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LEADING INTELLIGENCE INTEGRATION

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EXECUTIVE SUMMARY

The Intelligence Authorization Act (IAA) for Fiscal Year (FY) 2010¹ requires the President to submit an annual *Report on Security Clearance Determinations* to Congress. The IAA directs this report to include the number of United States Government (USG) employees who held a security clearance at each level as of October 1 of the preceding year and the number of USG employees who were approved for a security clearance at each level during the preceding fiscal year. Similar data pertaining to USG contractors is also required. Also, for each element of the Intelligence Community (IC), in-depth security clearance timeliness determination metrics are required. In response to these IAA requirements, the Office of the Director of National Intelligence (ODNI) has prepared this *2014 Report on Security Clearance Determinations* consistent with the security clearance data requirements as outlined by the categories listed below.

Security Clearance Data Required by the FY 2010 IAA

Security Clearance Volume Levels for USG Employees and USG Contractors	Security Clearance Determination Processing Metrics for the Seven IC Agencies
<p>The number of individuals, categorized by government employees and contractors who held and who were approved for a security clearance as of 1 October 2014; sorted by security clearance level.</p>	<ul style="list-style-type: none"> i. The time in days to process the shortest and longest security clearance determination made among 80% of security clearance determinations, and the time in days for the shortest and longest security clearance determination made among 90% of determinations. ii. The number of security clearance investigations as of October 1 of the preceding fiscal year open for: <ul style="list-style-type: none"> o 4 months or less; o 4 – 8 months; o 8 – 12 months; and o more than 1 year. iii. Percentage of reviews during the preceding fiscal year that resulted in a denial or revocation of a security clearance. iv. Percentage of investigations during the preceding fiscal year that resulted in incomplete information. v. Percentage of investigations during the preceding fiscal year that did not result in enough information to make a decision on potentially adverse information. vi. The number of completed or pending security clearance determinations for government employees and contractors during the preceding fiscal year that have taken longer than one year to complete; the agencies that investigated and adjudicated such determinations; and the cause of significant delays in such determinations.

¹ Intelligence Authorization Act for Fiscal Year 2010, Sec. 367 Security Clearances: Reports; Reciprocity (PL 111-259).

This 2014 annual security clearance determinations report provides the current state of government security clearances. The total volume of individuals eligible for access to classified information is reported and is further broken down by the number of individuals who have been briefed and are currently “in access” as well as those eligible but currently “not in access.” In FY 2014, there were across-the-board decreases in all categories. There was also a reduction in new clearances approved. These decreases were the result of efforts across the USG to review and validate whether an employee or contractor still requires access to classified information and several additional Department of Defense (DoD) initiatives to review its cleared population.

METHODOLOGY

In order to report security clearance volume levels, the National Counterintelligence and Security Center’s (NCSC) Special Security Directorate (SSD) compiled and processed data from the three primary security clearance record repositories: ODNI’s Scattered Castles (SC); DoD’s Joint Personnel Adjudication System (JPAS); and the Office of Personnel Management’s (OPM) Central Verification System (CVS). To fulfill specific reporting requirements of the FY 2010 IAA, the SSD issued a special data call to the seven IC agencies with delegated authority to conduct investigations or adjudications.

SSD worked with the three clearance repository owners to minimize double-counting of duplicate records in those repositories. This was necessary because adjudicative facilities are increasingly recording their determinations in multiple repositories for reciprocity purposes. Therefore, duplicate entries may be created when different agencies grant eligibility for access to the same individual. Queries between SC and JPAS, which account for approximately 93 percent of all clearance entries, were structured to eliminate duplication where possible.

During FY 2014, SSD and OPM collaborated to set the stage for the upload of active, completed clearance records from CVS to SC. This, in addition to the current upload of records from JPAS, will enable SC to contain active security clearance records from all federal agencies in FY 2015, making metrics for reporting purposes more exact, and enabling SC users to view CVS data on the classified system. OPM continues to partner with the IC to explore cross-domain interface technology and various alternative solutions for enhanced CVS/SC information sharing for agencies that use unclassified systems.

SECURITY CLEARANCE VOLUME FOR THE ENTIRE FEDERAL GOVERNMENT

The FY 2010 IAA requires the number of individuals who held, and who were approved to hold, a security clearance as of October 1, 2014, to be calculated and categorized by personnel type – government employees, contractors, or other² – and by security clearance level.

Table 1 provides the number of individuals in these categories for both FY 2013 and FY 2014. As in last year’s report, we show the total number of individuals “in access” (**Table 1.1**), those eligible, but currently “not in access” (**Table 1.2**), and the total number of individuals eligible to hold a security clearance (**Table 1.3**).

