Federal Investigative Services

U.S. Office of Personnel Management

Annual Report to Stakeholders

Fiscal Year 2014

Contents

About Us

The Office of Personnel Management's Federal Investigative Services (OPM FIS) has more than 60 years of experience conducting background investigations for the Federal Government. **Our mission is to ensure the Federal Government has a suitable workforce that protects National Security and is worthy of Public Trust.** *We conduct 95% of the Federal Government's background investigations for more than 100 agencies. Our commitment to our stakeholders is to deliver high quality, adjudication-ready investigations, maintaining a secure and timely end-to-end investigation process. We strive to meet the investigative demands vital to the federal workforce, and ensure quality, transparency, and accountability to our stakeholders.*

Our organization

Federal Investigative Services
Office of Personnel Management

Associate Director
Merton W. Miller

Integrity Assurance

Division Management

Technical Services

Division Support

Program Management

Business Management

Systems Analysis & Development

Billing Oversight

Quality
Jeff Flora

Management Services
David Fitzgerald

External Affairs
Lisa Loss

Operations
Mark Sherwin

Operations Support

Investigations Quality Review (PIC)

Adjudications

Operational Policy

Counterintelligence & Field Support Activities

Field Management

Investigations Quality Review (Boyers)

Capacity Development & Oversight

External Liaison

International Activity

Northern Region

Quality Interface

Resource Management

Freedom of Information and Privacy Act

Automated Leads

Central Region

Investigations Support (PIC)

National Training Center

Counterintelligence

Western Region

Investigations Program Staff - FY 2014

Type of Staff	Number of Staff
Federal	2,466
Contract [*]	3,557
Total	6,023

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[*] Includes full time, part time and intermittent

Message from Associate Director Merton Miller

The 2014 year in review…In no uncertain terms, 2014 was a year of accomplishment that also brought unforeseen challenges and opportunities for reflection and improvement at OPM FIS. Early in the year, we worked closely with the Office of Management and Budget and our colleagues at the Office of the Director of National Intelligence (ODNI), the Department of Defense (DOD) and other agencies to support the President's 120 Day Suitability and Security Process Review in light of the tragedy at the Washington Navy Yard. That effort resulted in 13 key recommendations to improve the government's vetting of Federal and Government contractor staff through the suitability, credentialing, and national security programs addressing this need. OPM mobilized immediately to support the recommendations by providing staff, expertise and workspace to the newly formed interagency Program Management Office (PMO). We are committed to diligently seeing the recommendations through to full implementation/achievement.

Merton Miller

We embarked on a year of detailed preparation for implementation of the first initial operating capability (IOC) of the revised Federal Investigative Standards, to be launched at the start of FY15. The new tiered investigative model represents years of analysis and collaboration among experts from the intelligence, defense and civilian communities to standardize, streamline and align background investigations. Through execution of the executive branch Implementation Plan, the government stands to gain numerous efficiencies while protecting national security and ensuring public trust.

The National Defense Authorization Act of 2014 directed the Secretary of Defense to compare the quality, cost, and timeliness of OPM's security investigations with DOD's. OPM FIS continued our commitment to transparency through our full support of DOD's Cost Assessment and Program Evaluation (CAPE) office. The results have been briefed extensively to Senior Leadership across the government as well as to key congressional committee staff.

This was a year of major change to our workload processes. In February, OPM fully federalized the final quality review of background investigations, ensuring that only federal employees are conducting these reviews before a case is submitted to the requesting agency for adjudication. In August, OPM issued a stop-work order to our largest contractor for background investigations fieldwork, and in September OPM made a decision not to extend the terms of that fieldwork contract and the OPM FIS support contract held by this contractor. Through these times of change, OPM FIS continues to work towards rebuilding lost investigative capacity, while remaining fully committed to quality, timeliness, and cost efficiencies.

With clear eyes and a strong sense of purpose, the program must remain responsive to the needs of the community we serve by anticipating, reforming, and adapting the program to help address the ever evolving threats posed by our enemies as well as applicants, current employees, employees of contractors whose employment or access to Federal systems and facilities simply poses undue risk. Instituting a background investigations program that reports "near real time" adjudicatively relevant information and identifies counterintelligence indicators will help fill critical gaps in the current system that allows individuals with evolving character and conduct issues to possibly avoid detection for 5 to 10 years due to the reinvestigation schedule. The threat is pervasive, persistent, and often determined….we must all do everything possible to detect and remove these threats as they develop.

