



*a New Day for Federal Service*

# **Federal Investigative Services**

**Program Overview  
NDIA/AIA Conference  
May 20, 2015**

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# Agenda

- About OPM FIS
- Workload
- Capacity/Timeliness
- Streamlining Initiatives
- Reciprocity Support
- On the Horizon
- Questions

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# OPM's Mission

OPM FIS has more than 60 years of experience conducting background investigations for the Federal Government

The OPM FIS mission is to ensure the Federal Government has a suitable workforce that protects National Security and is worthy of Public Trust

We conduct 95% of the Federal Government's background investigations for more than 100 agencies

Our commitment to our stakeholders is to deliver high quality, adjudication-ready investigations, maintaining a secure and timely end-to-end investigation process

We strive to meet the investigative demands vital to the Federal workforce, and ensure quality, transparency, and accountability to our stakeholders

# Our Customers

*100+ Federal Agencies*

Over 2,000 Agency  
Security  
Components

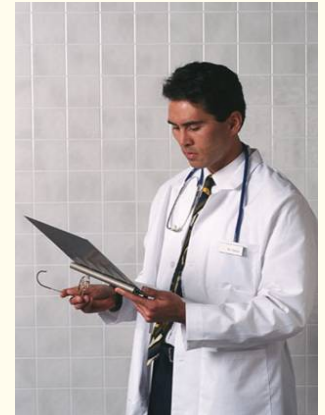


Firefighters  
for the NPS

Military Personnel  
for DoD



Over 10,000  
Personnel/Human  
Resource Components



Medical Personnel  
for the VA

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# Background Investigations

## Conducted for

- National security
- Public trust
- Suitability/Fitness
- HSPD-12 Credentialing

## Conducted on

- Federal applicants and employees
- Active military personnel
- Government contractors
- Private sector employees in positions regulated by the government

# Investigation Workloads

<b>Case Type</b>	<b>FY 2014</b>	<b>FY 2015 Projected</b>
<b>Single Scope Background Investigations (SSBI)</b>	<b>78,228</b>	<b>88,256</b>
<b>SSBI Periodic Reinvestigations (PR) Phased PR's (PPR)</b>	<b>138,121</b>	<b>141,301</b>
<b>National Agency Check with Law and Credit (NACLC) Access National Agency Check with Inquiries (ANACI)</b>	<b>438,886</b>	<b>517,553</b>
<b>Background Investigations (BI) Minimum Background Investigations (MBI) \ Tier 2</b>	<b>85,584</b>	<b>81,587</b>
<b>National Agency Check with Inquiries (NACI) \ Tier 1</b>	<b>200,626</b>	<b>214,444</b>
<b>National Agency Check (NAC)</b>	<b>31,688</b>	<b>36,670</b>
<b>Other</b>	<b>1,390,604</b>	<b>1,294,523</b>
<b>TOTAL</b>	<b>2,363,737</b>	<b>2,374,334</b>

# Investigation Elements Collected in FY 2014

**3,677,662**

- Checks of prior background investigations conducted by OPM and other investigative agencies

**3,680,660**

- Searches of FBI investigation and arrest records

**2,617,897**

- Law enforcement checks

**2,752,385**

- Employment history checks

**1,589,060**

- Personal reference checks

**1,432,400**

- Checks of Defense Department investigative records

**862,748**

- Residence checks

**730,760**

- Credit report checks

**522,809**

- General checks of miscellaneous sources

**564,970**

- Education verification checks

**407,720**

- Subject interviews

**3,349,440**

- Other, such as verifications of birth, immigration status, financial health, Selective Service registration

*Of the **22,188,511** item checks conducted in FY 2014, some were fully automated and accomplished in minutes, while others were manual checks, requiring “hands-on” manpower over the course of hours or days*

# Timeliness Requirements

Due to significant delays in security clearance investigations and adjudications, the Intelligence Reform and Terrorism Prevention Act of 2004 (IRTPA) included timeliness requirements for the security clearance process

