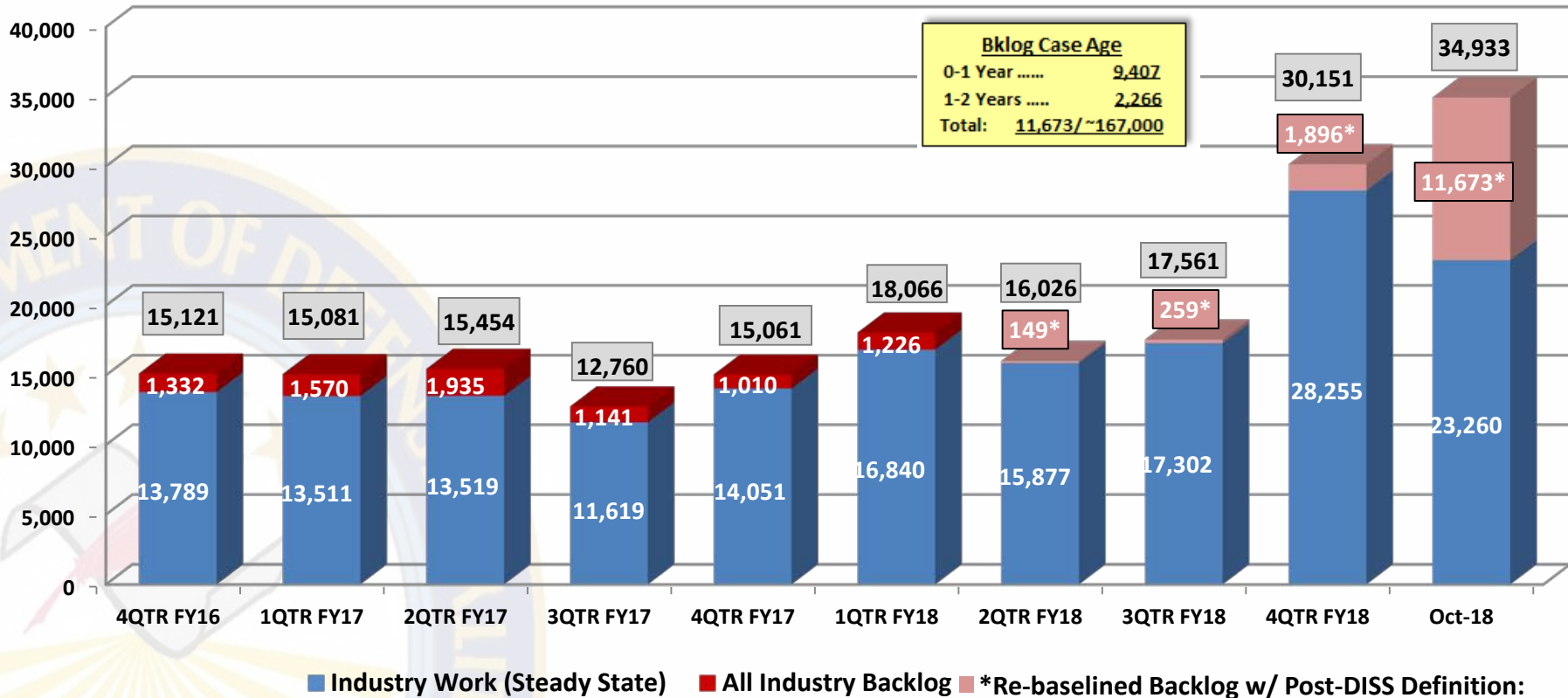


NOVEMBER 15, 2018

NISPPAC WORKING GROUP



INDUSTRIAL CASES PENDING ADJUDICATION



Takeaways

- Cases on hand and backlog growth attributed to DISS delayed case ingest, NBIB initial closed short case surge, Industry Division's early learning phase of DISS, and underperforming eADJ pass rate
- Based upon current resourcing, CAF expects backlog growth through FY22
- Finalizing workload/backlog mitigation plan ICW DSS, OUSD(I), and PAC PMO

Month	NISP Backlog	FY 18 NISP Receipt	Backlog % of Total NISP
October 13	13,515		8.1%
October 18	11,673*		6.38%
	-1,842	~ 183,000	