We must always remember why we do what we do. Together with our stakeholders, we make a difference in protecting the national security and the safety and integrity of the workforce. I often refer to OPM investigators as the "tip of the personnel security spear." Testimonials received from two of our agency partners provide witness to the difference our program is making:
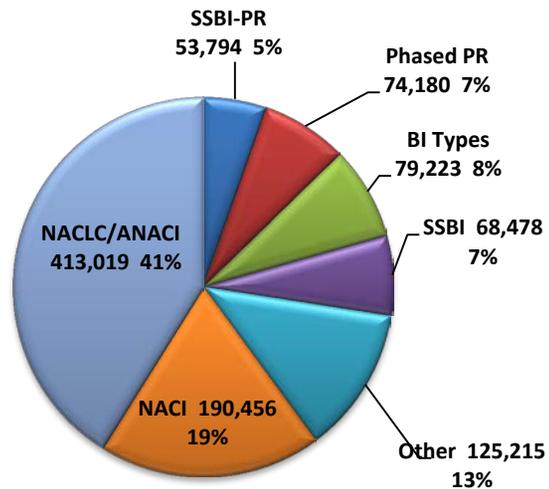
> *"I wish to express my sincere appreciation for support and collaboration of the OPM Federal Investigative Services (FIS) Counterintelligence (CI) Activity … the OPM FIS CI Activity level of effort exceeded the call of duty to support the Department of Defense Consolidated Adjudication Facility (DoD CAF) Threat Evaluation & Coordination Team (TECT) to identify, detect and deter two substantial counterintelligence threats to U.S. national security who had placement and access to classified information onboard Department of Defense installations.*
>
> *OPM FIS CI Activity has become an invaluable mission partner to the DoD CAF TECT. Due to the extra-ordinary efforts and selfless volunteerism by members of your FIS CI Activity, the Department of Defense now stands more readily poised to defend our nation from the hostile efforts of our adversaries who strive to undermine the American way of life. Thank you for your continued support."*
> *– Department of Defense, Threat Evaluation & Coordination*
>
> *"An OPM background investigation was conducted and flagged for enhanced counterintelligence and threat evaluation by a CI Activity Program Analyst. The case was escalated to the DoD CAF TECT. NCIS-ITAC commends DoD CAF-TECT and OPM-FIS CI Activity for their level of communication and coordination. All information suggested the Subject of this particular investigation had significantly escalated down the pathway toward violence and was near the final stages leading to an attack. NCIS-ITAC strongly believes this referral interdicted a CRITICAL threat and potentially saved lives."* *–Naval Criminal Investigative Services (NCIS) Insider Threat Analysis Cell (NCIS-ITAC)*

While we will continue to tackle many of the challenges that emerged in 2014 well into the coming year, our commitment to our stakeholders and the American people remains unchanged. We are committed to quality, transparency, and accountability, now and in the future.   **Merton W. Miller, Associate Director**

2014: Investigations Completed

SSBI-PR 53,794 5%
Phased PR 74,180 7%
BI Types 79,223 8%
SSBI 68,478 7%
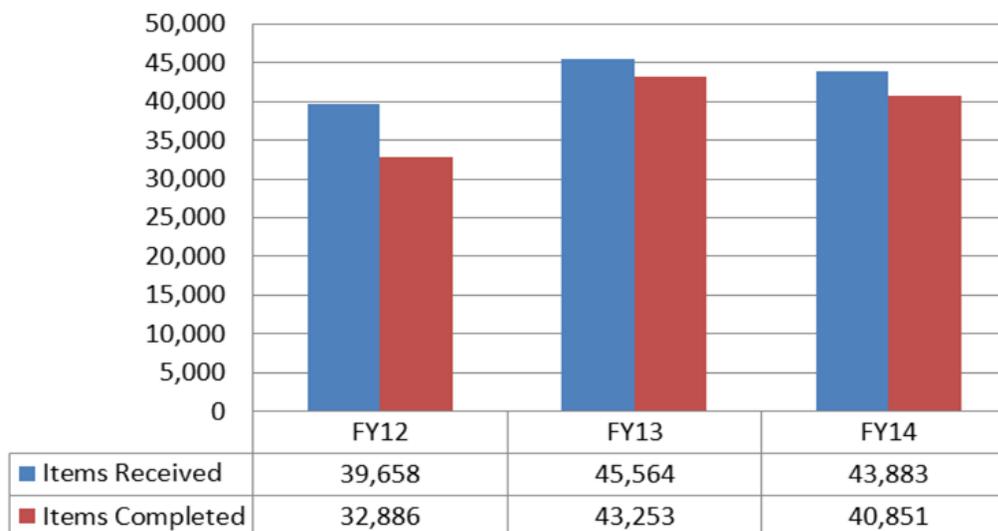NACLC/ANACI 413,019 41%
NACI 190,456 19%
Other 125,215 13%

Additionally, in FY14 FIS completed more than 1.2 million Special Agreement Checks for our customers, supporting pre-employment determinations and interim Personal Identity Verification (PIV) decisions.

