

Job/Task Analysis for DoD Adjudicators Phase A: Job Tasks for DoD Adjudicators

by

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September 1989

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JOB/TASK ANALYSIS FOR DOD ADJUDICATORS
Phase A: Job Tasks for DoD Adjudicators

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The PERSEREC research agenda in adjudication has multiple objectives that concern both the processes of adjudication and the professional qualities of adjudicators. A primary goal of our program for adjudication has been to develop a data base that has the breadth of information to address different issues, the depth of information to meet requirements for personnel selection and training, and the flexibility to expand as more information is collected.

This technical report represents a cornerstone of this research objective. It documents the first phase of a job task analysis of the adjudicator job series and provides an overall picture of the process of adjudication within DoD. It reports the demographics of the adjudicator population and the tasks of adjudication, and identifies the critical tasks. This job task analysis is the first empirical survey in the Federal government of this personnel security job specialty with potential value for security managers, personnel specialists, and training researchers.

Roger Denk
Director



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Foreword

Appreciation is expressed to those individuals who helped to make this research effort run so smoothly. In particular, we would like to thank Dr. Ralph Carney, Project Manager, from the Defense Personnel Security Research and Education Center (PERSEREC). Dr. Carney coordinated the effort and arranged for subject matter experts as well as survey participants at the participating DoD agencies responsible for the adjudication process.

We would like to thank the management at the 10 different Department of Defense agencies responsible for the adjudication process. Their cooperation in providing the time for subject matter experts to participate in the research and their support in the data collection effort were essential to the success of this research.

We also appreciate the subject matter experts who so willingly gave of their time and effort to assist in the research effort. In particular, we would like to thank Ms. Kathy Heneghan and Mr. Coy Williamson from Headquarters, Air Force Intelligence Service (HQ/AFINS), Ms. Joyce Lemaire from Air Force Security Clearance Office (AFSCO), Mr. William Loveridge and Ms. Marge Browne from the Army Central Clearance Facility (CCF), Mr. Paul B. Leidy from Directorate for Industrial Security Clearance Review (DISCR), Mr. Van Barnes from Navy Central Adjudication Facility (NCAF), and Ms. Bettie Hulley from Naval Intelligence Command (NIC). These subject matter experts provided valuable assistance in developing the flow analysis of the adjudicative process, developing the comprehensive list of adjudicator tasks, and coordinating the collection of task rating data. Without their support and expertise, the study would not have been possible.

EXECUTIVE SUMMARY

Background

The Defense Personnel Security Research and Education Center (PERSEREC) has a major research program to identify the qualifications and capabilities of DoD adjudicators and to develop selection and training guidelines for their career development. A fundamental requirement for research on personnel selection and training is a data base that contains information about performance requirements of job holders. In the absence of any data pertaining to the job of adjudication, a job task analysis was undertaken to develop baseline information about the demographics of the adjudicator population, the structure of the work, and the distribution of adjudicator resources. The purpose of the data base is to provide an information source for policy makers, managers, and researchers.

The job task analysis consists of two distinct phases, each with specific objectives:

Phase A: Job Tasks for DoD Adjudicators: develop a comprehensive list of adjudicator tasks, assess the amount of time spent for each task, and order these tasks by their criticality.

Phase B: Requirements of Critical Adjudicator Tasks: identify the knowledges, skills, and abilities (KSAs) required for successful performance of critical adjudicator tasks.

The present report describes the methodology employed and the products/outcomes of the Phase A research effort.

Research Methodology

The research was intended to provide a DoD-wide perspective of job tasks performed by adjudicators across a broad range of agencies responsible for security clearance and access determinations. To accomplish the objectives of the research, a five-step approach was used. These steps were as follows:

Step 1. Develop a functional analysis of DoD adjudicator job tasks.

Step 2. Develop a list of the major duties and controlling decisions within each of the adjudicator functional areas.

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and the purpose of the actions. This final list of tasks, duties, and functions provided the basis for the development of the task survey questionnaire.

Job Task Survey

Nine agencies participated in the job task survey. These agencies¹ perform adjudications for military, civilian, and industrial applicants for the major types of clearance/access determinations made within DoD, including Secret and Top Secret clearance determinations (i.e., Collateral), access to Sensitive Compartmented Information (i.e., SCI), and Special Programs (e.g., General Officer Screening, White House/Presidential Support). The survey questionnaire was administered to the entire population of adjudicators in grades GS-O5 through GS-12 at the nine DoD agencies.

Task Analysis Results

One-hundred and forty-eight adjudicators from nine different agencies participated in the study. This sample represents virtually the entire eligible adjudicator population at the participating agencies. The results of the analyses are summarized below.

Demographics. The demographic data suggest that DoD adjudicators are highly qualified to perform their jobs. Both their age and experience in the security field show they have the maturity to make the common sense determinations required by the governing regulations. The present adjudicator work force is concentrated in the higher grade levels: 57% are GS-11s and GS-12s, 22% GS-09s, and 21% GS-07 and GS-05 trainees. These adjudicators have an average of 2.24 years in grade, 4.89 years as Personnel Security Specialists or Officers, and 11.55 years in the Security Administration Job Series.

The adjudicators have a median age of 42; 11% are 30 years of age and younger, and 26% are over 50. More than half of the adjudicators have a high school education and less than one-fourth have four or more years of college.

Policy makers should note that the age and experience level of the work force presents a "good news-bad news" situation. While the current experienced workers have the qualifications to perform their jobs, many of these workers will soon be eligible

¹Army Central Clearance Facility, Naval Security Group, Naval Intelligence Command, Air Force Security Clearance Office, Air Force Intelligence Branch, Defense Logistics Agency, Defense Mapping Agency, Defense Industrial Security Clearance Office, Defense Industrial Security Clearance Review Office

for retirement. Recruitment, training, and career development of adjudicators remain important concerns for the Defense Department.

Work Effort Breakdowns. In general, 30% of the overall adjudication effort is spent on major derogatory cases. The work is structured so that senior level personnel handle these more complicated cases. These two facts together indicate that there are a significant number of major derogatory cases in the DoD personnel security system and there is a continuing requirement for experienced adjudicators to work these cases.

In the specific breakdown of work effort, 81% of adjudicator time is spent on line functions and 19% on staff functions. About one-half of the adjudicator time is spent on direct adjudication, i.e., Minor and Major Derogatory Case Review, LOI/SORs and Analyzing Rebuttals, and the Appeal process. At the apprentice level, GS-05s and -07s spend most of their time on Initial Case Review, with the remaining time focused on Case Management and Minor Derogatory Case Review. At the journeyman GS-09 level, the emphasis shifts to Minor Derogatory Case Review, Major Derogatory Case Review, and Responding to Queries. Senior level GS-11s spend almost one-half of their time on Major Derogatory Case Review and LOI/SORs and Rebuttals with somewhat less time on Case Management, Initial Case Review, and Minor Derogatory Case Review. The GS-12s spend one-third of their time on Major Derogatory Case Review and LOI/SORs and Rebuttals, and another one-third on Supervision/Management.

Individual Task Ratings. A separate set of analyses identified the most critical tasks, which were those tasks rated by respondents as the top 20 most critical tasks on each of five rating scales.

Frequency. Frequently performed tasks are considered critical because they often involve routine, low level tasks which require the performer to maintain sufficient vigilance to pick out derogatory information from a background of inconsequential information. The most frequently performed tasks of adjudication are related to Initial Case Review, Minor Derogatory Case Review, and Major Derogatory Case Review. These tasks include review of case information to scan the case for scope, identify potentially disqualifying or derogatory information, determine additional information requirements, compare potentially disqualifying or derogatory information against guidelines, and evaluate and analyze case information to make determinations.

In terms of training, these tasks require that people take initial training to learn effective strategies to identify and evaluate critical information. There is also a need for supplemental training to reinforce the need for vigilance and to emphasize the utility of standardized search techniques.

Likelihood of Errors or Inadequate Performance. The functions with tasks rated as most likely to result in errors or inadequate performance are Handling of Special Programs/Cases, Major Derogatory Case Review, and Liaison with Other Agencies. Other functions prone to error include LOI/SORs and Rebuttals, Responding to Inquiries, and Initial Case Review. Many of these tasks involved review of cases, adjudication and evaluation, and review of prior determinations (quality assurance).

These tasks are critical because of their potential for error, suggesting that initial training should be designed to reduce the chance for error. Most likely, training for these tasks should emphasize standard approaches to case adjudication.

Another requirement for these error-prone tasks is to ensure that the work flow includes adequate quality assurance (QA) procedures. The QA procedures should involve both clean and derogatory cases, particularly since Initial Case Review tasks have potential for error.

Consequences of Errors or Inadequate Performance. Functions where the consequences of errors are considered the most serious are also the same as the functions prone to error. Because of the similarity they share the same training and quality assurance requirements to ensure standardized procedures are followed with these functions.

Functions with tasks rated as having the most serious consequence of errors or inadequate performance are Handling of Special Programs/Cases, Major Derogatory Case Review, LOI/SORs and Rebuttals, and Initial Case Review. Other top rated tasks appear in Liaison with Other Agencies and Supervision/Management. The majority of these tasks deal with reviewing case files, adjudication and analysis, and review of previous determinations.

Task Complexity/Difficulty. Complex tasks present unique training issues both in presentation of material and the training population. Because of their complex nature, these tasks need to be broken down into simpler elements and then taught sequentially. The development of standardized procedures for these complex tasks is also advised.

In regard to the training population, there is a requirement to coordinate training with career development paths. Because these complex tasks are usually performed by senior personnel, training for higher level tasks should coincide with advancement on a career ladder.

The tasks rated as the most complex or difficult relate to LOI/SORs and Rebuttals, Supervision/Management, Major Derogatory Case Review, Liaison with Other Agencies, Handling Special Programs/Cases, and Appeals. These tasks deal with

review of files or prior determinations, evaluation and analysis of cases, developing procedures and recommendations to improve adjudication, and training.

Task Schedule Flexibility. Only one task was considered time-critical. This task related to the Handling of Special Programs/Cases in terms of expediting high priority, time-sensitive cases to support special requirements of commanders or employers.

Combined Task Ratings

To provide an overall look at the most critical adjudicative functions, a final set of analyses examined the tasks rated as most critical on the three rating scales: Likelihood of Errors, Consequence of Errors, and Complexity/difficulty. Tasks identified in this analysis represent the most serious situation for the Defense Department because tasks with the highest probability for error also have the most serious consequences when error occurs. Further, these tasks have the greatest resource requirements because they entail the highest level of skill.

The analysis identified 36 most critical tasks. The most critical functions are Handling of Special Programs/Cases, Major Derogatory Case Review, and LOI/SOR and rebuttals.

The significance of this analysis is that the most critical tasks are the higher level tasks performed by senior personnel. This represents the rational use of adjudicator expertise, but it also underscores the requirement for continuing training specifically targeted at higher level tasks. The biggest potential problem with these tasks is that experienced personnel may have developed idiosyncratic performance habits which, in turn, may lead to inconsistencies in case adjudication.

Again, this suggests a training approach that emphasizes standardized procedures and decision aids, and an integration of the teaching of lower and upper level tasks with the progression of the adjudicator through the job series.

Summary

The Phase A report documents the objective judgments of virtually all adjudicators in nine DoD agencies responsible for security clearance and access determinations. The experience of these adjudicators assures that the research product accurately reflects the behaviors required to carry out the adjudicative job tasks in DoD agencies.

The products from the Phase A research have immediate and future utility for facility managers and for the development of DoD-wide personnel security programs. Such uses include design of position descriptions that detail functions, duties, and tasks in terms of the required training and performance expectations; development of training curricula tailored to career path and personnel development planning; and the design of progressive on-the-job training exercises and evaluations for personnel development.

The job task data base will be expanded by the data generated from Phase B of this project. Phase B evaluates the knowledge and skill levels for the most critical tasks identified by Phase A. The knowledge and skill data will be very useful in determining personnel selection criteria, setting training goals, and designing career development programs.

Finally, the completed data base has the capability of enabling an assessment of agency differences in personnel and work structure that may affect work load and resource requirements. Forthcoming products which use this data source include an analysis of the demographics and work breakdown for each participating agency, and an analysis on these variables across the agencies. The result is a first-ever empirical examination of the job of adjudication as performed in the Department of Defense. The research provides a global, comparative and individual perspective on this important personnel security discipline, and generates a data base which can be accessed on an ad hoc basis.

