

CDSE INSIDER THREAT WEBINAR SERIES:

INSIDER RISK & SECURITY CLEARANCE ADJUDICATIONS

DEFENSE COUNTERINTELLIGENCE AND SECURITY AGENCY



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ATTENDEE PARTICIPATION & FEEDBACK

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Q & A



ATTENDEE PARTICIPATION & FEEDBACK

Polls, Chats, and Feedback



Poll #1

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- 4
- 5
- 6
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Chat Q2 - Shorts

What shorts have you found most helpful? What shorts do you think might be beneficial to you and your security program?

Feedback 3

Type your unclassified comments here. Both positive and constructive comments are useful. Suggestions: How do you actually use what was presented on the job? What changes would improve your webinar experience?



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CONSOLIDATED ADJUDICATION SERVICES (CAS)

DITMAC PRESENTATION
“THE LIFE CYCLE OF SECURITY”

DEFENSE COUNTERINTELLIGENCE AND SECURITY AGENCY

Jessica Belschner, Technical Lead,
Behavioral Science Branch
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How We Adjudicate: SEAD-4 Whole Person Concept

Consolidated Adjudication Services (CAS) Overview

What The CAS Does:

- The DCSA CAS determines eligibility for access to classified and/or sensitive information for all non-intel agency DoD affiliated civilians, military, contractors, and other government entities by agreement, such as non-DoD agencies, and employees of the legislative and judicial branches of government.
- Individuals occupying national security positions are subject to continuous evaluation.

The Adjudication Process:

- The adjudication process is based on decisions made by applying a standard set of guidelines to an individual's specific circumstances.
- Trained adjudicators assess an individual's loyalty, trustworthiness, and reliability and determine whether it is in the best interest of national security to grant the individual an eligibility for access to classified information or render a favorable suitability determination.



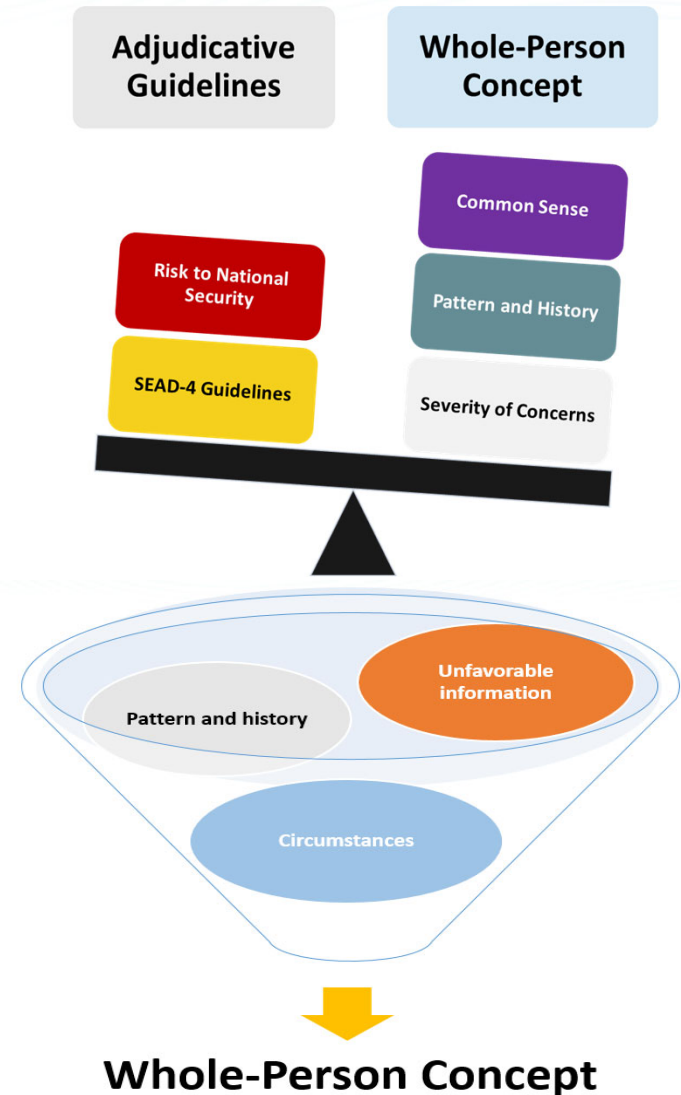
How We Adjudicate: SEAD-4 Whole Person Concept