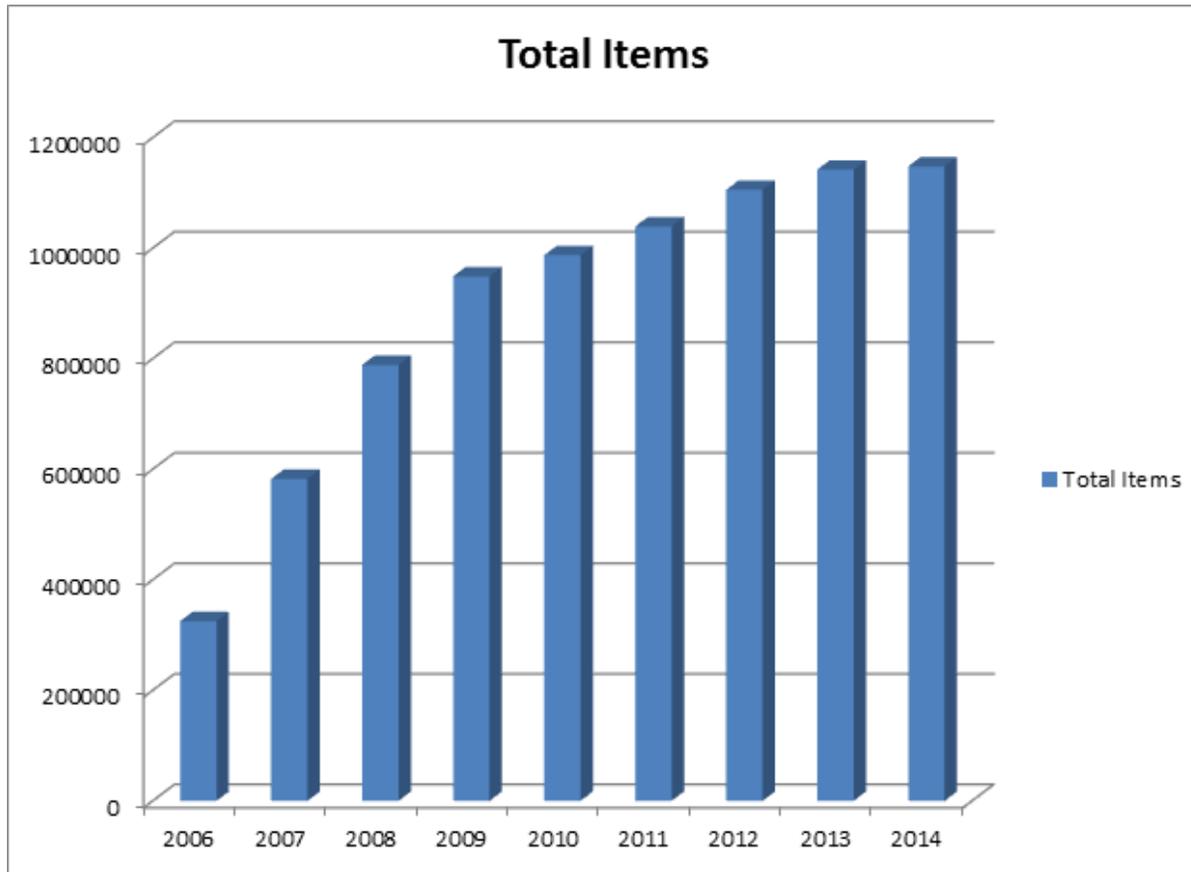| Investigation Acronym	Acronym Definition
SSBI-PR	Single Scope Background Investigation – Periodic Reinvestigation
Phased PR	Phased Periodic Reinvestigation
BI Types	Background Investigation/Moderate Risk Background Investigation
SSBI	Single Scope Background Investigation
Other	Investigations to support unique agency authorities and hiring rules
NACI	National Agency Check with Inquiries
NACLC/ANACI	National Agency Check with Law and Credit Access National Agency Check with Inquiries

2014: Workload Completed (Investigative Items)

| Total	Investigative Element
3,677,662	Checks of prior background investigations conducted by OPM and other investigative agencies
3,680,660	Searches of FBI investigation and arrest records
2,617,897	Law enforcement checks
2,752,385	Employment history checks
1,589,060	Personal reference checks
1,432,400	Checks of Defense Department investigative records
862,748	Residence checks
730,760	Credit report checks
522,809	General checks of miscellaneous sources
564,970	Education verification checks
407,720	Subject interviews
3,349,440	Other verifications (birth, immigration status, financial, health, Selective Service, etc.)

International Workload

	FY12	FY13	FY14
Items Received	39,658	45,564	43,883
Items Completed	32,886	43,253	40,851

2014: Automated Records Checks

Total Items

[Bar chart showing Total Items from 2006 to 2014]

Year	Total Items (approximate)
2006	~320,000
2007	~580,000
2008	~790,000
2009	~950,000
2010	~990,000
2011	~1,040,000
2012	~1,110,000
2013	~1,150,000
2014	~1,150,000

OPM FIS employs automated record checks where appropriate to gain efficiency. FIS completed 1,277,813 automated records checks in FY14. Of these, 1,131,538 were automated searches for criminal history record information.