Table 1.1, Eligible (In access), refers to individuals who were investigated and adjudicated favorably and also were briefed into access to classified information. As of October 1, 2014, there were 164,501 fewer individuals “in access” than on October 1, 2013 (a 5.3 percent decrease).

Table 1.2, Eligible (Not in access), reflects that there were 471,302 fewer individuals in this category as compared to October 1, 2013 (a 22.9 percent decrease). Individuals, such as those supporting the military, may be determined eligible due to the sensitivity of their positions and the potential need for immediate access to classified information, but may not have actual access to classified information until the need arises.

Table 1.3, Total Eligibility, shows a decrease of 635,803 individuals (12.3 percent) found eligible to hold a clearance, to include those “in access,” since October 2013. Total Eligibility refers to individuals who were investigated and adjudicated favorably and had access to classified information as well as those who were favorably adjudicated but did not have access to classified information.

² The “government” category includes all government employees and military personnel. Contractors include all industry employees, independent contractors and consultants. The “other” category includes the number of cleared government and contractor personnel reported in CVS, which does not have an employee type field, and the number of individuals in JPAS and Scattered Castles for which the employee type category field was not complete.

Table 1
Number of Security Clearances

Table 1.1				
Eligible (In access)				
Employee Type	As of 10/1/13:		As of 10/1/14:	
	Conf/Secret	Top Secret	Conf/Secret	Top Secret
Government	1,204,416	646,527	1,104,943	626,996
Contractor	467,909	452,102	442,486	436,573
Other	144,512	176,511	142,442	174,036
Sub-Total:	1,816,837	1,275,140	1,689,871	1,237,605
Total:	3,091,977		2,927,476	

Table 1.2				
Eligible (Not in access)				
Employee Type	As of 10/1/13:		As of 10/1/14:	
	Conf/Secret	Top Secret	Conf/Secret	Top Secret
Government	1,681,690	205,393	1,307,183	144,155
Contractor	90,717	45,581	40,699	20,127
Other	31,347	3,674	69,933	5,003
Sub-Total:	1,803,754	254,648	1,417,815	169,285
Total:	2,058,402		1,587,100	

Table 1.3				
Total Eligibility				
Employee Type	As of 10/1/13:		As of 10/1/14:	
	Conf/Secret	Top Secret	Conf/Secret	Top Secret
Government	2,886,106	851,920	2,412,126	771,151
Contractor	558,626	497,683	483,185	456,700
Other	175,859	180,185	212,375	179,039
Sub-Total:	3,620,591	1,529,788	3,107,686	1,406,890
Total:	5,150,379		4,514,576	

The USG made a concerted effort in FY 2014 to determine whether individuals eligible for access to classified information still required such access. On October 31, 2013, the Director of National Intelligence, in his role as Security Executive Agent, issued executive correspondence, “*Validation of Personnel with Eligibility for Access to Classified Information.*” The memorandum called for department and agency heads to review and validate the need of their personnel for continued eligibility for access to classified information, consistent with Executive Order 12968, as amended. This effort resulted in a 3.1 percent reduction in the number of individuals eligible for access to classified information and accelerated several initiatives already underway to validate information in the clearance repositories.

Since the beginning of FY 2014, with the concurrence of the Under Secretary of Defense for Intelligence, the Defense Manpower Data Center has implemented several data quality initiatives (DQI) which resulted in reductions to the eligible population across the DoD; particularly in the “not in access” category. DQIs were developed to improve the data quality within JPAS and ensure that personnel security policies are consistently enforced in JPAS through the implementation of scripts and data analysis. Most significant were DQIs 597, 689, and 690.

- DQI 597 administratively debriefs access in JPAS for subjects whose eligibility does not support the current access. This includes subjects who have separated from the military or who are deceased, and/or records for which there is no owning or servicing security management office (SMO). This DQI occurs on a monthly basis and mainly impacted the reduction of the eligible “in access” population.
- DQI 689 administratively modified military or civilian categories where the subjects did not have any owning or servicing SMO and where there had been no activity on the person, or the person had not been briefed into access within the past 24 months. Military or civilian subjects who had no other active categories were administratively withdrawn which resulted in an approximate 440,000 reduction.
- DQI 690 downgraded military members in the Individual Ready Reserve (IRR)/Standby Reserve (SR) category to be downgraded to “Favorable” if there were no other active person categories (e.g. industry), no owning or servicing SMO, and no other activity on record for the past 24 months. “Favorable” status allows the quick recall of that population should the mission warrant it. This resulted in an approximate 25,000 reduction. This initiative additionally benefitted the services by assigning an owning SMO to approximately 67,000 other IRR/SR records.

