Vetting Risk Operations Center

Industry Briefing

DEFENSE COUNTERINTELLIGENCE AND SECURITY AGENCY

October 2020

Growth of VROC

Industry Focus

Defense Industrial Security Clearance Office (DISCO)

Established to determine the clearance eligibility of industry personnel for access to U.S. and foreign classified information.

In 2011, DISCO underwent a Base Realignment and Closure (BRAC) process to the DoD Consolidated Adjudications Facility (DoDCAF) at Ft. Meade.

1965

Industry Focus

Personnel Security Management Office for Industry (PSMO-I)

Established to support the National Industrial Security Program (NISP) and grant interim determinations for national security clearances as well as manage the subject for as long as they are in access beyond final adjudication by the DoDCAF.

2013

Enterprise Focus

Vetting Risk Operations Center (VROC)

Established in 2018 to align processes across the Trusted Workforce enterprise, transform, modernize and implement continuous vetting methodologies, identify insider threat and provide guidance to industry and DoD stakeholders.

Increased emphasis on sharing information across the Federal Enterprise to drive timely, holistic and comprehensive risk management actions to preserve mission readiness.

2018

Future

VROC Overview

Hot Topics

COVID-19

VROC remains mission capable, while experiencing limited COVID-19 impacts. The early implementation of safety and health-related protocols, including maximum telework for 95% of the workforce, are factors related to the limited impact. VROC's Knowledge/Call Center, as a result of HPCON restrictions, is only accepting system (JPAS/DISS) or email customer service requests.

Updated DISS JV Industry PSSARs FAQs

The Defense Information System for Security (DISS) Joint Verification System (JVS) Industry PSSARs frequently asked questions (FAQs) have been updated to include additional instructions on how to successfully transmit encrypted documents to the DISS Provisioning Team. The PSSAR Industry FAQ is located under 'Access Request' on the left hand side of this webpage.

Industry Fingerprint Submissions for Background Investigations Guidance

USD(I&S) guidance states DoD, to the greatest extent possible, will continue to follow established guidance for vetting contractors under DoD cognizance for the National Industrial Security Program. Please refer to list of fingerprint service providers supporting geographic areas across the country; https://psa.dmdc.osd.mil/psawebdocs/

For investigation requests where the fingerprint check is completed, please submit the investigation request to the VROC. The fingerprint check will result in a SAC investigation populated on the JPAS Person Summary Screen. The SAC investigation is valid for 120 days from the closing date.

If the fingerprint check was not completed, it is requested that the investigation request not be submitted to VROC until the fingerprints are captured and submitted to SWFT for processing. For investigation requests that have been submitted to VROC without fingerprint submissions, VROC will hold the investigation request until the SAC is populated in JPAS.

DISS Overview

Handout

WHO

POPULATION MANAGED: all DoD employees, military personnel, civilians and contractors

BOTTOM LINE:

JPAS = JCAVS + JAMS

DISS = JVS + CATS

WHY does it matter?

DISS will replace JPAS and manage the adjudication process for PCL, suitability determinations, and credentialing.

WHAT is DISS?

Group of systems that include the Joint Verification System (JVS), the Case Adjudication Tracking System (CATS), an appeals module (for DOHA and PSABs), a Reporting module, and the Service Desk.

What Should Industry be Using DISS for Currently?

- ❑ SF-312 Submission
- ❑ Incident Reporting
- ❑ Customer Service Request (the RRU replacement) Submission
- ❑ Verifying your hierarchy and subject list are accurate before the Phase 2

When Should I Get a DISS Account?