2014: Timeliness of Initial Security Clearance Decisions
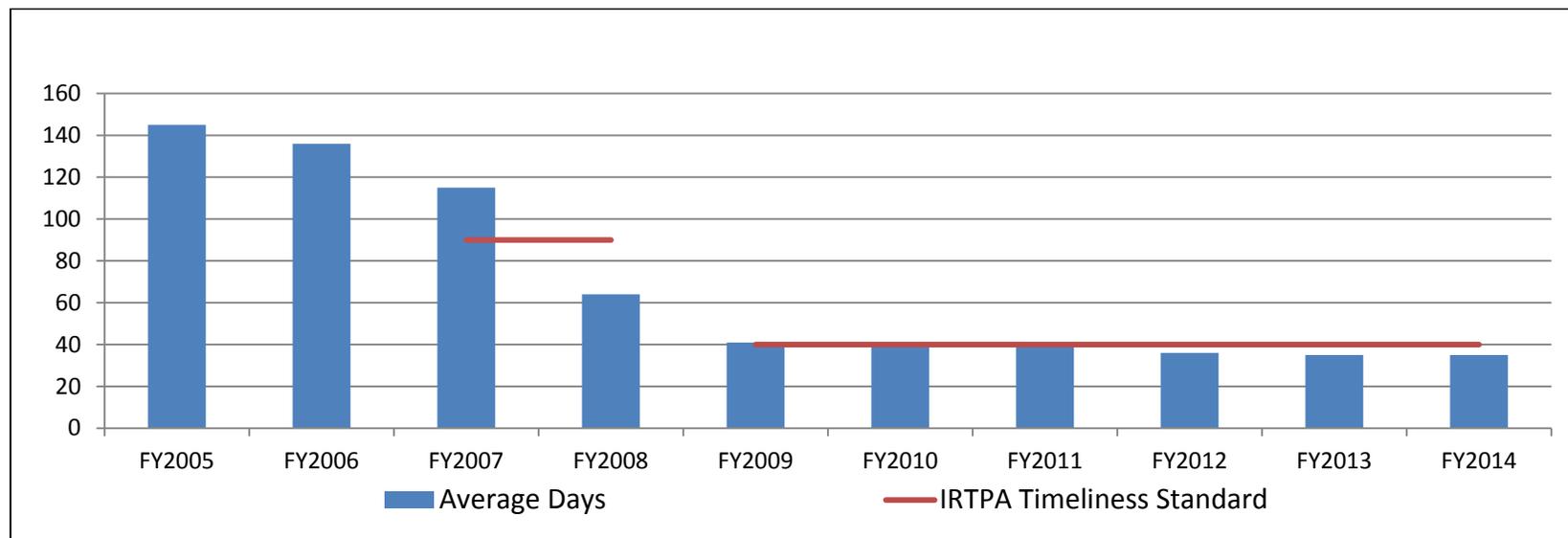
OPM has met investigation timeliness requirements each year since 2009. The Intelligence Reform and Terrorism Prevention Act (IRTPA) of 2004 established timeliness standards for initial security clearance investigations to be implemented by December 2009. These call for OPM to provide the fastest 90% of initial security clearance investigations within an average of 40 days.

Our Commitment to Stakeholders - Quality, Transparency, Accountability

Throughout FY14, OPM has demonstrated its commitment to quality, transparency and accountability in the work we do for our stakeholders.

Quality

- ✓ At the forefront of FIS quality efforts was the successful transition to federal quality review and closing of all low-level background investigations previously processed by a contractor. The federal workforce processed 728,000 investigations in FY14, a 34% increase from the previous year, as a result of this transfer of function.
- ✓ OPM FIS completed more than 1.5 million reviews of Reports of Investigation (ROI), and 435,759 case reviews were performed and entered into the internal quality tracking database used to evaluate investigative reports.
- ✓ OPM FIS deployed a detailed Case Certification List (CCL) for all case types having fieldwork. The CCL is used internally by reviewers to ensure all elements required by the national investigative standards have been completed or justified before the final investigation is closed and forwarded to the customer for adjudication.
- ✓ In FY14, the Quality Program sent 165,523 re-contact letters to sources interviewed by both federal and contract investigators and received thousands of appreciative comments in response. Here are some examples:

"The Investigator was very professional, personable and responsive."

"The interview was conducted in a polite, professional manner which was to be expected and was appreciated."

"The agent was a pleasure to deal with and demonstrated the proper way to interview."
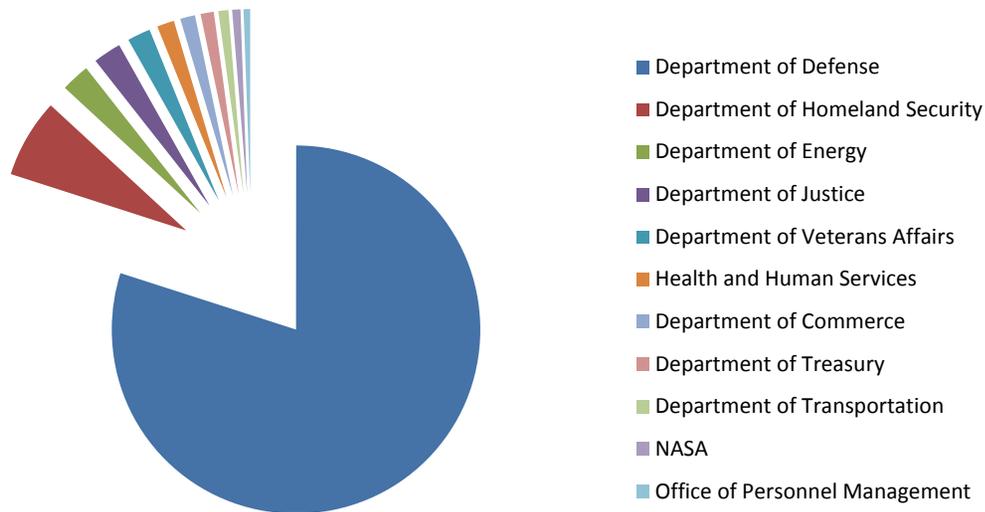
"The investigator was a fine representative of what my expectation is of our federal government employees."

"The investigator was a pleasure to deal with the interview. I was a little nervous prior to meeting him but after we began to talk, he was very professional but at the same time, made me feel comfortable and at ease. I would have felt open to discuss anything."

"The investigator was very polite, professional and engaging. He was thorough and made sure that I understood the purpose of the interview and understood each question. He is an excellent representative for the FIS."

