



FY20 YEAR IN REVIEW

ANNUAL REPORT

Department of Defense
Consolidated Adjudications Facility

MISSION STATEMENT

Render determinations on eligibility to occupy National Security Sensitive and Public Trust positions.

VISION STATEMENT

Leverage innovation to make timely, multi-faceted adjudicative decisions in partnership with our customers.

MESSAGE FROM



**ASSISTANT DIRECTOR,
MS. MARIANNA MARTINEAU**

I am pleased to present our first Year in Review — Annual Report. October 1, 2020 marked the one-year anniversary of the DOD CAF joining the Defense Counterintelligence and Security Agency (DCSA).

Fiscal Year (FY) 2020 was a big year for the DOD CAF with many challenges faced and conquered, including adjudicating the inventory of background investigations and deferred periodic reinvestigations (PR). In February 2019, when the DOD CAF inventory was at its highest (202,000 open cases), we estimated it would take three years to catch up with making the needed final determinations, but our dedicated and professional adjudicators completed this effort in one year with no reduction in quality. In addition, our dedicated professionals closed over 74,000 deferred PR adjudications — an adjudicative output level never before achieved. The DOD CAF inventory is healthy, the quality and consistency of adjudicative actions and output are outstanding, and our goal is to continue improving performance.

THE DEPARTMENT OF DEFENSE CONSOLIDATED ADJUDICATIONS FACILITY (DOD CAF)

We initiated six Lean Six Sigma (LSS) studies in FY20, completing and implementing three of them, which we discuss further in this report. The Reciprocity LSS study, completed in May 2020, reviewed data collections, observations, and process mapping techniques to deliver a quantifiable shared understanding of the current state process and improvement opportunities to the reciprocity requests we (DCSA) receive. The resulting streamlined business process removes bottlenecks and consolidates the process to one DCSA mission area (DOD CAF). When fully implemented, reciprocity case timeliness will improve from a current average of 6.5 days to less than two days. This will significantly improve operational readiness for our government and industry partners. We expect to implement the updated procedures in FY21Q2.

Additionally, we piloted a new means of leveraging the Continuous Evaluation Program (CEP) with our partners at the Department of Navy and Vetting Risk Operations (VRO). Specifically, our teams piloted the resumed use of Conditional National Security Eligibility determinations (clearances), coupled with enrollment in the CEP for automated monitoring of conditions, which minimizes the impact on mission readiness by leveraging collaborative, technology-enabled, risk management strategies. At full implementation, we anticipate the resumed use of Conditional National Security Eligibility determinations will be a useful tool for managing the trusted workforce, while also minimizing downstream impacts of avoidable due process proceedings and associated impacts to mission readiness.

We improved quality and consistency of adjudicative decisions and business processes through our workforce development and training programs, including developing and implementing a comprehensive Adjudicator Training Plan that aligns organizational priorities with training resources, which we expand on further in this report.

In FY20, the DOD CAF launched a Mental Health campaign to destigmatize cleared personnel seeking care. Our outreach efforts have continued even in the midst of the COVID-19 pandemic and will continue throughout FY21 and beyond. We're using virtual engagements, articles, frequently asked questions, and downloadable documents for easy distribution that you can access on the DCSA website. Part of the Mental Health campaign effort is outreach engagements with other clinicians and psychologists. If you would like more information on the Mental Health campaign, please reach out to us.

It has been an incredible year of accomplishments. The DOD CAF workforce has been resilient throughout the course of our transition to DCSA, and they continue to meet the needs of the mission. The accomplishments noted in this report mirror our dedication and determination to tackle challenges head on, overcome obstacles, provide for a continuous learning environment, focus on improving quality and consistency, and always supporting our customers including, most importantly, the warfighter.

In FY21, the DOD CAF will implement the remaining LSS studies, continue maintaining inventory to achieve adjudicative timeliness goals specified by the Intelligence Reform and Terrorism Prevention Act (IRTPA) of 2004 and the Director of National Intelligence (DNI), while also reaching across the federal enterprise to strengthen and build strong partnerships to increase information sharing to support mission readiness.