- Now!!! You must send the entire PSSAR packet to the following email address: dcsa.dcsa-northern.dcsa-dvd.mbx.diss-provisioning@mail.mil
- For the most up to date provisioning instructions, and additional guidance/tips for when you log in, please visit the DCSA website at https://www.dcsa.mil/is/diss/

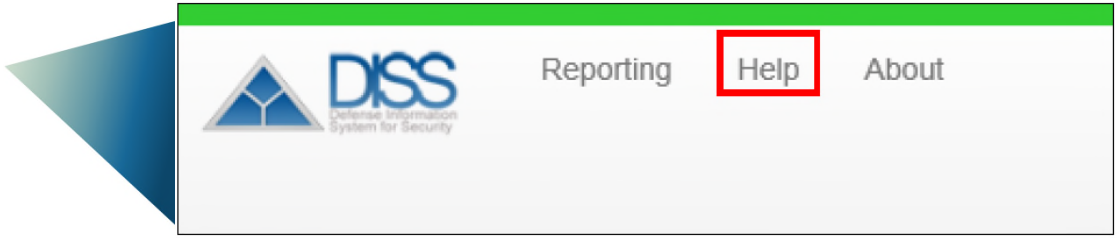
DISS Announcements & Resources

JPAS Services Phasing Out

- On June 1, 2020, DMDC disabled RRU functionalities in JPAS. All Customer Service Requests (CSR) to include RRU requests and the Non-Disclosure Agreements (NDAs)/SF-312 must now be submitted via the DISS application. For instructions on how to complete CSR/NDA actions, please reference the user manual, under the Help link on the DISS JVS application or review the VROC DISS Tips and Tricks at https://www.dcsa.mil/Portals/91/Documents/IS/DISS_Tips_Tricks_2020.pdf .
- On August 15, 2020 DMDC disabled the Incident Report function in JPAS. All Incident Reports should now be submitted via the DISS application.
- On August 29, 2020 DMDC disabled the Visit Request function in JPAS. No New Visit Requests will be able to be created in JPAS will be disabled. Users must now use DISS for all new visit requests.

DISS Tools and Resources

- DISS Homepage
- PSSAR FAQs for Hierarchy Manager
- DISS FAQs
- DISS Tips & Tricks
- DISS User Manual
  - Upon logging in, you can access the JVS User Manual by selecting the "Help" link located at the top left of your screen



SEAD Overview

The Director of National Intelligence (DNI), is responsible, as the Security Executive Agent (SecEA), for the development, implementation, and oversight of effective, efficient, and uniform policies and procedures governing the conduct of investigations and adjudications for eligibility for access to classified information and eligibility to hold a sensitive position. While the DNI is focused primarily on the Intelligence Community (IC), as SecEA his responsibilities are further extended to cover personnel security processes within all agencies, government-wide.

SEAD 01	SEAD 02	SEAD 03	SEAD 04	SEAD 05	SEAD 06	SEAD 07
OVERVIEW	**POLYGRAPH USAGE**	**REPORTING REQUIREMENTS**	**ADJUDICATIVE GUIDELINES**	**USE OF SOCIAL MEDIA**	**CONTINUOUS EVALUATION**	**RECIPROCITY**
HIGH LEVEL OVERVIEW						
➢ Consolidates and summarizes the authorities and responsibilities assigned to the Director of National Intelligence (DNI) in the role as the Security Executive Agent (SecEA).	➢ Use of polygraph in support of personnel security determinations for initial or continued eligibility for access to classified information or eligibility to hold a sensitive position.	➢ Establishes reporting requirements for all covered individuals who have access to classified information or hold a sensitive position.	➢ Establishes the single, common adjudicative criteria for all covered individuals who require initial or continued eligibility for access to classified information or eligibility to hold a sensitive position.	➢ Addresses the collection and use of publicly available social media information during the conduct of personnel security background investigations and adjudications for determining initial or continued eligibility for access to classified national security information or eligibility to hold a sensitive position and the retention of such information.	➢ Establishes policy and requirements for the continuous evaluation (CE) of covered individuals who require continued eligibility for access to classified information or eligibility to hold a sensitive position.	➢ Establishes requirements for reciprocal acceptance of background investigations and national security adjudications for initial or continued eligibility for access to classified information or eligibility to hold a sensitive position.