Quality

✓ FIS Operations enhanced its check-ride procedures, which contribute to the quality of background investigations by ensuring our personnel are conducting business in accordance with federal standards.

✓ OPM FIS counterintelligence (CI) staff evaluated 2,781 field referrals with potential insider threat concerns. As a result of those evaluations, the CI staff produced 1,447 insider Threat notifications to federal agencies.

- Department of Defense
- Department of Homeland Security
- Department of Energy
- Department of Justice
- Department of Veterans Affairs
- Health and Human Services
- Department of Commerce
- Department of Treasury
- Department of Transportation
- NASA
- Office of Personnel Management

Insider Threat Notifications Provided to Agencies

✓ The OPM FIS CI program has continued to strengthen our national security by coordinating with customer agencies to identify potential threats. OPM FIS participated in many cross-governmental working groups that support continuous evaluation and the National Counterintelligence Enterprise. The CI staff provides real-time operational guidance and support to OPM FIS employees throughout the United States and in more than 60 locations overseas.

Quality

- ✓ The External Liaison (EL) program provides federal agencies specialized support and guidance throughout the investigative process. The liaisons received and responded to more than 25,000 agency emails and almost 7,000 phone calls in FY14. The liaisons also created more than 4,500 agency specific data reports and conducted more than 120 briefings and assistance visits with federal offices during FY14.
- ✓ FIS Systems Access provides functional and technical support to customer agencies in their use of the FIS electronic systems that facilitate the investigative process. In FY14, the Systems Liaison Team fielded more than 18,000 phone calls and almost 45,000 emails to support customer needs.
- ✓ OPM Suitability accepts cases for review for possible suitability action consistent with 5 CFR 731 and/or debarment. The table shows the breakdown, by case type, of cases involving covered positions that were reviewed to determine if the character and conduct issues warranted action by OPM, to include a Government-wide debarment. OPM FIS imposes a government-wide debarment in approximately 100-200 cases per year.

Cases Reviewed by the Suitability Program		Maintained for Possible Adjudication
Agency Referrals	200	108
NACI's	4,245	742
ANACI's	2,392	134
SSBI's, BI's, MBI's	2,350	103
Total	9,187	1,087

Transparency

- ✓ OPM FIS participated in the NDAA's Cost Assessment and Program Evaluation (CAPE) Study. OPM FIS shared thousands of administrative documents related to its contracts, performance, program cost drivers, and the quality, timeliness, and training requirements from 2008 through 2013. Both OPM FIS and DOD are working on adopting the recommendations produced by the study.
- ✓ The Freedom of Information and Privacy Act (FOI/PA) office provides guidance and controls needed to satisfy Freedom of Information Act (FOIA) and Privacy Act (PA) requirements. FOI/PA also responds to requests for FIS records made under the FOIA and PA.

FOIA/PA Office – FY14		
Case Processing ✓ 21,652 total requests processed ✓ More than 12,000 first party access and FOIA requests ✓ More than 6,000 releases for litigation, administrative proceedings ✓ More than 3,500 other types of requests processed to include amendments, expungements, and correspondences	**FOIA/PA Hotline Services** ✓ 12,917 calls answered ✓ More than 2,000 hours devoted to researching and answering calls from callers requesting assistance	**Requester Services** ✓ Expanded secure email delivery of privacy requests to meet customer needs

- ✓ OPM FIS Operations conducted a series of field time studies that changed the way workload is measured. The creation of the estimated man hours (EMH) metric increased the transparency of the level of effort needed to complete each item, or element, of background investigation fieldwork. This metric will also be a pivotal component in determining the cost and timeliness impacts of initiatives that may be requested by the community in the future.

Transparency – Expenses

Expenses: FY13 v FY14 Comparison

	FY 2013	FY 2014	Change $	Change %
TOTAL EXPENSES	**1,079.7 M**	**998.0 M**	**(81.7 M)**	**-7.6%**
Operating Expenses	**1,050.1 M**	**970.7 M**	**(79.4 M)**	**-7.6%**
Investigative Contracts	514.8 M	433.7 M	(81.1 M)	-15.8%
FIS Staff Costs	265.8 M	264.4 M	(1.5 M)	-0.6%
IT Services	117.2 M	126.0 M	8.8 M	7.5%
OPM Common Services & Direct Support	60.3 M	57.8 M	(2.5 M)	-4.1%
FBI Fees	48.0 M	40.0 M	(8.0 M)	-16.7%
Travel	16.0 M	12.9 M	(3.1 M)	-19.1%
Rent, Communication, & Utilities	16.2 M	18.2 M	2.0 M	12.1%
Supplies & Equipment	2.8 M	4.5 M	1.8 M	63.8%
Other[*]	9.0 M	13.2 M	4.3 M	47.7%
Non-Operating Expenses	**29.6 M**	**27.3 M**	**(2.3 M)**	**-7.9%**