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EMBRACING CHANGE AND MEETING THE NEEDS OF OUR CUSTOMERS

The DOD CAF has embraced change since 2011, when 10 former Defense Central Adjudication Facilities were brought together at Fort Meade, Maryland, as part of Base Realignment and Closure (BRAC). In 2013, the last of the seven non-intelligence agency adjudicative facilities joined to form the DOD CAF. Later that year, the DOD CAF assumed the mission of rendering “favorable” determinations for credentialing (Homeland Security Presidential Directive-12 or HSPD-12) as well as Suitability for civilian employment. Next, in 2016, the DOD CAF assumed responsibility for adjudicating TS/SCI eligibility determinations for the DOD Fourth Estate. Most recently, in 2017, the DOD CAF gained the Supreme Court staff as a customer and continues today in supporting their national security eligibility determination needs.

In October 2019, the DOD CAF transitioned to merge with the Defense Security Service (DSS) and National Background Investigations Bureau (NBIB) to create DCSA. In conjunction with this move and aligning with DCSA mission needs, the DOD CAF reorganized, adopting a task-based organizational structure to enhance our customer support and service. Our task-based organizational structure is now implemented and streamlines processing, increasing efficiencies to optimum levels. Each DOD CAF division has a centralized focus, specializing in proficient

processing to increase efficiency and consistency, maximizing improved technologies, and working towards the use of machine learning capabilities to further enhance adjudicative operations. In the coming years, we will continue to expand specialization, ensuring an increasing attention to consistency, quality, and focus.

The DOD CAF Divisions 1 and 2 are developmental divisions, where our newly hired adjudicators learn the art and science of adjudication, obtaining their Security Professional Education Development (SPeD) Certification, Adjudicator Professional Certification (APC), and Due Process Adjudicator Professional Credential (DPAPC), before moving to Divisions 3 through 5. Divisions 3 through 5 are full performance adjudicative divisions and include specialized teams for all of our customer-centric services, including reciprocity, upgrades, re-certifications, and reconsiderations. Division 6 is the Adjudicative Support Operations Center, where our DOD CAF Call Center and Customer Service Request Processing Center reside, along with the Threat Evaluation and Coordination Center, Psychological Assessments, and our Metric Analysis and Statistics teams. Finally, Division 7 is home to our Policy, Quality Assurance, Training, and Knowledge Management teams.

We are proud of our accomplishments and excited to share with *YOU, our customers*, our transition to a customer-centric, service delivery model. Our goal, as always, is to support your operational needs.



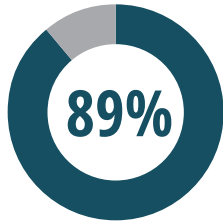
FY20 BY THE NUMBERS

In FY20, over 650 DOD CAF employees and contractors conducted 1.1 million personnel security, suitability, and credentialing actions. The DOD CAF supports all three branches of the federal government with the main elements being the Military departments, National Industrial Security Program (NISP), and the DOD Fourth Estate.

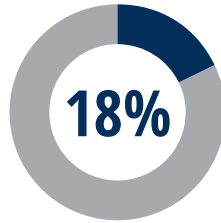
NATIONAL SECURITY ELIGIBILITY (DOD)



GOVERNMENT SECURITY CLEARANCE (FED)



CIVILIAN SUITABILITY/ HSPD-12 (FED)



The DOD CAF executes 99% of all DOD National Security Eligibility determinations, 89% of federal government-wide National Security Eligibility determinations, and 18% of federal government-wide civilian Suitability and Credentialing decisions. The DOD CAF is the largest adjudication facility across government and the only adjudications facility covering all three branches of government.

IN FY20, THE DOD CAF ADJUDICATED:



29,600
CE ALERTS



42,409
INCIDENT REPORTS



106,446
CUSTOMER SERVICE
REQUESTS



3,175
OTHER*

58,621

TIER 1

505,059

TIER 3

74,031

TIER 3R

109,042

TIER 5

96,622

TIER 5R

1,025,005
TOTAL CASES ADJUDICATED



* Includes Tier 2 (T2), Tier 4 (T4), Reimbursable Suitability Investigation (RSI), and cases identified by the Industrial Security Program (ISP) as "Other."

In Q4 FY20, the DOD CAF achieved IRTPA compliance for Tier 3 and Tier 5 determinations and will continue meeting adjudicative timeliness requirements throughout FY21. While the DOD CAF adjudicative team supported your operations through decisions, our internal Quality Assurance team ensured the decisions were correct. Specifically, the team reviewed 1% of all national security cases. The review yielded favorable results for 97.3% of all cases adjudicated, exceeding our target of 95%. Quality issues identified were isolated and did not reflect a trend of significant or systemic quality concerns. The DOD CAF Quality Assurance team also verified the accuracy of the Tier 1, Tier 3, and Tier 3R eAdjudication business rules, ensuring their continued viability into the future.