For more information on SEAD guidance, click here

High Level PCL Process

Step 1

FSO identifies need and initiate e-QIP and instruct applicant to complete

Step 2

Applicant completes e-QIP, FSO reviews for completeness, releases to VROC and submits eFP at the same time or just before an investigation request is released to DCSA in JPAS

Step 3

VROC reviews e-QIP for issues and completeness

Step 4

If complete, VROC reviews SAC for Int Sec determination **OR** Int TS. If Secret eligibility exists and the SAC is complete and VROC releases for investigation scheduling
If incomplete, VROC revises and sends back to FSO for corrections

Step 5

Investigation is scheduled

Step 6

VROC receives Advance Products and processes for Interim TS determination

Step 7

Investigation is completed and closed by the investigative service provider

Step 8

DOD CAF adjudicator reviews investigation results and vets the application against adjudicative guidelines

Step 9

Issues ?…
No: grant final eligibility.
Yes: DOD CAF send SOR to DOHA for legal review

Step 10

If DOHA **agrees**, send to FSO/Subject
If DOHA **disagrees**, recommend final eligibility

Step 11

Subject responds to SOR and returns response to DOHA. If the subject does not respond, DoDCAF posts Denial/ Revocation and subject is eligible for reapplication after 1 year

Step 12

Admin Determination or official hearing for final determination

VROC Metrics

PSI Execution

168k
Requests for Investigations Processed

12%
Interim Declination Rate

839k
NISP Contractors With Clearance Eligibility

FY19

Customer Engagement & Support

OVER 6k
Attendees Briefed

40k
Research, Recertify, Upgrade Request

145k
Calls Handled

7k
DISS User Accounts Provisioned

100
Events Attended

7k
CSR Processed

FY19

Risk Management

1-2 days
Adverse Information Triage

2%
Adverse Information Report Rate

FY19

Continuous Evaluation

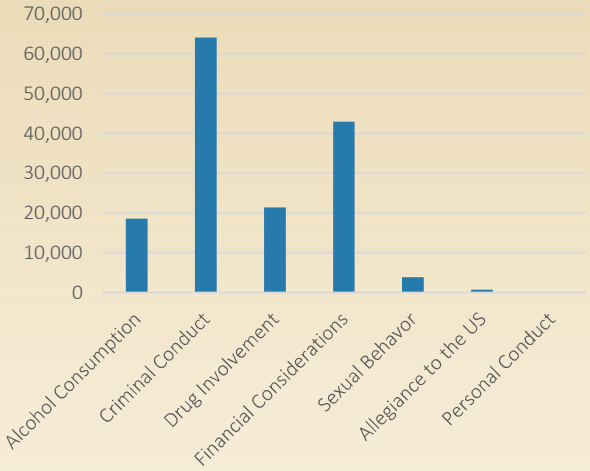
FY20

~2.3mil
Subjects enrolled in CE

~183k
Valid CE Alerts Processed

Historical Data
FY19 – 30.1k

01 Terrorism
02 Foreign Travel
03 Suspicious Financial Activity
04 Criminal Activity
05 Credit
06 Public Records
07 Eligibility

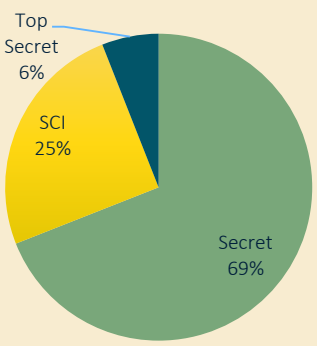


Secret: 7yr 1mo
TS: 2yr 7mo
Early Detection and Risk Mitigation before next PR due to begin

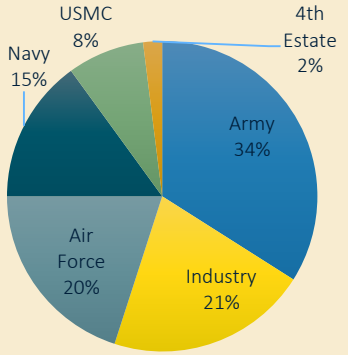
CE Alert Rate

9%
Rate of CE Alerts received via Mirador

Population by Eligibility



Population by Department



DEFENSE COUNTERINTELLIGENCE AND SECURITY AGENCY

Adverse Information Reporting

Handout

01

Complete "Detailed" Incident Report

Provide as much information as possible when completing the incident report. Pro tip: refer to the questions on the SF-86

Remember: Failure to report adverse information could impact multiple locations since cleared employees frequently move between contracts/employers

02

VROC Triages Incident Report

- **Low** Tier Incident Report
  - Will be closed out in JPAS by VROC.
- **Medium** Tier Incident Report
  - Will remain open in JPAS for adjudicative action by the DoD CAF.
- **High** Tier Incident Report
  - Will remain open in JPAS for immediate action by VROC and the DoD CAF.