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[*] Other is comprised of miscellaneous non-IT and non-Investigative related expenses to include Management/Professional Support, Operations and Maintenance of Facilities, Training Services, Food and Medical Service contracts, Transportation of Things (Shipping), Judgments, Settlements, Interest, and all other minor categories that did not fit into the other categories.
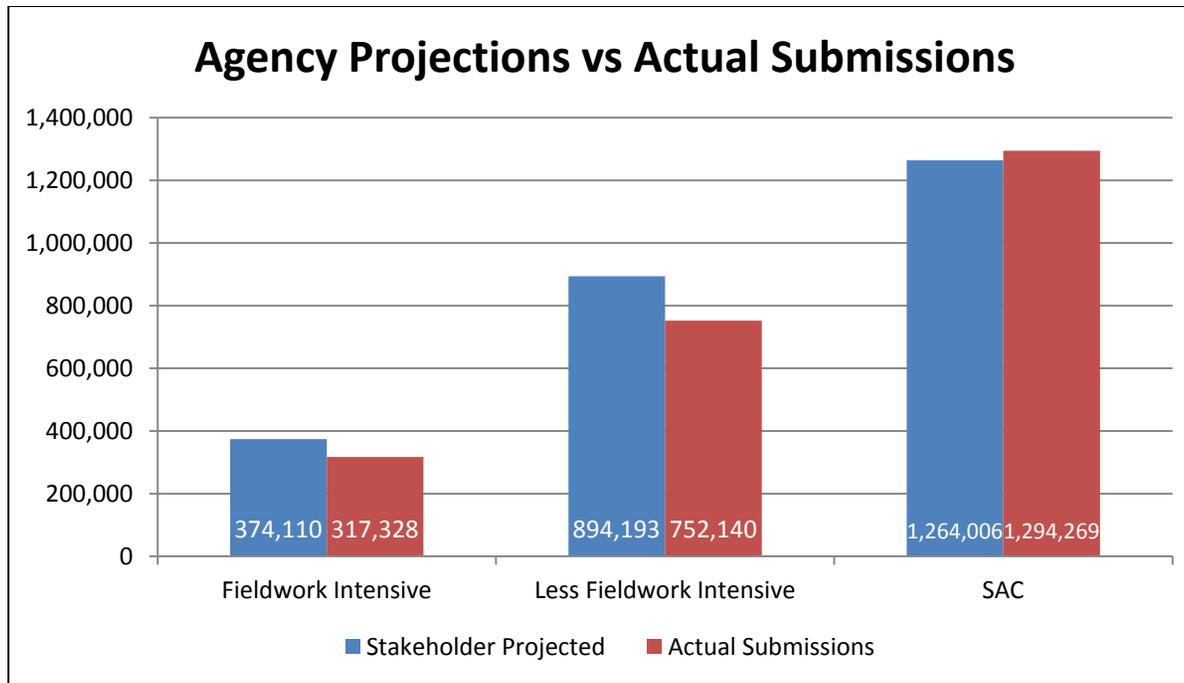
Transparency – Revenue

	FY 2013	FY 2014	Change$	Change %
Revenue from Federal Casework	**$ 1,003,463,164**	**$ 854,949,764**	**$ (148,513,399)**	**-14.80%**
NAC	$ 3,576,356	$ 3,198,278	$ (378,078)	-10.57%
NACI	$ 22,783,310	$ 21,156,486	$ (1,626,825)	-7.14%
NACLC	$ 149,752,575	$ 121,503,480	$ (28,249,095)	-18.86%
ANACI	$ 16,359,698	$ 14,374,863	$ (1,984,836)	-12.13%
PRI	$ 6,844,232	$ 7,671,613	$ 827,382	12.09%
MBI	$ 61,556,887	$ 55,632,778	$ (5,924,108)	-9.62%
SSBI-PR	$ 143,820,723	$ 144,121,674	$ 300,951	0.21%
PPR	$ 145,184,472	$ 144,053,364	$ (1,131,107)	-0.78%
BI	$ 44,701,980	$ 33,788,868	$ (10,913,112)	-24.41%
SSBI	$ 372,924,178	$ 271,349,819	$ (101,574,360)	-27.24%
RSI	$ 4,244,369	$ 3,087,231	$ (1,157,138)	-27.26%
SAC	$ 25,705,709	$ 27,773,567	$ 2,067,858	8.04%
Other	$ 6,008,675	$ 7,237,744	$ 1,229,069	20.45%
Other Revenue [*]	**$ (5.4 M)**	**$ 20.3 M**	**$ 25.7 M**	**-477.77%**
Total Revenue	**$ 998,087,703**	**$ 875,256,468**	**$ (122,831,235)**	**-12.31%**

[*] Other revenue includes revenue from FIS training classes, restitution, accounting adjustments and miscellaneous reimbursements.

Transparency - Costs and Pricing

OPM FIS assesses its pricing each fiscal year and alerts agencies of any changes in advance of the next fiscal year. During FY14, OPM FIS assessed the pricing that would be needed for FY15 in order to recover, at least approximately, the costs of performing the work. This analysis resulted in an assessment that OPM would need to increase the prices of FY15 investigations. FIS prices had remained unchanged since FY10. By law OPM FIS is mandated to operate at full cost recovery over a reasonable period of time. Therefore, OPM-FIS must fully fund all activities via a reimbursable business operation (fee for service). In doing this, FIS has maintained stable pricing since FY09, making just one minimal price increase of 4.2% in FY10. Furthermore, up until the end of FY13, FIS had sustained an appropriate Retained Earnings level despite minimal price increases over several FY's. This was accomplished by evaluating and reducing costs and finding efficiencies in our processes. However, in FY14 workload received was far less than anticipated which impacted the ability to generate sufficient revenue to offset cost. Estimated workload is determined using the projections provided by our customer agencies, historical trending, and other "environmental and market" conditions. In terms of expected revenue from investigations, the projections provided by our customers were approximately $250M higher than what FIS actually received in FY14.

