TRUSTED WORKFORCE 2.0

Mission ▪ Mobility ▪ Insight

PERSONNEL VETTING
QUARTERLY PROGRESS UPDATE, FY23 Q1

January 2023

REFORM LEADERS

The Security, Suitability, and Credentialing Performance Accountability Council (PAC) is spearheading transformational personnel vetting reforms under the Trusted Workforce (TW) 2.0 initiative, which aims to better support agencies' missions by reducing the time required to bring new hires onboard, enabling mobility of the Federal workforce, and improving insight into workforce behaviors. The 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. A list of the full PAC agencies and other supporting agencies can be found on the last page of this document.

Jason Miller
DDM, OMB

Chairs the PAC and sets overall personnel vetting reform direction. Leads accountability for reform.

Avril Haines
DNI

Principal Member of the PAC. Security Executive Agent. Sets and oversees personnel vetting policy for national security sensitive determinations.

Kiran Ahuja
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Principal Member of the PAC. Suitability and Credentialing Executive Agent. Sets and oversees personnel vetting policy for suitability, fitness, and credentialing determinations
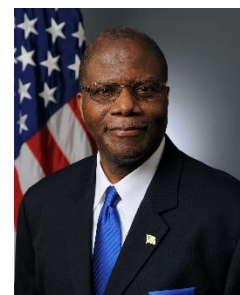
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Principal Member of the PAC. Hosts and oversees the Defense Counterintelligence and Security Agency and carries out Defense personnel vetting reforms.

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KEY HIGHLIGHTS

2022 Personnel Vetting Reforms Set Stage for Major Implementation Efforts

Over the course of the past year, the Federal Government took tremendous strides on its Trusted Workforce 2.0 personnel vetting reform initiative. Departments and agencies each designated an accountable senior leader and developed implementation plans. The Executive Agents issued eight new policies to support TW 2.0, including new Investigative Standards. The Government's full national security sensitive workforce of 4.5M was successfully enrolled into a continuous vetting model to replace traditional, time-based periodic reinvestigations, a substantial step on the path to transformation and improved risk management. Development efforts progressed for the new end-to-end personnel vetting system to replace legacy systems; in 2022, the first capabilities came online to replace the position designation tool and e-QIP.

NBIS Surpasses 100 Onboarded Agencies

DCSA has successfully onboarded 101 agencies into NBIS, the next generation of personnel vetting systems. This is a critical step on the path toward agency TW 2.0 implementation. Onboarded agencies will continue to work with DCSA to scale into the new system, which allows for initiation, review, and authorization of background investigation requests within the system, and will support additional vetting lifecycle support actions.

Streamlined Replacement for SF-85, SF-85P, SF-85PS, and SF-86 Published for Public Comment

ODNI and OPM published the Federal Register Notice for the "Personnel Vetting Questionnaire" on November 23, 2022, for a 60-day public comment period. The proposed format combines and streamlines multiple existing information collections, as well as the renewal cycles, to complement ongoing efforts to improve personnel vetting processes and the experience of those undergoing personnel vetting. The comprehensive questionnaire contains all the potential questions that could be asked of individuals undergoing personnel vetting; however, the respondent completing the form will only be asked to complete the questions required for their specific position risk and designation. The higher the risk and sensitivity of the position, the greater the information collection will be. Additionally, the questions themselves have been amended to comply with the Plain Writing Act to use clear language in descriptions and instructions. The framing of many formerly complex questions has been simplified with the goal of capturing complete and accurate information. Once comments from this 60-day period have been incorporated, the form will be posted again for an additional 30-day comment period.

5 CFR, Part 731 Update Published in Federal Register

OPM has published the notice of proposed rulemaking to update 5 CFR part 731. Part 731 establishes the investigative, reciprocity, and adjudicative requirements for the competitive service. With the changes, the regulation will set the investigative and reciprocity requirements for civil service positions, for contractor staff-like positions, and for Department of Defense non-appropriated funds positions. It also proposes continuous vetting requirements for low risk and public trust non-sensitive positions covered by the regulation. Finally, the proposal establishes minimum standards of fitness for excepted service positions and revisions to the adjudicative factors consistent with evolving societal changes. Collectively, these changes further support alignment of the personnel vetting model as part of the TW 2.0 one-three-five framework.

OPM Updates National Training Standards for Suitability Adjudicators

OPM has issued updates to the National Training Standards for Suitability Adjudicators. The National Training Standards establish standardized training requirements that support uniformity in continued professional development and promote reciprocal recognition of background investigations and adjudications. The updates are the result of a review conducted of the existing training and enabling objectives for suitability adjudicators in light of Trusted Workforce 2.0 policies, and they reflect requirements set forth in the new policies. OPM is developing gap training and updating existing OPM-offered training courses to assist departments and agencies in understanding the new vetting requirements, including the changes to the investigative products.

DCSA Finalizes Pricing for TW 2.0 Products

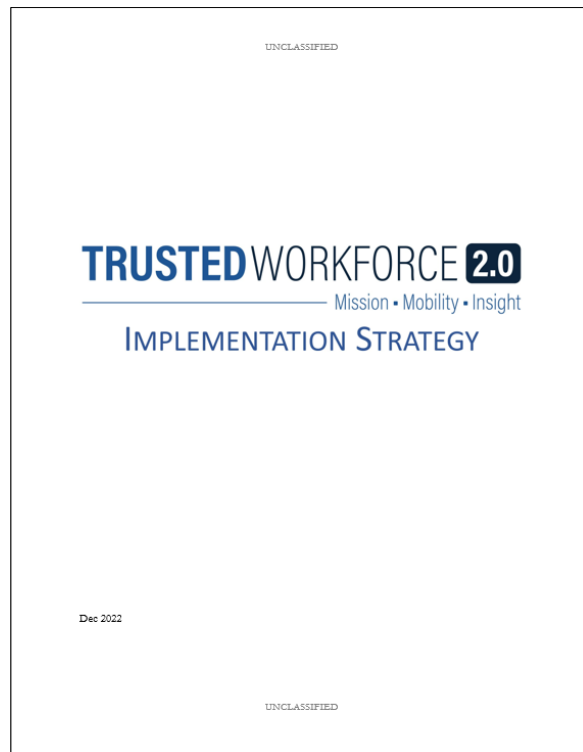DCSA has established product pricing for the forthcoming TW 2.0 products and plans to implement the new products and services in a phased approach. A Federal Investigative Notice to reflect the pricing will be published in early 2023. Final pricing represents a significant milestone for DCSA customer agencies who can now leverage the product pricing for budgeting and planning purposes aligned with reform efforts.