03

Continue Business As Usual

The VROC Incident Report team triages all incoming incident reports on a daily basis.

All Medium and High Tier incidents are automatically sent to the CAF for further action and are closed as soon as possible.

Personnel Security Clearance Reform Efforts

Continuous Evaluation

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 ongoing assessment of an individual's continued eligibility.

CE is intended to complement continuous vetting efforts.

Continuous Vetting

Robust and real-time review of a covered individual's background at any time to determine whether that individual continues to meet applicable requirements.

Continuous vetting will replace the five- and 10-year periodic reviews with ongoing, and often automated, determinations of a person's security risk.

Trusted Workforce 2.0

An enterprise approach to overhaul the security clearance process to get people to work faster, have more mobility and ensure they're trusted through:

- More nimble policy making
- Vetting tailored to mission needs
- Aligned security, suitability and credentialing
- Reduced number of investigative tiers
- Expanded spectrum of investigative methods

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.

Early Detection: Goal is to address potential indicators early on, allowing individuals the opportunity to seek assistance and mitigate triggers before becoming an insider threat.

Automated Records Checks to address 7 data categories

How CE Works

Continuous Evaluation (CE) refers to expanded automated record checks, pulling information from government and commercial data sources. When DCSA receives an alert, it assesses whether the alert is valid and worthy of further investigation and adjudication. Addressing potential indicators early on, allows for individuals the opportunity to seek assistance and mitigate triggers before becoming an insider threat.

CE Enrollment

There are several enrollment methods available for individuals in the DoD's Continuous Evaluation program. These enrollment methods only apply to cleared individuals who have active affiliation with DoD, with a signed the 2010 or more recent version of the SF-86, and have eligibility supporting access to classified information. Three in particular, directly impact Industry contractors:

PREVIOUS ENROLLMENT
Individuals enrolled prior to 2017

01

POST ADJUDICATION
Individuals enrolled after adjudication determination by DoD Consolidated Adjudications Facility (CAF)

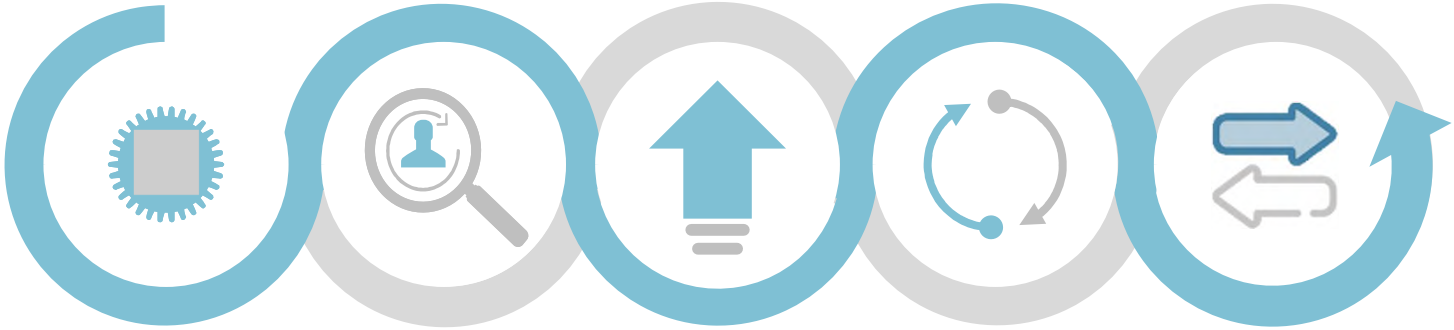
02

DEFERMENT OF REINVESTIGATION
Individuals enrolled after new re-investigation requests are screened using a risk-management approach. The SF-86 is analyzed using deferment protocol for enrollment in Continuous Evaluation instead of submission to DCSA's investigative department for a traditional periodic reinvestigation (PR).