Nine factors to consider using the Whole-Person Concept:

1. The nature, extent, and seriousness of the conduct;
2. The circumstances surrounding the conduct, to include knowledgeable participation;
3. The frequency and recency of the conduct;
4. The individual's age and maturity at the time of the conduct;
5. The extent to which participation is voluntary;
6. The presence or absence of rehabilitation and other permanent behavioral changes;
7. The motivation for the conduct;
8. The potential for pressure, coercion, exploitation or duress;
9. The likelihood of continuation or recurrence.

Additional considerations...

- Did the Subject voluntarily report the information?
- Was the Subject truthful and complete in responding to questions?
- Did the Subject seek assistance and did they follow professional guidance, when appropriate?
- Did the Subject resolve the security concern or is it likely to favorably resolve the security concern?
- Has the Subject demonstrated positive changes in behavior?
- Also applies for Incident Reports and Periodic Reinvestigations





Applying the Whole Person Concept

Whole Person Concept

An overall “whole person” adjudication by applying criteria from adjudicative guidelines and other factors

Favorable Eligibility Determination

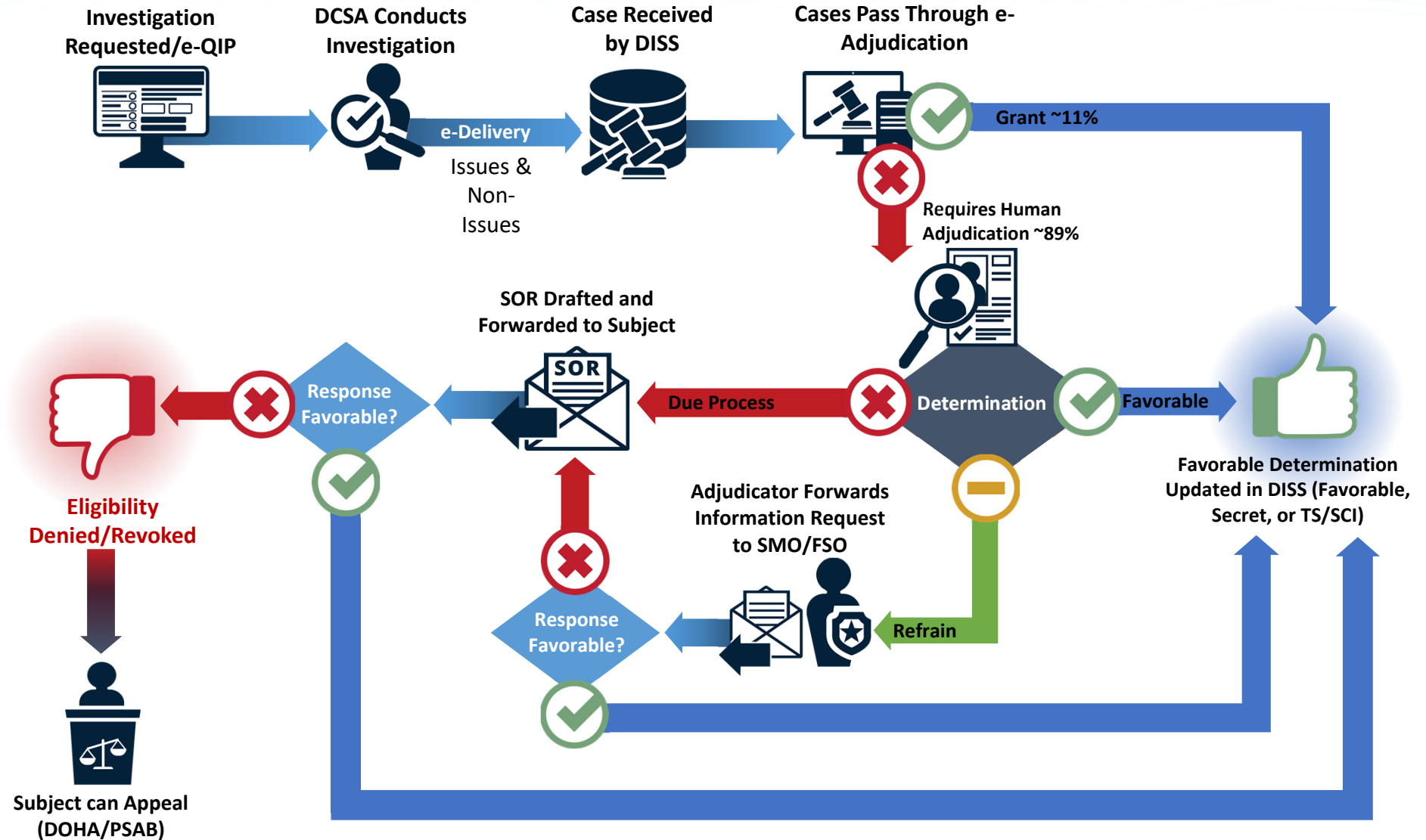
Loyalty, Reliability, Trustworthiness

Unfavorable Administrative Actions

Potential derogatory information that may be disqualifying or inconsistent with established adjudicative guidelines



The Security Vetting Process: An Overview





Helpful Clearance Terms/Acronyms

Term/Acronym	Definition
Administratively Withdrawn	Happens automatically when a Subject is unclaimed in DISS for more than one year
AOR	Acknowledgement of Receipt – signed by the Subject saying they received a request
CVR (Continuous Vetting Report)	Continuous Evaluation Incident Report – derogatory information reported based on reporting requirements
Clearance Held in Abeyance	Subject is pending completion of an investigation so the adjudication cannot be completed
CNA	Close No Action – additional information was received that does not provide any additional derogatory information
Conditional Eligibility	Subject is granted eligibility with conditions that will be monitored by VRO for one year