Table 2, Number of Security Clearance Approvals, presents the number of individuals approved for a security clearance by clearance level. Variations in data collection fields in the repositories limit the ability to collect precise data. For instance, a query of the security clearance determination *approvals* recorded in some repositories cannot distinguish between initial clearance and periodic reinvestigation approvals. Therefore, the number of approvals does not represent the number of new clearances granted, but rather a combination of approvals for initial clearances and for reinvestigations of existing clearances. Within this category, however, there has been a 14.4 percent reduction in the number of security clearances approved as compared to FY 2013.

Employee Type	In FY 2013:		In FY 2014:	
	Conf/Secret	Top Secret	Conf/Secret	Top Secret
Government	369,245	152,490	324,122	142,987
Contractor	82,875	131,209	68,637	107,999
Other	28,564	12,785	15,579	6,113
Sub-Total:	480,684	296,484	408,338	257,099
Total:	777,168		665,437	

SECURITY CLEARANCE PERFORMANCE FOR EACH ELEMENT OF THE IC

To collect information responsive to FY 2010 IAA requirements set forth in items “i” through “vi” below, the ODNI issued a special data call to seven IC agencies with delegated authority to conduct investigations or adjudications: Central Intelligence Agency (CIA),³ Defense Intelligence Agency (DIA), Federal Bureau of Investigation (FBI), National Geospatial-Intelligence Agency (NGA), National Reconnaissance Office (NRO), National Security Agency (NSA), and the Department of State (State). The results follow.⁴

³ CIA also processes security clearances for ODNI employees and contractors.

⁴ FBI and Department of State provided data for their entire cleared population which has been included. Data from other agencies that have IC elements (DHS, DoE, DEA, and Departments of the Treasury, Army, Navy, Marine Corps, Coast Guard, and Air Force) was not requested and is not included since these agencies are unable to extract data on clearance actions for individuals assigned to IC positions without a manual review of files.

- i. **The time in days to process the shortest and longest security clearance determination made among 80% of security clearance determinations, and the time in days for the shortest and longest security clearance determination made among 90% of determinations**

Table 3, Processing Timeliness, provides the total number of days required to process the shortest and longest security clearance cases—from initiation to adjudicative decision—for the fastest 80 percent of cases and for the fastest 90 percent of cases.

Table 3
Processing Timeliness

Agency	80th Percentile				90th Percentile			
	TS		Secret/Confidential		TS		Secret/Confidential	
	Longest	Shortest	Longest	Shortest	Longest	Shortest	Longest	Shortest
CIA	265	1	151	1	414	1	267	1
DIA	334	28	DNP	DNP	387	28	DNP	DNP
FBI	125	1	180	7	164	1	225	7
NGA	198	39	DNP	DNP	313	39	DNP	DNP
NRO	262	13	254	94	316	13	254	94
NSA	214	13	DNP	DNP	316	13	DNP	DNP
State	169	2	121	8	238	2	153	8

DNP = Does Not Perform

- ii. **The number of pending security clearance investigations for such level as of October 1, 2014 that have remained pending for: 4 months or less; between 4 months and 8 months; between 8 months and one year; and for more than one year**

Table 4, Age Pending, provides the number of pending security clearance investigations by length of time and by agency.

Table 4
Age Pending

Agency	Top Secret Initial Security Clearance Investigations			
	0 to 4 Months	4 to 8 Months	8 to 12 Months	Over 12 Months
CIA	408	9	0	0
DIA	7	0	0	0
FBI	1,362	332	14	7
NGA	18	3	0	0
NRO	185	0	0	0
NSA	430	312	187	458
State	479	157	18	39

The IC reported that the focus on periodic reinvestigations and potential insider threat cases during FY 2014 caused resources to be reprioritized. Going forward, this may cause an increase in the number of initial cases pending for more than 4 months.

- iii. **The percentage of reviews during the preceding fiscal year that resulted in a denial or revocation of a security clearance**

Table 5, *Denials and Revocations*, reflects the percentage of denials (resulting from adjudications of initial cases) and revocations (resulting from adjudications of periodic reinvestigations) in FY 2014. Revocations based solely on adverse reporting not requiring an investigation are not included. This situation might arise where information comes to light that is so damaging, timely revocation of a security clearance is prudent and necessary.

Table 5
Denials and Revocations

Agency	FY 2014	
	Denials	Revocations
CIA	6.5%	0.6%
DIA	0.5%	0.1%
FBI	0.1%	0.3%
NGA	3.9%	2.2%
NRO	7.4%	1.6%
NSA	9.2%	0.1%
State	0.3%	0.2%

The difference in the percentage of denials and revocations among agencies can be attributed to different processes employed by those agencies. For example, FBI and State may discontinue security processing due to automatic disqualifiers found during a suitability review before the case reaches the security clearance adjudication phase. These cases are cancelled by Human Resources before security clearance determinations are rendered and are not, therefore, categorized as security clearance denials. Other IC elements consider all relevant information in their security clearance adjudicative process. They render security clearance denials based upon the totality of the information contained in the case files, which results in a higher percentage of denials.