KEY MILESTONES

To facilitate the realization of TW 2.0, the PAC developed the Trusted Workforce 2.0 Implementation Strategy (Strategy), which establishes a roadmap for modernizing the Government's personnel vetting mission. To be successful, TW 2.0 implementation must be a whole-of-government effort. The Strategy identifies the actions to be taken by the Executive Agents, Departments and Agencies, and authorized personnel vetting investigative service providers to implement personnel vetting reforms iteratively over the next several years. A Senior Implementation Official in each Department and Agency is responsible for ensuring agency implementation of TW 2.0 is consistent with the principles of the Federal Personnel Vetting Core Doctrine, implementation guidance issued by the Executive Agents, and the Strategy.

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TRUSTEDWORKFORCE **2.0**
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IMPLEMENTATION STRATEGY

Dec 2022

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Past reform efforts primarily leveraged a sequential approach—policy development, then planning, then implementation—leading to long timelines between the policy formulation phases and the delivery of products and services to customers. Seeking opportunities to deliver results sooner and taking full advantage of the rebuild of the IT systems, TW 2.0 will leverage an iterative implementation approach, focusing on what is known currently with a high degree of confidence and publishing adjustments as needed. TW 2.0 implementation requires the modernization and deployment of a new U.S. Government-wide IT architecture for personnel vetting. Departments and Agencies will monitor policy issuances to ensure alignment with deployment of technical capabilities. Based on lessons learned from early implementation efforts, planning and actions will be adjusted to ensure efforts are correctly prioritized. These activities will drive timelines for the transition from legacy personnel vetting systems to the National Background Investigation Services (NBIS) and support the incremental decommissioning of legacy systems. Building the TW 2.0 future state iteratively will accelerate the overall timeline and position the enterprise to meet mission needs.

As TW 2.0 progresses, the Strategy will be updated to align with policy development, capability deployment, and implementation progress. The Key Milestones section of this Quarterly Progress Update has been aligned with the 12 Strategic Actions from the Strategy (see below) and will be updated each quarter with any adjustments to the Strategy and with key progress on milestones. The Key Performance Indicators section of this Quarterly Progress Update contains measures aligned with the Strategy and with the TW 2.0 Performance Management Standards. As implementation progresses, this section will evolve over time.

Strategic Action	Success
Issue TW 2.0 Policies	Establishes new TW 2.0 approach to personnel vetting.
Establish Agency TW 2.0 Implementation Plans	Better positions agencies to successfully implement TW 2.0.
Transition from Five to Three Tiers	Maximizes uniformity across Federal personnel vetting domains to enable faster onboarding and improve workforce mobility.
Implement Initial Vetting	Increases speed of personnel vetting and standardizes preliminary determinations, reducing the number of days to onboard people.
Implement Continuous Vetting	Enables detection of concerning behavior in near real-time and improves mobility of the workforce by ensuring employees' vetting status is always up to date.
Implement Upgrades, Transfer of Trust, and Re-establishment of Trust	Provides agencies better and more timely access to the talent needed to accomplish varied missions. Individuals will experience a more agile personnel vetting approach.
Redesign Performance Management	Establishes an enterprise performance framework to enable data-driven decisions by policymakers, agency heads, and program managers.
Adopt Enterprise Shared Services	Promotes modern, secure, and innovative technology and business services to improve operational efficiency, ensure consistency and quality, and better protect personnel vetting information.
Improve Information Sharing	Gets the right information to the right people at the right time to help make timely and informed personnel vetting decisions.
Enhance Individual Engagement	Promotes transparency of vetting processes and improves two-way communications between agencies and vetted individuals throughout their affiliation with the Federal Government.
Modernize Information Collection from Individuals	Aligns information collection through modernized forms and automated systems, ensuring agencies have the information needed to better manage risk and improving individuals' customer experience.
Continually Optimize Processes through Technology	Seeks to evaluate new capabilities and technologies to lower costs, achieve faster throughput, and make better decisions.

KEY MILESTONES

Key Milestone	Target	Action	Owner	Status	Key Progress
Publish Federal Personnel Vetting Core Doctrine	Jan-21	Issue TW 2.0 Policies	ODNI, OPM	Complete	
Offer TW 1.25 as a government-wide service	Jun-21	Implement Continuous Vetting	DCSA	Complete	
Develop initial TW 2.0 implementation plan	Sep-21	Agency TW 2.0 Implementation Plans	Agencies	Complete	
Enroll national security sensitive population into TW 1.25	Sep-21	Implement Continuous Vetting	Agencies/ DCSA	Complete	
Update Scattered Castles to display continuous vetting enrollment status	Sep-21	Improve Information Sharing	ODNI	Complete	
Begin phased NBIS deployment and onboarding	Oct-21	Implement Initial Vetting	DCSA	Complete	
Publish pricing for TW 1.5 service	Dec-21	Implement Continuous Vetting	DCSA	Complete	
Submit signed NBIS memorandum of understanding	Dec-21	Transition from Five to Three Tiers	Agencies	Complete	
Select FY 2022 R&I projects to assess applicability of emerging technologies to personnel vetting processes	Dec-21	Continually Optimize Processes through Technology	PAC PMO	Complete	