By December 2009, 90% of initial security clearance determinations must be completed within an average of 60 days

- 40 days for investigative phase
- 20 days for adjudicative phase

The Director of National Intelligence later set a separate timeliness standard for Top Secret investigations and adjudications – 80/20

OPM has met investigation timeliness requirements each year since 2009

	FY 2005	FY 2014
All Initial Investigations	145 days	35 days
Top Secret/Q	308 days	75 days
Secret/ Confidential/L	115 days	30 days





# Investigations and Adjudication Timeliness Fiscal Year 2014

Intelligence Reform and Terrorism Prevention Act of 2004

Agency	Completed Initial Security Investigations	All Initial Security Investigations	Top Secret	Secret/Confidential
All Agencies	481,128	<b>35 days</b>	75 days	30 days

Goal: 90% of all initial security investigations completed within an average of **40 days**

Agency	Initial Adjudications Reported	All Initial Adjudications	Top Secret	Secret/Confidential
All Agencies	461,657	<b>6 days</b>	13 days	5 days

Goal: 90% of adjudications completed within an average of **20 days**

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# Challenge – Building Capacity

**Quality of the investigations and data security are our top priorities**

Following a cybersecurity breach, OPM issued a stop-work order under its background investigations fieldwork contract with USIS on August 6, 2014

On September 9th, OPM informed USIS of its decision not to exercise additional contract options to extend the term of its contracts for background investigations and support services

USIS had been OPM's largest contract investigative provider

Since the stop-work order went into effect, USIS has not conducted any background investigation work for OPM. There were approximately 54,000 cases pending with USIS at the time. Those cases were reassigned and approximately 90% of these cases have been completed



# Challenge – Building Capacity

In September 2014, OPM advised Congress that there would be impacts to timeliness until there is capacity to manage the workload without backlogs

Our two other contractors, KeyPoint, and CACI, have increased their staffing levels; however, we are not yet realizing sufficient capacity to reduce the backlog of investigations since the USIS stop work order

Inventory is significantly higher than average operating levels, affecting timeliness

The timeliness of background investigations is an OPM Agency Priority Goal. OPM reports its timeliness metrics publically at:

[www.performance.gov](http://www.performance.gov)

Average number of days to complete the fastest 90 percent of:

- initial Top Secret national security investigations
- initial Secret national security investigations
- all initial national security investigations

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# Challenge – Building Capacity

We are actively engaged in increasing capacity, including:

- Working with our existing contractors
- Backfilling vacant federal positions and over-hiring in high volume areas
- Bringing back reemployed annuitants
- Awarded a contract for additional investigative labor hours to support the high volume Washington, DC field office
- Currently conducting a limited competition to handle excess, or surge, capacity
- Maximizing our National Training Center capability to train background investigators

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# Challenge – Building Capacity

We have been and will continue to work with our customers to keep them apprised of developments and address concerns

We have been working closely with the Department of Defense and providing weekly updates

We are providing monthly updates to our background investigations stakeholders

We have and will continue to keep the Hill apprised

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# Streamlining Initiatives – Click to Sign

- Goal: All Agencies will submit all attachments electronically
- Click to Sign (CTS) - The first phase of the efforts will focus on electronic signature for the remaining two signature pages - general and medical release
- CTS will eliminate the need for the subject to print and reattach these two releases to eQIP
- Have piloted with five agencies to gauge the response from OPM's record providers and assess impact to field:
  - Army Center of Excellence
  - Office of Personnel Management
  - Department of Energy
  - Department of the Interior
  - Department of Veterans Affairs.