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CHAPTER I

Introduction

Background

As part of its research program, the Defense Personnel Security Research and Education Center (PERSEREC) has undertaken a series of efforts that address a number of Department of Defense (DoD) requirements. These efforts are designed to enhance the professionalism of security personnel, standardize training for all adjudicators, develop more precise and effective adjudicative standards, and develop programs leading to appropriate DoD adjudicator certifications. All these efforts are consistent with recommendations of the DoD Security Review Commission report, *Keeping the Nation's Secrets* (Department of Defense, 1985).

One such previous effort was a HumRRO study conducted for PERSEREC, *Determinations of Training Requirements--Personnel Security Specialists (Adjudicators)* (Marshall-Mies, 1987). Through exploratory interviews with selected DoD components, this study examined ways to enhance on-the-job performance of adjudicators through training and skill development and maintenance. The study resulted in recommendations to establish two long-term program goals as follows:

1. Development of a fully automated Adjudicator Management Information System (ADJMIS). The proposed ADJMIS consists of four separate data bases: (a) a Job Description Data Base, (b) a Career Field Data Base, (c) a Population Data Base, and (d) a Clearance Determination Criteria Data Base.
2. Development and implementation of an integrated Adjudicator Performance Enhancement Program (ADJPEP). This integrated program to enhance adjudicator performance stems directly from the ADJMIS and involves the development and integration of programs related to: (a) recruitment and selection, (b) classification, (c) training, (d) performance assessment, (e) certification, and (f) career development.

Recognizing that current time, dollar, and resource constraints may preclude the development of a fully automated ADJMIS and the implementation of a totally integrated ADJPEP, shorter-term goals also were established. These short-term goals were as follows:

1. Develop a limited Job Description Data Base that includes a complete listing of the tasks performed by adjudicators at various grade levels, and then rate these tasks in terms of their criticality.
2. Design adjudicator performance enhancement materials and/or programs to meet selected critical needs in DoD-wide agencies. These materials/programs include standardized training programs, job aids, and decision aids.

Implementing these recommendations was determined to be clearly consistent with PERSEREC's mission to "perform security research and analysis for DoD, and furnish educational assistance, instructions, and advice on personnel security matters to DoD components. Specifically, PERSEREC is to encourage researchers in DoD components to enter into joint personnel security research projects that have defense-wide implications, thereby stimulating research and reducing duplication of effort" (*DoD Directive No. 5210.79*, February 1986). By initiating research consistent with these previously described recommendations, PERSEREC has begun to establish a repository for adjudicator information that can serve as the foundation for developing a fully automated ADJMIS and an integrated ADJPEP.

The PERSEREC research effort described in this report consists of two major phases, each with its own specific objective:

Phase A: Job Tasks for DoD Adjudicators. The objective of Phase A is to develop a comprehensive list of adjudicator tasks and to order these tasks by their criticality. This phase is designed to permit a DoD-wide perspective while gathering data that can be used in future DoD-wide, as well as individual agency, information analysis and program development.

Phase B: Requirements of Selected Critical Adjudicator Tasks. The objective of Phase B is to perform a complete analysis of a subset of critical adjudicator tasks. This analysis will identify the knowledges, skills, and abilities (KSAs) required for successful adjudicator job performance, adjudicator performance standards, and the materials or information required to meet the standards. This phase leads to recommendations for developing job/decision aids.

The Present Report

This is the first of a series of reports to be produced under the above mentioned two-phase contract. This report focuses on the first phase of the research, Phase A: Job Tasks for DoD Adjudicators, and describes the steps involved in the effort, as well

as the results. This research included the identification and specification of tasks performed by adjudicators and the rating of these tasks for criticality.

Chapter II presents an overview of the research objectives, scope, methodology, and study parameters. Chapter III describes preparations for and the conduct of meetings with subject matter experts (SMEs). These meetings were designed to analyze adjudicator jobs and to develop a list of adjudicator functions, duties, and tasks. Chapter IV describes the design and development of a survey instrument to collect task criticality ratings. Chapter V presents the plan for analyzing the survey rating data, and the results of these analyses. Chapter VI, the last chapter, summarizes the research products and relates these products to PERSEREC's short- and long-term goals.

CHAPTER II

Research Methodology

Objectives

The research was intended to provide a DoD-wide perspective of job tasks performed by adjudicators across a broad range of agencies responsible for security clearance/access determinations. At the same time, the research was designed to gather data that could be used in future DoD, as well as individual agency, information analysis and program development.

Specifically, the objectives of the Phase A research were: (1) to develop a comprehensive list of job tasks performed by adjudicators in DoD agencies; and (2) to order these tasks in terms of their criticality for successful adjudicator job performance.

Approach

To accomplish these objectives, a five-step approach to the research was used. These steps were as follows:

- Step 1. Develop a functional analysis of DoD adjudicator job tasks.
- Step 2. Develop a list of the major duties and controlling decisions within each of the adjudicator functional areas.
- Step 3. Develop a comprehensive list of tasks covering the major adjudicator duties and controlling decisions within each functional area.
- Step 4. Develop and implement a procedure for conducting a survey to gather task criticality ratings from the DoD adjudicator population.
- Step 5. Analyze the task criticality ratings data to develop lists of the most critical adjudicator functions, duties, and tasks.

In carrying out these steps, the research team relied heavily on the expertise of experienced adjudicators--referred to as subject matter experts (SMEs). The role of the research team was to design and implement the methodology, and to analyze and interpret the results. The research team served as a data synthesizer and organizer, as well as a facilitator for SME input to the study. The research team did not, however, attempt to create or make final decisions regarding content related to adjudicator job

tasks; all information related to the job of the adjudicators was provided and/or revised by experienced adjudicators, i.e., the SMEs.

The SMEs provided the basic information required for the job analysis. They were deeply involved in the functional analysis, the design and wording of the task statements, and in the design of the survey instrument. Their participation ensured that the adjudicator population surveyed would understand the language of the survey and could recognize that the survey accurately stated their job tasks. Thus, the SMEs played a vital role in the Phase A research--a role that only individuals who are thoroughly familiar and knowledgeable about adjudicator jobs could play. Without SME participation, the Phase A research could not have been implemented successfully.

Study Parameters

Initially, the study was designed to include six different DoD agencies responsible for security clearance/access determinations. These agencies were as follows:

- o U.S. Navy Central Adjudication Facility (CAF).
- o U.S. Army Central Personnel Security Clearance Facility (CCF).
- o U.S. Naval Intelligence Command (NIC).
- o U.S. Air Force Intelligence Service (HQAF/INSB)
- o U.S. Air Force Security Clearance Office (AFSCO).
- o Directorate for Industrial Security Clearance Review (DISCR).

These six agencies provided SMEs who participated in the first three research steps, i.e., the functional analysis (Step 1), listing of major duties and decisions (Step 2), and the development of the task list (Step 3). All of these agencies, with the exception of the Navy CAF, participated in Step 4--The Task Analysis Survey. CAF decided to postpone administration of the task analysis survey until its newly hired adjudicator staff have had time to develop into a more cohesive and effective organization. In addition to the five agencies mentioned above, four additional agencies joined the study in Step 4. These agencies were:

- o Directorate for Industrial Security Clearance Office (DISCO).
- o Defense Mapping Agency (DMA).
- o Defense Logistics Agency (DLA).
- o Naval Security Group (NSG).

The participating agencies were representative of the major types of clearance/access determinations made within DoD, including the following:

- o Secret and Top Secret clearance determinations (referred to as Collateral cases).
- o Access to Sensitive Compartmented Information (referred to as SCI cases).
- o Special Programs (e.g., General Officer Screening, White House/Presidential Support).

The next three chapters (Chapters III-V) describe the specific activities performed to carry out the five research steps, and include the products that resulted from these activities.

CHAPTER III

Subject Matter Expert (SME) Meetings

SME participation was essential to the success of the first three research steps to: (1) develop a functional analysis of adjudicator jobs; (2) develop a list of the major adjudicator duties and controlling decisions; and (3) develop a comprehensive list of adjudicator tasks. This chapter describes preparations by the research staff for these meetings, the meeting procedures, and the meeting outcomes or products.

Preparations for SME Meetings

The initial step (Step 1) of the Phase A research was to develop a functional analysis of DoD adjudicator jobs, i.e., to develop a model of the sequence of events and decision points occurring during the adjudication process. The purpose of the functional analysis was to ensure that the content of the task analysis covered all important work activities and behaviors necessary to successfully perform the jobs of Personnel Security Specialists (GS-09 through GS-12) and Assistants (GS-05 and GS-07), referred to as Adjudicators, in the GS-080 Job Series across the participating DoD agencies.

In preparing for the SME meetings, the research staff developed a preliminary flow diagram that showed the sequence of events, and the various decision points in the adjudicative process. The content and sequence of events in the flow diagram were based on a detailed analysis and compilation of several sources of information, among which were the following:

1. On-site discussions with adjudicators and their managers in four separate DoD agencies responsible for security clearance/access determinations. These agencies were CAF, CCF, DISCR, and HQAF/INSB.
2. Review of mission statements and adjudicator Position Descriptions (PDs) for grades GS-05 through GS-12 at AFSCO, CAF, CCF, DISCR, HQAF/INSF, and NIC.
3. Examination of relevant adjudicative policies and guidelines such as *DoD Directive 5200.2-R*, *Director of Central Intelligence Directive No. 1/14*, special guidelines relating to such programs as Presidential Support, Military Intelligence, and the Personnel Reliability/Surety Program.

The result of these efforts was a preliminary flow diagram that indicated the events and decision points inherent in the adjudicative process as currently practiced. This diagram identified the major adjudicative functions, as well as the major duties and task areas performed within these functions. This initial graphic representation of the adjudication process provided the researchers with an understanding of adjudication and a foundation for the job analysis, thus ensuring the systematic development of a comprehensive list of adjudicator tasks.

As input to Steps 2 and 3 of Phase A, the research staff prepared a preliminary list of all tasks performed within each of the functional areas. This preliminary task list was compiled from the Position Descriptions (PD) for GS-05 through GS-12 adjudicators in the initial six participating DoD agencies. No new task statements were written by the research team; instead, the PDs were decomposed into task statements utilizing the original PD wording.

Once the list was compiled, it was edited to remove redundant or very similar task statements and to remove references to specific agencies. The purpose of this preliminary task list was to provide a starting point for the development of a comprehensive list of adjudicator tasks that accurately describes the work activities/behaviors performed, the circumstances under which they are performed, and their purpose.

Description of SMEs

Eight experienced adjudicators/managers who represented the initial six participating DoD agencies responsible for personnel security clearance/access determinations served as SMEs. Table 1 summarizes present job responsibilities and prior experience of these SMEs. The eight SMEs were extremely well-qualified. They were selected as knowledgeable about all adjudicator positions from GS 05 to GS-12 in their respective agencies. Their grade levels were as follows: three were GS-11s; three were GS-12s; and two were GS-13s. All these SMEs had an average of 2.56 years in their present grade. The present job responsibilities of these SMEs were varied and representative of DoD as a whole. Five of these SMEs handled SCI access determination cases, five handled collateral security clearances, and three handled Special Programs. Their specific functional area responsibilities covered the entire range of functional areas. Five or more of the eight SMEs presently have responsibilities in seven of the 10 functional areas, four deal with initial case review, three have management responsibility, and one deals with hearings.

Table 1

Present Job Responsibilities and Prior Experience of SMEs

	Present Grade			Total
	GS-11s (N = 3)	GS-12s (N = 3)	GS/GM-13s (N = 2)	(N = 8)
<u>Present Responsibilities</u>				
Initial Case Review	3	0	1	4
Initial Derogatory Case Review	3	2	1	6
Minor Derogatory Case Review	3	2	1	6
Major Derogatory Case Review	3	3	2	8
Final Determinations Granting Clearance/Access	3	3	2	8
Denial of Clearance/Access Involving LOIs/SORs	2	3	2	7
Responses to Rebuttals	1	3	1	5
Preparations/Participation In Hearings	1	0	0	1
Direct Supervision of Adjudicators	2	3	1	6
Management	1	1	1	3
<u>Type of Clearance/Access</u>				
Collateral	1	3	1	5
SCI	2	2	1	5
Special Programs	0	2	1	3
<u>Mean Years in Present Job Title</u>	4.2	1.3	2.0	2.56
<u>Mean Years as Adjudicator</u>	4.2	9.3	13.0	8.31
<u>Mean Years in Security Field</u>	11.8	16.3	15.0	14.28

In addition to their present job, these SMEs have extensive prior experience as adjudicators and in related security fields. Their total experience as adjudicators ranged from a low of 3 1/2 years to a high of 16 years with a mean of 8.31 years. Three of the eight SMEs have 10 or more years experience as adjudicators. Also, these SMEs have extensive experience in related security field positions, averaging 14.28 years and ranging from 5 1/2 to 27 years of related experience. Six out of the eight SMEs have 10 or more years, and three have 20 or more years of experience in security positions. This related experience includes positions such as Information and Physical Security, Intelligence Research Analyst, FOI/PA Specialist, Document Control, Administrative support to Officer for Special Investigations, and Special Security Officer.