Key Milestone	Target	Action	Owner	Status	Key Progress
Issue Federal Personnel Vetting Guidelines, Performance Management Guidelines, and Personnel Vetting Engagement Guidelines	Jan-22	Issue TW 2.0 Policies	ODNI, OPM	Complete	
Issue TW 2.0 Implementation Strategy	Feb-22	Issue TW 2.0 Policies	ODNI, OPM, DoD, OMB	Complete	Based on the iterative approach to implementation, the TW 2.0 Implementation Strategy was refreshed in December with updated milestones and target dates. This Quarterly Progress Report has been aligned with changes to the Strategy.
Designate a Senior Implementation Official to be accountable for TW 2.0 implementation	Feb-22	Agency TW 2.0 Implementation Plans	Agencies	Complete	
Issue Investigative Standards[1]	Mar-22	Issue TW 2.0 Policies	ODNI, OPM	Complete	
Begin DCSA Adjudications onboarding into NBIS to support the phased transition from DISS to NBIS	Apr-22	Implement Initial Vetting	DCSA	Complete	
Provide initial report on agency TW 2.0 implementation progress to PAC Chair	Jun-22	Agency TW 2.0 Implementation Plans	Agencies	Complete	
Offer TW 1.5 as a government-wide service	Jun-22	Implement Continuous Vetting	DCSA	Complete	
Issue adjudicative guidance	Jun-22	Issue TW 2.0 Policies	ODNI, OPM	Complete	

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

Key Milestone	Target	Action	Owner	Status	Key Progress
Update Position Designation System	Jul-22	Transition from Five to Three Tiers	ODNI, OPM	Complete	
Issue Performance Management Standards	Jul-22	Issue TW 2.0 Policies	ODNI, OPM	Complete	
Update Position Designation Tool	Sept-22	Transition from Five to Three Tiers	DCSA	Complete	
Enroll national security population in TW 1.5	Sep-22	Implement Continuous Vetting	Agencies	Complete	
Publish personnel vetting shared services catalog	Sep-22	Adopt Enterprise Shared Services	PAC PMO	Complete	
Complete NBIS deployment/onboarding to allow for initiation capability within the system	Dec-22	Transition from Five to Three Tiers	DCSA/ Agencies	Complete (previously On Track)	Parent organizations have been onboarded into NBIS and over 28,000 cases have been submitted through eApp. Agency scaling will continue through the end of the calendar year.
Publish final product pricing for TW 2.0 investigative products and services	Dec-22	Transition from Five to Three Tiers	DCSA	Complete (previously On Track)	DCSA has finalized FY24 pricing and will soon publish a Federal Investigative Notice. The pricing includes new products and services for TW 2.0 investigative consistent with the 2022 Federal Personnel Vetting Investigative Standards.
Select FY 2023 R&I projects to assess applicability of emerging technologies to personnel vetting processes	Dec-22	Continually Optimize Processes through Technology	PAC PMO	Complete (previously On Track)	Eight research & innovation projects have been selected from the 20 topics identified during Q4, based on comprehensive work plans prepared by the research partners. Efforts are underway for these projects so that work can begin in 2023.
Update standard forms	Feb-23	Modernize Information Collection from Individuals	ODNI, OPM	On Track	The notice inviting public comment on updated personnel vetting questionnaires for a period of 60 days was posted to the Federal Register on November 23, 2022.

Key Milestone	Target	Action	Owner	Status	Key Progress
Transition of DCSA TW 1.25 customers to TW 1.5 continuous vetting operational implementation	Mar-23	Implement Continuous Vetting	DCSA	On Track	DCSA continues work to transition customer agencies to the DCSA TW 1.5 service.
Issue 5 CFR Part 731 regulatory update	Mar-23 (previously Dec-22)	Issue TW 2.0 Policies	OPM	Complete (previously On Track)	The notice of proposed rulemaking for updates to 5 CFR, Part 731 was published in the Federal Register.
Issue Personnel Vetting Management Standards	FY23 Q3	Issue TW 2.0 Policies	ODNI, OPM	On Track	ODNI and OPM are completing their draft of the Personnel Vetting Management Standards and appendices and anticipate interagency coordination in early 2023.
Launch an individual engagement awareness effort	FY23 Q4	Enhance Individual Engagement	ODNI, OPM	Not Started	
Offer continuous vetting for non-sensitive public trust population, beginning with a set of minimum checks	FY23 Q4	Implement Continuous Vetting	DCSA	On Track (Previously Not Started)	DCSA and OPM formed a working group that will kick off a continuous vetting pilot in FY23 Q2 for the non-sensitive public trust population. The pilot will identify lessons learned prior to agencies beginning the phased enrollment of their populations.
Transition to full adoption of eApplication (off e-QIP)	FY23 Q4	Transition from Five to Three Tiers	Agencies	On Track	
Enroll all individuals in Rap Back during the initial vetting process	FY23	Implement Initial Vetting	Agencies	On Track	ISPs began developing a strategy for streamlining enrollment of individuals into Rap Back during the initial vetting process.
Select FY 2024 R&I projects to assess applicability of emerging technologies to personnel vetting processes	Dec-23	Continually Optimize Processes through Technology	PAC PMO	Not Started	
Integrate Personnel Vetting Engagement Guidelines into workforce annual training	FY24 Q1 (previously FY23)	Enhance Individual Engagement	Agencies	Not Started	

Key Milestone	Target	Action	Owner	Status	Key Progress
Issue a policy on sharing covered insider threat information pertaining to contractor employees engaged by the Federal Government	FY24 Q1	Improve Information Sharing	ODNI	Not Started	
Begin to implement new performance metrics iteratively	FY24 Q2 (previously FY24 Q1)	Redesign Performance Management	Agencies	On Track (previously Not Started)	Agencies have received the Performance Management Standards, and coordination on targets will begin in FY23 Q2.
Build new personnel vetting forms in eApplication within NBIS	FY24 Q2	Modernize Information Collection from Individuals	DCSA	Not Started	
Implement TIP programs	FY24	Improve Information Sharing	ISPs	Not Started	
Offer continuous vetting for low-risk population, beginning with a set of minimum checks	FY24	Implement Continuous Vetting	DCSA	Not Started	
Implement three-tiered model	FY24	Transition from Five to Three Tiers	ISPs	On Track	
Implement Upgrades, Transfer of Trust, and Re-establishment of Trust scenarios	FY24	Implement Upgrades, Transfer of Trust, and Re-establishment of Trust	Agencies	Not Started	
Enroll all populations in TW 2.0 continuous vetting service	FY25	Implement Continuous Vetting	Agencies	Not Started	

KEY PERFORMANCE INDICATORS

The Key Performance Indicators section of this Quarterly Progress Update has a set of measures aligned with the Strategy and with the TW 2.0 Performance Management Standards (see table below). This section will evolve as implementation moves forward.

