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OFFICE OF THE DIRECTOR OF NATIONAL INTELLIGENCE



# IRTPA TITLE III ANNUAL REPORT FOR 2010

LEADING INTELLIGENCE INTEGRATION

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## IRTPA TITLE III ANNUAL REPORT FOR 2010

### Introduction

Title III of the Intelligence Reform and Terrorism Prevention Act of 2004 (IRTPA) requires an annual report of key measurements as to the timeliness of the security clearance process in February of each year through 2011. It specifically requires those reports to include the average number of days for the investigation and for the adjudication elements of the clearance process towards increasingly more timely goals set for each year through December 2009. The Government Accountability Office (GAO) has further recommended that additional measures such as the average processing time for 100% (vice 90% as IRTPA requires) of the investigations and adjudications, as well as the “end-to-end” processing time, be reported to Congress as part of the annual reporting requirements in order to provide deeper insight as to progress on security clearance and suitability process reform capability development and implementation within agencies.

This report is submitted in accordance with IRTPA’s Title III reporting requirements and includes currently available metrics, in addition to the statutorily-required measures, in support of GAO’s recommendations.

### Performance Management

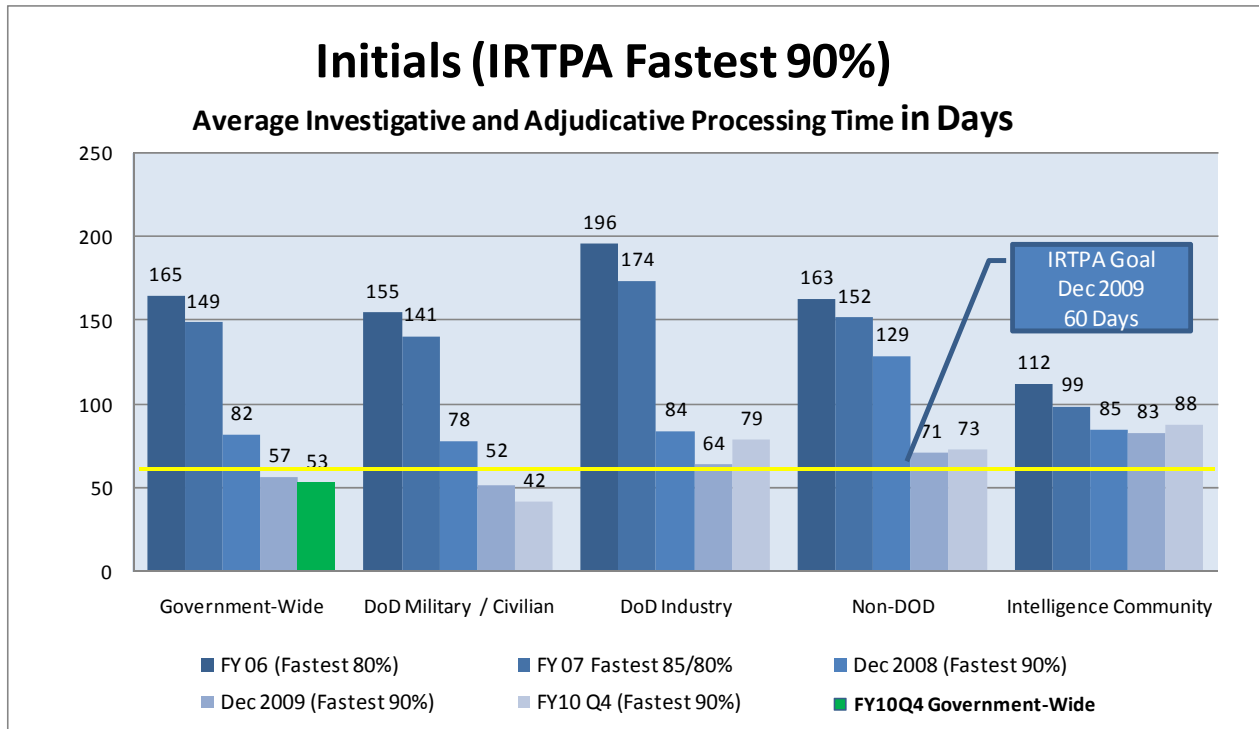
The IRTPA established specific performance goals for the timeliness of security clearance investigations and adjudications, requiring an annual report of progress to meet these goals. Specifically, the Act required government agencies by December 2009 to complete 90% of their clearance determinations in an average of 60 days, to the extent practicable, with investigations completed in an average of 40 days and adjudications in an average of 20 days.