Initial SME Meetings--Functional Analysis

Initially, the SMEs were convened as a group to assist in developing a functional analysis of DoD adjudicator jobs (Step 1). The two-day meeting began with a brief explanation of the study and of the procedures to be followed during the group sessions. Next, the preliminary flow diagram was presented for individual SME silent review of its content and accuracy in relation to adjudicator jobs within their own organization. Then the group as a whole reviewed and revised the functional areas and major duties/decisions. Discussions continued until there was agreement on the terminology and sequence of events and acceptance of the flow diagram as an accurate portrayal of the adjudicative process.

For purposes of the group discussion, a function was defined as "a broad category of activity performed by the system that results in a quantifiable system outcome or milestone." The objective of these discussions was to develop a final set of functions describing adjudicator performance that covered the following:

- o All DoD agencies participating in the research study.
- o All adjudicator grades from GS-05 through GS-12.
- o Different types of clearances/access such as Collateral, SCI, Special Programs, etc.
- o The entire adjudication process from initial case receipt and review through granting/denial of clearance/access, including evaluation of "clean" cases, as well as cases that go through the Letter of Intent (LOI)/Statement of Reason (SOR), rebuttal, and hearing procedures.

The group discussion resulted in the identification of 10 major functions. While the number of functions was the same as initially presented by the research staff, the functions resulting from the SME discussions were renamed and resequenced to reflect more accurately the adjudicative process. The final set of 10 adjudicative functions derived by the SMEs were as follows:

1. Case Management, Tracking, and Administration.
2. Initial Case Review.
3. Minor Derogatory, Post-Adjudication, or Reconsideration Case Review.
4. Major Derogatory, Post-Adjudication, or Reconsideration Case Review.
5. LOI/SOR and Rebuttal Process.
6. Appeal Process.
7. Handling of Special Programs or Cases.
8. Liaison with Other Agencies--Representation.
9. Responding to Requests and Inquiries.
10. Supervisory/Management Function.

After the major functions and their sequence were agreed upon, the SMEs as a group reviewed and revised the major adjudicator duties/decisions within each functional area. A duty (or first order process) was defined as "a combination of tasks and procedures that results in one or more components of a functional outcome." The final list of duties and controlling decisions was to cover performance of adjudicators across all 10 functions.

The SMEs focused on one function at a time. They began by considering the general content of the duty areas and controlling decisions for the first function. Then they evaluated coverage in terms of whether the duty areas and controlling decisions included all of the important components of the function across all adjudicator positions and grades. The SMEs individually reviewed the first function, paying special attention to the content of the duty areas and controlling decisions. The SME also considered how well the duty areas and decisions covered the work activities required to successfully perform the function. During this review, each SME made marginal notes

concerning any new duty areas that were required or redundancies that needed to be corrected. Then, as a group, the SMEs discussed how well the duty areas covered the work activities and, as necessary, added new duty areas to ensure adequate coverage, and removed redundant or inappropriate duty areas.

Once the duty areas and decision points had been agreed upon, the SMEs individually reviewed the task areas within each duty area, considering how well the task areas covered the important work activities required to carry out the duty area. Again, they made marginal notes about new tasks required or redundant or inappropriate tasks that needed to be deleted. Then, as a group, the SMEs discussed how well the task areas covered the important work activities in the duty area and, as necessary, added new task areas, deleted redundant tasks, or moved tasks to more appropriate duty areas or functions. After completing this process for the first function, the process was repeated for each of the remaining nine functions.

The final output from the initial SME meetings was a revised functional analysis, or flow diagram, of the adjudicative process, and a list of the 10 major functions and 39 duties performed by adjudicators. This flow diagram is presented in Appendix A, and the function/duty list is presented in Table 2.

An overview of the analysis of the line and staff functions involved in the adjudication process is shown in Figures 1 and 2. Figure 1 outlines the seven adjudicator line functions. As shown, the adjudication process moves from the case management/tracking/administration function to initial case review, and then to either minor or major derogatory case review where an initial decision is made to grant or deny clearance/access. If the decision is to grant clearance/access, certain steps are undertaken to carry out this process and to update the case management/tracking records. If the decision is to deny the clearance/access, then the case must proceed through the LOI/SOR and rebuttal process and sometimes through the appeal process. The information obtained during the LOI/SOR and rebuttal or appeal processes can, however, result in a reversal of the decision to deny, and then clearance/access may be granted.

These flow diagrams and those presented in Appendix A for the 10 separate functions can be used to describe and track the major processes and decisions within adjudication. These flow diagrams and accompanying list of functions and duties were the first products of the Phase A research and provided a structure for the development of a comprehensive adjudicator task list.

Table 2

Major Adjudicator Functions and Duties

Functions	Duties
1. CASE MANAGEMENT, TRACKING, AND ADMINISTRATION	A. Data Base Management B. Case Management and Control C. Maintaining Statistics
2. INITIAL CASE REVIEW	A. Initial Case Review B. Request and Obtain Information C. Initial Case Evaluation D. Initial Derogatory Case Review E. Grant Clearance/Access Eligibility in Clean Cases
3. MINOR DEROGATORY/POST-ADJUDICATION CASE REVIEW	A. Minor Derogatory Case Review B. Request and Obtain Needed Information C. Minor Derogatory Case Evaluation D. Grant Clearance/Access Eligibility in Cases With Minor Derogatory Information E. Post-Adjudication and Reevaluation Cases
4. MAJOR DEROGATORY/POST-ADJUDICATION/RECONSIDERATION CASE REVIEW	A. Major Derogatory Case Review B. Request and Obtain Needed Information C. Major Derogatory Case Evaluation D. Grant Clearance/Access Eligibility in Cases With Major Derogatory Information E. Post-Adjudication, Reevaluation, and Reconsideration Cases
5. LOI/SOR AND REBUTTAL PROCESS	A. LOI/SOR Development B. Denial Case Closure If No Rebuttal is Received or Response is Declined C. Rebuttal Analysis/Decision

Table 2 (Continued)

Major Adjudicator Functions and Duties

<u>Functions</u>	<u>Duties</u>
6. APPEAL PROCESS	A. Appeal Analysis B. Preparation for Appeal To Security Review Panel C. Appeal Case Closure
7. HANDLING OF SPECIAL PROGRAMS OR CASES	A. Telephonic Screening Adjudication B. Controversial/Special Cases C. Special Access Programs
8. LIAISON WITH OTHER AGENCIES/ REPRESENTATION	A. Liaison With Other Agencies B. Compliance Inspections and Training in Field
9. RESPONDING TO REQUESTS AND INQUIRIES	A. Status Reports/Tracers B. Freedom of Information and Privacy Act Requests C. Congressionals
10. SUPERVISORY/MANAGEMENT FUNCTIONS	A. Time and Attendance B. Performance Evaluations C. Development of Standard Operating Procedures (SOPS) and Agency-Specific Policy D. Case Assignments and Quality Assurance E. Training F. Handling of Other Personnel Issues