03

The Future of Personnel Security

Establish Trust | Maintain Trust | Re-Establish Trust



INITIAL VETTING	CONTINUOUS VETTING	UPGRADING VETTING	RE-ESTABLISHING TRUST	TRANSFER OF TRUST
VROC processes initial eQIP for NISP individuals Individual is enrolled in CE	★ **Will replace the five- and 10-year periodic reviews with ongoing, and often automated, determinations of a person's security risk** Individual is enrolled into CE program Checks will run on pre-determined schedule based on risk in person and position Initial output of CE Automated Records Checks sets baseline for individual	Will offer a more seamless approach to upgrading security clearance levels as needed	Re-establishment of a clearance after a lapse in continuous vetting, currently known as a "Break in Access"	Reciprocity, as we know it today, will be revamped to make for a smoother transition from one government agency to another

- The Trusted Workforce 2.0 initiative is an effort to overhaul and improve:
  - the security clearance process
  - the issue of security clearance timeliness, while offering up a risk-based process that looks more strategically at which types of behaviors and positions constitute a security risk – and which do not.
- The revamped vetting will focus on mission needs, outlining five specific vetting scenarios.

Questions & Answers

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Customer Support

Knowledge Center Inquiries. For information or assistance regarding industrial personnel security clearances, e-QIP pin resets/lockouts and status inquiries, please contact the DCSA Knowledge Center at 888-282-7682 option 1.

For Further Assistance…

Stay in Touch With VROC

Fax Requested Documents	443-661-1140
VROC Email	dcsa.ncr.dcsa-dvd.mbx.askvroc@mail.mil
DCSA Policy	DSS.quantico.DSS-hq.mbx.policyhq@mail.mi
DCSA Facebook	https://www.facebook.com/DCSA.Stakeholders
DCSA Twitter	https://twitter.com/DSSPublicAffair
Personnel Vetting Homepage	https://www.dcsa.mil/mc/pv/

DoD CAF Call Center

Phone	301-833-3850 (SSOs and FOSs ONLY)
Website	http://www.dodcaf.whs.mil
Menu Options	5 -Industry

DOHA

Phone	866-231-3153
Website	dohastatus@ssdgc.osd.mil

DMDC Contact Center

Phone	1-800-467-5526
Website	dmdc.contactcenter@mail.mil
Menu Options	1 – DISS 3 – JPAS 4 – e-QIP 5 – SWFT 6 – DCII 7 – PerSec/ General Questions 8 – STEPP/ISFD/FCL

Adverse Information Roadmap

What is Adverse Information?

Any information that reflects on the integrity or character of a cleared employee

Suggests their ability to safeguard classified information may be impaired or their access to classified information may not be in the interest of national security

Early intervention is the key to quick mitigation and resolution

Who is at Risk?

Cleared Employees

Includes any individual with eligibility for access to classified information or in process for a security clearance

When to Report?

Immediately!

Complete "Detailed" Adverse Information Report

- **Who** was involved?
- **When** did the incident happen?
- **What** was the incident?
- **Where** did the incident occur?

Provide as much information as possible when completing the report - refer to the questions on the SF86

Conduct sufficient fact-finding to ensure reports are not made based solely upon rumor or innuendo

Remember: Failure to report adverse information could impact multiple locations since cleared employees frequently move between contractors

Failure to report adverse information may result in an acute or critical vulnerability if discovered during an assessment

Why Submit?

Critical to Our National Security

- Protect our national security
- Protect our warfighters
- Protect our nation's economic stability
- Protect industries competitive advantage in the marketplace
- Establish confidence in the cleared population

Where to Submit?