The Performance Accountability Council (PAC) established a Performance Measurement and Management Subcommittee (Performance Subcommittee), which is co-chaired by the Security and Suitability Executive Agents. The Performance Subcommittee undertook a national effort to establish standardized performance measures for collection and reporting of metrics that satisfy the IRTPA requirements and identify additional measures that provide meaningful insight into progress and challenges of reform. With regard to the IRTPA requirements, the Performance Subcommittee established the following definitions for measuring security clearance investigations and adjudications:

- **Investigative Time:** The time in days from the receipt date of the completed personnel security package (Personnel Security Instruction (PSI) and application forms, releases, fingerprint cards, etc.) by the investigative service provider to the date the final investigative file is forwarded to the adjudicative unit or received by the adjudicative facility if sent electronically.
- **Adjudicative Time:** The time in days from the date the final investigative file is forwarded (or received electronically) to the adjudicative unit to the date of the adjudicative decision.

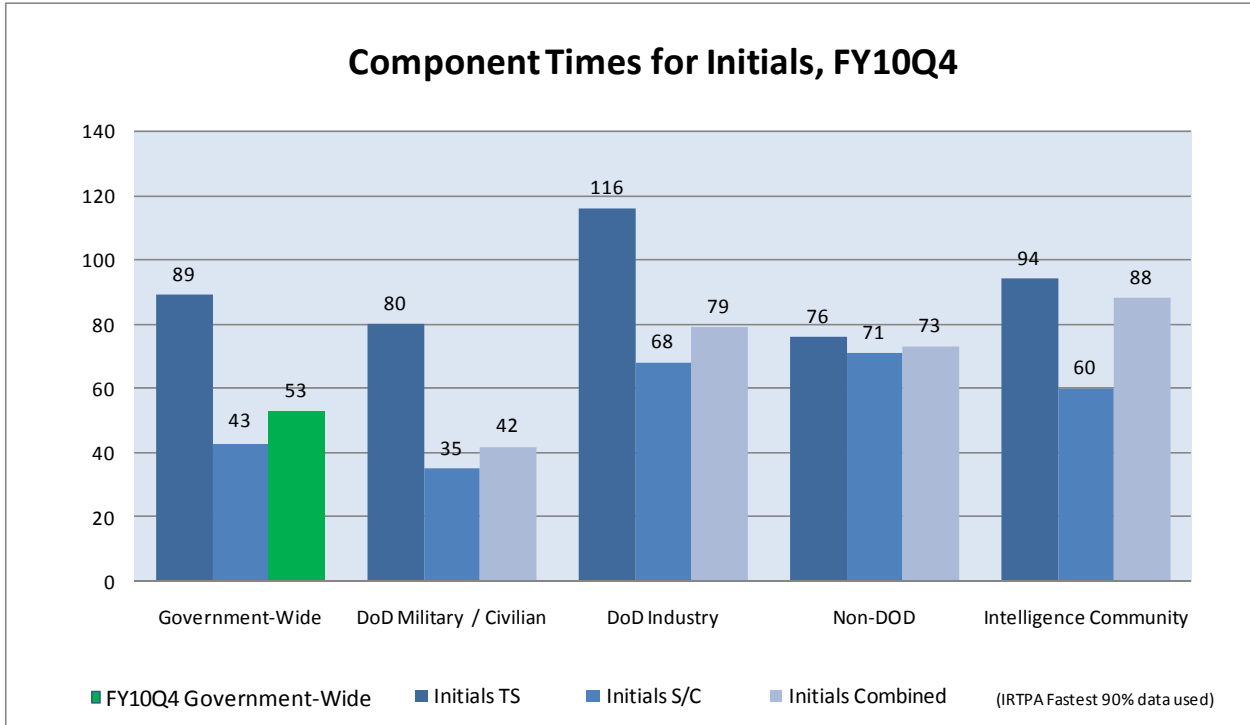