OVERVIEW: ADJUDICATOR LINE FUNCTIONS

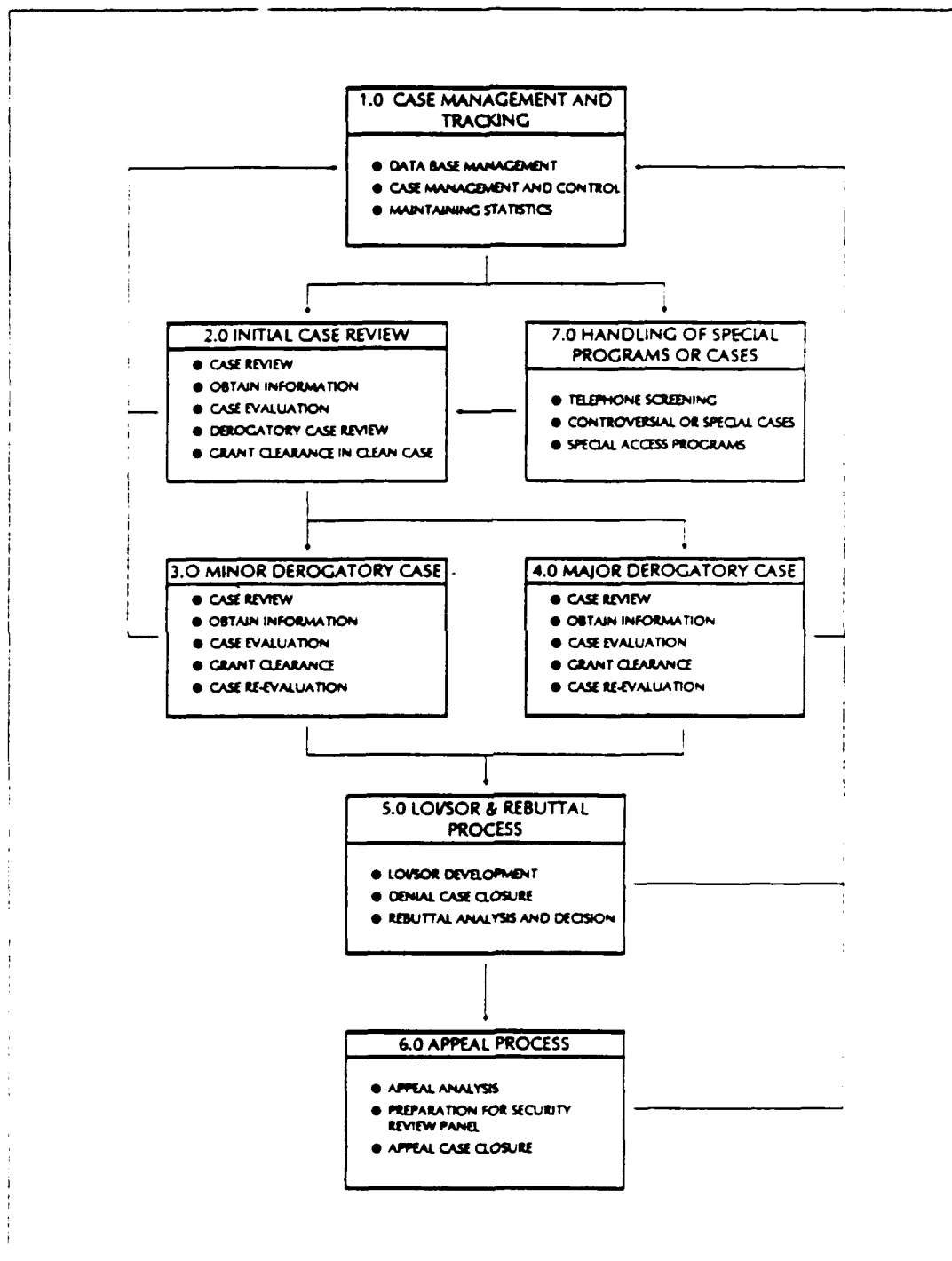


Figure 1. Overview of Adjudicator Line Functions

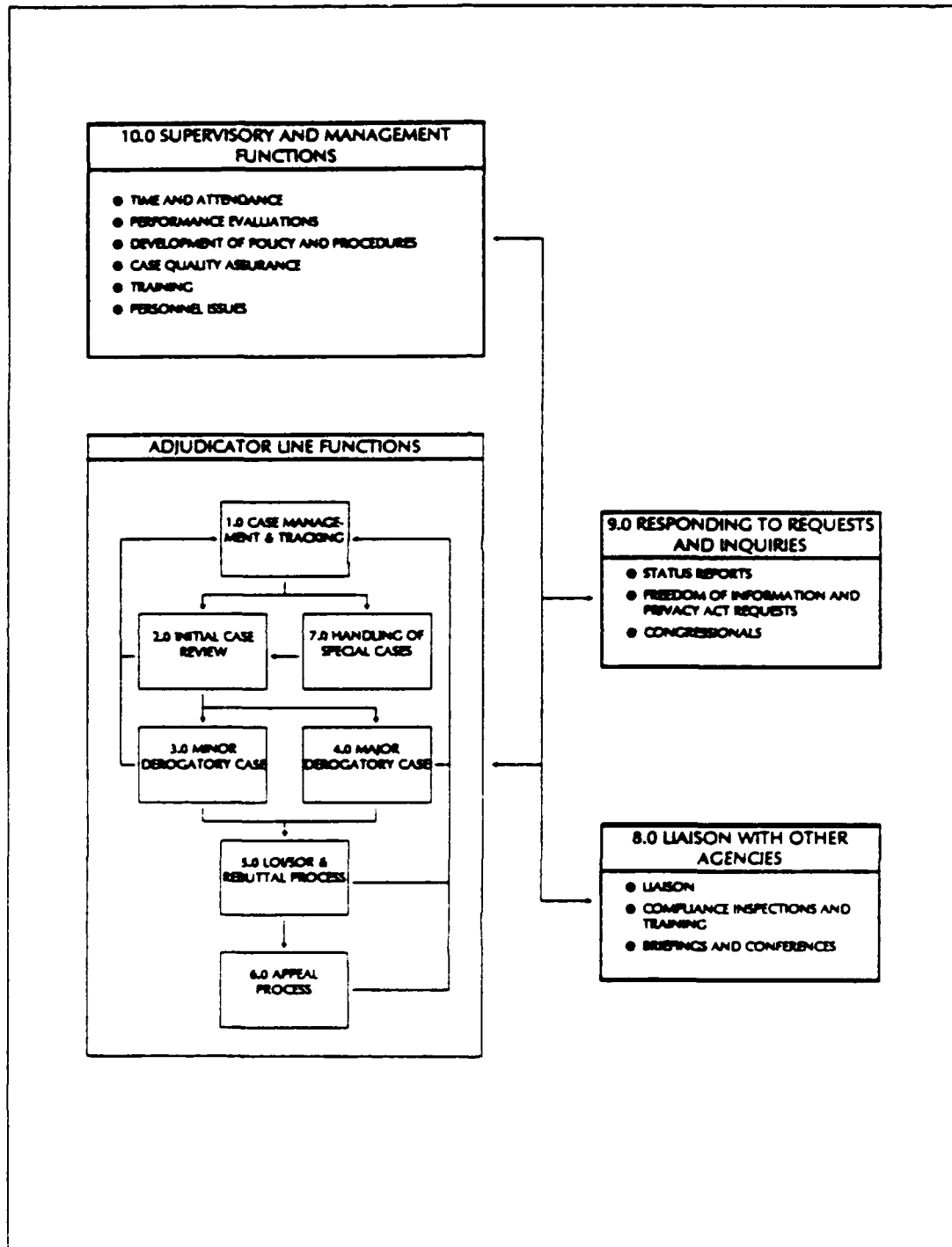


Figure 2. Overview of Adjudicator Staff Functions

Follow-up SME Meetings--Task List Development

The second two-day SME meeting was designed to develop a comprehensive list of adjudicator tasks to cover all functions and duties represented in the functional analysis. As a group, the SMEs were provided guidance in the development of task statements. The task statements were to be written so as to describe accurately the work activities/behaviors performed by adjudicators, the circumstances under which the actions are performed, and the purpose of the actions.

As with the functional analysis, the SMEs focused on one function at a time. First, they read quickly and silently over the tasks listed under the duties for the first function, making marginal notes about any new tasks required or redundancies across statements. The SMEs were instructed to consider these draft task statements as tentative, recognizing that they were taken from PDs and would need extensive revisions for purposes of this research.

Next, as a group, the SMEs reviewed the task areas for coverage, determining how well the list of tasks covered the duties developed previously. As necessary, the SMEs added new task statements, and moved tasks to more appropriate duty areas or functions. Following the review of task areas for coverage, the SMEs edited the individual task statements. In this step, they examined each task statement for technical accuracy and format consistency. Figure 3 shows the task format used and provides examples of task statements utilized in describing other jobs. This format describes the job-worker situation in brief declarative sentences, ensuring that essential parts of the activity/behavior are covered. Each task statement was reviewed as follows:

- o Content. The SMEs decided whether or not the task was required for successful performance as an adjudicator and checked the accuracy of the task statement in terms of what the worker does, the products/outcomes of the actions, etc. In most instances, the preliminary task statements were completely rewritten or extensively revised to ensure clarity and accuracy across the various agencies.
- o Format. As illustrated in Figure 3, each task statement was to begin with an action verb that describes the actions to be taken. This verb is followed by the object(s) on which the action is taken, other intervening or moderating variable(s) that impact upon task requirements, and an infinitive phrase stating the purpose or result of the action. The SMEs ensured that the following key elements were present:

The format for a task statement is:

action verb	object	intervening variable	objective
Develops	schedules	for contactors	to insure timely performance.

PERFORM	ON	ALSO AFFECTED BY	IN ORDER TO
ACTION VERB (WORKER BEHAVIOR)	IMMEDIATE OBJECT(S)	(MODERATING VARIABLES)	(INFINITIVE PHRASE)
UTILIZES	INFORMATION	FROM TROUBLE CALLS, ALARM MESSAGES, TROUBLE PROCESSING, FEEDER MAPS AND FIELD CREW COMMUNICATIONS	TO ESTIMATE SYSTEM STATUS
DIRECTS	FIELD CREW ACTIVITY	BY RADIO OR TELEPHONE	TO REDISTRIBUTE LOAD, OR SECTIONALIZE FEEDERS
RECORDS	STATUS OF EQUIPMENT INVOLVED IN TAGGING AND GROUNDING PROCEDURES	ON CRT, LOG, AND/OR MASTER DISPLAY BOARD	TO UPDATE SYSTEM STATUS

*ADOPTED FROM US EMPLOYMENT SERVICE HANDBOOK FOR ANALYZING JOBS (1972).

Figure 3. Format for Task Statement Development

--The verb should be concrete, explicit, and action-oriented.

--The object of the verb should indicate on what the action is to be taken.

--Moderating variables (which affect the performance or outcome of the task) should be included as necessary to include equipment, information sources, time constraints, environmental conditions, and other factors which affect task performance.

--Infinitive phrase with its object should state the outcome or results of the action in specific terms.

- o Level of Detail. The SMEs were cognizant of the fact that the jobs of all adjudicators must be covered in this one task list and, therefore, each task should describe an important aspect of their job. Unnecessary detail was eliminated, focusing only on meaningful behaviors/actions.
- o Terminology. The SMEs wrote the task statements using language that would communicate to adjudicators at different grade levels and from different organizations. This meant that agency-specific jargon was avoided.
- o Standardization across Duty Areas. Finally, the task list was reviewed to ensure that redundancies did not occur, that task statements were written at comparable levels, and that the terminology was accurate.

To ensure a standardized approach to task list development, the total group of SMEs worked through the development of task statements for a single duty area under the guidance of the research staff. Then the SMEs were divided into two groups for writing the remaining task statements. Each group, aided by one research staff member, was given responsibility for writing task statements for all duties within one half of the functions. Work proceeded within each of the functional areas identified in the flow diagram until all the events in each particular area were described by task statements.

Since each group had developed task statements for only one half of the adjudicative functions, the entire group of SMEs was reconvened at the end to review and refine, as necessary, the complete list of tasks across the 10 functions. This final

list of tasks, duties, and functions (presented in Appendix B) provided the basis for the development of the task survey questionnaire described in the following chapter.

CHAPTER IV

Job Task Survey

The next steps (Steps 4 and 5) of the Phase A research involved the development of a methodology for, and the conduct of, a survey of incumbent DoD adjudicators to obtain their perceptions of their jobs and the tasks they perform.

Task Survey Questionnaire Design

An Adjudication Task Survey Questionnaire (see Appendix C) was designed for administration to the entire population of adjudicators in grades GS-05 through GS-12 in the participating DoD agencies. The purpose of the questionnaire was to provide a means of learning what tasks are performed by adjudicators in various positions and grade levels across the participating agencies. The questionnaire consisted of three sections as described below.

Section I--Sample Description. The first section of the questionnaire consisted of items which qualified the respondents for inclusion in the population being surveyed. These qualifiers dealt with the respondent's occupational series, position title, and grade level. Only respondents in the Security Administration Job Series (GS-080) with a position title of Personnel Security Specialist or Officer, and whose grade level was between GS-05 and GS-12 were instructed to answer the questionnaire. All others who might have mistakenly received the questionnaire were instructed to return the uncompleted questionnaire to their agency representative.

Section II--Demographic Profile of Adjudicator Population. The second section of the questionnaire requested information about the respondents, their job functions and duties, work organization, and prior experience. This information was designed to provide a demographic profile of the adjudicator population and to provide input for analysis of the task rating data. Questions in Section II included the following:

- o Agency where respondent works.
- o Type(s) of clearance/access handled in present position.
- o Percent of time spent performing each of the 10 basic functions.

- o Total number of years in Security Administration Job Series (including Industrial and Physical Security).
- o Number of years as Personnel Security Specialist or Officer.
- o Number of years in present job.
- o Other agencies where worked as adjudicator.
- o Highest level of education.
- o Age.

Section III--Task Ratings. The third and largest section of the questionnaire asked for information about the tasks performed by the adjudicators in their present jobs. Section III was designed to help answer the following questions:

- o What are the duties and tasks performed at each of the job levels?
- o How frequently are the tasks performed?
- o What is the likelihood of an error or inadequate task performance?
- o What are the consequences of an error or inadequate task performance?
- o Which tasks are the most difficult and demand the highest level of skill, knowledge, and experience?
- o How much scheduling flexibility exists in task assignment and completion?

Section III provided the adjudicators with five scales to be used to rate the tasks that they presently perform. These five scales are as follows:

1. Task Frequency (FRQ): an estimate of how frequently the task is performed in the adjudicator's present job, ranging from daily to yearly performance.

2. Consequence of Errors or Inadequate Performance (ERR): an estimate of the severity of the consequences of errors or inadequate task performance defined in terms of potential for erroneous decisions in the disposition of an application, violation of an applicant's rights, loss of information, or creating of delays and case backlogs.
3. Likelihood of Errors or Inadequate Performance (RISK): an estimate of the likelihood of errors or inadequate task performance occurring due to factors such as lack of adequate information upon which to base sound decisions; extensive knowledge and high-level skills required to perform the task; task complexity requiring great attention to detail; inadequate time, training, or resources to perform the task; poor working conditions not conducive to a high level of performance, etc.
4. Task Complexity/Difficulty (PLX): an estimate of the level of task complexity/difficulty in terms of degree of knowledge, skill, and ability required ranging from the kind of skill that can be learned easily without formal training or experience to the kind of skill that only the very best and most experienced workers could have acquired.
5. Task Schedule Flexibility (TSF): an estimate of how much flexibility is acceptable in scheduling and performing the task ranging from tasks that are regularly scheduled with adequate time for completion to tasks that must be performed immediately without adequate time for completion.

Complete definitions of these five measures and the instructions for rating tasks on these measures are presented in Figures 4 through 8.

Data Collection

The questionnaires were inserted into separate envelopes, packaged, and distributed to the nine participating DoD agencies in sufficient numbers to accommodate their adjudicator population. Instructions to the agencies requested that the questionnaires be given to all employees meeting the qualifications described above--that is, adjudicators in the GS-080 Job Series with a present position as Personnel Security Specialist or Officer in grades GS-05 through GS-12. Although some of the agencies do not use the identical Job Series and position titles, they were included because their adjudicators perform functions identical to those for which the survey was designed.

1. TASK FREQUENCY

Some tasks are forgotten in the absence of practice while others are so simple that we never forget. We have all had the experience of "re-discovering fire" and wondering how we could have forgotten something so fundamental. The subtle aspects of our jobs can be forgotten in the hurry-up realities of the work place, especially when we are not required to practice or review infrequent procedures. Unfortunately, some of the tasks that we perform infrequently are required in critical or emergency situations, such as assuming a colleague's caseload in case of illness, making decisions in novel or unprecedented situations, or responding to high priority or time-sensitive situations.