CSM	Claim Subject Memo – sent when Subject is not claimed in DISS
CSR	Customer Service Request – SMO/FSO formal request to CAS
Eligibility Suspended	Subject had an interim clearance and derogatory information has been received that warrants suspension of the interim clearance until the case is worked further



Helpful Clearance Terms/Acronyms

Term/Acronym	Definition
Eligible with Waiver	SCI cases only when Subject has FNIF with dual or foreign citizenship
Incident Report	Derogatory information provided based on reportable requirements
Interim SCI	Can be granted while Subject's case is undergoing adjudication
Interim Suspension (I/S)	When adverse information is obtained and there is probable cause to believe an interim action is warranted in the interest of national security
Interrogatory	Industry document used to obtain additional information
KMP	Key Management Personnel – clearance holder for an entire designated facility (Industry contractor)
LOD/LOR	Letter of Denial/Letter of Revocation – used after SOR to deny or revoke a clearance
LOJ	Loss of Jurisdiction – Subject has separated and no longer affiliated
LPR	Legal Permanent Resident
NDM	No Determination Made – adjudicator needs more information to proceed with adjudication



Helpful Clearance Terms/Acronyms

Term/Acronym	Definition
Recertification	Industry Subject appeals denial or revocation after a year to DOHA and DOHA either approves or denies the attempt
Reciprocity	Subject has a clearance from another agency and would like us to grant off of that clearance
Reconsideration	Mil/Civ Subject who had a clearance denied or revoked and after one year they try to mitigate the original concerns and have their clearance granted
REO/RSI	Reopen or Reimbursable Suitability Investigation – additional work on a case completed by an investigator
RFA	Request for Action – asking for more information from Subject, command, files, or review within the CAS
SIR	Supplemental Information Request – document used to ask Subject/command for additional information
SOI	Statement of Intent – receipt stating Subject 's intent to respond to SOR with intent to respond or not respond
SOR	Statement of Reasons – document used to tell Mil/Civ or SCI Industry contractor to let the Subject know their clearance is in the process of being denied or revoked