## Performance Toward IRTPA Goals

The following chart depicts the progress made from Fiscal Year (FY) 2006 through December 2010 toward IRTPA processing goals for initial clearances. Overall, the government has continued to show a significant improvement in security clearance processing times, reducing the combined investigative and adjudicative processing time from an average of **165** days in 2006 to an average of **53** days in the 4<sup>th</sup> Qtr FY 2010 for the fastest 90% of initial security clearances government-wide. With the overall initial clearance average of 53 days, down from 57 days in Dec 2009, the government once again met the IRTPA December 2009 timeliness goal of 60 days for combined investigative and adjudicative processing time and is currently IRTPA compliant. Beginning in 1<sup>st</sup> QTR FY 2011, ODNI performance metrics collection efforts shifted from IRTPA goals to the 2010 Intelligence Authorization Act (IAA) requirements. The 2010 IAA requires an annual Report on Security Clearance Determinations, including several new metrics in addition to timeliness. The 4<sup>th</sup> Qtr FY 2010 data was used because the 1<sup>st</sup> Qtr FY 2011 (Oct - Dec 2010) data was not available at the time of the drafting of this report.



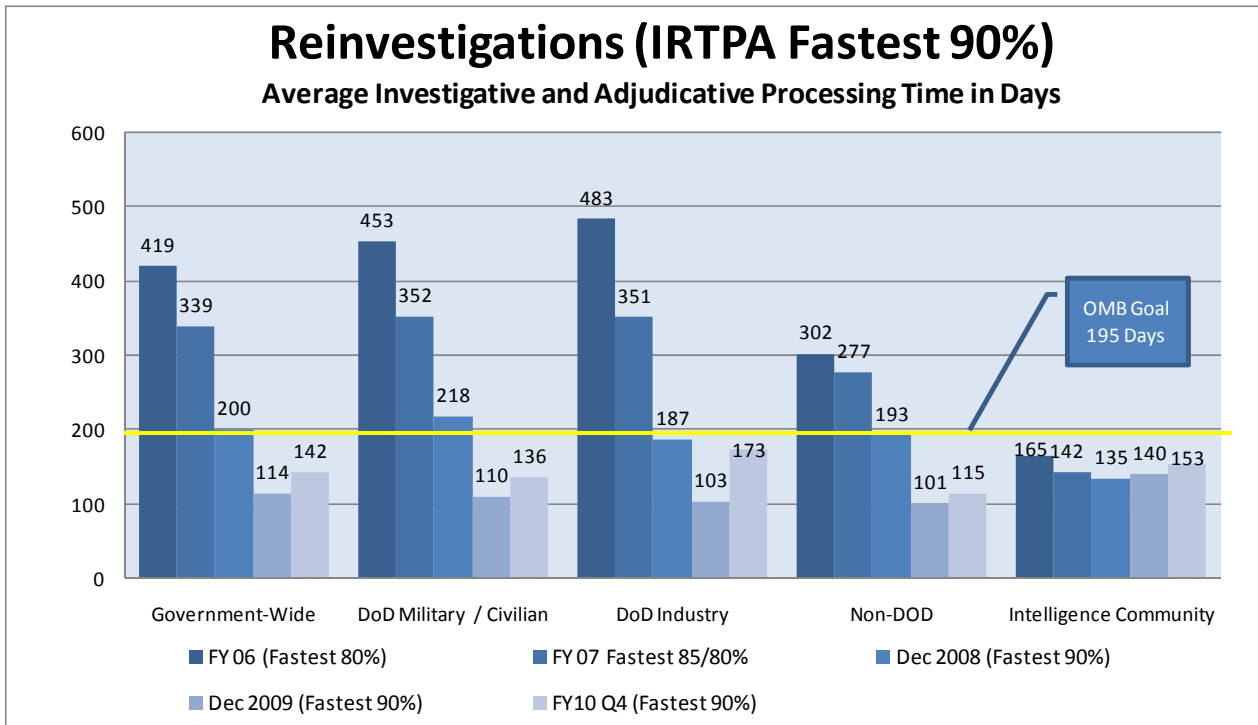
NOTE: "Non-DOD" agencies are those agencies which are serviced by OPM in addition to those agencies with delegated investigative authority and not part of the Intelligence Community.