The Performance Management Standards are divided into three categories, which represent collections of performance metrics that provide meaningful performance information to stakeholders to enable recognition of risks, issues, and trends, and to help identify causes to implement tailored mitigation strategies. The categories include:

- **Health:** Aggregated agency performance metrics used to determine effectiveness, efficiency, legal/policy compliance, and systemic risk.

- **Reform:** Performance metrics used to drive implementation, policy decision, and development of enterprise-wide reforms. Reform metrics also measure the successful implementation and full operating capabilities of emerging reform initiatives or new policy/legislative mandates

- **Special Interest:** Performance metrics used to inform policy decisions and program development related to evolving threats, societal trends, research and innovation, or to accommodate process or technology improvements.

Focus Area	Key Indicator Title	Description
Health	End-to-End Process Timeliness	Average number of days to complete end-to-end processing for the national security population
	Background Investigation Timeliness	Average number of days to complete Secret and Top-Secret background investigations
	Percentage of Cases Meeting Timeliness Targets	Percentage of cases that are meeting investigative timeliness targets
	DCSA Investigations Inventory	Total inventory of pending DCSA investigations by progress to goal
Reform	Transfer of Trust	Average number of days to accept a previously vetted national security individual
	eApp vs. e-QIP Utilization	Total number of cases submitted using eApp and e-QIP
	National Security Enrollment in Continuous Vetting Capabilities	Total number of Executive Branch national security individuals enrolled in continuous vetting
	Volume of Periodic Reinvestigations	Volume of government-wide periodic reinvestigations
	Continuous Vetting Alerts	Number of automated record check alerts triaged, and number/percentage not previously known from self or third-party reporting
Special Interest	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

KEY PERFORMANCE INDICATORS

HEALTH: End-to-End Process Timeliness

Average Timeliness for Processing the Fastest 90% of Security Clearance Cases

Legend: Initial Secret (S) — Initial Top Secret (TS) — Periodic Reinvestigation (PR)

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

HEALTH: End-to-End Process Timeliness

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

Fastest 90%

| FY22 Q1 Through FY22 Q4		Initiate Average Days				Investigate Average Days				Adjudicate Average Days				End-to-End (Initiate + Inv. + Adj.) Average Days			
		Q1 22	Q2 22	Q3 22	Q4 22	Q1 22	Q2 22	Q3 22	Q4 22	Q1 22	Q2 22	Q3 22	Q4 22	Q1 22	Q2 22	Q3 22	Q4 22
Initial Secret Cases	Volume 312,206	Goal: 14 Days				40 Days				20 Days				74 Days			
		6	8	6	6	59	61	57	53	18	23	20	17	83	92	83	76
Initial Top Secret Cases	Volume 144,164	Goal: 14 Days				80 Days				20 Days				114 Days			
		17	14	12	11	95	114	98	91	46	43	32	25	158	171	142	127
Periodic Reinvestigations	Volume 99,033	Goal: 15 Days				150 Days				30 Days				195 Days			
		15	16	11	7	103	111	116	114	46	65	81	82	164	192	208	203
Total	555,403	Red Text: Goal Not Met								Blue Text: Goal Met							

The charts on this page are one quarter behind due to collection and analysis methods.

KEY PERFORMANCE INDICATORS

HEALTH: Background Investigation Timeliness

Secret Timeliness

90% Fastest — Standard (40 days)

Top Secret Timeliness

90% Fastest — Standard (80 days)
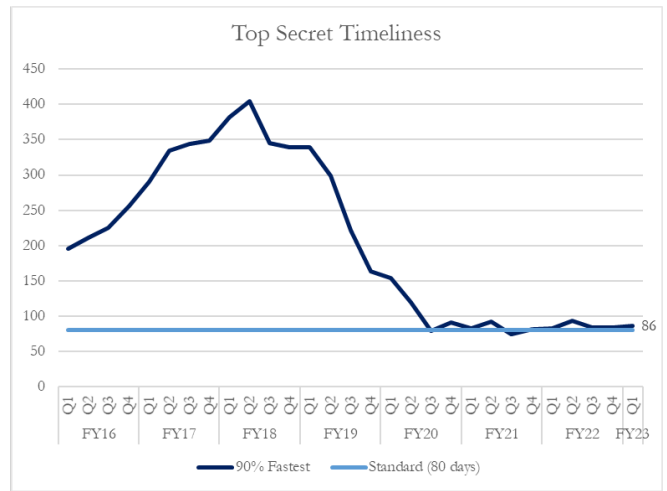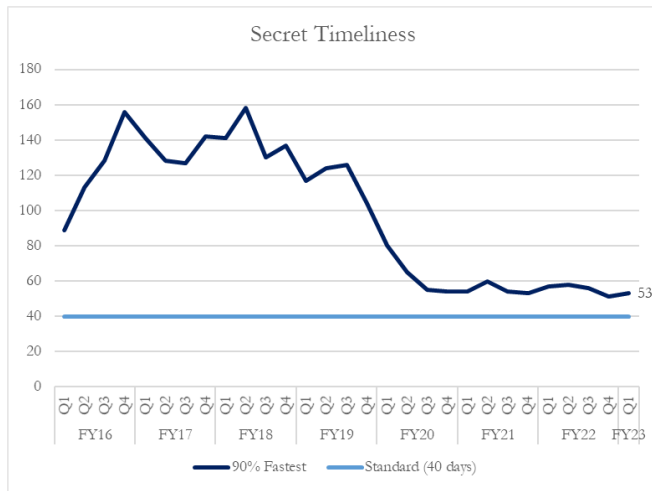
HEALTH: Percentage of Cases Meeting Timeliness Targets