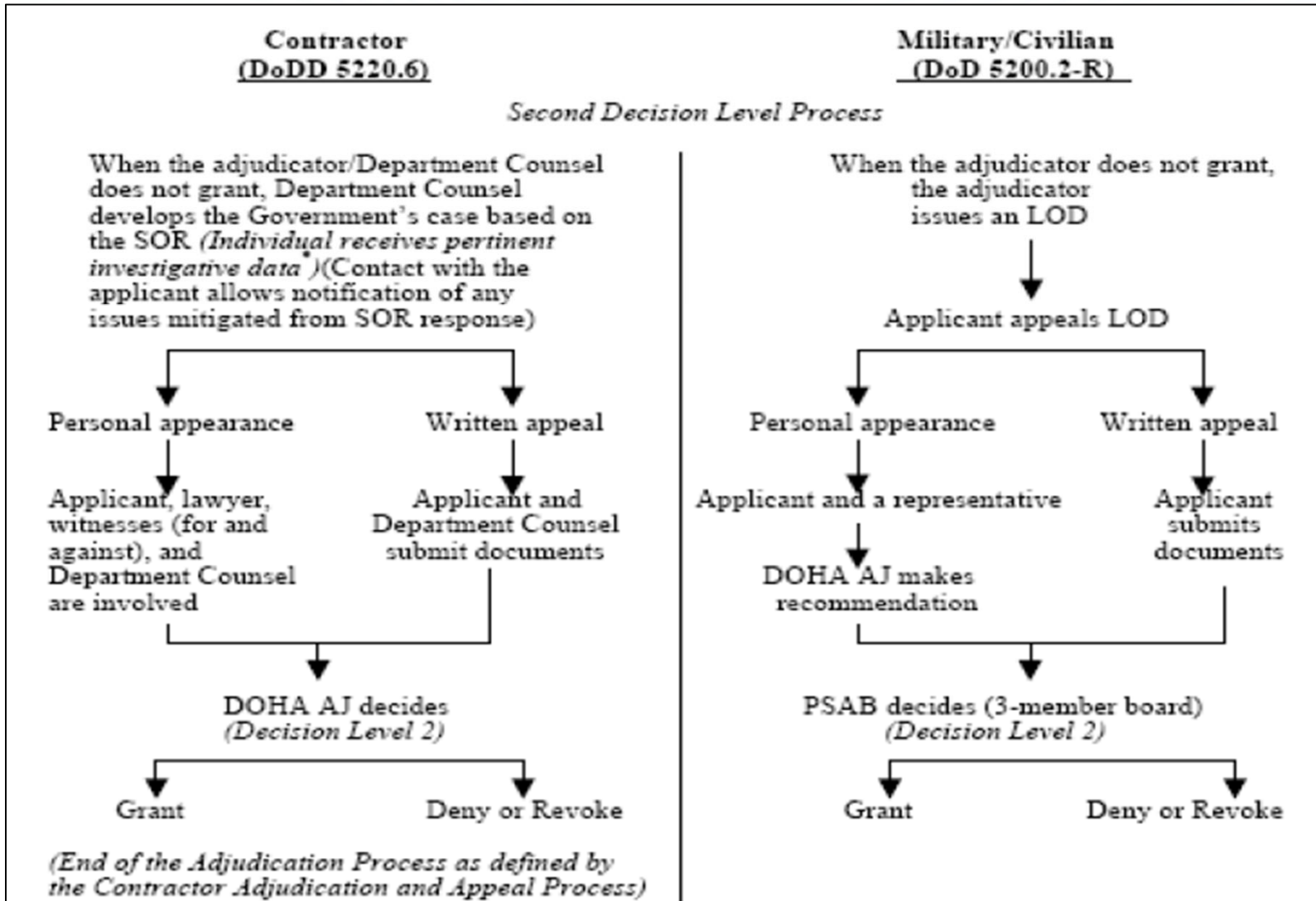


5520 (Industry) vs 5200 (Mil, CIV, SCI Industry) Case Work

5220 Industry	5200 Mil/CIV/SCI Industry
FSO is not allowed to be sent requests for information unless they are the FSO that sent us the incident report	SMO can be sent requests for information even if they were initially unaware of the incident report
DOHA requires a Subject Interview discussing all derogatory information	Subject interview is not required, but can be helpful
DOHA requires hard copy records - not transcribed records by the investigator	Hard copy records are not required, but can be helpful
Once Subject receives the SOR they will respond back to DOHA - not the adjudicator - with admit or deny on each allegation of the SOR	Once Subject receives the SOR they have a chance to respond with a rebuttal to have a favorable determination outcome or a LOD/LOR
Once the SOR is approved by DOHA, the Subject will have a hearing to determine if the SOR will be upheld or overturned	Even if the case is determined LOD/LOR there is an appeals process the Subject can go through