Further insight into performance is gained by breaking down the initial investigations measure by case type. Initial times are derived from the combination of the fastest 90% of Top Secret (TS) and Secret/Confidential (S/C) cases. The number of S/C cases far exceeds the number of TS cases, and S/C cases typically have shorter processing times. For FY 2010 S/C clearances account for 85% of the workload as compared to 15% for TS cases. The chart below reflects the processing times for each type of investigation shown alongside the combined average.



### **Performance Toward OMB Goals for Reinvestigations**

Although IRTPA did not identify specific timeliness goals for reinvestigation cases, the PAC established a government-wide reinvestigation goal of **195** days. The chart below demonstrates an increase of reinvestigation processing time over the last year while still meeting the goal by a wide margin.



## **100% Performance**

In addition to the IRTPA requirement to measure and report the processing time for 90% of all clearance decisions, interest has been expressed in the processing time for the entire workload of investigations and adjudications. In the aggregate, the average timeliness of 100% of initial clearance cases is 79 days for FY 2010, versus 86 days for FY 2009, an improvement of 7 days.

## **Performance Accountability Council Metrics**

Through the guidance of the PAC, the Performance Subcommittee established a measure to capture more of the end-to-end security clearance process from an applicant's perspective. This measure is referred to as Initiate Time, and is defined as follows:

- **Initiate Time:** The time in days from the date of submission by the applicant to the receipt date of all information/forms (PSI and application forms, releases, fingerprint cards, etc.) required to conduct an investigation by the investigative service provider.

The PAC established a performance goal of 14 days for this metric. The intent of this new metric was for oversight entities to be able to more accurately monitor the progress of the entire security clearance process beyond investigation and adjudication timeliness. Many initial security clearance applicants have the perception the entire process is the responsibility of the agency's security function and that responsibility begins at the time they submit their application. In reality, there is often additional agency processing that is accomplished prior to the information being forwarded to the investigative service provider. With the addition of this metric, the PAC has expanded the elements measured and increased the end-to-end performance measure to 74 days.

The following four charts demonstrate the various reporting criteria using the added PAC metric of "initiate time." The PAC processing requirement of 74 days for initial clearances is being met government-wide with an end-to-end processing time of 65 days. Beginning with the second quarter of FY 2009, when this metric was first collected, the current processing time has improved by **89** days. It should be noted that the slight variance between PAC measures and IRTPA measures is a by-product of slight differences in the case populations sampled for the end-to-end measure.