Below are measures of how often you perform different job tasks. For each of the tasks in the inventory, estimate the frequency with which you perform the task in your current position using the following scale:

Enter Frequency data in FRQ column →

F				
R				
Q				

- D = DAILY: I do this task virtually every day.
- W = WEEKLY: I do this task at least once a week.
- M = MONTHLY: I do this task once a month.
- Q = QUARTERLY: I do this task once every 3 months.
- Y = YEARLY: I do this task once a year.

Figure 4. Instructions for Task Frequency Ratings

2. CONSEQUENCE OF ERRORS OR INADEQUATE PERFORMANCE

A task may be essential to successful job performance regardless of how often it is performed. Errors or inadequate performance of these critical tasks may have serious impact on job performance, individual applicant rights or national security. For example, the consequence of inadequate task performance or errors could be the incorrect evaluation of an applicant's file and the subsequent erroneous granting or denial of clearance/access eligibility. Inadequacies or errors in task performance also could result in lengthy case delays and backlogs of unprocessed cases, additional review and revision of case decisions and documentation by supervisors, loss of needed information, etc.

Below is a measure of the consequences of errors or inadequate task performance. For each task that you perform, estimate the seriousness of the consequences of error or inadequate task performance using the following scale:

Enter Consequence data in ERR column →

	E			
	R			

- 5 Very high potential for erroneous decision in disposition of an application, violation of applicant's rights, loss of information, or creation of delays and case backlogs.
- 4 Considerable potential -
- 3 Moderate potential -
- 2 Some potential -
- 1 No potential for erroneous decision in disposition of an application, violation of applicant's rights, loss of information, or creating of delays and case backlogs.

Figure 5. Instructions for Consequence of Errors or Inadequate Task Performance Ratings

3. LIKELIHOOD OF ERRORS OR INADEQUATE PERFORMANCE (RISK)

In any job, some tasks are more difficult to accomplish than others. The reasons for difficulty may include a combination of factors. These factors include lack of adequate information upon which to base sound decisions; extensive knowledge and high-level skills required to perform the task; task complexity requiring great attention to detail; inadequate time, training, or resources to perform the task; poor working conditions not conducive to a high level of performance, etc.

Below is a measure of the likelihood of occurrence of errors or inadequate task performance. For each task that you perform, estimate the likelihood of an error or inadequate task performance occurring using the following scale:

Enter Risk data in RSK column

			R		
			S		
			K		

- 5 High likelihood of errors or inadequate task performance occurring due to factors such as those described above.
- 4 Considerable likelihood -
- 3 Moderate likelihood -
- 2 Some likelihood -
- 1 Little or no likelihood of errors or inadequate task performance occurring due to factors such as those described above.

Figure 6. Instructions for Likelihood of Errors or Inadequate Task Performance Ratings

4. TASK COMPLEXITY - DIFFICULTY

Many tasks consist of procedures that can be performed by simply following the steps in Standard Operating Procedures (SOPs). They can be "picked up" or learned easily by just about anyone, without formal training or experience. In contrast, other tasks may never be mastered completely. These tasks may require on-the-job or formal training, extensive experience, creativity, intuition, common sense and human understanding and judgment. These tasks require the highest degree of knowledge, skill and ability, the kind of skill that only the very best and most experienced workers have.

Below is a measure of task complexity - difficulty. For each task that you perform, estimate the level of task complexity - difficulty using the following scale:

Enter Complexity data in PLX column 

			P	
			L	
			X	

- 5 Extremely high level - This task requires the highest level of knowledges, skills, and abilities possessed by only the very best and most experienced workers.
- 4 Advanced skill level -
- 3 Moderate skill level - This task requires a moderate level of knowledges, skills, and abilities possessed by the average worker with some experience.
- 2 Quickly Acquired skill level -
- 1 Lowest skill level - This task requires a very low level of knowledges, skills, and abilities such that an entry level person would be expected to do this task almost immediately.

Figure 7. Instructions for Task Complexity-Difficulty Ratings

5. TASK SCHEDULE FLEXIBILITY

Tasks that can be planned and scheduled have a higher probability of adequate performance than those that require immediate response to emerging situations.

Below is a measure of how much flexibility is acceptable in scheduling and performing the task. For each task that you perform, estimate the level of schedule flexibility using the following scale:

Enter Flexibility data in TSF column

						T
						S
						F

- R Regularly scheduled. This is a regularly scheduled recurring task and is normally given adequate time for completion.
- S Scheduled as required. This task is scheduled as required and is normally given adequate time for completion.
- O Overtime/extra effort. This task is not normally scheduled and usually requires overtime or extra effort to complete.
- I Immediately performed. This task must be performed immediately without delay. It takes precedence over all other tasks and does not tolerate delays for consultation or review.

Figure 8. Instructions for Task Schedule Flexibility Ratings

The respondents were instructed to complete the questionnaire only for those tasks that they currently perform. First, they were asked to eliminate all tasks that are not part of their present job by drawing a line through tasks that they do not perform. Then they were asked to rate the tasks they perform using the five scales discussed above. They were instructed to read the definition of the first measure--Task Frequency (FRQ)--and then to assign frequency values to all of the tasks that they perform. Next, they were asked to read the definition of the second measure--Consequence of Errors or Inadequate Performance (ERR)--and to assign values to all tasks they perform according to the definition. This process was to be repeated until all tasks had been assigned values on each of the five measures. Respondents were asked not to rate a task on all measures simultaneously since it is important to focus attention on the meaning of the measure being used to rate the task. This procedure was adopted to ensure the relative independence of the task ratings.

Each respondent was instructed to complete the questionnaire anonymously, seal it in the envelope provided, and return it to the agency representative for mailing to the research contractor. No envelopes were to be opened by the adjudicative agencies. Upon receipt of the completed questionnaires by the contractor, the envelopes were opened and all responses were keyed into the computer using subject ID numbers. An analysis of the questionnaire responses is presented in Chapter V.

CHAPTER V

TASK ANALYSIS DESIGN AND RESULTS

The research data analysis identified the distribution and frequency of tasks performed by adjudicators, and it provided the ordered classification of the tasks that are critical to successful job performance.

One-hundred and forty-eight adjudicators from nine different agencies participated in this study. They provided evaluated measures of 178 tasks organized into 39 duties comprising 10 major functions. The major types of data resulting from the research are displayed in Table 3.

The research results are presented in the following order:

- Adjudicator Demographics including distribution by grade, education, age, experience, and combined age and experience.
- Work Effort Breakdowns including types of cases handled, time spent on functions, and time spent on duties.
- Task Ratings including frequency, likelihood of errors or inadequate performance, consequence of errors or inadequate performance, complexity--difficulty, and task schedule flexibility.

Table 3

Survey Data Available for Analysis

<u>Data Elements</u>	<u>N</u>
Participating Agencies	9
Survey Respondents	148
Adjudicator Functions	10
Adjudicator Duties	39
Adjudicator Tasks	178
Separate Task Ratings	5

Demographics of Adjudicator Study Population

Questionnaires were returned by 157 participants; 156 of these were qualified by the guidelines established for the study. Nine questionnaires were dropped because

they contained incomplete weights or were incorrectly evaluated. The analysis pool of 148 questionnaires provides a research data base containing the responses of 95 percent of incumbent adjudicators in the participating agencies. This means that the analyses reflect the perceptions of virtually the entire eligible adjudicator population in the participating agencies.

The number of respondents included in the analyses from the nine participating agencies are listed below.

<u>Agency</u>	<u>Number</u>
AFSCO	21
CCF	46
DISCR	13
DISCO	24
DLA	2
DMA	7
HQAF/INSB	17
Naval Security Group	7
NIC	11
TOTAL	148

Grade Level Distribution

Table 4 and Figure 9 show the distribution of the respondents by grade level. The present adjudicator workforce has a heavy concentration in the higher grade levels with 57% being GS-11s and GS-12s. Twenty-one percent are GS-05 and GS-07 trainees, and 22% are GS-09s.

Experience

Table 5 presents a summary of the adjudicative experience of the survey respondents. The respondents have been in their present grade an average of 2.24 years with a range of time in grade from less than one to 16 years. They have been Personnel Security Specialists or Officers (Adjudicators) an average of 4.89 years, ranging from less than 1 to 24 years. In addition to their experience as adjudicators, these respondents have from one to 38 years of related experience with an average of 11.55 years experience in the Security Administration Job Series (GS-080). This foundation of experience, both in adjudication and in related security jobs, indicates that these respondents are knowledgeable about the tasks they perform and are qualified to provide valid task information and ratings.

Table 4

Grade Level of Respondents

<u>Grade</u>	<u>N</u>	<u>Percent of Workforce</u>
GS-05	8	5%
GS-07	23	16%
GS-09	33	22%
GS-11	56	38%
GS-12	28	19%
Total	148	100%

Table 5

Adjudicative Experience of Respondents

Years of Experience

	<u>Mean</u>	<u>SD</u>	<u>Range</u>
Time in Present Grade	2.24	1.97	1 to 16
Time as Personnel Security Specialist or Officer	4.89	4.40	1 to 24
Time in Security Administration Job Series	11.55	7.69	1 to 38

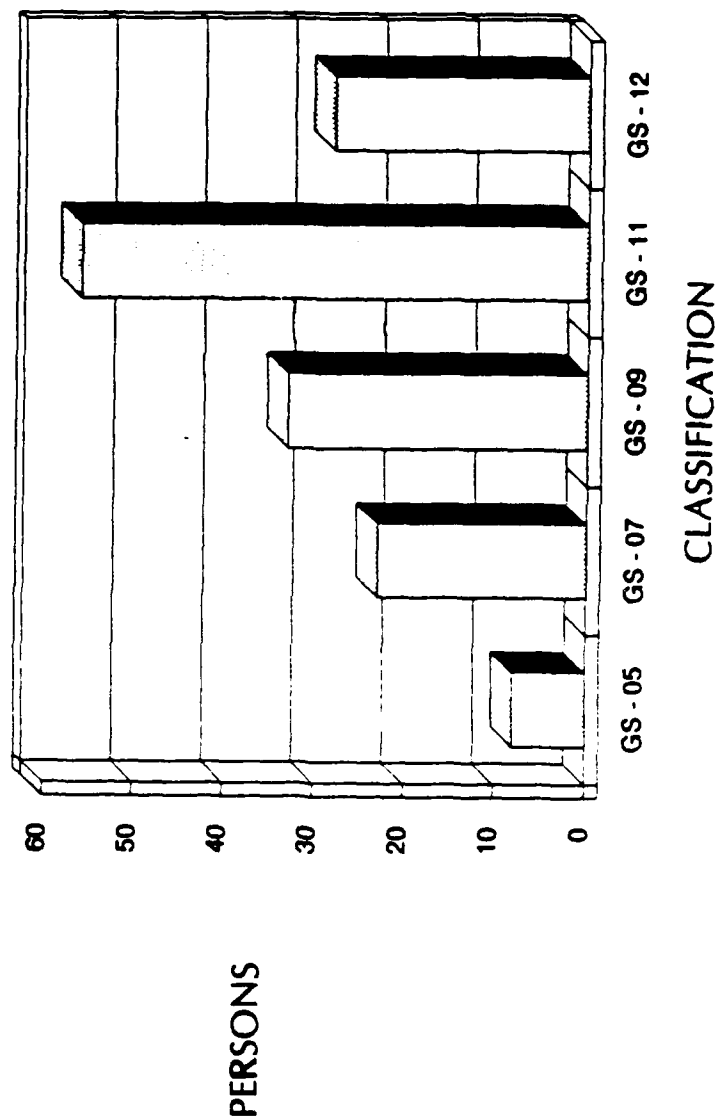


Figure 9. Distribution of Respondents by Grade Level

Age

Table 6 and Figure 10 show the age distribution of the respondents. The median age was 42 with a range from below 30 to above 60. Eleven percent (11%) are 30 and younger while 26 percent are over 50 years of age.

Table 6

Age Distribution of Respondents

<u>Age Range</u>	<u>N</u>	<u>Percent of Workforce</u>
21-30	17	11%
31-40	51	34%
41-50	41	28%
51-60	37	25%
61-70	2	1%
TOTAL	148	100%

Age and Experience Combined

Examination of the distribution of the adjudicators' age and experience raised issues concerning the seniority and structure of the workforce. For example, the average age of adjudicators is 42 years and the average experience in Security Administration Job series is 11.55 years. Also, over half (54%) of the adjudicators are 41 years old or older and 26% are over 50. As would be expected, age and seniority combine to create a workforce that contains many persons in senior positions who are nearing retirement.