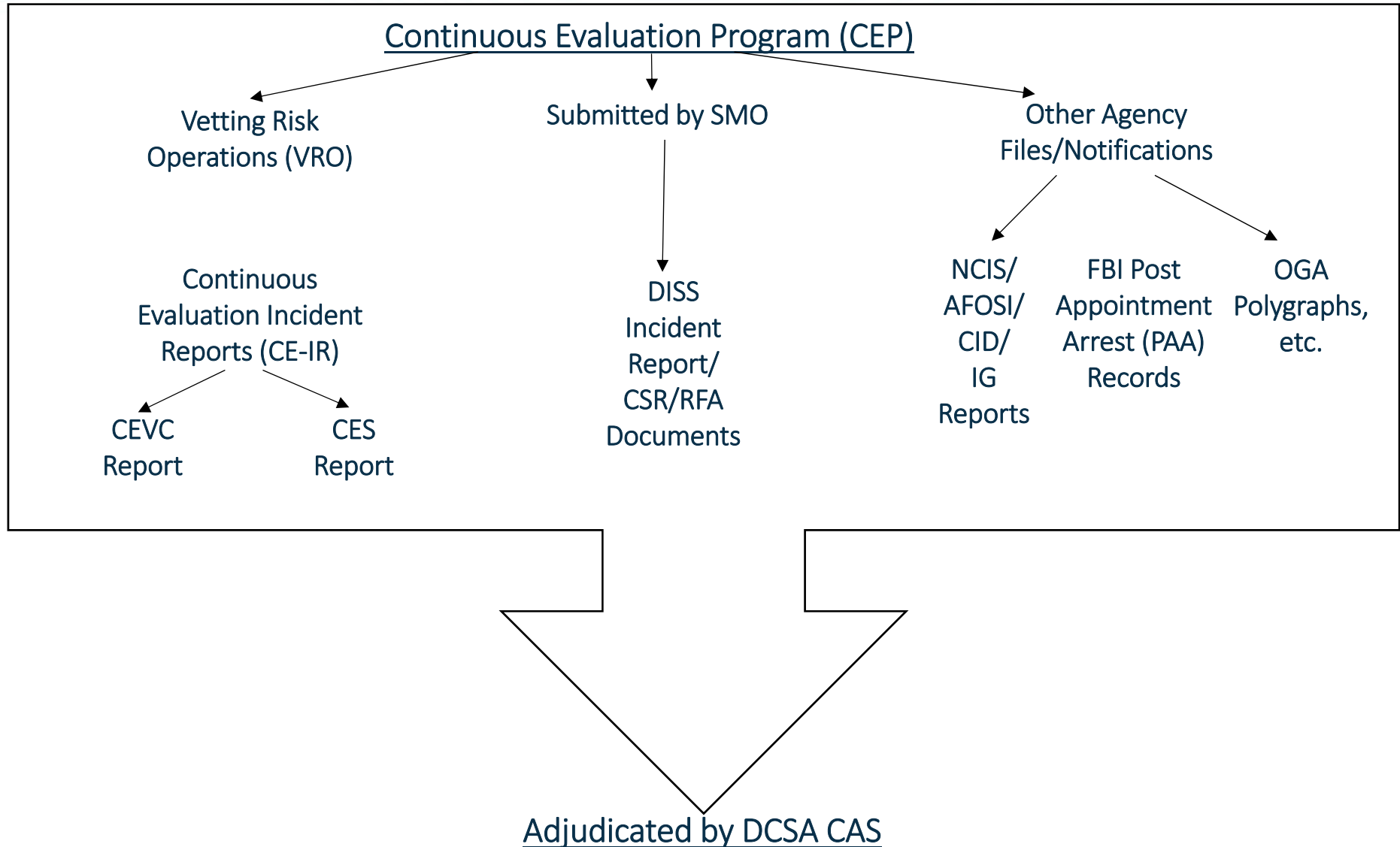


5220 (Industry) vs 5200 (Mil, CIV, SCI Industry) Appeals





Continuous Evaluation Program: Sources





Eligibility Determinations vs. Administrative Actions

FINAL ELIGIBILITY DETERMINATIONS

GRANT

- Favorable determination that a person is able and willing to safeguard classified national security information and/or occupy a national security sensitive position.

DENY

- Has never had a clearance eligibility
- There is a prior final security determination but there has been more than a two-year break in service.
- Prior due process action resulted in determination of Revoked.

REVOKE

- Has been granted a final security clearance eligibility (includes conditional determinations) and has not had a two-year break in service.
- Interims, No Determination Made (i.e. J-code), Loss of Jurisdiction, Administratively Withdrawn by the Collab CAF **do not represent** a final clearance determination.

ADMINISTRATIVE ACTIONS

- Adjudicators may not always be able to make a final eligibility determination.
- **Common Admin Actions:**
 - No Determination Made
 - Loss of Jurisdiction
 - Close No Action/No Action



No Determination Made “NDM”

What Is a No Determination Made?

No Determination Made is not a final determination like a grant, denial, or revocation. It is when a determination on the Subject cannot be made due to lack of information/documentation.

When Do Adjudicators Enter a NDM into DISS?

- **A No Determination Made is entered into the system of record when:**
 - DISS Ownership-> Command fails to claim Subject after CAS sends Claim Subject Memo.
 - No Jurisdiction to Expand -> The CAS is unable to request additional information on Military Accessions with unmitigated issues.
 - Request Additional Information -> When an attempt is made to request additional information and a response is not received. i.e. Supplemental Information Requests (SIR), Medical Evaluation request, Interrogations, and etc.
 - Due Process -> A signed (Statement of Intent (SOI) and/or No Response to Statement of Reasons (SOR)

NDM vs. Final Eligibility

- The SMO/FSO will submit a Customer Service Request (CSR) via DISS and request final eligibility.