# Initial Clearances

Fastest 90%

Dec 09	Goal	Fastest 90%															
		Initiate				Investigate				Adjudicate				End-to-End (Initiate + Inv. + Adj.)			
		14 Days				40 Days				20 Days				74 Days			
Agency	% of overall workload (FY10Q4)	Average Days				Average Days				Average Days				Average Days			
		1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q
		10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10
All Agencies	100.0%	<b>11</b>	<b>11</b>	<b>12</b>	<b>12</b>	46	47	41	42	<b>14</b>	<b>13</b>	<b>10</b>	<b>11</b>	<b>71</b>	<b>71</b>	<b>63</b>	<b>65</b>
DoD <sup>1</sup>	86.9%	<b>11</b>	<b>10</b>	<b>12</b>	<b>11</b>	42	45	<b>39</b>	<b>39</b>	<b>15</b>	<b>11</b>	<b>9</b>	<b>9</b>	<b>68</b>	<b>66</b>	<b>60</b>	<b>59</b>
Army <sup>1</sup>	31.8%	<b>6</b>	<b>6</b>	<b>7</b>	<b>7</b>	42	45	<b>40</b>	<b>39</b>	<b>10</b>	<b>4</b>	<b>3</b>	<b>3</b>	<b>58</b>	<b>55</b>	<b>50</b>	<b>49</b>
Navy <sup>1</sup>	23.6%	16	15	15	<b>12</b>	43	42	<b>38</b>	<b>37</b>	<b>12</b>	<b>18</b>	<b>7</b>	<b>3</b>	<b>71</b>	75	<b>60</b>	<b>52</b>
Air Force <sup>1</sup>	13.5%	<b>12</b>	<b>11</b>	<b>13</b>	<b>11</b>	<b>40</b>	41	<b>39</b>	<b>38</b>	28	<b>12</b>	<b>9</b>	<b>8</b>	80	<b>64</b>	<b>61</b>	<b>57</b>
Industry <sup>1</sup>	16.7%	<b>14</b>	15	16	15	44	49	41	<b>40</b>	<b>20</b>	<b>20</b>	26	36	78	84	83	91
DoD Other <sup>1</sup>	1.3%	23	18	15	15	89	51	48	50	42	29	21	<b>19</b>	98	98	84	84
DHS <sup>1</sup>	2.3%	29	31	38	41	48	51	49	51	48	59	57	77	125	141	144	169
Energy <sup>1</sup>	1.2%	<b>9</b>	<b>9</b>	<b>11</b>	<b>11</b>	47	45	44	45	<b>11</b>	<b>9</b>	<b>9</b>	<b>11</b>	<b>67</b>	<b>63</b>	<b>64</b>	<b>67</b>
Justice <sup>1</sup>	0.7%	<b>12</b>	<b>13</b>	<b>12</b>	<b>14</b>	60	68	63	66	42	44	28	37	114	125	103	117
NRC <sup>1</sup>	0.2%	23	30	31	37	55	53	58	64	49	78	61	37	127	161	150	138
Transportation <sup>1</sup>	0.1%	15	<b>11</b>	<b>11</b>	<b>11</b>	<b>39</b>	42	<b>39</b>	<b>39</b>	<b>11</b>	<b>10</b>	<b>11</b>	<b>10</b>	<b>65</b>	<b>63</b>	<b>61</b>	<b>60</b>
Treasury <sup>1</sup>	0.2%	18	21	19	19	54	56	52	51	54	27	46	41	126	104	117	111
HHS <sup>1</sup>	0.2%	27	31	30	18	52	53	47	49	<b>13</b>	<b>17</b>	<b>12</b>	<b>10</b>	92	101	89	77
OPM <sup>1</sup>	0.3%	<b>6</b>	<b>6</b>	<b>7</b>	<b>6</b>	70	63	55	54	<b>10</b>	<b>10</b>	<b>6</b>	<b>6</b>	86	79	<b>68</b>	<b>66</b>
Interior <sup>1</sup>	0.2%	18	19	17	22	55	65	58	55	47	66	33	40	120	150	108	117
Commerce <sup>1</sup>	0.1%	<b>9</b>	<b>8</b>	<b>13</b>	<b>11</b>	42	41	41	<b>36</b>	<b>9</b>	<b>7</b>	<b>6</b>	<b>8</b>	<b>60</b>	<b>56</b>	<b>60</b>	<b>55</b>
VA <sup>1</sup>	0.0%	23	22	27	23	54	78	70	66	31	<b>15</b>	26	43	108	115	123	132

<sup>1</sup> OPM provided data for FY10Q3 & Q4 only reflects the number of cases that have been closed within two years

