

# Defense Vetting Directorate

Security Council Seminar

October 29, 2019

DEFENSE COUNTERINTELLIGENCE AND SECURITY AGENCY



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Director, DoD CAF



# Topics

- Mission & History
- By The Numbers
- Operational Update
- Adjudicative Process
  - Laws, Regulations & Policies
  - Flow Chart
  - Thirteen Guidelines
  - Whole Person Concept
- Continuous Evaluation
- Marijuana Stock Guidance
- Questions



# Mission & History

- Determine security clearance eligibility of non-Intelligence Agency DoD personnel including:
  - Military service members, applicants, civilian employees, and consultants
  - Contractor personnel under the NISP
  - Staff of the U.S. Senate and U.S. House of Representatives, Congressional Budget Office, U.S. Capitol Police and selected Judicial staff
- Renders favorable adjudicative determinations for employment suitability of DoD civilian employees and Credential/Fitness eligibility of non-cleared DoD contractors
- Initially established in 2011; Finalized in 2013 when the last of seven former DoD Central Adjudication Facilities joined the DoD CAF
- Former CAF's: Army CCF; Navy CAF; Air Force CAF; Washington Headquarters Service (WHS) CAF; Joint Chiefs of Staff CAF; Defense Industrial Security Clearance Office (DISCO); and, Defense Office of Hearing and Appeals (DOHA)



# By The Numbers

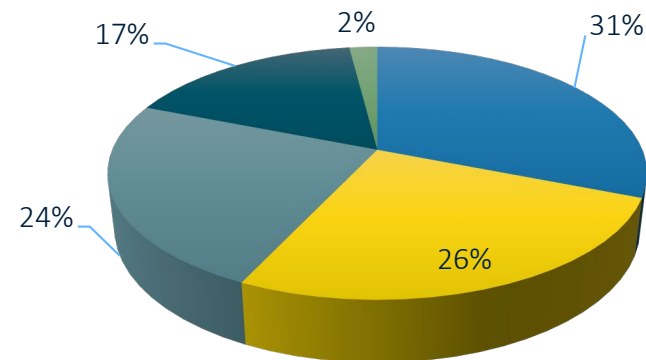
- 1,013,000 Personnel Security, Suitability and Credentialing Decisions
  - 96% National Security Eligibility (DoD)
  - 85% of Government Security Clearance (Fed)
  - 40% Civilian Suitability/HSPD-12 (Fed)
  - +19,000 preliminary letters of intent to deny/revoke
  - +2,400 final letters of denial/revocation

## Average Timeliness:

Initial – 30 Days

Periodic Reinvestigation – 96 Days

## Primary Customers



■ Army ■ Navy ■ Industry ■ Air Force ■ WHS/4th Estate

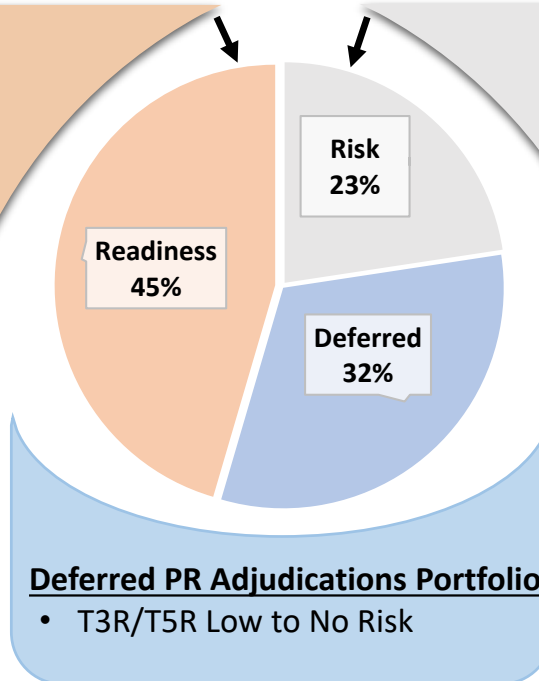


# DoD CAF Operational Update

## Readiness Portfolio

- T1/T3/T5 Initials (25 Days)
- Expedite Cases
- Interim SCI
- Key Management Personnel
- Reciprocity & Recertify/Reconsideration/Upgrade