A simple model was used to objectify the age and experience data and to create a measure of adjudicator seniority. The approach used to define advanced seniority was based on the government's optional retirement rule which is age plus seniority = 75. For purposes of our analyses, advanced seniority was defined by a formula that combined age and total government experience. This formula is as follows: Age + Total Government Experience = 60 years.

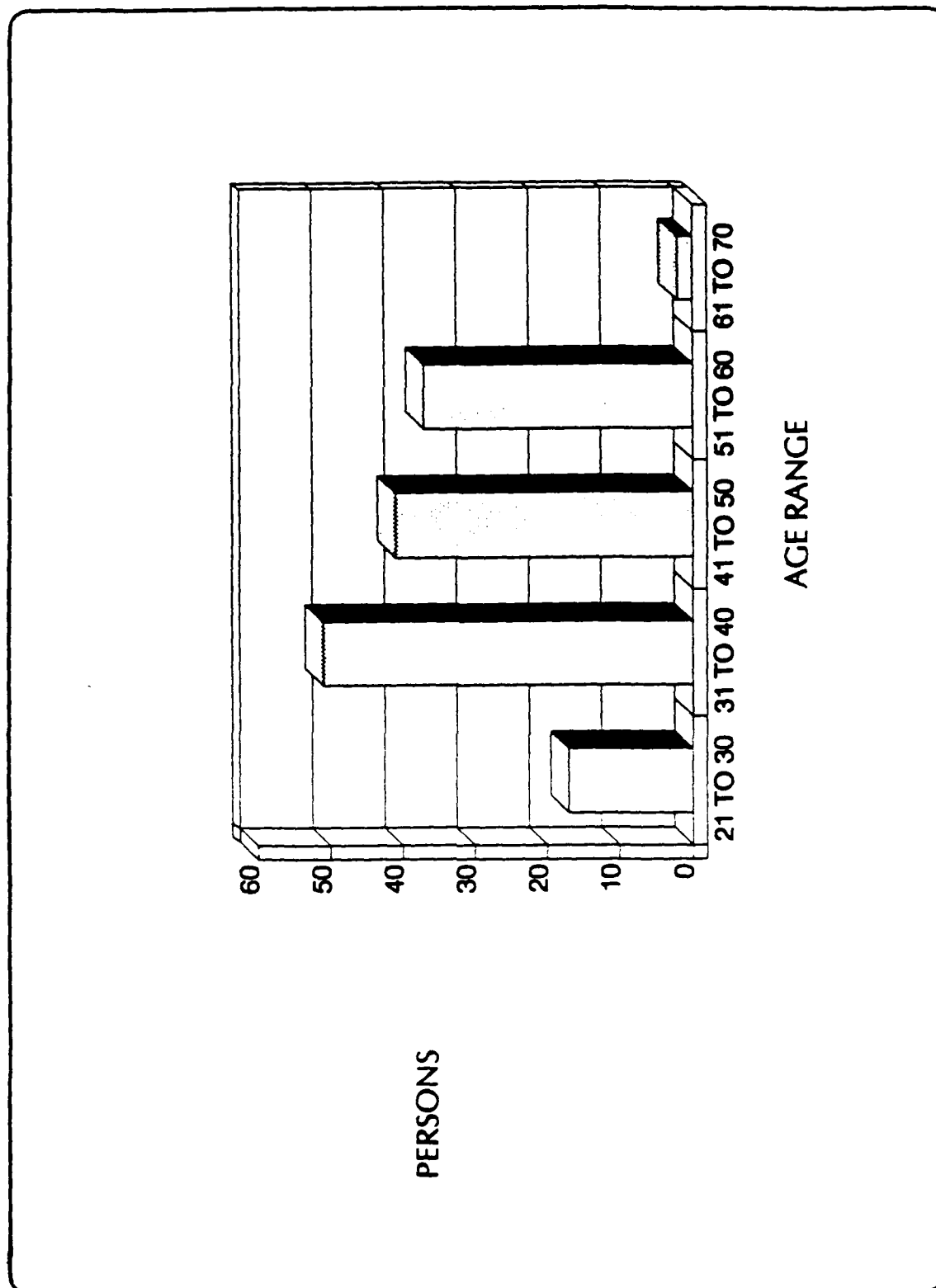


Figure 10. Distribution of Respondents by Age Categories

Application of this formula to the adjudicator survey data revealed the following distribution of respondents:

Age 41 to 50 + 20 years total experience =	8 persons
Age 51 to 60 + 10 years total experience =	28 persons
Age 61 to 70 + 1 year total experience =	2 persons

Total in advanced seniority category	= 38 persons
--------------------------------------	--------------

This means that 8 adjudicators between the age of 41 and 50 have 20 years or more total experience, resulting in a combined seniority score of 61 to 70; 28 adjudicators are between 51 and 60 years old and have at least 10 years total experience, etc. Overall, out of the 148 adjudicators, there are 38 individuals (25%) who are nearing the government's optional retirement rule. These data suggest a possible shortage in the GS-05, GS-07, and GS-09 grade levels since these grade levels provide the needed replacements for the higher grades. Considering the time it takes to train replacements for these senior adjudicators, the potential shortage in the lower grades becomes important.

In Figure 11, the current number of adjudicators in each grade level is compared with a theoretical model that assumes equal numbers in each level progressing at the same rate to the next highest grade level. If this were the case, then as shown in the figure, there would be a real shortage in the lower grades needed to replace those in the upper grades as they are promoted or leave their jobs for other reasons.

Adjudicator attrition and progression patterns are much more complicated than the model presented. In reality, persons in lower grades move at faster rates than those in higher grades; attrition rates vary by grade level; and individuals leave the system for any of a number of reasons not factored into the model. Nonetheless, these data suggest that a more definitive analysis of these issues is warranted to provide responsive career field personnel practices in the near future. Such an analysis should examine career progression in adjudicator positions in relation to factors such as recruiting input to the occupational series; average time in grade; probability of promotion by time in grade; and attrition rates including retirement, leaving the job series, transferring out of the occupational series, etc. More knowledge about the possible shortage of adjudicators in the training and promotion cycles can provide management with the needed information to address personnel issues such as workload, personnel acquisition, and training.

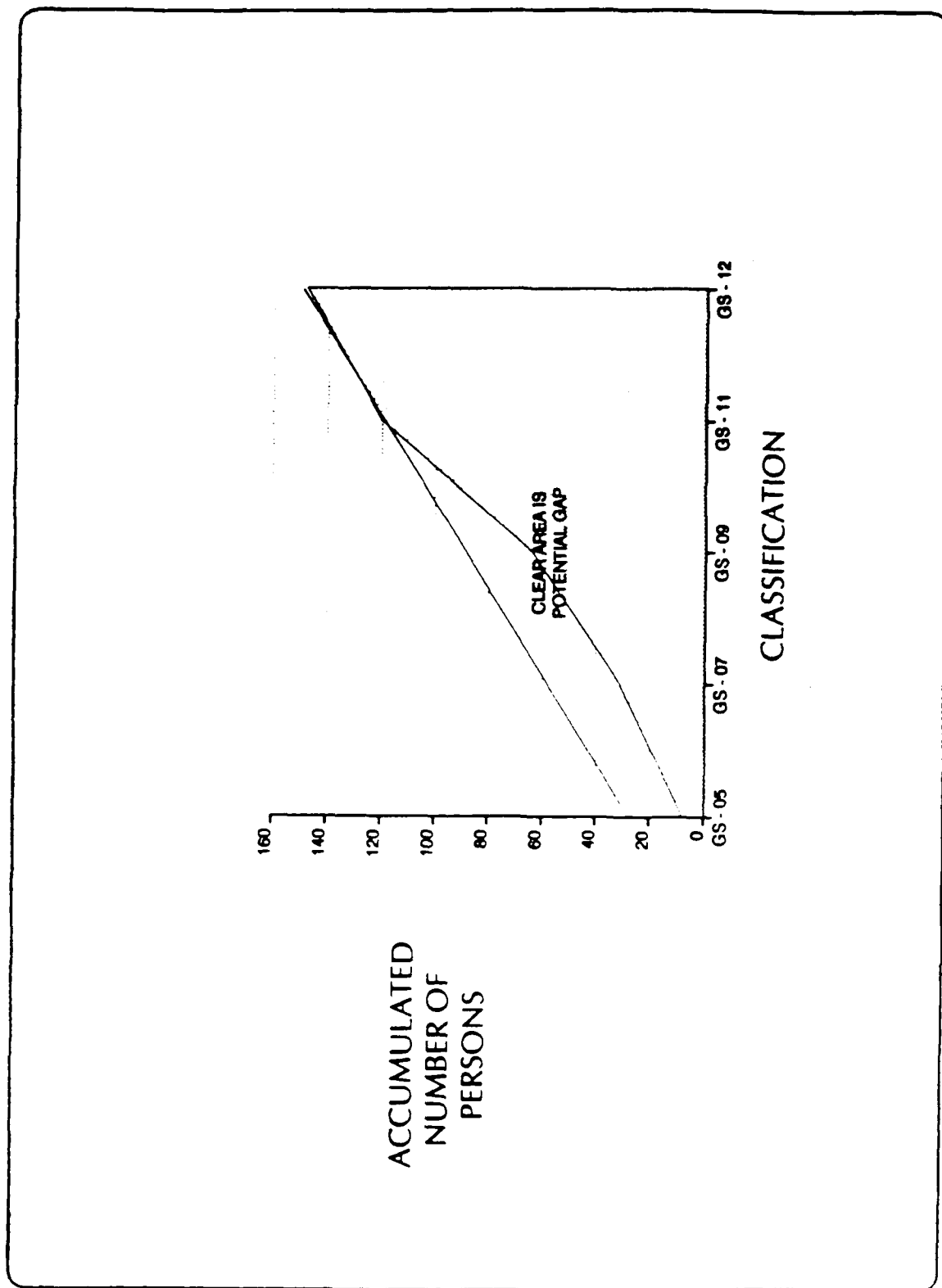


Figure 11. Model to Project Requirements by Grade Level

Education

Figure 12 shows the distribution of the respondent's formal education. More than half of the adjudicators (57%) have a high school education; less than one fourth of the adjudicators (21%) have a four-year college degree or above. This is consistent with the findings of previous studies that indicate that new personnel are most often hired from clerical jobs and trained on the job; very few are hired with academic or professional backgrounds in information management, adjudication, or related fields.

Work Effort Breakdown

The second set of analyses dealt with the work performed by the respondents including the types of cases handled, and the time spent on specific functions and duties.

Types of Cases Handled

As illustrated in Table 7, some adjudicators handle several different types of cases while others handle only one type. Forty-three percent (43%) of the population handle single clearance types, with the overriding majority handling either collateral or SCI cases and only a few handling other cases. The remaining 57% of the adjudicators handle more than one type of case with the majority of these handling a combination of collateral, SCI, and Special Programs (SP) cases.

More adjudicators handle collateral (73%) and SCI (75%) than any other types of cases. About half (49%) of the adjudicators handle Special Program (SP) cases, and only 11% handle cases other than collateral, SCI, or SP.

Adjudicative Functions

Table 8 presents the reported distribution of time devoted to the 10 major functions by adjudicators in each grade and averaged across grades. Figures 13 and 14 are graphs of the distribution of time spent on the major functions for all adjudicators and by grade level. As shown, GS-05s and GS-07s spend most of their time (48% for GS-05s and 39% for GS-07s) in Initial Case Review, with the remaining time focusing primarily on Case Management and Minor Derogatory Case Review. These three functions account for 86% of the GS-05's time and 77% of the GS-07's time.