Blue text Dec 09 goal met

## Initial Clearances (Cont.)

Fastest 90%

Dec 09	Goal	Fastest 90%												End-to-End (Initiate + Inv. + Adj.)			
		Initiate				Investigate				Adjudicate				74 Days			
		14 Days				40 Days				20 Days				Average Days			
Agency	% of overall workload (FY10Q4)	Average Days				Average Days				Average Days				Average Days			
		1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q
		10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10
IC	6.3%	7	9	12	13	61	62	53	63	22	20	17	19	90	91	82	95
CIA		*	*	*	*	78	85	96	107	49	47	58	56	127	132	154	163
DIA		41	68	73	93	55	25	49	63	9	7	29	27	105	100	151	183
FBI		35	27	33	28	76	75	34	52	6	3	2	4	117	105	69	84
NGA		7	11	24	10	25	22	23	30	31	8	13	28	63	41	60	68
NRO		3	3	2	3	27	27	26	27	31	58	36	46	61	88	64	76
NSA		7	5	4	4	70	59	49	46	10	9	8	14	87	73	61	64
State		*	*	7	10	43	47	48	55	11	17	5	3	54	64	60	68
Other Delegated	0.9%	13	21	19	18	50	61	54	44	19	48	40	44	82	130	113	106
USCG	0.0%	11	17	0	0	42	58	0	0	12	37	0	0	65	112	0	0
CBP	0.1%	30	8	1	39	233	266	66	34	31	25	100	97	294	299	167	170
ICE	0.5%	8	27	24	15	36	38	33	32	131	96	67	43	175	161	124	90
US AID	0.2%	24	17	12	10	45	44	43	42	20	7	14	31	89	68	69	83
BBG	0.0%	29	38	1	1	264	1,033	350	295	14	37	26	13	307	1,108	377	309
USSS	0.0%	14	28	36	39	104	142	222	183	18	96	20	3	136	266	278	225
ATF	0.1%	23	42	15	32	54	43	25	45	26	41	18	66	103	126	58	143
AF OSI	0.0%	1	1	1	1	71	68	60	64	20	11	9	12	92	80	70	77
DHS HQ	0.0%	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Peace Corps	0.0%	11	6	2	4	33	26	24	20	4	6	3	4	48	38	29	28
TVA	0.0%	2	1	4	2	30	118	26	35	1	1	1	1	33	120	31	38
BEP	0.0%	8	16	4	0	24	26	41	0	2	1	26	0	34	43	71	0
BPD	0.0%	10	6	7	3	16	16	7	24	1	8	1	1	27	30	15	28
Postal Inspect	0.0%	9	2	15	8	43	66	45	74	2	6	18	19	54	74	78	101

\* Either: (Not Applicable / Not Collected / Not Reported)

Blue text Dec 09 goal met

PAC Metrics FY10 Q4

# Reinvestigation Clearances

Fastest 90%

FY 09	Goal	Fastest 90%												End-to-End (Initiate + Inv. + Adj.)			
		Initiate				Investigate				Adjudicate				195 Days			
		n/a				150 Days				30 Days				Average Days			
Agency	% of overall workload (FY10Q4)	Average Days				Average Days				Average Days				Average Days			
		1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q
		10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10
All Agencies	100.0%	11	9	12	12	91	95	87	103	22	28	22	27	124	132	121	142
DoD <sup>1</sup>	50.7%	10	11	11	13	90	96	88	105	22	23	26	30	122	130	125	148
Army <sup>1</sup>	7.3%	10	10	9	11	98	100	96	113	10	7	5	5	118	117	110	129
Navy <sup>1</sup>	9.6%	12	12	13	14	90	89	81	106	17	26	15	8	119	127	109	128
Air Force <sup>1</sup>	15.1%	12	11	13	13	87	94	84	103	32	18	26	23	131	123	123	139
Industry <sup>1</sup>	14.1%	8	8	10	11	87	97	91	98	19	27	39	64	114	132	140	173
DoD Other <sup>1</sup>	4.6%	23	20	14	14	89	97	88	107	42	69	58	55	186	186	160	176
Energy <sup>1</sup>	12.1%	6	8	12	9	67	69	65	85	11	8	10	13	84	85	87	107
Justice <sup>1</sup>	3.9%	6	9	11	10	90	103	75	102	34	35	15	14	130	147	101	126
Treasury <sup>1</sup>	0.3%	5	6	9	10	77	73	69	96	32	24	15	59	114	103	93	165
DHS <sup>1</sup>	1.4%	16	21	20	22	99	96	95	116	78	48	42	41	193	165	157	179
OPM <sup>1</sup>	0.9%	4	5	6	5	92	101	92	96	9	9	8	7	105	115	106	108
NRC <sup>1</sup>	0.2%	15	35	13	16	71	72	68	89	11	135	13	11	97	242	94	116
Commerce <sup>1</sup>	0.1%	7	7	8	8	77	78	76	87	6	4	5	6	90	89	89	101
Interior <sup>1</sup>	0.1%	12	14	18	16	77	73	80	77	61	43	22	33	150	130	120	126
HHS <sup>1</sup>	0.1%	20	20	22	27	68	83	64	62	8	15	9	13	96	118	95	102
Transportation <sup>1</sup>	0.1%	18	12	10	7	73	77	59	64	13	9	10	11	104	98	79	82
VA <sup>1</sup>	0.0%	4	11	5	5	127	92	75	122	13	11	14	11	144	114	94	138