% of Secret Cases Meeting Timeliness Goals

Cases Meeting Standards (%)

% of Top Secret Cases Meeting Timeliness Goals

Cases Meeting Standards (%)
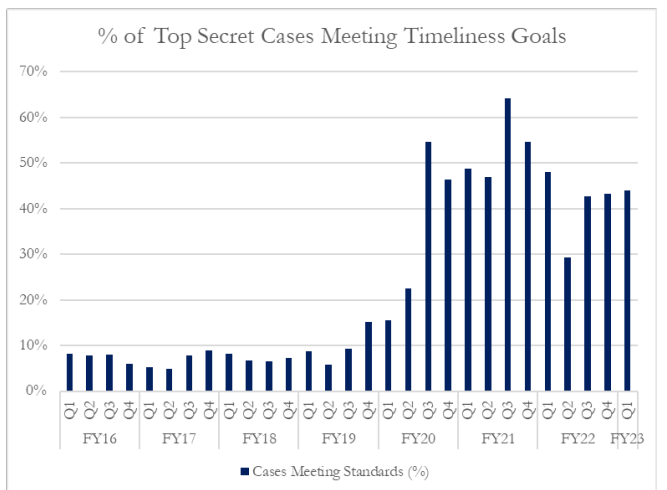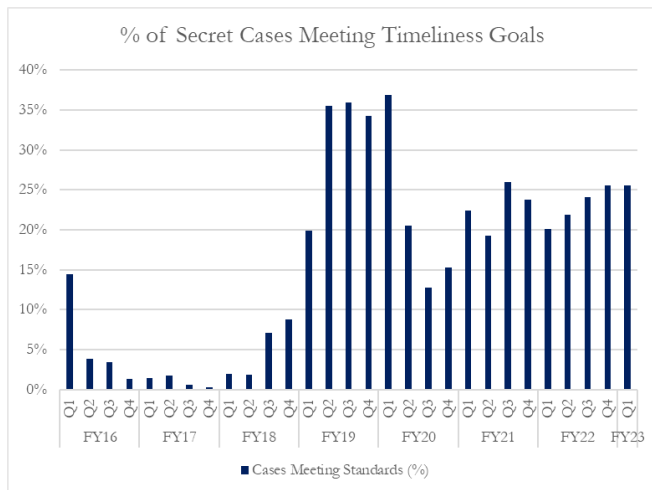
Charts on this page reflect only DCSA data and are current as of 12/31/2022.

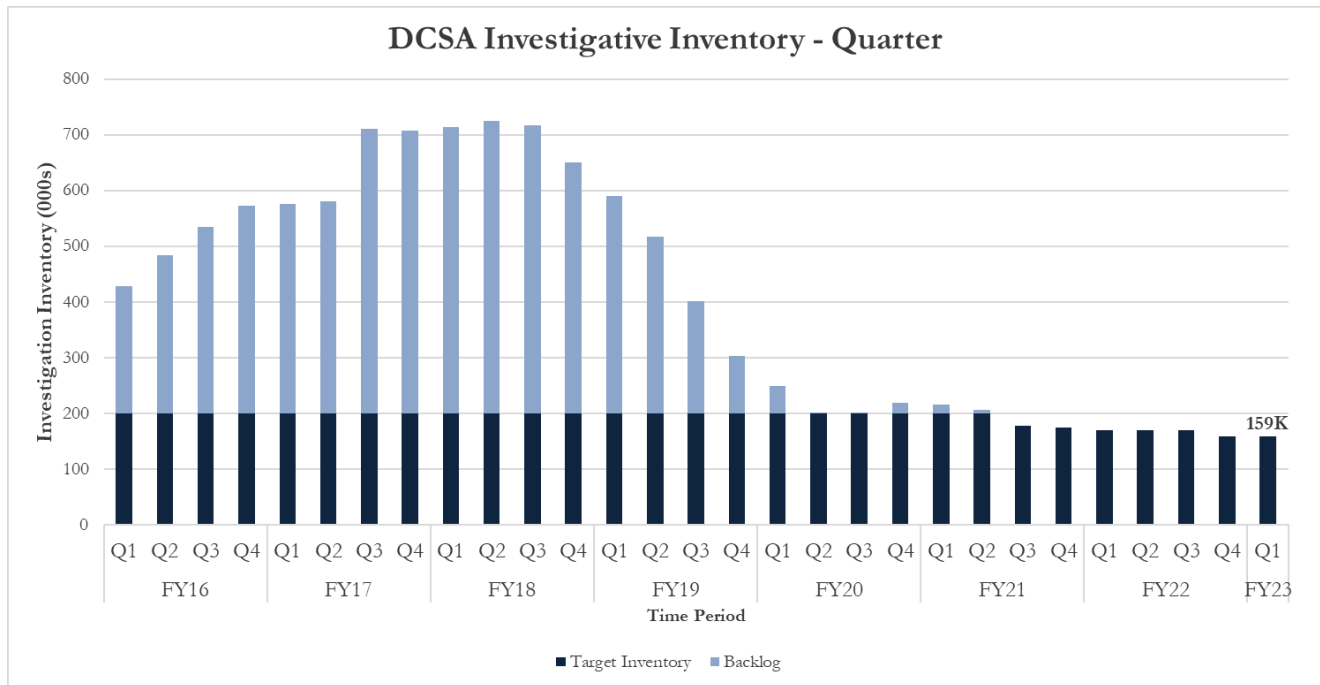# KEY PERFORMANCE INDICATORS

HEALTH: DCSA Investigations Inventory

DCSA Investigative Inventory - Quarter

Chart above reflects only DCSA data and is current as of 12/31/2022.