- Once approved, DISS will create a case and then the case is assigned to an Adjudicator via the CAS's case tracking system.
- Once the SMO/FSO provides the requested information, the Adjudicator will work the case to complete the final determination.
- **For Industry Subjects ONLY** > In most cases, if the Subject had eligibility prior to the NDM, then the CAS will recertify the eligibility prior to requesting the additional information.



Additional Information: How Is It Obtained?

Why Do Adjudicators Request Additional Information?

- The case disclosed potentially derogatory issues or disqualifiers that are not sufficiently addressed and mitigated at that time.
- The additional information is required prior to making an adjudicative determination.

Ways Adjudicators Obtain Additional Information:

(Depends on the Subject's Affiliation)

- Supplemental Information Request (SIR)
- Medical Evaluations
- Interrogos
- Re-Opens
- Reimbursable Suitability/Security Investigation (RSI)

Requests are sent directly to the SMO or Subject if Industry

Requests are sent to BI for an Investigator to obtain the information.



Additional Information: What Do Adjudicators Need?

- Adjudicators need incidents to be reported within a timely manner and official documentation uploaded to the system of record to avoid delaying a case determination.

- Below are examples of official documentation we often request for the most popular guidelines:

Financial Considerations

- Proof that delinquent accounts are resolved or Subject is working on resolving them
 - Bank statements, account records, CBR
 - Proof of payments towards the account
 - Payment agreement
- Taxes
 - Providing the proper transcripts showing proof of filing and/or payment (including payment arrangements)

Psychological Conditions

- A statement from Subject in reference to what led to treatment
- Records from current treatment provider

Alcohol/Drug/Criminal Conduct

- A statement from Subject about the incident
- Copy of police and/or court record
- If applicable, proof that all court requirements have been completed
- If treatment is present from the issue – copy of treatment records



What Can Delay An Adjudicative Decision?