Agency Projections vs Actual Submissions

	Stakeholder Projected	Actual Submissions
Fieldwork Intensive	374,110	317,328
Less Fieldwork Intensive	894,193	752,140
SAC	1,264,006	1,294,269

Accountability

- ✓ OPM FIS oversees the contractors' training program to ensure their programs meet the training standards, requirements and qualifications outlined in the contracts. In FY14, the NTC conducted 24 audits of contractors' training; six of those were in-person audits of classroom training and 18 were audits of training materials.

- ✓ OPM FIS Integrity Assurance (IA) continued to ensure the integrity of the program through investigation of potential misconduct by investigators, in cooperation with the OPM's Office of Inspector General (OIG) and the Department of Justice recovery of restitution dollars, and referral of potential falsification of investigation requests by applicants and employers to the OPM OIG. IA also worked with contractors to ensure best practices are applied when implementing internal controls.

- ✓ Because the FIS mission is always evolving, our contracts must be able to adjust rapidly to meet that changing environment. We processed no fewer than 140 modifications on the eight investigative contracts. We instituted an inspection team, in collaboration with the OPM Contracting Officer, the sole focus of which is to ensure contractual compliance by the contractors. In FY14 that team completed 992 inspections. Additionally, we coordinated 26 roundtable discussions to discuss contract requirements, and ensure that our contractors understand them, in order to improve current processes and ensure FIS receives a quality product, at the best value and in a timely manner.

- ✓ Management Services conducts periodic audits on travel, time and attendance reporting, and purchases. In FY14, we conducted more than 5,000 audits of these matters to ensure that proper procedures were followed throughout our program.

- ✓ OPM FIS Agency Oversight (AO) conducts performance audits to identify deficiencies in agency Security and Suitability Programs which may negatively impact the efficiency or integrity of the federal service or weaken the interests of national security. During FY14, AO conducted a total of 13 final reports which resulted in 101 recommendations for program improvements. AO conducted follow up activity on a total of 16 selected agencies that received a final report in previous years and found that the agencies took corrective action on 75 of the 110 (67%) recommendations made.

- ✓ OPM FIS reviews agency favorable suitability or equivalent adjudications on cases containing major issues. In FY14, we reviewed 3,668 cases, resulting in 334 oversight letters being sent to agencies to initiate reviews of the adjudicative actions.

2014: Accomplishments and Challenges

Federal Investigative Standards Implementation Efforts

Fiscal Year 2014 (FY14) saw the release of the Revised Federal Investigative Standards Implementation Plan by the Suitability and Security Clearance Performance Accountability Council. The Implementation Plan establishes a timeline for a phased implementation of the 2012 Federal Investigative Standards beginning October 1, 2014 through 2016. The plan identifies deliverables and milestones for investigating and adjudicating agencies, and offers guidance for a phased deployment of the five tiered investigation model. As co-chair of the interagency working group, OPM FIS worked to develop the roll-out strategies for a successful implementation government-wide. Implementation of uniform and consistent investigative standards will promote reciprocity, eliminate redundancy and thus result in efficiency across government.

In the past year, OPM realized more than two dozen modifications to its information technology systems to support the IOC of the revised Federal Investigative Standards. Among them, the Central Verification System (CVS) was modified to accept notices of Tier 1 and 2 investigations from other Investigation Service Providers (ISPs) into the Security and Suitability Investigations Index (SII) so that OPM can more efficiently comply with its obligations under Executive Order (EO) 10450. FIS technology continues to evolve to support the Expandable Focused Investigation (EFI) model introduced by the standards. OPM began by implementing enhanced validation and item management in its case processing systems and will continue to develop technology as appropriate to support the standards.

National Defense Authorization Act – Task Force for Records Access

In response to both the NDAA and the Security and Suitability Process Review directed by the President following the Navy Yard tragedy, OPM FIS continued its efforts to improve records access, a key challenge for background investigations. OPM FIS Associate Director Miller co-chaired the Task Force for Records Access to recommend ways to improve access to the state and local law enforcement records needed during the course of a background investigation. The task force found the Federal Government would benefit from improvements in the acquisition of criminal history record information through enhancements to 5 USC 9101, strengthening the education of user communities, and allocating funds for dedicated resources and technical systems. The recommendations of the task force were delivered to Congress in May. OPM FIS also engaged in a dedicated outreach effort to local police departments throughout the United States in order to stress the importance of sharing information that contributes to a complete background investigation. We are actively engaging those agencies throughout the country that have historically been unable to provide access due to resource issues or other constraints. We have made remarkable strides to access law enforcement

records through a nationwide outreach campaign that resulted in improved responsiveness from more than 260 local criminal justice agencies.