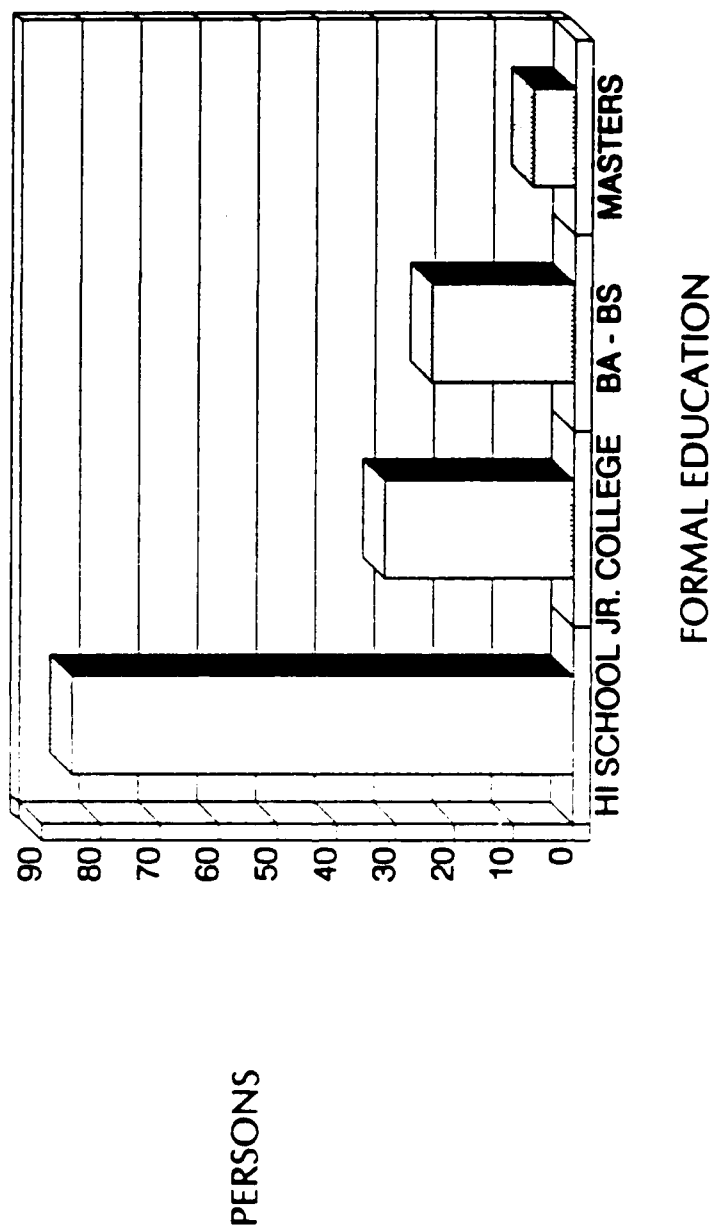


Figure 12. Education

Table 7

Types of Cases Handled by Adjudicator Population

<u>Type(s) of Cases</u>	<u>N</u>	<u>%</u>
Collateral Clearance only	28	19%
SCI Access only	33	22%
Collateral and SCI	11	7%
Collateral and Special Programs	3	2%
SCI and SP	4	3%
Collateral, SCI, and SP	53	36%
Other only	3	2%
Collateral and other	2	1%
Collateral, SP, and other	1	1%
SCI, SP and other	1	1%
Collateral, SCI, SP, and other	9	6%
	<u>148</u>	<u>100%</u>

Table 8

Percent of Time Spent on Functions by Grade Level
and Total Adjudicator Population

<u>Adjudicative Function</u>	<u>GS-05</u> (N = 8)	<u>GS-07</u> (N = 23)	<u>GS-09</u> (N = 33)	<u>GS-11</u> (N = 56)	<u>GS-12</u> (N = 28)	<u>GS-05</u> <u>TO 12</u> (N = 148)	<u>CUM. %</u>
1. Case Management	15.37	15.00	13.66	9.86	5.57	10.99	10.99
2. Initial Case Review	48.37	38.91	19.24	12.05	4.57	18.38	29.37
3. Minor Derogatory	22.12	23.30	23.24	11.10	8.11	15.73	45.10
4. Major Derogatory	4.13	7.48	13.63	30.51	22.46	20.22	65.32
5. LOI/SOR Rebuttal	3.13	1.26	5.31	15.25	11.96	9.58	74.90
6. Appeal Process	0.00	0.00	3.18	1.93	2.36	1.89	76.79
7. Handling Special Programs	1.88	2.57	3.62	6.13	4.43	4.47	81.26
8. Liaison - Other Agencies	1.50	4.35	5.97	3.36	5.36	4.37	85.63
9. Responding to Queries	3.50	5.17	11.57	5.22	2.86	6.09	91.72
10. Supervision Management	0.00	1.96	0.58	4.59	32.32	8.28	100.00
Total Across Functions	100.00	100.00	100.00	100.00	100.00	100.00	100.00

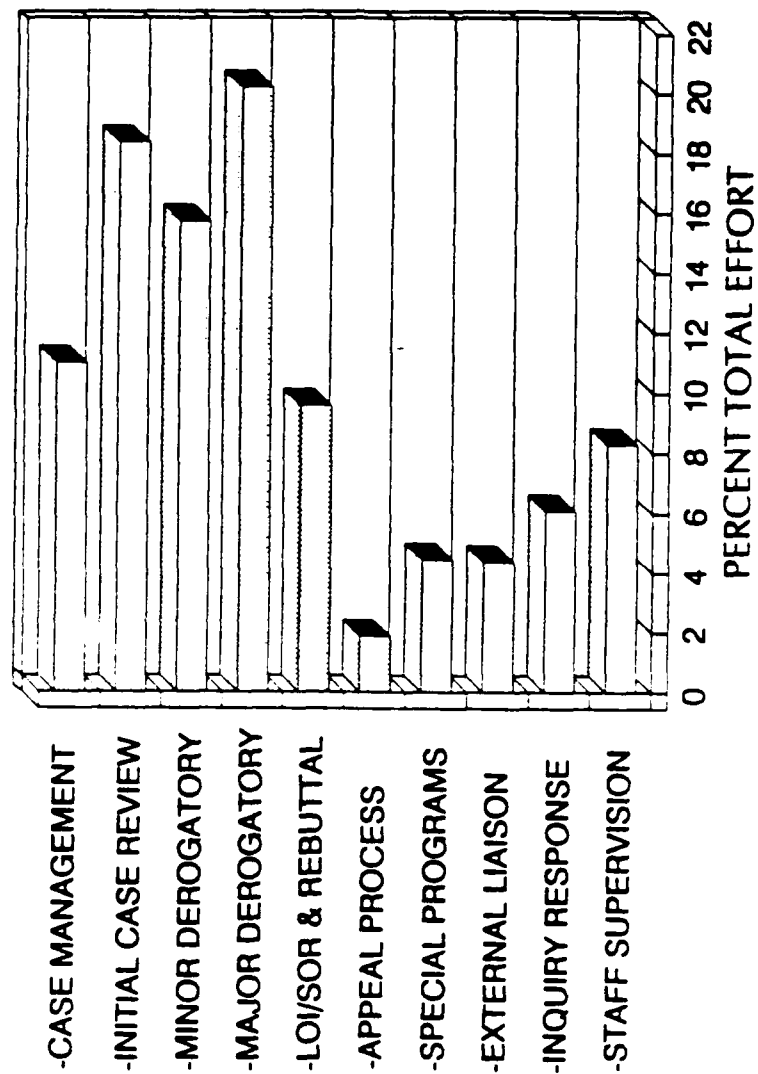


Figure 13. Distribution of Time Spent on Major Functions

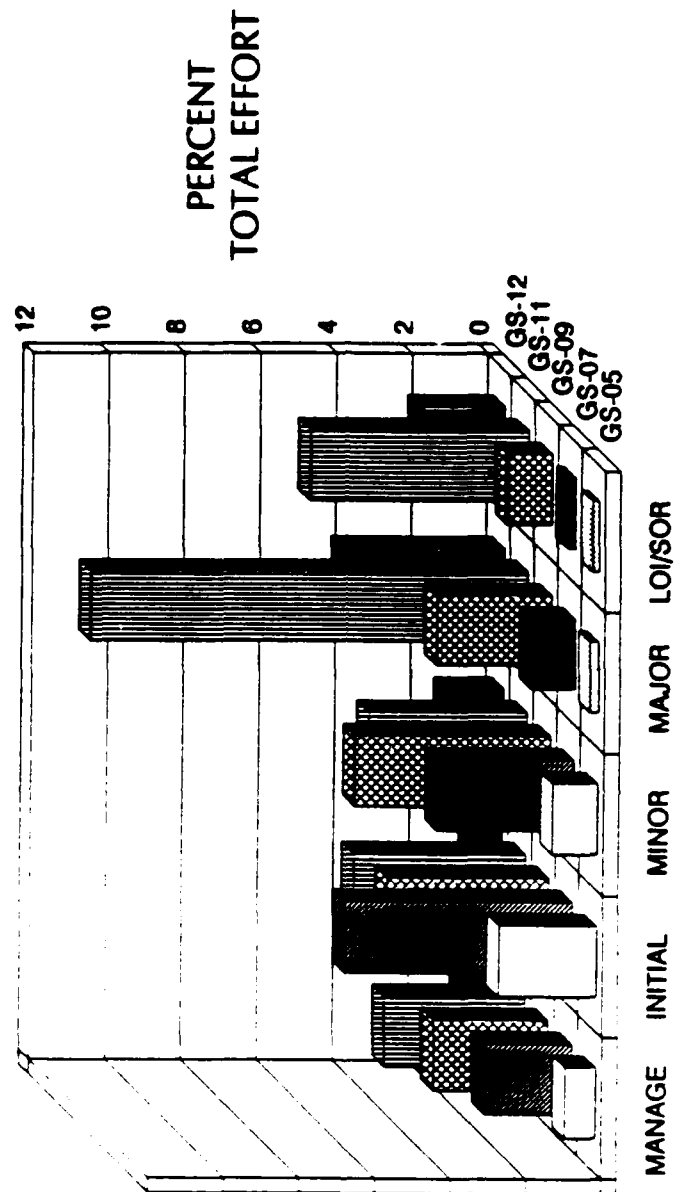


Figure 14. Distribution of Time Spent on Major Functions by Grade

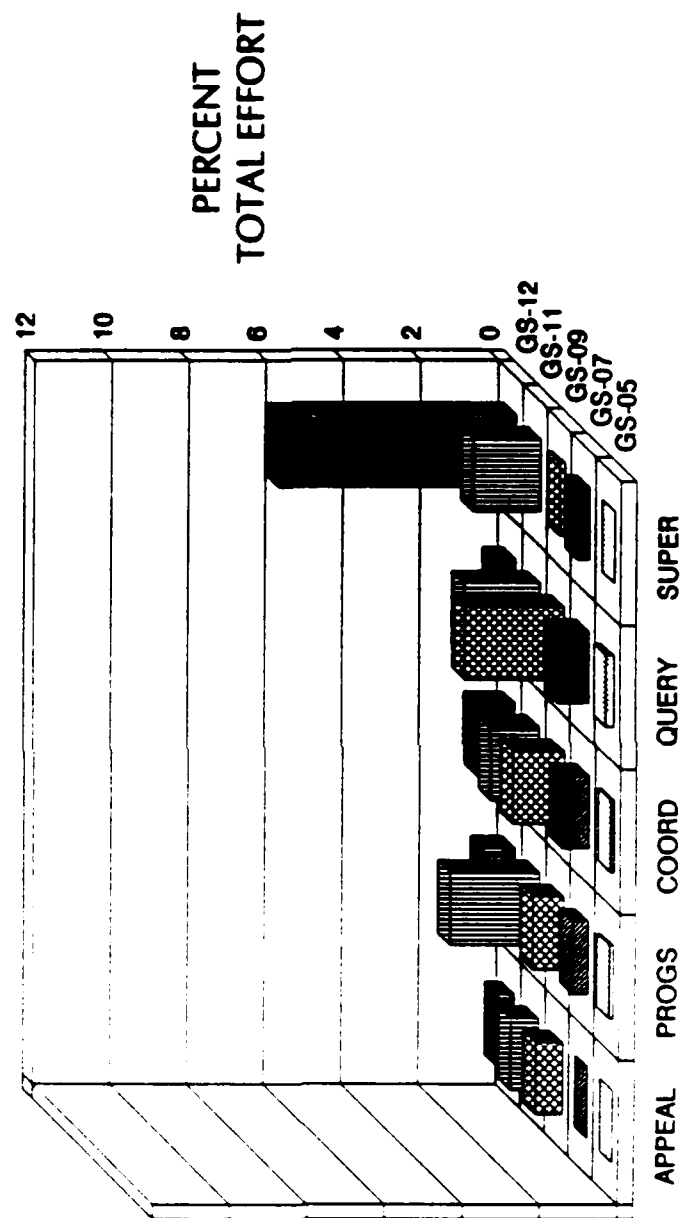


Figure 14 (Continued). Distribution of Time Spent on Major Functions by Grade

At the GS-09 level, the emphasis begins to shift from Case Management (14%) and Initial Case Review (19%) to Minor Derogatory Case Review (23%), Major Derogatory Case Review (14%), and Responding to Queries (12%). These five functions account for 81% of the GS-09s' time.