146,456



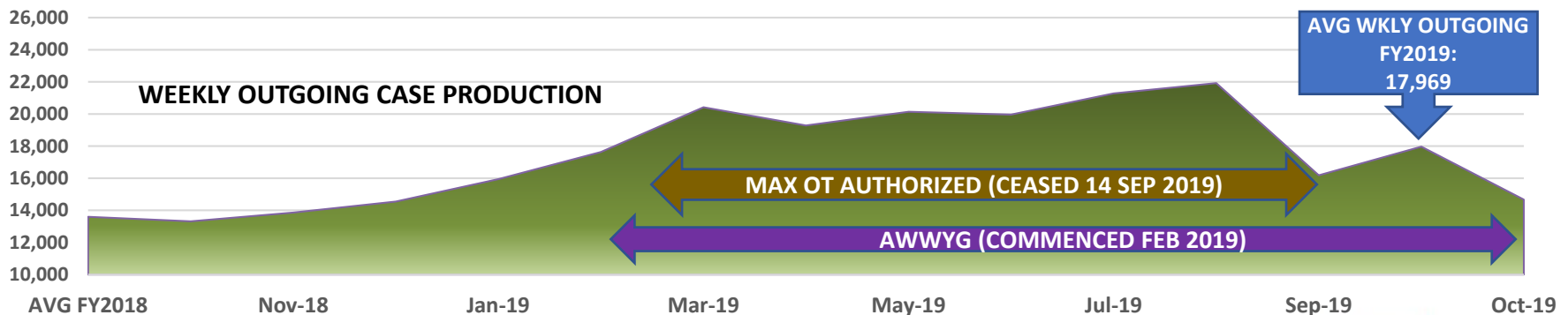
## Risk Management Portfolio

- T3R/T5R Medium to High Risk
- CE Alerts
- Incident Reports
- REO/RSI
- Supplemental Information

## Strategic Priorities

1. Reduce aging inventory
2. Reduce inventory size
3. Improve process quality and consistency

Component	Inventory
Air Force	17,833
Army	47,503
Navy	32,446
4th Estate	2,407
Industry	43,093
HSPD/SUIT	3,174





# Adjudicative Process

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# Laws, Regulations & Policies



## Executive Orders

- **12829** “National Industrial Security Program”
- **12968** “Access to Classified Information”
- **13467** “Reforming Processes Related to Suitability for Government Employment, Fitness for Contractor Employees, & Eligibility for Access to Classified National Security Information”
- **13764** “Amending the Civil Service Rules, E. O. 13488, and E. O. 13467 to modernize the Executive Branch-Wide Governance Structure & Processes for Security Clearances, Suitability & Fitness for Employment, Credentialing, & Related Matters”

## Presidential Directives

- **Homeland Security Presidential Directive – 12 (HSPD-12)** “Policy for a Common Identification Standard for Federal Employees & Contractors”

## Public Laws

- **108-458** “Intelligence Reform & Terrorism Prevention Act of 2004”

## DNI Issuances

- **Intelligence Community Directive 704** “Personnel Security Standards & Procedures Governing Eligibility for Access to Sensitive Compartmented Information & Other Controlled Access Program Information”
- **Intelligence Community Policy Guidance 704.2** “Personnel Security Adjudicative Guidelines for Determining Eligibility for Access to SCI & other Controlled Access Program Information”
- **Director of National Intelligence Memorandum** “Delegation of Authority for DA&M to Determine SCI Eligibility at the DoD CAF”
- **Security Executive Agent Directive 3** (Effective 12 June 17): Reporting Requirements
- **Security Executive Agent Directive 4** (Effective 8 June 17): Adjudicative Guidelines
- **Security Executive Agent Directive 5** (Effective 12 May 16): Social Media Policy
- **Security Executive Agent Directive 6** (Effective 12 Jan 18): Continuous Evaluation

## Secretary of Defense Guidance

- **DSD Memorandum** “DoD Central Adjudications Facilities Consolidation,” 3 May 2012
- **DSD Memorandum** “Realignment of Responsibility & Authority for SCI Eligibility Determinations for OSD, DoD Field Activities, & Select Defense Agencies,” 10 February 2016



# Laws, Regulations & Policies



## DCMO Issuances

- DoD 5400.11-R "Department of Defense Privacy Program"
- DoDD 5200.27 "Acquisition of Information Concerning Persons & Organizations Not Affiliated with the Department of Defense"
- DA&M Memorandum "Delegation of Authority for the Director of the DoD CAF, Including Determination of SCI Eligibility"
- DoDD 5400.11 "DoD Privacy Program"
- DA&M Memorandum "Safeguarding Against & Responding to the Breach of Personally Identifiable Information (PII)"
- DA&M Memorandum "Supplemental Implementation Guidance for DoD CAF Favorable Suitability & HSPD-12 Adjudications"