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# Streamlining Initiatives

- We are improving our internal processing capabilities and are implementing efficiencies
- Increased use of electronic delivery of investigations
- Improved use of imaging capabilities to eliminate manual, paper-based, processes
- Use of new tools for facilitating management of case assignments to the field

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# Supporting Reciprocity

- Investigative Standards
- Quality Assessment Standards for Investigations
- Training Standards
- Central Verification System =  
Reciprocity Management System



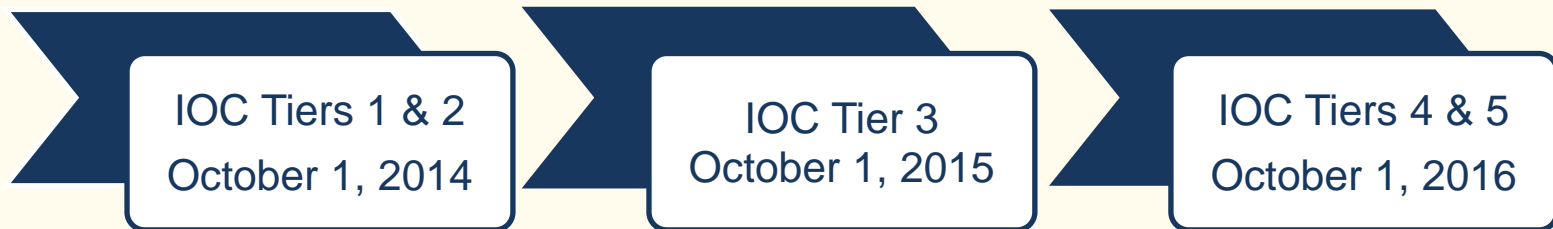
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# Federal Investigative Standards

- Approved in December 2012, by the Suitability and Security Executive Agents
- Includes a five-tiered system developed to improve cost, quality, and timeliness of investigations
- Uses automation to the greatest extent practicable
- Does not require subsequent checks of certain validated information (e.g., birth verification and education)
- May include publically available electronic information, to include checks of social media sites
- Mandates reciprocity for investigations within a tier
- Includes a five-year reinvestigation requirement for all individuals with security clearances
- Using a phased implementation approach

# Implement Revised Federal Investigative Standards

- OPM implemented initial operating capability (IOC) for Tiers 1 and 2 on October 1, 2014
- Developing initial capabilities for Tier 3; implementation scheduled for October 1, 2015
- Full capabilities for all tiers planned for October 1, 2017