FY20 DOD CAF ACCOMPLISHMENTS

By Mr. Tremell Munford, Division Chief

The DOD CAF implemented a new case management system; fully migrated industry, military, and civilian case work into a single portfolio; completed a peer review project; supported thousands of Customer Service Requests (CSR); and was recognized by the White House Communications Agency (WHCA) for the Yankee White Program. In order to achieve these successes, numerous initiatives and projects were initiated and completed.

The Dynamic Case Assignment System was born from a Lean Six Sigma project, created to improve the accuracy of Defense Information System for Security (DISS) case assignments and eliminate unnecessary steps. The system enhances DOD CAF leadership control for inventory management and was a central tool in achieving a healthy inventory in FY20.

The standardized training for the “One Portfolio” initiative changed the way the DOD CAF adjudicated cases by transforming to a standardized adjudication business process. The new process collapsed the military, civilian, and industry case queues into a single portfolio, providing all DOD CAF customers with a same or similar timeliness outcome. An extensive training program was developed and delivered as the first of many training programs designed to improve quality and consistency of adjudicative business processes and decision making.

The DOD CAF Peer Review Project reviewed, analyzed, and critiqued our second-level review processes to eliminate over processing and non-value-added processes. The team implemented this revised process, increasing output and quality in one step. In under 30 days, the Peer Review Project reduced the developmental division’s review inventory by 76%.

Additionally, the DOD CAF’s Recertification team significantly improved the Recertification Program. The Recertification team answered an inventory of 700 unanswered CSRs, while keeping up with the incoming daily CSRs. Each day, the team received

**REDUCED
INVENTORY
BY 76%
IN UNDER 30 DAYS**



50+ requests, creating new cases in DISS. In eight months, the Recertification team actioned nearly 2,000 CSRs, maintaining an average inventory of less than 50 — all of which were less than five days old. By the end of FY20, the Recertification team completed ALL recertification cases within the DOD CAF inventory, enabling our customers to bring employees into the workforce faster.

Lastly, the DOD CAF received recognition for the Yankee White Presidential Support Program, which supports the White House Communications Agency (WHCA). Mr. Eric Schwemle, the WHCA director of the J2 Security Office, officially recognized the DOD CAF team for the outstanding services provided to

the agency over the last year. The sustained superior performance enabled expeditious hiring and promoted effective mission readiness for WHCA personnel. WHCA’s role as the “Voice of the President” requires a staff of only the most suitable and qualified individuals to ensure optimum presidential security and support. The DOD CAF’s role in supporting the adjudication and nomination of WHCA

staff was paramount to the sustained success of WHCA completing their mission of providing premier information services and communications support to the president, vice president, Executive Office of the President, and United States Secret Service. WHCA expressed their appreciation of the service provided and looks forward to a continued relationship with the DOD CAF.