## USD(I) Issuances

- DoDI 5200.02 "DoD Personnel Security Program (PSP)"
- DoDM 5200.02 "Department of Defense Personnel Security Program"
- DoD 5220.22-M "National Industrial Security Program Operating Manual (NISPOM)"
- DoDD 5205.16 "DoD Insider Threat Program"
- DoDD 5240.06 "Counterintelligence Awareness and Reporting (CIAR)"
- DoDI 5200.46 "DoD Investigative & Adjudicative Guidance for Issuing the Common Access Card (CAC)"
- DoDI 5220.22 "National Industrial Security Program"
- DoDI 5145.03 "Oversight of the DoD Personnel Security Programs"
- DoD 5220.6 "Defense Industrial Personnel Security Clearance Review Program"

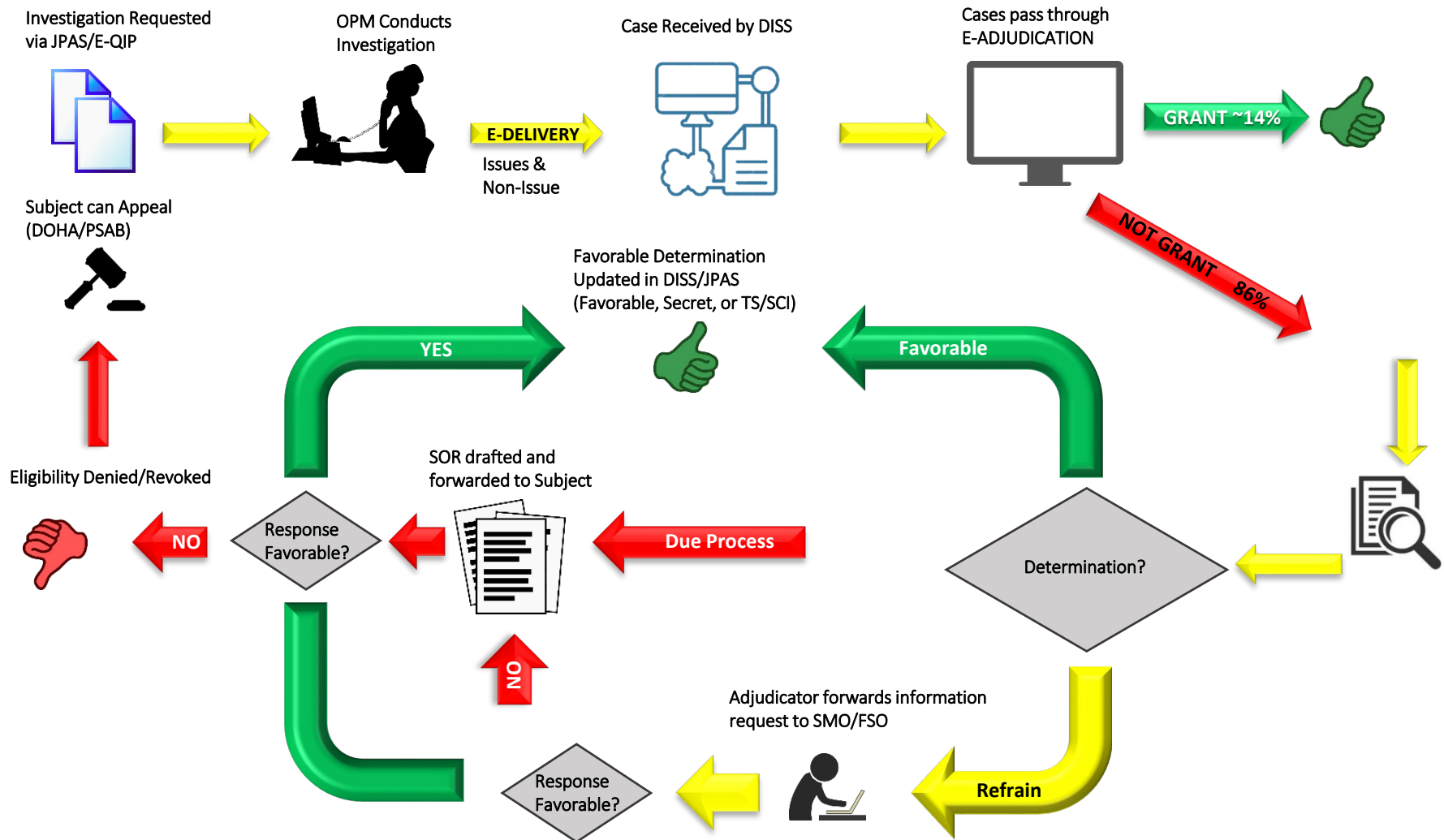
## USD(P&R) Issuances

- DoDD 1000.25 "DoD Personnel Identity Protection (PIP) Program"
- DoDI 1000.13 "Identification (ID) Cards for Members of the Uniformed Services, Their Dependents, & Other Eligible Individuals"