Incomplete Investigations

- If the investigation is not complete and additional work needs to be done prior to making a final adjudicative decision, the case will go back to BI until complete.



Uncooperative Subjects

- If the Subject did not comply with all parts of the investigation or with an additional request from the Adjudicator, it will add time to the process.

SMO/FSO Not Responding to Requests

- If the Adjudicator is trying to get additional information from the Subject and the SMO/FSO is not providing the request to the Subject, the Adjudication cannot be made until requested information is received.

Pending Court Cases/Investigations

- If the Subject is part of an open court case or investigation, adjudication will usually not be complete until all cases/investigations are complete.

Additional Work Needed to Mitigate Concerns

- If the Adjudicator cannot make a determination with the information they have, there are steps the Adjudicator can take to get additional information, which will add time to the case. (i.e.- Medical evaluation)



Security Professionals: What Can You Do?

Reporting

- Report derogatory information immediately as required per the SEAD 3.
- Ensure Subject receives CAS requests for additional information in a timely manner and response, if applicable, is uploaded prior to the timer expiring.
- If Subject is being uncooperative, please communicate the adverse behavior to the CAS.

Correspondence

- Read the entire CAS correspondence.
- Adhere to the instructions and response time provided in CAS correspondence
- Ensure the Subject follows instructions outlined in CAS correspondence.

Misc.

- When sending incident reports, attach all supporting documentation if applicable. Please be clear, concise, and detailed.
- Do not wait for the CAS to request information.
- Claim and “unclaim” Subjects in DISS to avoid delaying the adjudication process.
- Please communicate with the CAS when you are experiencing any troubles.
- Learn how to use the system of record - DISS.



CAS Updates

The Behavioral Science Branch (BSB)

- February 7, 2021 marked the beginning of the BSB for the CAS.
- The BSB is a specialized team comprised of two Psychologists, eight Adjudicators, one Team Chief, and one Branch Tech Lead.
- BSB is responsible for adjudicating handling complex investigations regarding Guideline I to include Guideline D, G, H, and sometimes Guideline E.
- To reach the BSB, email the BSB mailbox at: dcsa.meade.cas.mbx.behavioral-science-branch@mail.mil

NBIS IS COMING!

- The National Background Investigation Services (NBIS) is the federal government's one-stop shop IT system for end-to-end personnel vetting - from initiation and application to background investigation, adjudication, and continuous vetting.
- NBIS is one consolidated system designed to deliver robust data protection, enhance customer experience, and better integrate data across the enterprise.
- NBIS Industry Onboarding is now open for all organizations.
- Jan. 25, 2023 - As of January 9, onboarding to the NBIS is now open for all organizations.
- The NBIS Industry Onboarding Team has supplied email notification to all Defense Information System for Security (DISS) industry Account and Hierarchy Managers that onboarding to NBIS has begun.
- For questions regarding the NBIS Onboarding Process, email the NBIS Industry Onboarding Team at the NBIS Industry Onboarding Team mailbox: dcsa.meade.nbis.mbx.nbis-industry-onboarding-team@mail.mil



DCSA CAS Support



- The DCSA Consolidated Adjudication Services is located in Ft. Meade, Maryland.
- Please use the following contact information to address your inquiry:
 - **DCSA Consolidated Adjudication Services Call Center:** Call 301-833-3850 or dcsa.meade.cas.mbx.call-center@mail.mil
 - **DCSA Consolidated Adjudication Services Conference Attendance:** DCSA Ft Meade CAS Mailbox Comms dcsa.meade.cas.mbx.comms@mail.mil
 - **DCSA Consolidated Adjudication Services Visit Requests:** DCSA Ft Meade DCSA Mailbox Security Management Office dcsa.meade.dcsa.mbx.security-management-office@mail.mil
 - **DCSA Consolidated Adjudication Services Training:** dcsa.meade.cas.mbx.training-certification@mail.mil
 - **DCSA Consolidated Adjudication Services Adjudications Policy:** dcsa.meade.dcsa.mbx.adjudications-policy@mail.mil

QUESTIONS

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