***Re-baselined Backlog w/ Post-DISS Definition:**

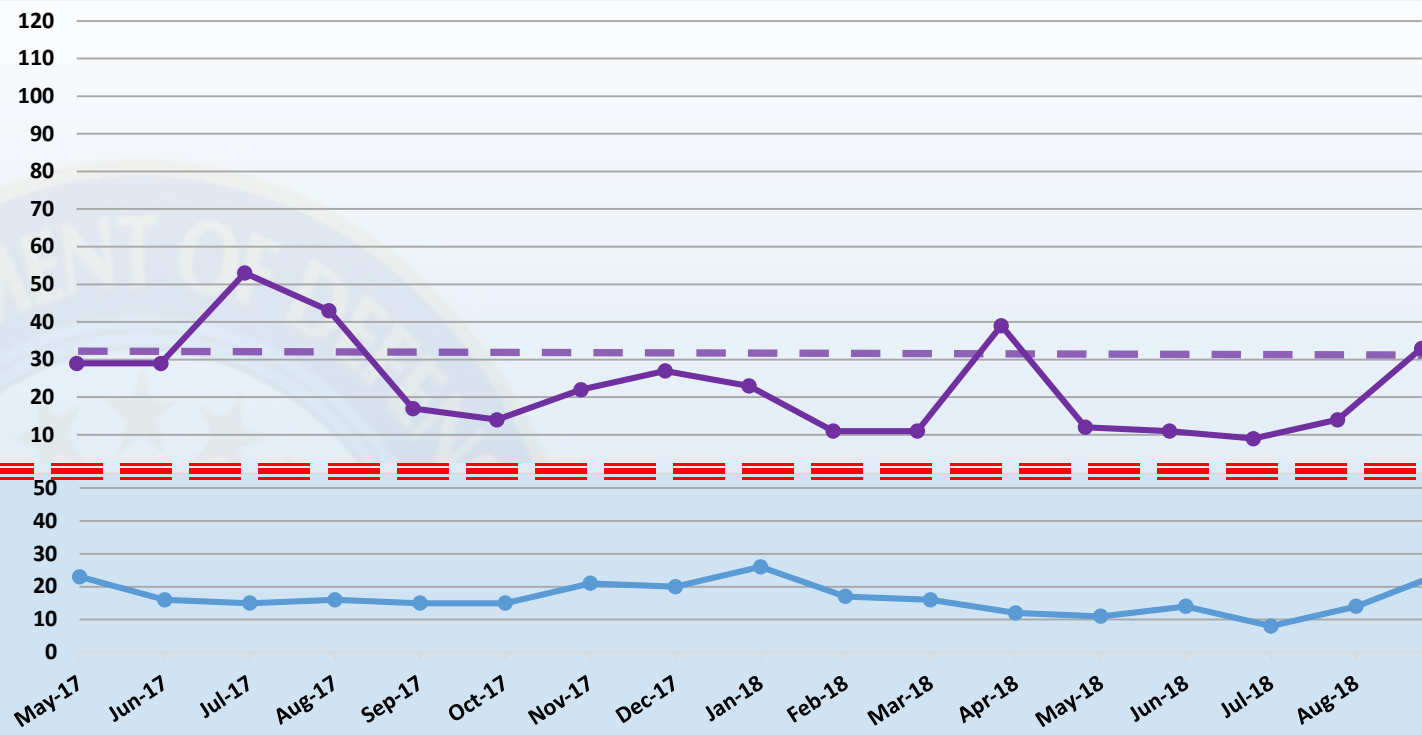
- 90% of the newest Unassigned Cases Exceeding IRTPA timelines - Cases waiting 2nd review > 60 days - Cases waiting SME consult review > 60 days



INDUSTRY

Intelligence Reform and Terrorism Prevention Act Performance

(Based on OPM Reporting from May 17 – Sep 18)



Average*	FY17	FY18
Initials	22	17
PR	26	19

● Industry PR (SSBI/NACL/Tier 3)

30 days - Requirement for PRs

Sep 18: PR = 33 days

Sep 18: Initial = 24 days
20 days - Requirement for Initials

● Industry Initial (SSBI/NACL/Tier 3)

- **Industry deployed DISS in late June 2018, continue to expect timeliness to:**
 - + Fluctuate as CAF continues to resolve case assignment issues
 - + Rise based on DISS' delayed case ingest
 - + Rise for 2-3 months post-deployment as CAF/PSMO-I/FSO's consolidate PERSEC OPS on this new system
- **CAF timeliness for Industry adjudications remains at very acceptable level...for now**

* Separated non-DoD CAF cases and data applicable to other elements of the DoD (e.g. DIA, NSA, & NGA)



KEY TAKEAWAYS

- The Appeals Process, Document Migration, Latency and Reporting continue to impact DISS production
- Legacy CATS is no longer accessible; DISS is the way ahead
- In partnership with USD-I, DVD, and NBIB, the CAF is setting conditions to successfully handle workload; expect increased Backlog and Work in Progress (WIP) and decreased timeliness until systems stabilize



Department of Defense Consolidated Adjudications Facility