- DoDI 1400.25, Volume 731 "DoD Civilian Personnel Management System: Suitability and Fitness Adjudication for Civilian Employees"
- USD(P&R) Memorandum "Military Accessions Vital to the National Interest Pilot Program Extension (MAVNI)"
- USD(P&R) Memorandums "Military Service Suitability Determinations Foreign Nationals Who are Lawful Permanent Residents" & "Military Accessions Vital to the National Interest Pilot Program" 13 Oct, 2017





# Adjudicative Process Flow Chart





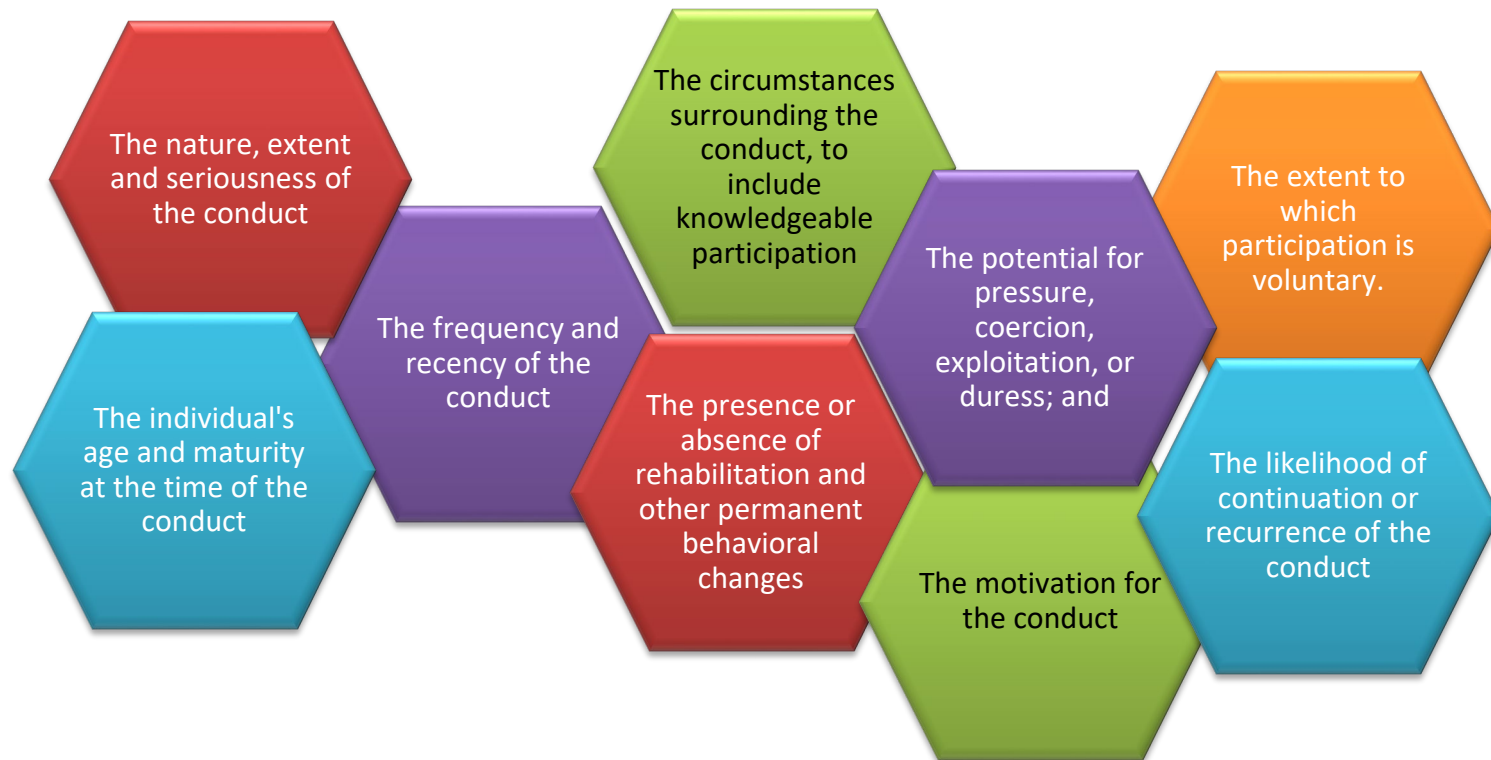
# Thirteen Guidelines

- Ⓐ Allegiance to the United States
- Ⓑ Foreign Influence
- Ⓒ Foreign Preference
- Ⓓ Sexual Behavior
- Ⓔ Personal Conduct
- Ⓕ Financial Considerations
- Ⓖ Alcohol Consumption
- Ⓗ Drug Involvement and Substance Misuse
- Ⓘ Psychological Conditions
- Ⓙ Criminal Conduct
- Ⓚ Handling Protected Information
- Ⓛ Outside Activities
- Ⓜ Use of Information Technology