REFORM: Transfer of Trust

**Average Days to Accept a Previously Vetted Individual
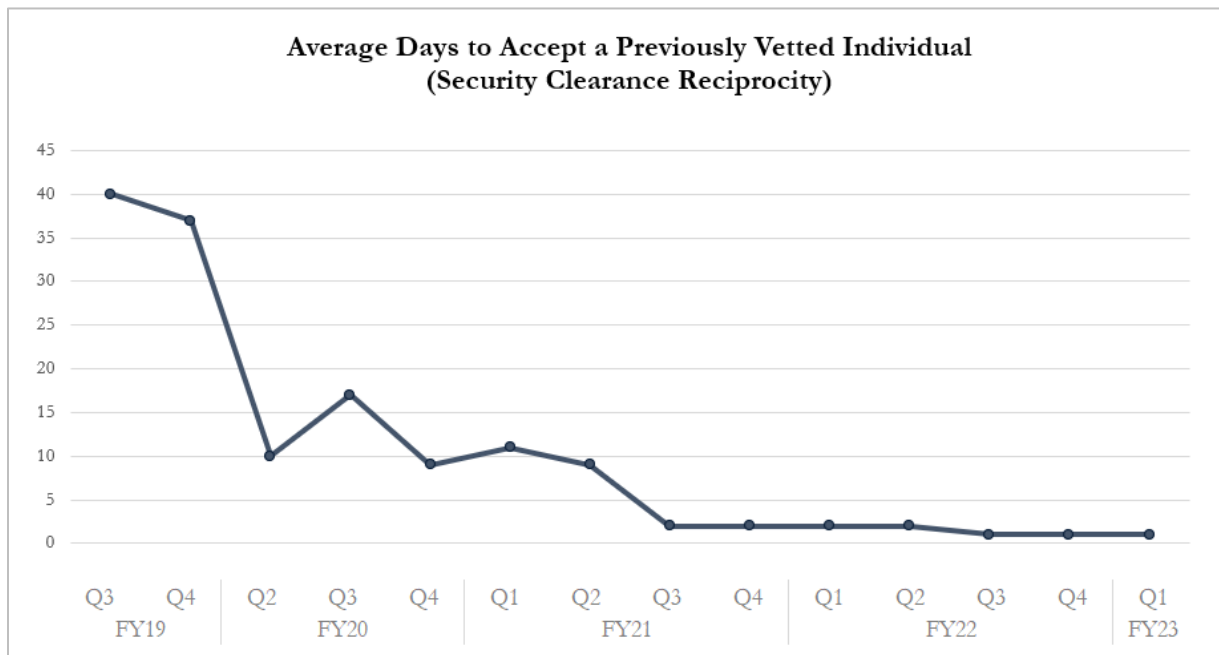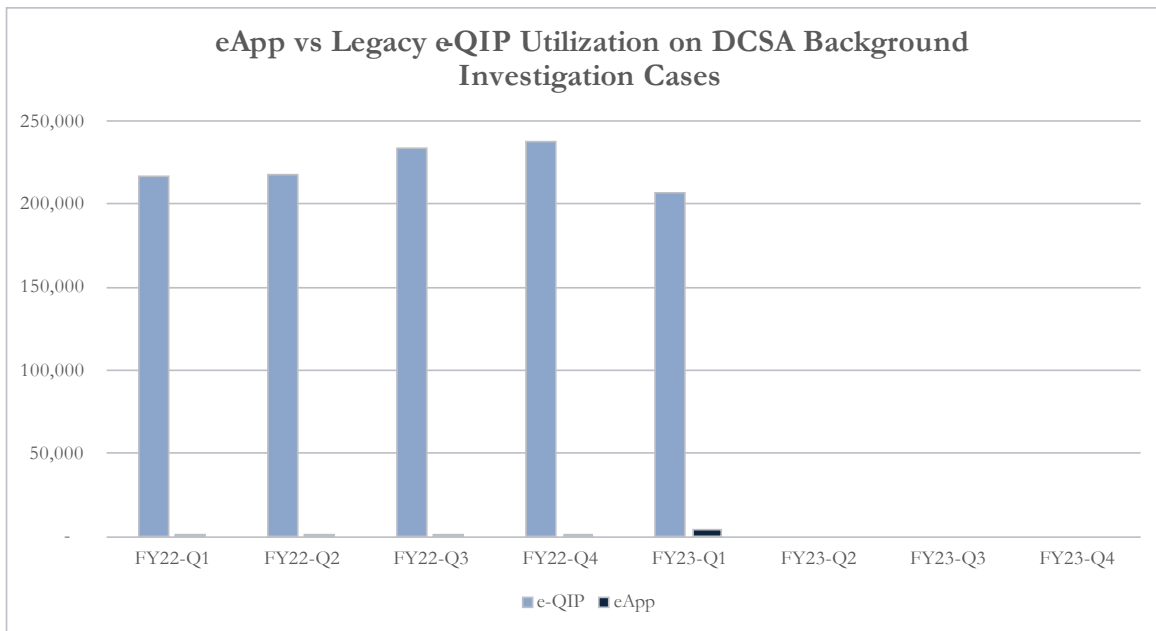(Security Clearance Reciprocity)**

Chart above reflects DCSA data and will be expanded as additional capabilities are deployed to automate data collection.