<sup>1</sup> OPM provided data for FY 10Q03 & Q4 only reflects the number of cases that have been closed within two years

Blue text Dec 09 goal met

PAC Metrics FY 10 Q4



## Reinvestigation Clearances (Cont.)

Fastest 90%

FY 09	Goal	Fastest 90%												End-to-End (Initiate + Inv. + Adj.)			
		Initiate				Investigate				Adjudicate				195 Days			
		n/a				150 Days				30 Days				Average Days			
Agency	% of overall workload (FY10Q4)	Average Days				Average Days				Average Days				Average Days			
		1Q 10	2Q 10	3Q 10	4Q 10	1Q 10	2Q 10	3Q 10	4Q 10	1Q 10	2Q 10	3Q 10	4Q 10	1Q 10	2Q 10	3Q 10	4Q 10
IC	26.6%	13	7	11	10	99	98	95	111	27	50	26	32	139	155	132	153
CIA		*	*	*	*	230	259	213	229	57	69	74	68	287	328	287	297
DIA		*	*	*	*	*	*	*	*	*	*	*	*	*	*	*	*
FBI		80	46	44	44	68	78	73	94	26	22	26	36	174	146	143	174
NGA		7	11	9	5	70	82	63	86	21	36	31	49	98	129	103	140
NRO		3	4	4	2	67	69	71	76	19	26	28	29	89	99	103	107
NSA		11	16	13	7	131	134	111	123	19	19	7	18	161	169	131	148
State		*	*	7	7	84	75	85	104	20	82	6	10	104	157	98	121
Other Delegated	2.9%	29	20	30	27	105	153	102	63	26	19	33	38	160	192	165	128
USCG	0.0%	8	9	0	0	81	93	0	0	12	21	0	0	101	123	0	0
ATF	0.9%	29	35	45	43	121	98	43	48	37	36	41	52	187	169	129	143
ICE	1.1%	*	*	10	25	*	*	35	35	*	*	95	44	*	*	140	104
US AID	0.1%	11	20	27	33	47	46	56	43	30	13	17	41	88	79	100	117
Postal Inspect	0.2%	4	2	1	1	39	62	62	76	2	1	1	3	45	65	64	80
CBP	0.1%	0	0	0	27	233	260	42	46	21	54	44	96	254	314	86	169
USSS	0.5%	157	38	36	18	193	479	272	147	18	13	22	12	368	530	330	177
BEP	0.0%	*	*	5	4	*	*	5	19	*	*	3	11	*	*	13	34
Peace Corps	0.0%	*	7	2	5	*	29	25	20	*	6	2	3	*	42	29	28
BPD	0.0%	6	5	7	5	34	17	17	56	19	4	1	1	59	26	25	62
TVA	0.0%	*	*	0	0	*	*	0	0	*	*	0	0	*	*	0	0
BBG	0.0%	*	17	1	1	*	168	70	292	*	37	23	23	*	222	94	316

\* Either: (Not Applicable / Not Collected / Not Reported)

Blue text Dec 09 goal met

PAC Metrics FY 10 Q4