

OFFICE OF THE DIRECTOR OF NATIONAL INTELLIGENCE



2013 Report on Security Clearance Determinations

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EXECUTIVE SUMMARY

The Intelligence Authorization Act for Fiscal Year 2010 (FY 2010 IAA), Public Law 111-259, Section 367, requires the President to submit an annual report to Congress on the total number of security clearances across government and in-depth metrics on the timeliness of security clearance determinations in the Intelligence Community (IC). In response to this requirement, the Office of the Director of National Intelligence (ODNI) prepared this *2013 Report on Security Clearance Determinations*, which provides the number of security clearance determinations in the categories outlined below.

Security Clearance Data Required by the FY 2010 IAA

Security Clearance Volume for the Entire Federal Government	Security Clearance Performance 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 2013; 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.

This 2013 annual security clearance determinations report improved its assessment reporting to provide a more detailed representation of the status of security clearances¹ held across the government. In Table 1, the total volume reported is broken down by 1) the number of individuals who have actual access to classified information and 2) the number who have been approved for access, but who either have not yet had a need to work with classified information, or who no longer require access in the performance of their job duties but continue to occupy sensitive national security positions. Although the total number of individuals deemed "eligible" for access to classified information increased by 232,628, there was a *decline* of 27,064 in the number of individuals actually briefed and put "in access."

METHODOLOGY

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

To ensure accuracy, SSD designed the methodology to minimize double-counting of duplicate records in the three security clearance record repositories. While the number of potential duplicate entries is minimal, adjudicative facilities are increasingly recording their determinations in multiple repositories for reciprocity purposes. Therefore, duplicate records may be created when different agencies grant eligibility for access to the same individual. Queries between the two largest repositories, SC and JPAS, which account for approximately 95 percent of all clearance entries, were structured to eliminate duplication.

The Defense Manpower Data Center scrutinized the fiscal year 2013 JPAS data, the largest percentage of clearance information, to ensure the most accurate information was included in this report. SC and CVS data owners also refined their queries to collect the most accurate data. While a single security clearance record repository housing all national security determinations would be ideal, a single database is not a viable option at this time as some agencies require house their security clearance databases on classified networks to which other agencies do not have or require access. ODNI continues to collaborate closely with DoD and OPM to improve information sharing across the three data repositories.

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, 2013, to be calculated and categorized by personnel type – government employees, contractors, or other² – and by security clearance level.

Prior annual ODNI Security Clearance Determination reports provided the total number of individuals eligible to hold a security clearance as a single number. The number of eligible

¹ Throughout this document, Department of Energy's Q and L access authorizations are included wherever discussion or data is presented concerning Top Secret and Secret/Confidential security clearances, respectively.

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 recorded 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 completed.

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individuals reflected those who were investigated and adjudicated at either the Confidential, Secret, or Top Secret level and had access to classified information, as well as those who were favorably adjudicated but did not have access to classified information. 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 until the need arises. The report prepared for fiscal year 2013 not only reports the total population eligible for access to classified information, as in past years, but also has been enhanced to delineate between the total population in access (Table 1.1) and those not in access but eligible for access to classified information (Table 1.2) as of October 1, 2013.

Table 1.1, *Eligibility (In access)*, includes the number of individuals in this category for both fiscal years 2012 and 2013. As of October 1, 2013, there were 27,064 fewer individuals in access than on October 1, 2012. Table 1.2, *Eligibility (Not in access)*, reflects 259,692 more eligible

Table 1
Number of Security Clearances

Table 1.1
Eligibility (In access)

Employee Type	As of 10/1/12:		As of 10/1/13:	
	Conf/Secret	Top Secret	Conf/Secret	Top Secret
Government	1,283,287	625,727	1,204,416	646,527
Contractor	497,634	444,928	467,909	452,102
Other	136,163	131,302	144,512	176,511
Sub-Total:	1,917,084	1,201,957	1,816,837	1,275,140
Total:	3,119,041		3,091,977	

Table 1.2
Eligibility (Not in access)

Employee Type	As of 10/1/12:		As of 10/1/13:	
	Conf/Secret	Top Secret	Conf/Secret	Top Secret
Government	1,474,046	165,473	1,681,690	205,393
Contractor	84,890	38,335	90,717	45,581
Other	31,762	4,204	31,347	3,674
Sub-Total:	1,590,698	208,012	1,803,754	254,648
Total:	1,798,710		2,058,402	

Table 1.3
Total Eligibility

Employee Type	As of 10/1/12:		As of 10/1/13:	
	Conf/Secret	Top Secret	Conf/Secret	Top Secret
Government	2,757,333	791,200	2,886,106	851,920
Contractor	582,524	483,263	558,626	497,683
Other	167,925	135,506	175,859	180,185
Sub-Total:	3,507,782	1,409,969	3,620,591	1,529,788
Total:	4,917,751		5,150,379	

individuals not in access than on October 1, 2012. **Table 1.3, Total Eligibility**, shows a 4.7-percent increase in the overall number of individuals found eligible to hold a clearance, to include those in access, since October 2012.

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 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.