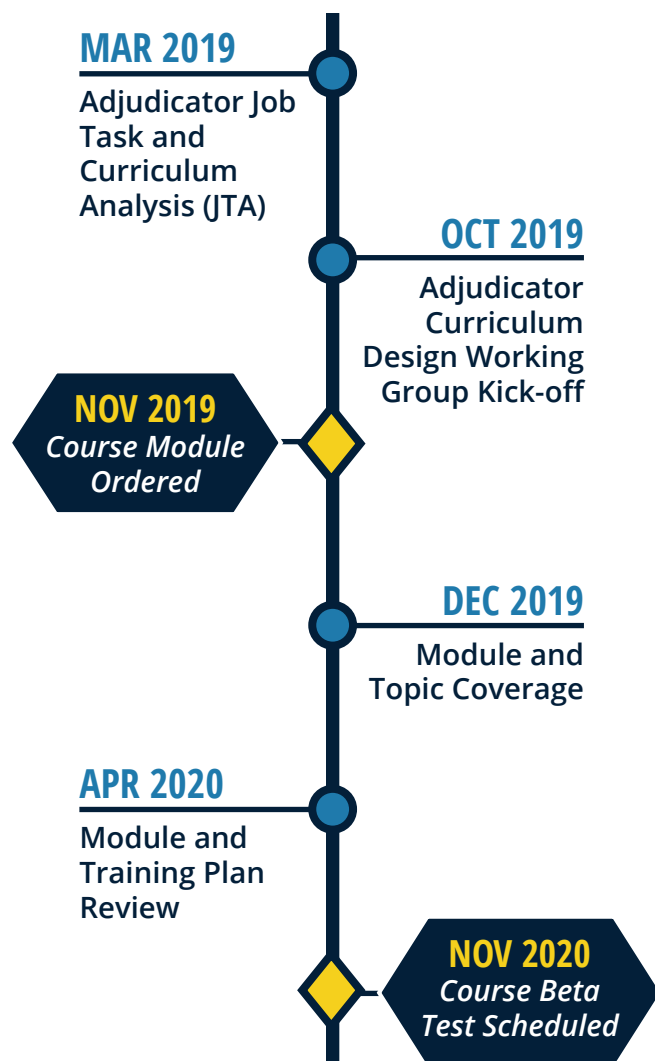
ADJUDICATOR CERTIFICATIONS AND TRAINING DEVELOPMENT

By Ms. Carla Leigh-Robinson, Division Chief

During FY20, the DOD CAF developmental Divisions 1 and 2 — in partnership with all DOD CAF divisions and the Center for Development of Security Excellence (CDSE) — authored a comprehensive adjudicator training plan to align organizational priorities with training resources. This plan established principles for all DOD CAF adjudicator training, linking mission, vision, and strategic priorities. The training plan highlights include an adjudicator career path roadmap, phases of development, and key performance indicators.

Additionally, in collaboration with CDSE, a new DOD CAF operational adjudication training course was developed to prepare newly hired developmental adjudicators to adjudicate per DOD CAF operating procedures and systems. This operational training supplements the “Fundamentals of National Security Adjudications” course, adding to the toolkit of adjudication resources benefiting the DOD CAF workforce and the DCSA mission.

MILESTONES



545
ADJUDICATORS
CERTIFIED IN FY20

The DOD CAF adjudicators must achieve the Adjudicator Professional Certification (APC) through the CDSE's SPeD certification program. The APC is required for all adjudicators at the DOD CAF. To achieve certification, adjudicators must demonstrate competency in national security and personnel security, as well as the adjudication and personnel security process. Adjudicators will also attain the Due Process Adjudicator Professional Credential (DPAPC) through SPeD to reach their full promotion potential. The DPAPC can be achieved after APC certification and signifies an adjudicator has attained the level of technical knowledge required to perform due process actions and make decisions, such as the intent to deny or revoke security eligibility. The DOD CAF completed FY20 with 545 of the eligible 550 adjudicators APC certified, including newly credentialed employees and senior employees required to maintain APC certification by completing the required professional development every two years.

In an effort to promote continuous learning, consistency, and quality in adjudications, DOD CAF restructured its internal Knowledge Center. The Knowledge Center lives on a DOD CAF share drive



and contains all the operational and day-to-day information that an adjudicator needs in order to make a security eligibility determination. In keeping with the evolving nature of personnel security, over 20 training bulletins were published this year and added to the Knowledge Center.

The DOD CAF deployed standardized training to promote consistent adjudications. Shifting to a new DOD CAF structure that focused on a task-based structure to improve customer service forced

us to re-think our training strategy, making significant changes within a short time frame. Training and development pivoted from in-person classes to virtual training cohorts, and we used this opportunity to expand our reach beyond the DOD CAF, training adjudicators at our partner agencies. Nearly all DOD CAF adjudicators received training in the knowledge and skills needed to make quality adjudicative determinations based on the DOD CAF's application of policy and information systems of record such as DISS and Joint Personnel Adjudications System (JPAS).

DOD CAF EXECUTES MULTIPLE LEAN SIX SIGMA EFFORTS TO IMPROVE PROCESSES AND EFFICIENCIES

By Ms. Pamela Robinson, Division Chief

As previously stated, the DOD CAF executed multiple Lean Six Sigma (LSS) efforts improving the effectiveness and efficiency of the adjudicative processes, output, and quality, but most importantly, to better service the needs of our customers. These initiatives had measurable results that were directly related to the DOD CAF achieving FY20 priorities and goals.