KEY PERFORMANCE INDICATORS

## REFORM: eApp vs. Legacy e-QIP Utilization

eApp vs Legacy eQIP Utilization on DCSA Background Investigation Cases

REFORM: National Security Enrollment in Continuous Vetting Capabilities

Continuous Vetting by Stage
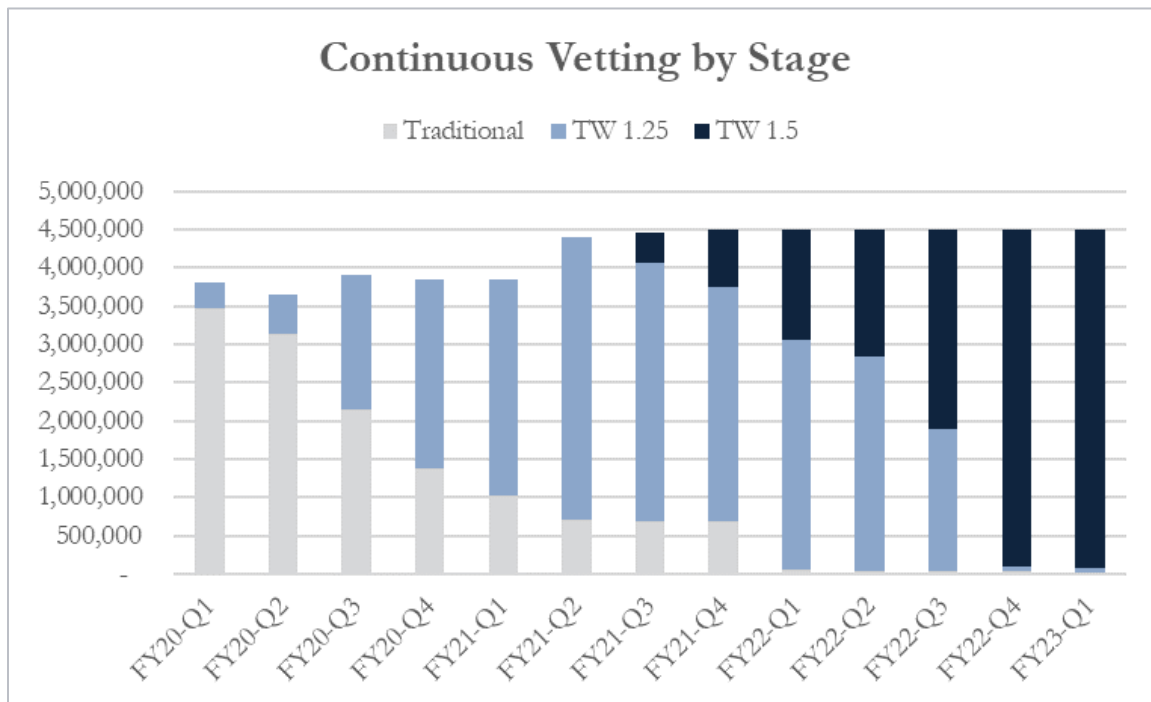
KEY PERFORMANCE INDICATORS

REFORM: Volume of Periodic Reinvestigations

Government-wide Periodic Reinvestigations
(Top Secret and Secret Cases)
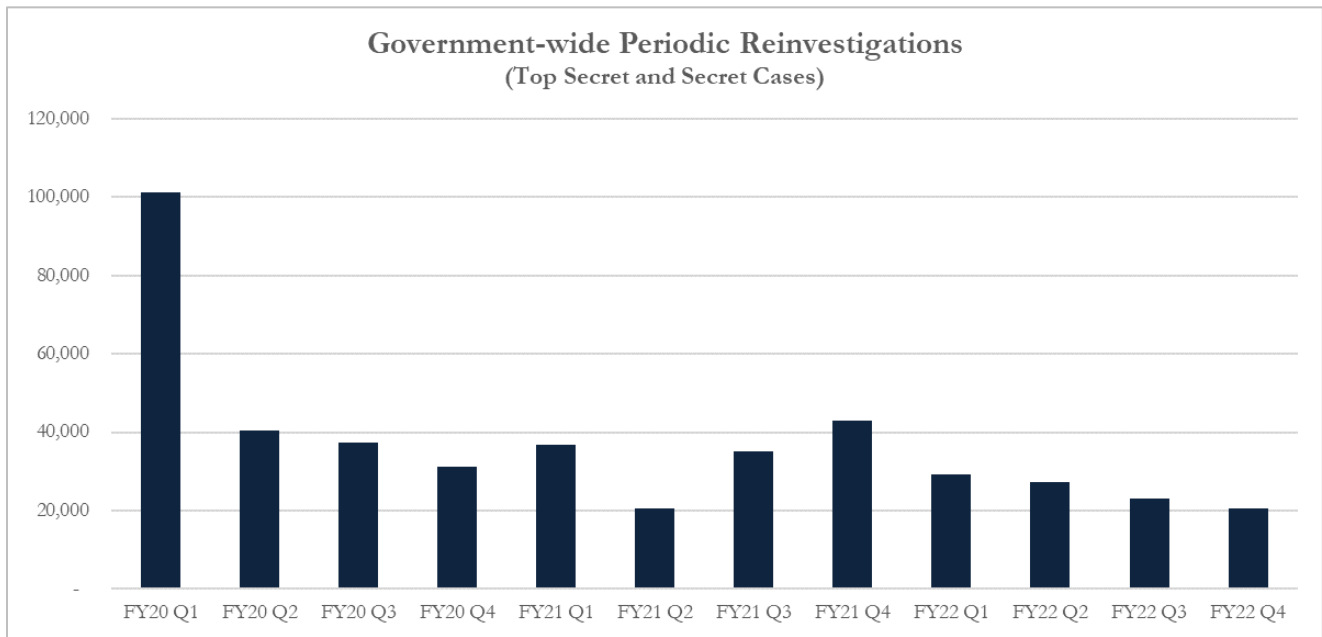
The chart above is one quarter behind due to collection and analysis methods.