System of Record – JPAS (Recommended)

- Alternative Methods:
  - Fax: 443-661-1140 or DCSA.ncr.DCSA-dvd.mbx.askvroc@mail.mil
  - DoD Hotline (1.800.424.9098 or hotline@dodig.mil)

REFERENCES

- ✓DCSA Website: http://www.DCSA.mil/psmo-i/indus_psmo-i_maintain.html#Incident
- ✓Regulations (NISPOM 1-302, ISL 2011-04, and ISL 2006-02): http://www.DCSA.mil/isp/fac_clear/download_nispom.html
- ✓FSO Toolkit: http://www.cdse.edu/toolkits/fsos/new-fso.html
- ✓Webinars (e.g. Adverse Information, Cyber, SCR): http://www.cdse.edu/catalog/webinars/index.html
- ✓SF-86: https://www.opm.gov/forms/pdf_fill/sf86.pdf

When to Submit a CSR in DISS

1 Submit a CSR in DISS

	Action to be taken
☐ Change in Marital Status/Cohabitation ("Scheduled" investigation only)	Submit CSR: Provide Supplemental Information
☐ Change in Marital Status/Cohabitation with Foreign National	Submit CSR: Provide Supplemental Information
☐ SSN Change	Submit CSR: Provide Supplemental Information
☐ Cancel "Scheduled" Investigation (Subject No Longer Requires Access)	Submit CSR: Provide Supplemental Information
☐ No Determination Made with Previous Valid Eligibility	Submit CSR: Recertify
☐ Reciprocity	Submit CSR: Request Reciprocity
☐ Request Adjudication on Closed Investigation (provided the closed investigation is over 30 days)	Submit CSR: Provide Supplemental Information (if DISS does not indicate Adjudication in progress)
☐ LOJ with Previous Valid Eligibility	Submit CSR: Recertify
☐ Request Adjudication on Closed Investigation (needs to move to a another DoD component for adj)	Submit CSR: Provide Supplemental Information
☐ Reopen "Discontinued" Investigation	Submit CSR: Provide Supplemental Information
☐ Upgrade/Downgrade Investigation	Submit CSR: Provide Supplemental Information
☐ DCSA requests a PR tobe submitted but a PR is not required	Respond to RFA request from VROC

2 Contact the JPAS/DMDC Contact Center

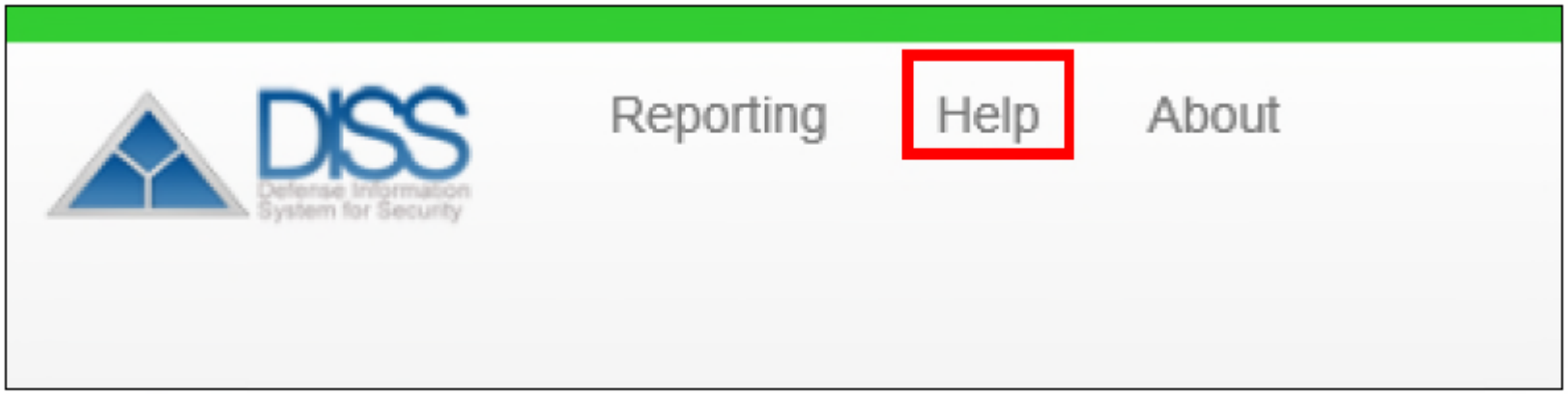
	Action to be taken
☐ PII Change (No Longer has DOD/Military associations)	Contact DMDC Helpdesk at (800) 477-8227
☐ Change of Employment	Losing facility needs to separate in JPAS/DISS; gaining facility establishes relationship/indoctrinates in JPAS
☐ Cancel "Scheduled" Investigation (Employment Termination)	Losing facility needs to separate in JPAS/DISS
☐ Erroneous DOD/Military category	Contact DMDC Helpdesk at (800) 477-8227