The **Case Adjudication Optimization Sequencing** effort implemented the Faster Adjudicating Standardized Tool, which is the new DOD CAF standardized method for adjudicating tiered investigations. The methodology was designed to streamline the process of reviewing information necessary to close cases.

The **Anticipated Completion Date** initiative is a case management strategy that ensures adjudicators review cases and take action prior to a required date. Dates are determined by both internal and external timeliness requirements. This initiative provides the adjudicator with the ability to manage their caseload and take timely actions.

The **Second Review** initiative refined our standardized criteria to identify cases requiring second

reviews, the results of which reduce cases requiring second reviews and encourage supervisory and technical leadership consultative engagements. Improved supervisory and technical leadership engagements improve adjudicative timeliness by eliminating potentially unnecessary second reviews before they begin.

Our **Process Mapping and Decision Trees** initiative will further standardize business processes and adjudicative decision making across a widely diverse workforce of professional adjudicators. Additionally, this initiative will serve as the basis of our adjudicative work process automation implemented within NBIS Release 2.5.

The DOD CAF completed the Case Adjudication Optimization Sequencing and Anticipated Completion Date initiatives and is currently evaluating the Second Review and Process Mapping and Decision Trees initiatives. The DOD CAF is excited to share our FY20 LSS success stories, and we look forward to sharing information on our continued successes and accomplishments throughout FY21.



MENTAL HEALTH CAMPAIGN: DESTIGMATIZING MENTAL HEALTH CARE FOR CLEARED INDIVIDUALS

By Michael Priester, Ph.D., Chief Psychologist

Despite the restrictions we experienced with the COVID-19 pandemic, the DOD CAF campaign to destigmatize cleared persons seeking mental health care continued virtually into FY21. The campaign's major emphasis is to ensure that cleared individuals have factual data that addresses the myth that an individual could lose or fail to gain clearance eligibility after seeking mental health care or experiencing mental health symptoms.

Some of the campaign's major accomplishments in FY20 included developing a comprehensive presentation for presenting information to organizations that outlined the meaning of mental health stigma, the impact of stigma on force readiness, and the data supporting that seeking mental health care is considered salutary, not adverse, during adjudications. This presentation was conducted in person to three commands prior to travel restrictions and virtually thereafter. In addition, an article crafted by DOD CAF psychologists appeared in the July 2020 issue of DCSA's ACCESS Magazine, and recently the DOD CAF posted new mental health and security clearances fact sheets and FAQs on the DCSA website. The resource documents below can easily be downloaded and disseminated:

- **DOD CAF FAQs** (https://www.dcsa.mil/mc/pv/dod_caf/FAQs/)
- **One Pager: Mental Health and Security Clearances** (https://www.dcsa.mil/Portals/91/Documents/DODCAF/resources/DCSA-OnePager_MentalHealth_SecurityClearances.pdf)
- **Two-Page Fact Sheet: Mental Health and Security Clearances** (https://www.dcsa.mil/Portals/91/Documents/DODCAF/resources/DCSA-FactSheet_Mental-Health_SecurityClearances.pdf)
- **Destigmatizing Mental Health Care for Cleared Individuals Article, page 32** (https://www.dcsa.mil/Portals/91/Documents/about/err/DCSA_ACCESS_v9i3.pdf)

We are available upon request to support your mental health destigmatization efforts. Please contact us for support.

SWIFT PROTECTIVE MEASURES DURING COVID-19

By Mr. Norm Livingston, Division Chief

In March 2020, in response to the COVID-19 outbreak, the DOD CAF took swift protective measures to ensure the safety of our employees and contractors by implementing 100% telework for all adjudicators, leadership, and contractors. Additionally, the workforce was authorized the use of flexible work schedules to permit around-the-clock flexibilities.

Once these measures were in place, the leadership team began a risk-based, phased approach to reconstitution planning that aligned with DCSA guidance. First, safety, security, and health assessments were conducted to determine building suitability prior to reoccupying facilities. This approach protected the workforce, maintained resiliency, and allowed for the effective transition from 100% telework to a mix of maximum telework, alternate schedules, and mission based on-site work.

Moving forward, the DOD CAF reconstitution manager will be working closely with DCSA Mission Assurance professionals to plan for a return to "new normal" operations. The desired end state is that the workforce safely returns, that our mission-essential functions are maintained without interruption, and that our supporting functions and tasks are restored.





**DEFENSE COUNTERINTELLIGENCE
AND SECURITY AGENCY**

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