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# Quality

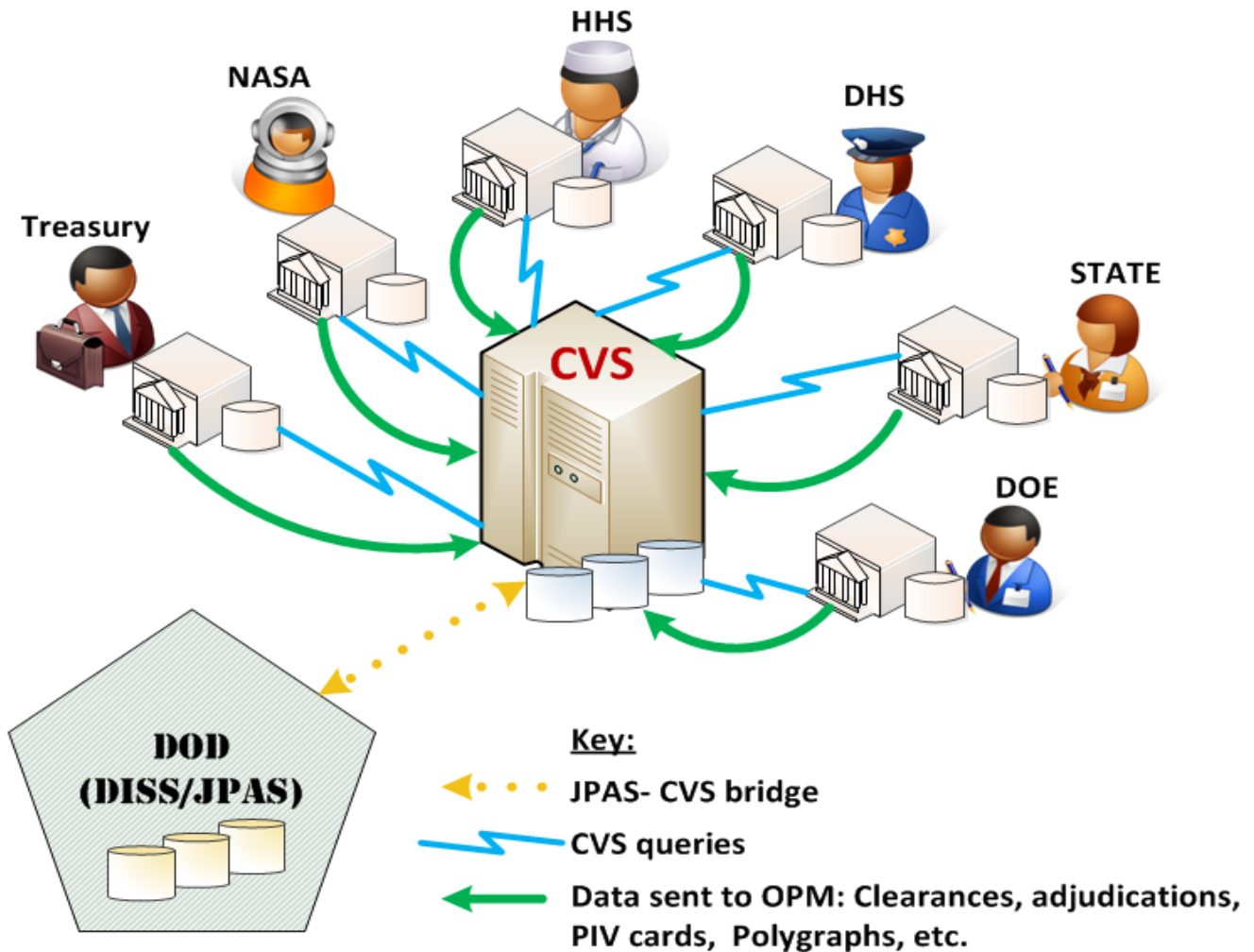
- An interagency Quality Assessment Working Group was established to develop government wide quality standards for Federal background investigations
- The Quality Assessment Standards were approved on January 22, 2015
  - Established consistent quality assessment standards
  - Established requirements for Investigative Service Providers' Quality Control Programs
  - Requires each agency to utilize a quality assessment tool to document investigative quality
  - OPM developed and is using a coverage tool
- The standards will be implemented using a phased approach over the next year

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# Training Standards and FLETA Accreditation

- Executive Agents and PAC issued federal training standards for background investigators, suitability adjudicators and security adjudicators and approved an implementation plan
- OPM investigators meet the federal training standards for background investigators
- In 2014, Federal Law Enforcement Training Accreditation (FLETA) Board unanimously agreed to grant initial academy accreditation to the OPM FIS National Training Center

# Central Verification System



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# Criminal History Records Access

- OPM FIS Associate Director Miller co-chaired the Task Force for Records Access called for by the NDAA and the Security and Suitability Process Review
- Purpose: to recommend ways to improve access to the state and local law enforcement records needed during the course of a background investigation
- The task force found the Federal Government would benefit from improvements in the acquisition of criminal history record information through:
  - enhancements to 5 USC 9101
    - Working Group
    - Current Proposed Legislation
  - strengthening the education of user communities
  - allocating funds for dedicated resources and technical systems.

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# On the Horizon

- E-Adjudication
- Continuous Evaluation

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# Contact Information

U.S. Office of Personnel Management  
Federal Investigative Services  
724-794-5612

[www.opm.gov](http://www.opm.gov)

FIS Annual Report to Stakeholders  
[www.opm.gov/investigations](http://www.opm.gov/investigations)