REFORM: Continuous Vetting Alerts

FY 23 Continuous Vetting Alerts

■ Actionable Alerts (not previously known)   ■ Reported Alerts (previously self or third-party reported)
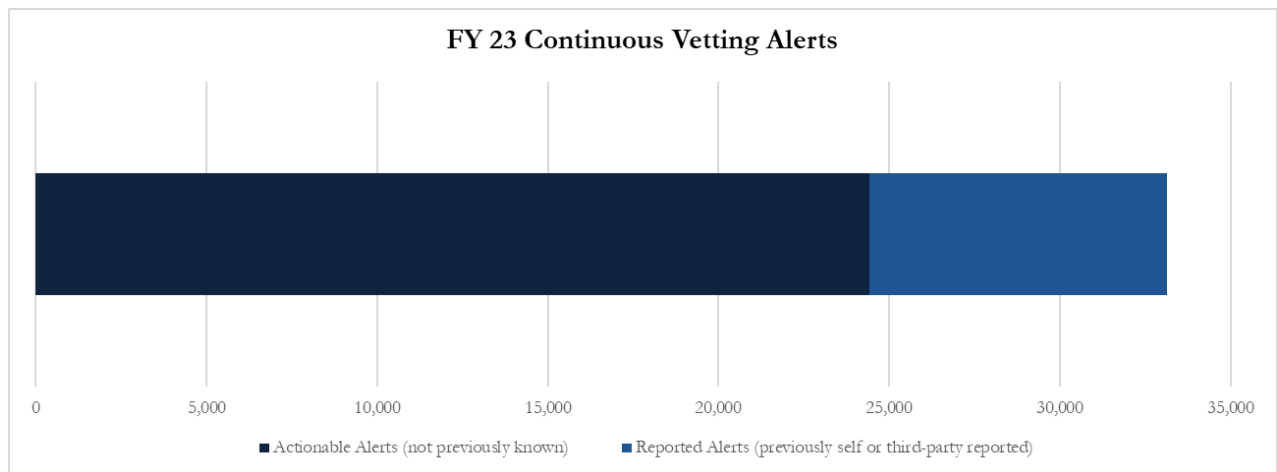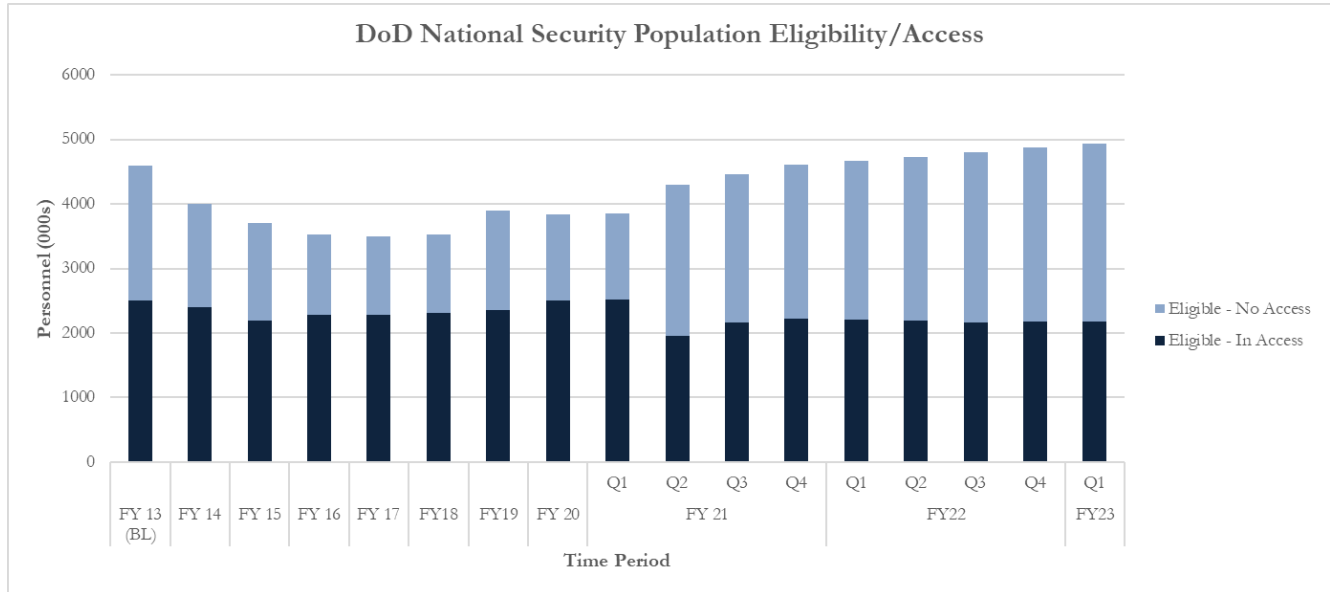
Chart above reflects only DCSA data and is current through 12/31/2022.

KEY PERFORMANCE INDICATORS

SPECIAL INTEREST: DoD National Security Population Eligibility & Access

DoD National Security Population Eligibility/Access

	Change in DoD Clearance (in thousands)																		
	FY 13 (Baseline)	**FY14**	**FY15**	**FY16**	**FY17**	**FY18**	**FY19**	**FY20**	**FY21 Q1**	**FY21 Q2**	**FY21 Q3**	**FY21 Q4**	**FY22 Q1**	**FY22 Q2**	**FY22 Q3**	**FY22 Q4**	**FY23 Q1**	**Number Decreased (from baseline)**	**FY13-FY23Q1 % change**
Eligible – In Access	2500	2400	2200	2280	2280	2318	2362	2508	2518	1962	2160	2229	2206	2196	2161	2173	2182	-318	-13%
Eligible – No Access	2100	1600	1500	1250	1210	1211	1539	1332	1335	2342	2300	2372	2457	2538	2641	2695	2748	648	31%
Total	4600	4000	3700	3530	3490	3529	3901	3840	3853	4404	4460	4601	4663	4734	4802	4868	4930	330	7%

CONTRIBUTING PROGRAMS

PAC Member Agencies

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

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
- Small Business Administration
- Central Intelligence Agency
- Department of Commerce
- Department of Housing & Urban Development
- Department of Transportation
- Environmental Protection Agency
- National Reconnaissance Office
- National Security Council
- Social Security Administration
- Defense Intelligence Agency
- Department of Education
- Department of Interior
- Department of Veterans Affairs
- National Aeronautics & Space Administration
- National Science Foundation
- Nuclear Regulatory Commission