Table 2

Number of Security Clearance Approvals

Employee Type	In FY 2012:		In FY 2013:	
	Conf/Secret	Top Secret	Conf/Secret	Top Secret
Government	364,498	140,016	369,245	152,490
Contractor	108,933	133,493	82,875	131,209
Other	38,045	13,633	28,564	12,785
Sub-Total:	511,476	287,142	480,684	296,484
Total:	798,618		777,168	

SECURITY CLEARANCE PERFORMANCE FOR EACH ELEMENT OF THE IC

To collect information responsive to the FY 2010 IAA, the ODNI conducted a special data call with seven IC agencies or elements 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), and National Security Agency (NSA). With the exception of the Federal Bureau of Investigation (FBI) and Department of State which provided for their entire department, data from other agencies that have IC elements⁴ are not included, because these agencies are unable to extract data on clearance actions for individuals assigned to IC positions without a manual review of the files. The plan for the 2014 report is to reflect only data that pertains to the IC elements. This report, as in previous years, reflects the exact data provided by participants. The results are as follows:

- 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 the longest security clearance cases – from initiation to adjudicative decision – for the fastest 80 percent of cases and for the fastest 90 percent of cases.

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

⁴ DHS, DOE, DEA, and Departments of the Treasury, Army, Navy (which includes the Marine Corps as a separate component), Coast Guard, and Air Force.

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	272	1	419	1	448	1
DIA	146	1	DNP	DNP	198	1	DNP	DNP
FBI	162	1	167	4	212	1	204	4
NGA	125	26	DNP	DNP	159	26	DNP	DNP
NRO	158	22	159	29	222	22	167	29
NSA	182	13	DNP	DNP	240	13	DNP	DNP
State	115	10	98	5	155	10	136	5

DNP = Does Not Perform

- ii. The number of pending security clearance investigations for such level as of October 1, 2013 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 categorized by length of pending time for each agency.

Table 4
Age Pending

Agency	Top Secret Initial Security Clearance			
	0 to 4 Months	4 to 8 Months	8 to 12 Months	Over 12 Months
CIA	214	7	1	0
DIA	3	0	0	0
FBI	299	204	42	15
NGA	11	0	0	0
NRO	127	0	0	0
NSA	561	505	286	232
State	2,639	533	65	6

- 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 and revocations in fiscal year 2013 resulting from reviews of initial and periodic reinvestigations, and does not account for revocations based solely on validated adverse reports obtained outside of a background investigation.

Table 5
Denials and Revocations

Agency	FY 2013	
	Denials	Revocations
CIA	6.7%	0.6%
DIA	0.0%	0.4%
FBI	0.1%	0.1%
NGA	7.8%	1.6%
NRO	8.4%	5.4%
NSA	7.2%	0.0% *
State	0.9%	0.3%

* Note: NSA revoked the security clearances of 30 individuals in fiscal year 2013, but none were a direct result of a periodic reinvestigation.

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

All agencies confirmed that their final reports of investigation contained complete information.

- 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 over 1 Year*, shows the number of security clearance determinations for government employees that required more than one year to complete.

Table 7, *Delays over 1 Year*, shows the number of security clearance determinations for contractors that required more than one year to complete. The CIA, DIA, FBI, NGA, NRO, NSA, and Department of State investigated and adjudicated such determinations.

Table 6
Delays over 1 Year

Agency	Government Cases	
	Over 1 Year	
	Pending	Completed
CIA	50	74
DIA	0	0
FBI	4	11
NGA	18	22
NRO	0	6
NSA	123	50
State	0	2

Table 7
Delays over 1 Year

Agency	Contractor Cases	
	Over 1 Year	
	Pending	Completed
CIA	419	1,024
DIA	0	0
FBI	11	15
NGA	0	0
NRO	0	172
NSA	75	61
State	0	0

Table 8, Causes of Significant Delays, contains detailed information for year-old cases in the IC agencies with delegated investigative authority. "Multiple issues" were cited as the cause for significant delay in 382 cases (67 percent of the total number of delayed cases). Among the issues cited, foreign issues were reported as the most common single reason for delay.

Table 8
Causes of Significant Delays

Agency	Volume			Delays:																
	Government	Contractor	Total (Gov. + Cont.)	Significant Adjudicative Events																
				Multiple Issues	Administrative Matters	Other*	Allegiance to US	Foreign Influence	Foreign Preference	Sexual Behavior	Personal Conduct	Financial Considerations	Alcohol Consumption	Drug Involvement	Emotional / Mental	Criminal Conduct	Security Violations	Outside Activities	Misuse IT Systems	
ASP & ISP																				
CIA	124	1443	1567	Unable to provide at this time																
DIA	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
FBI	15	26	41	0	7	17	1	6	2	0	0	3	1	0	4	0	0	0	0	0
NGA	40	0	40	35	0	0	0	4	0	0	0	1	0	0	0	0	0	0	0	0
NRO	6	172	178	85	0	0	1	26	0	1	11	29	2	4	9	1	4	1	4	4
NSA	173	136	309	260	1	0	0	31	0	0	1	11	1	3	0	0	0	0	0	0
State	2	0	2	2	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

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

CONCLUSION

In fiscal year 2013, while the total number of individuals eligible for a security clearance increased (Table 1.3), the number of individuals with actual access to classified information declined by 27,064. Therefore, the data gathered for this report suggests that agencies are reviewing their cleared population and debriefing individuals who no longer require access pursuant to Executive Order 12968, which directs agencies to keep the number of employees with eligibility for access to classified information to the minimum.

The IC continues to face timeliness challenges in clearing individuals with unique or critical skills - such as those with highly desirable language abilities who often have significant foreign associations that may take additional time to investigate and adjudicate. Further, compartmentalization and variations in information technology platforms within the IC are impediments to the implementation of automated systems that have the potential to improve the timeliness of electronic business processes. 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.