Investigative Contracts Workforce Changes

FY14 was a year full of dramatic change for our investigative contracts, which impacted OPM's investigative contract capacity. While workloads were high in FY13, sequestration at the beginning of FY14 caused agencies to significantly reduce the volume of requests for investigations despite their previously robust projections. Contract capacity drew down due to the lower than expected workload volumes. In August, OPM issued a stop-work order for the USIS Field contract following a cybersecurity breach. In September, OPM's contracting officer declined to exercise OPM's options on both the largest field contract and the investigations support contract. This caused an immediate drastic reduction in field investigative contractor resources and a simultaneous, complete transition of the support contract to a new contractor. By the end of FY14, the remaining field contract companies had initiated major hiring strategies to increase field investigative resources to meet current and projected workloads. In addition, the new support contract was successfully transferred to a new vendor in 22 days.

OPM FIS National Training Center (NTC) Accreditation by Federal Law Enforcement Training Accreditation (FLETA) Board

On May 8, 2014, the FLETA Board unanimously agreed to grant initial academy accreditation to the OPM FIS National Training Center (NTC). The NTC is only the 16th academy to receive FLETA accreditation, and OPM FIS now has the only federally accredited academy for personnel security professionals in the United States. The NTC submitted to an independent review of our academy to ensure compliance with 72 FLETA standards; 52 standards and procedures in the areas of Program Administration, Training Staff, Training Development, and Training Delivery, with an additional 20 standards specific to Academies. The FIS NTC staff train OPM background investigators and audit contractor training programs. Courses offered to external agencies include classes on the Essentials of Suitability Adjudication Programs (ESAP), Advanced Suitability Adjudications Programs (ASAP), OPM IT systems like e-QIP and CVS, and how to properly designate positions to select the appropriate level of investigation (PDT).

FY14 Agency Training		
Type	**Classes**	**Students**
Introduction Suitability	10	159
ESAP	11	224
ASAP	2	14
e-QIP	12	213
CVS	8	133
PDT	12	168
Total	67	965

Technology Enhancements

OPM FIS relies on its technology to provide the most efficient and secure processes which support the more than one million background investigations and additional one million special agreement checks completed annually. FIS delivered some major projects in 2014, which produced greater efficiencies for external agencies and internal staff. Among them:

- ✓ Upon completion of a background investigation, OPM FIS forwards the completed case to the appropriate federal agency for adjudication. In FY14, OPM FIS implemented a re-sequenced Report of Investigation format and investigative packet. This initiative provided adjudicators with a more user friendly ordering of OPM's completed case. FIS stakeholders collaborated extensively to reformat an investigative product that was easy to navigate. This implementation yields efficiency, time and financial savings for OPM's case review and government agencies' adjudication processes.
- ✓ OPM collects data from the subjects of investigations via the Electronic Questionnaire for Investigations Processing (e-QIP). In FY14, e-QIP launched "Click to Sign" for several of the signature forms required for an investigation. With "Click to Sign," agencies can abandon antiquated processes involving printing pages, obtaining pen and ink signatures from subjects and then scanning.
- ✓ e-QIP also implemented email capabilities for its population of agency administrator users. Customer agency personnel can now receive email notifications from e-QIP, to keep apprised of initiations, rejections and user happenings.
- ✓ The credit reports in OPM background investigations are now XML tagged allowing for automated analysis by adjudicative agencies.
- ✓ OPM FIS expanded use of the Social Security Number check to additional case types and added information to its CVS National Agency Check in support of the revised Federal Investigative Standards.
- ✓ OPM supported the Department of Homeland Security (DHS) and EO 13549 by expanding CVS to accept security clearances granted to state, local, tribal and private sector personnel and their unique dataset. OPM further created a new user role on CVS tailored to this population's needs.
- ✓ OPM added additional data fields to the existing "bridge" between CVS and DOD's Joint Personnel Adjudication System (JPAS). The additional fields aid users from industry who do not have JPAS access. Increased information sharing through CVS helps the business by maintaining a centralized database to enable reciprocity.
- ✓ OPM FIS completed the deployment of its Field Work System (FWS) to more than 6,000 federal and contractor users during FY14. FWS assists the investigators in creating complete and accurate reports by providing data validation and improved reporting tools.
- ✓ OPM's Fingerprint Transaction System (FTS) received an upgrade to reduce manual processing of FBI name-based searches. This reduced the amount of time for internal processing and expedited the delivery of results to customer agencies.

Technology Enhancements – Cybersecurity

Just like private corporations and financial institutions, the government is often targeted for hacking, espionage and cyber-attack. At OPM, the security of our network and the data entrusted to us remains our top priority. OPM FIS took steps to strengthen security protocols imposed on its own information technology systems and those of its contractors in an effort to preempt any malicious incident that could cause harm to the privacy of individuals or our national interests.

> **"We recognize cyber threats continue to proliferate. As leaders in the national security community and entrusted with sensitive personally identifiable information for the purpose of conducting background investigations, protecting PII will remain a top priority for FIS."**
>
> *--Merton Miller*

Looking Ahead

As FIS rebuilds investigative capacity and continues to meet the challenges of unpredictable workloads, FY15 will again be a year of challenge, one which calls for innovative leadership and continuous process improvement. Our commitments to quality, transparency, and accountability are unwavering, and we look forward to fulfilling many of our long term goals in the coming year, including approval and issuance of Quality Assessment Standards to standardize quality assessment reporting by Executive Branch agencies, implementation of revised Federal Investigative Standards, issuance of revised regulations to clarify position sensitivity, and implementation of notification services for criminal activity. We will continue to work with our strategic reform partners and the Performance Accountability Council to advance and complete the recommendations of the Suitability and Security Process Review.