- iv. **The percentage of investigations during the preceding fiscal year that resulted in incomplete information**

Agencies confirmed that their final reports of investigation contained all required/relevant information prior to adjudication.

- v. **The percentage of investigations during the preceding fiscal year that did not result in enough information to make a decision on potentially adverse information**

The seven IC agencies listed on Table 5 reported that they had no cases to report against this category. Agencies worked to ensure that sufficient information was available to make a decision on any potentially adverse information.

- vi. **The number of completed or pending security clearance determinations for government employees and contractors during the preceding fiscal year that have taken longer than one year to complete; the agencies that investigated and adjudicated such determinations; and the cause of significant delays in such determinations**

Table 6, *Delays More Than 1 Year*, shows the number of security clearance determinations for USG employees that required more than a year to complete.

Table 7, *Delays More Than 1 Year*, shows the number of security clearance determinations for contractors that required more than a year to complete.

Table 6
Delays More Than 1 Year

Agency	Government Cases	
	Over 1 Year	
	Pending	Completed
CIA	106	139
DIA	20	0
FBI	0	2
NGA	34	45
NRO	0	1
NSA	102	10
State	39	44

Table 7
Delays More Than 1 Year

Agency	Contractor Cases	
	Over 1 Year	
	Pending	Completed
CIA	226	735
DIA	Unable to provide at this time	
FBI	7	19
NGA	Unable to provide at this time	
NRO	0	170
NSA	356	156
State	0	0

Some DoD IC agencies only have delegated investigative authority over their civilian employee population and therefore, can only report the overall timeliness for that population. These agencies only conduct adjudications of contractors who already have a Top Secret clearance for access to sensitive compartmented information.

Table 8, *Causes of Significant Delays*, contains detailed information for cases pending more than one year. Some agencies cannot report detailed information, either for their entire population—due to the technical limitations of their current database of record—or for their contractor population for the reasons cited in the previous section.

Table 8
Causes of Significant Delays

Agency	Volume			Delays:																	
	Government	Contractor	Total (Gov. + Cont.)	Multiple Issues	Administrative Matters	Other*	Significant Adjudicative Events										Outside Activities	Security Violations	Misuse IT Systems		
							Allegiance to U.S.	Foreign Influence	Foreign Preference	Sexual Behavior	Personal Conduct	Financial Considerations	Alcohol Consumption	Drug Involvement	Emotional / Mental	Criminal Conduct					
ASP & ISP							Unable to provide at this time														
CIA	245	961	1206	5	0	12	0	1	0	0	2	0	0	0	0	0	0	0	0		
DIA	20	0	20	24	0	1	0	3	0	0	0	0	0	0	0	0	0	0	0		
FBI	2	26	28	60	0	0	0	9	0	0	0	7	0	0	1	1	1	0	0		
NGA	79	0	79	80	0	2	0	26	0	0	3	38	5	2	12	1	1	0	1		
NRO	1	170	171	326	0	1	0	61	1	0	5	19	1	6	4	3	0	0	2		
NSA	112	512	624	57	0	12	0	11	0	0	2	1	0	0	0	0	0	0	0		
State	83	0	83																		

* Other: Includes delays involving high risk cases, derogatory information, protected information, and polygraph or medical issues.

For agencies that can report detailed information, “multiple issues” was cited as the cause for significant delay in 552 or 55 percent of cases. Among those multiple issues cited, “foreign influence” was reported as the most common single reason for delay and “financial considerations” was the second most common reason for delay overall.

CONCLUSION

In FY 2014, the number of individuals eligible for a security clearance *declined* across both the “in access” and “not in access” populations. The majority of the decreases resulted from DoD’s successful implementation of DQIs that have positively impacted areas of data quality, data integrity, and overall system security and availability. The benefits include improved data synchronization and consistency with the Defense Enrollment Eligibility Reporting System, DoD Personnel Center databases, and CVS. In addition, the IC reported a 1.3 percent reduction and the rest of the USG reported a 1.5 percent reduction in their eligible populations. This suggests the validation effort subsequent to the DNI’s issuance of executive correspondence “Validation of Personnel with Eligibility for Access to Classified Information,” October 31, 2013, was effective. Overall, the USG reported a 3.1% reduction in the total eligible population attributed to this effort.

The IC continues to face timeliness challenges in clearing individuals with unique or critical skills—such as highly desirable language abilities—who often have significant foreign associations that may take additional time to investigate and adjudicate. The ODNI, in partnership with OMB, OPM, and DoD, continues to drive improvements in the timeliness, accuracy and consistency of investigative and adjudicative clearance processes government-wide.