3 Contact the Knowledge Center

	Action to be taken
☐ Status of investigation/adjudication (outside standard timeframes)	Contact DCSA Knowledge Center at (888) 282-7682, Option #2

User Manual Location

Upon logging in, you can access the JVS User Manual by selecting the “Help” link located at the top left of your screen



Provisioning Tips & Tricks

- If you haven't been provisioned for the right SMO(s), and cannot see your hierarchy, you'll need to contact VROC at dcsa.dcsa-northern.dcsa-dvd.mbx.diss-provisioning@mail.mil to request changes to your provisioned account
  - if you are adding SMOs outside of your current corporate hierarchy, a new PSSAR may be required
- If your hierarchy is inaccurate (missing SMOs, incorrect parent to child relationships, etc.) you will need to complete a Hierarchy Change Request (HCR) form

Provisioning Tips & Tricks

- If contacted with provisioning instructions by DCSA & DMDC, act quickly, because your activated account will expire if not logged into within 30 days.
- Failure to follow provisioning instructions may result in the rejection of your provisioning package, which will delay your provisioning.
- Most common package rejection reasons:
    1. Selecting everything in PSSAR Part 2, Section 16b or alternatively selecting nothing at all
    2. Certificates/training expired (more than one year old) or dates on certificates do not match dates on PSSAR form
    3. Information missing (blank) or duties to not correspond to the roles requested in Part 2 Section 16b
    4. Letter of Appointment (LOA) missing or incomplete (not signed by Key Management Personnel (KMP), requests a Joint Personnel Adjudication System (JPAS) account vice Joint Verification System (JVS) account, etc.)
    5. KMP acting as the nominating official (on both the LOA and/or PSSAR) is not cleared in connection with the facility clearance

National Security Investigations

NISP

Three basic reasons background investigations are conducted:

- **National Security – access to classified**
- Suitability / Fitness for government employment
- Personal Identity Verification in support of credentialing
  - Homeland Security Presidential Directive 12 (HSPD-12)
  - Physical access to facilities and or logical access to systems

Tiered Investigation Standards

Why We Investigate	Public Trust			**National Security**			
Reason	Suitability			**Access to Classified Information**			
Position	Low-Risk	Moderate Risk	High Risk	Confidential	Secret	Top Secret	SCI
Position Sensitivity	Non-Sensitive			Non-Critical Sensitive		Critical Sensitive	Critical Sensitive
Tiered Investigation Associated	Tier 1	Tier 2	Tier 4	**Tier 3**	**Tier 3**	**Tier 5**	**Tier 5**
Current Type Investigation	NACI	MBI	BI	NACLC/ANACI		SSBI	
Standard Form Used	SF-85	SF-85P		SF-86			
Who Submits	Government Agencies (not NISP contractors)			FSOs			

Information derived from Federal Investigative Standards policy

DoD 5200.02 Policy Guidance

DoD 5200
Section 5: Investigative Requests
Paragraph 5.3 Limitations and Restrictions for Submitting Investigations
Sub-paragraph b(2). Limits on Investigations, page 26
"DCSA will not process a PSI request for an employee of, or a consultant to, a contractor when there is not a legitimate requirement for access to classified information in supporting a U.S. Government or foreign government requirement in accordance with DoD 5220.22-R and Volume 3 of DoDM 5200.22."

dcsa.ncr.dcsa-dvd.mbx.askvroc@mail.mil

Questions & Answers

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