# Whole Person Concept

- Adjudication is an evaluation of the “whole person”...there are mitigating factors





# Continuous Evaluation Overview



Individuals with:

- DoD affiliation
- Eligible for Access
- Signed SF-86 dated 2010 or later

Per E.O. 13467, as amended, Continuous evaluation (CE) is a vetting process to review the background of an individual who has been determined to be eligible for access to classified information or to hold a sensitive position at any time during the period of eligibility. CE leverages a set of automated record checks and business rules to assist in the on-going assessment of an individual's continued eligibility. CE is intended to complement continuous vetting efforts.

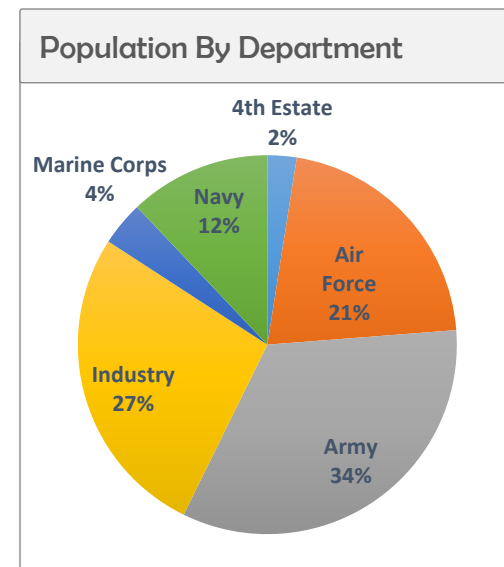
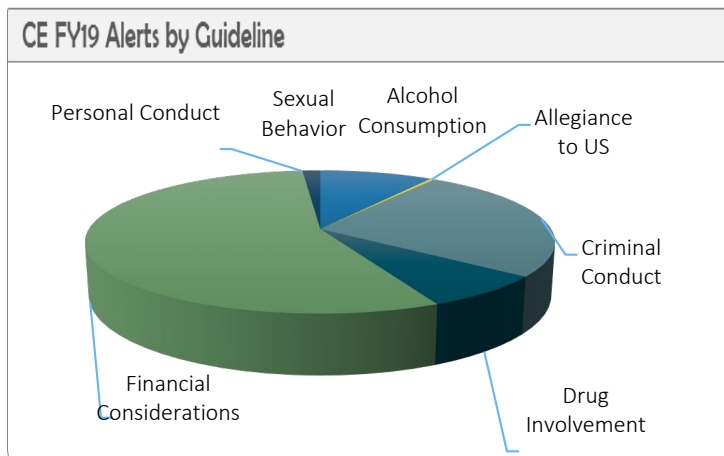
Recommendations from the reviews of the Washington Navy Yard shooting:

- Implement Continuous Evaluation
- Establish a DoD Insider Threat Management & Analysis Center (DITMAC)
- Centralize Authority, Accountability & Programmatic Integration Under a Single Principal Staff Assistant
- Resource & Expedite Deployment of the Identify Management Enterprise Services Architecture (IMESA)

Automated Records Checks to address 7 data categories



# How Continuous Evaluation Works







# Marijuana Stock

- The DoD CAF does not have a policy regarding the ownership of marijuana stocks.
- We adhere to applicable policies when making adjudicative determinations, the “whole person concept” and take into account all available information, favorable and unfavorable, to render an appropriate determination on a person’s reliability and trustworthiness to hold a clearance.
- We continue to use the National Security Adjudicative Guidelines pertaining to the use, sale and manufacture of marijuana



# Knowledge Center (KC)



## DoD CAF Call Center:

Phone number: 301-833-3850

Website: <http://www.dodcaf.whs.mil/>

Email: [whs.meade.dodcaf.mbx.dodcaf-callcenter@mail.mil](mailto:whs.meade.dodcaf.mbx.dodcaf-callcenter@mail.mil)

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# QUESTIONS ???

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