GS-11s spend almost one half (46%) of their time on Major Derogatory Case Review and LOI/SORs and Rebuttals with somewhat less time spent on Case Management, Initial Case Review, and Minor Derogatory Case Review (10%, 12%, and 11% respectively). The GS-12s spend one-third (34%) of their time on Major Derogatory Case Review and LOI/SORs and Rebuttals; they are the only grade level surveyed with a significant amount of time (32%) devoted to Supervision/Management.

Across all grades, 81% of the adjudicators' time is spent on line functions and 19% on staff functions. Forty-seven percent (47%) of the adjudicators' time is spent on direct adjudication, that is, conducting Minor (16%) and Major (20%) Derogatory Case Review, developing LOI/SORs and Analyzing Rebuttals (10%), and on the Appeal process (2%). The remaining 52.57% of time is spent on Case Management, Initial Case Review, and other related activities such as Handling of Special Programs/Cases, Liaison with Other Agencies, Responding to Queries, and Supervision/Management.

Adjudicative Duties

Table 9 presents the estimated percent of time spent by all adjudicators on each of the 39 duties. In general, the specific duties within each function take up approximately equal amounts of time. Exceptions are found in Liaison with Other Agencies and Responding to Requests and Inquiries. In these two functions, one duty stands out as taking up the majority of the time spent on that function.

Task Ratings

The final set of analyses focused on the five separate task ratings. Appendix D contains a listing of all 178 tasks and their ratings on each of the five scales. Here, we wish to focus on analyses that define the most critical tasks in terms of these ratings.

Table 9

Mean Percent Effort by Major Adjudicator Duties

<u>Functions</u>	<u>Duties</u>	<u>Mean % Effort</u>
1. CASE MANAGEMENT, TRACKING AND ADMINISTRATION	A. Data Base Management	3.51
	B. Case Management and Control	3.51
	C. Maintaining Statistics	3.96
2. INITIAL CASE REVIEW	A. Initial Case Review	3.89
	B. Request and Obtain Information	3.56
	C. Initial Case Evaluation	3.92
	D. Initial Derogatory Case Review	3.67
	E. Grant Clearance/Access Eligibility in Clean Cases	3.34
3. MINOR DEROGATORY/POST-ADJUDICATION CASE REVIEW	A. Minor Derogatory Case Review	3.16
	B. Request and Obtain Needed Information	3.46
	C. Minor Derogatory Case Evaluation	3.61
	D. Grant Clearance/Access Eligibility in Cases with Minor Derogatory Information	2.91
	E. Post-Adjudication and Evaluation Cases	2.57
4. MAJOR DEROGATORY/POST-ADJUDICATION/RECONSIDERATION CASE REVIEW	A. Major Derogatory Case Review	4.74
	B. Request and Obtain Needed Information	4.21
	C. Major Derogatory Case Evaluation	4.46
	D. Grant Clearance/Access Eligibility in Cases with Major Derogatory Information	3.87
	E. Post-Adjudication, Re-Evaluation, and Reconsideration Cases	2.95
5. LOI/SOR AND REBUTTAL PROCESS	A. LOI/SOR Development	4.11
	B. Denial Case Closure If No Rebuttal is Received or Response is Declined	2.49
	C. Rebuttal Analysis/Decision	2.98

Table 9 (Continued)

Mean Percent Effort by Major Adjudicator Duties

<u>Functions</u>	<u>Duties</u>	<u>Mean % Effort</u>
6. APPEAL PROCESS	A. Appeal Analysis	0.88
	B. Preparation for Appeal to Security Review Panel	0.12
	C. Appeal Case Closure	0.88
7. HANDLING OF SPECIAL PROGRAMS OR CASES	A. Telephonic Screening Adjudication	1.74
	B. Controversial/Special Cases	1.08
	C. Special Access Programs	1.64
8. LIAISON WITH OTHER AGENCIES/ REPRESENTATION	A. Liaison With Other Agencies	3.75
	B. Compliance Inspections and Training in Field	0.48
	C. Briefings/Conferences	0.14
9. RESPONDING TO REQUESTS AND INQUIRIES	A. Status Reports/Tracers	4.92
	B. Freedom of Information and Privacy Act Requests	0.83
	C. Congressionals	0.34
10. SUPERVISORY/MANAGEMENT FUNCTIONS	A. Time and Attendance	2.31
	B. Performance Evaluations	0.66
	C. Development of Standard Operating Procedures (SOPS) and Agency-Specific Policy	0.38
	D. Case Assignments and Quality Assurance	2.30
	E. Training	1.05
	F. Handling of Other Personnel Issues	1.58

Frequency

The Frequency ratings classified each task in terms of whether it was performed daily, weekly, monthly, or yearly. For purposes of the analyses, these ratings were transformed into number of days per year using the following formula:

Daily = 260 Days
Weekly = 52 Days
Monthly = 12 Days
Yearly = 1 Day

Analyzing the responses using this formula provides a rough estimate as to the frequency with which the tasks are performed. Across all Frequency ratings, the mean score was 142.33 with a SD of 77.20. This indicates that the average adjudicator task is performed between two and three times a week.

Table 10 lists the mean Frequency ratings (FRQ) for the 20 most frequently performed adjudicator tasks. The table also presents the number of respondents performing the task (i.e., N) and the rank order of these 20 tasks with the rank ranging from "1" indicating the most frequent to "20" indicating the 20th most frequently performed task. All 20 tasks are performed daily by 100 or more adjudicators (about two thirds of the respondents).

As might be expected, the most frequently performed tasks are in the functions with the highest time spent. Nine of the most frequently performed tasks are in Initial Case Review, eight in Minor Derogatory Case Review, and three in Major Derogatory Case Review. Within these functions, specific tasks with high frequency involve review of case information to:

- Identify potentially disqualifying/derogatory information.
- Determine additional information requirements, identify sources, and request information.
- Compare potentially disqualifying/derogatory information against guidelines.
- Evaluate/analyze case information to make determinations.

Table 10

The Most Frequently Performed Adjudicator Tasks

<u>ADJUDICATOR FUNCTIONS, DUTIES, AND TASKS</u>	<u>FRQ</u>	<u>N</u>	<u>RANK</u>
2. INITIAL CASE REVIEW			
A. <u>INITIAL CASE REVIEW</u>			
1. Check entry on investigative cover sheets to ascertain that type of case is appropriate for level of clearance (e.g. SCI, Collateral) or other actions as required.	233.44	101	11
2. Scan case material to determine that information meets the investigative scope as required by DoD regulations/directives.	236.07	103	9
3. Scan case information to identify any potentially disqualifying information that may be contained in it.	241.84	103	5
4. Review content of investigation to identify unresolved derogatory items and to determine what additional information must be requested.	237.88	102	6
B. <u>REQUEST AND OBTAIN INFORMATION</u>			
1. Determine the type of information that is needed to complete adjudicative action.	226.23	104	15
2. Identify sources that can provide the needed information.	221.60	101	19
3. Compose letter, message, etc., to identified sources to request additional information needed to adjudicate case.	202.93	103	20
D. <u>INITIAL DEROGATORY CASE REVIEW</u>			
1. Compare potentially disqualifying factors against appropriate adjudication guidelines to determine if they are, in fact, disqualifying.	223.67	106	18
3. Evaluate mitigating factors to assess the seriousness of derogatory information.	227.20	105	13
3. MINOR DEROGATORY/POST-ADJUDICATION CASE REVIEW			
A. <u>MINOR DEROGATORY CASE REVIEW</u>			
2. Review content of investigation to identify unresolved minor derogatory items and to determine what additional information must be requested.	237.84	102	7

Table 10 (Continued)

The Most Frequently Performed Adjudicator Tasks

<u>ADJUDICATOR FUNCTIONS, DUTIES, AND TASKS</u>	<u>FRQ</u>	<u>N</u>	<u>RANK</u>
3. Scan minor derogatory case information to identify any potentially disqualifying information that may be contained in it.	243.54	100	4
B. <u>REQUEST AND OBTAIN NEEDED INFORMATION</u>			
1. Determine the type of information, if any, that is needed to complete the adjudicative action.	237.47	106	8
2. Identify sources that can provide the needed information.	232.53	101	12
3. Compose letter, message, etc., to sources to request additional information needed to adjudicate case.	224.30	103	16
4. Review responses to information requests to determine that information is adequate for continuing adjudication process.	251.82	104	3
C. <u>MINOR DEROGATORY CASE EVALUATION</u>			
2. Using appropriate adjudication guidelines/criteria, evaluate mitigating factors against potentially disqualifying factors to assess the seriousness of derogatory information.	256.35	102	2
3. Logically analyze, in an unbiased fashion, the derogatory and mitigating information to determine relationship to applicable adjudication criteria and to determine subject's clearance/access eligibility.	256.81	101	1
4. MAJOR DEROGATORY/POST-ADJUDICATION/RECONSIDERATION CASE REVIEW			
A. <u>MAJOR DEROGATORY CASE REVIEW</u>			
1. Scan major derogatory case material to determine that information meets the investigative scope as required by DoD regulations/directives.	226.96	102	14
2. Review content of investigation to identify unresolved major derogatory items and to determine what additional information must be requested.	223.72	103	17
B. <u>REQUEST AND OBTAIN NEEDED INFORMATION</u>			
2. Identify sources that can provide the needed information.	233.56	102	10

Table 11 lists all tasks that were reported as being performed on an average of less than one time a month. All of these less frequently performed tasks are performed by 22% or fewer of the responding adjudicators. The less frequently performed tasks relate to the Appeal Process, Liaison with Other Agencies, Responding to Inquiries, and Supervision/Management with no particular type of task being primary.

Likelihood of Errors or Inadequate Performance

Table 12 lists the means on the Likelihood of Errors rating scale (RSK), the N's, and the rank order of the 20 tasks most likely to result in errors or inadequate task performance. All 20 tasks were rated as having between moderate to considerable likelihood of resulting in errors or inadequate performance as evidenced by means ranging from 3.71 to 2.86 on the five-point rating scale.

Table 13 shows how these tasks are distributed by function. Most of the tasks with high likelihood of errors/inadequate performance are associated with Handling of Special Programs or Cases, Major Derogatory Case Review, and Liaison with Other Agencies/Representation. Other functions included are LOI/SORs and Rebuttals, Responding to Inquiries, and Initial Case Review. Of the 20 tasks, 11 involve review of cases, adjudication/evaluation, and review of prior determinations (quality assurance). None of the tasks in this group came from Case Management, Minor Derogatory Case Review, the Appeal Process, or Supervision/Management.

Consequence of Errors or Inadequate Performance

Table 14 lists the means on the Consequence of Errors or Inadequate Performance Scale (ERR), the N's, and rank order of the 20 tasks rated as having the most serious consequences of errors or inadequate performance. The mean ratings ranged from 4.14 to 3.08 indicating that these tasks have considerable potential for erroneous decisions in disposition of an application, violation of an applicant's rights, loss of information, or creation of delays and case backlogs.

Distribution of these tasks by function is shown in Table 15. The most serious consequences of errors (18 or the 20 highest rated tasks) are associated with Handling of Special Cases or Programs, Major Derogatory Case Review, LOI/SORs and Rebuttals, and Initial Case Reviews. The remaining tasks appear in Liaison with Other Agencies and Supervision/Management. No tasks were identified in Case Management, Minor Derogatory Case Review, the Appeal Process, and Responding to Inquiries. Fourteen of the 20 tasks deal with reviewing case files, adjudication/analysis, and review of previous determinations.

Table 11

Table 11

The Least Frequently Performed Adjudicator Tasks

<u>ADJUDICATOR FUNCTIONS, DUTIES, AND TASKS</u>	<u>FRQ</u>	<u>N</u>	<u>RANK</u>
6. APPEAL PROCESS			
A. <u>APPEAL ANALYSIS</u>			
5. Approve recommendation to present appeal to Security Review Panel.	6.50	2	12
B. <u>PREPARATION FOR APPEAL TO SECURITY REVIEW PANEL</u>			
1. Prepare case summaries/briefs for presentation to Security Review Panel.	7.90	14	14
2. Arrange for Security Review Panel meeting to evaluate appeal case.	4.80	12	7
3. Serve as Technical Advisor to Security Review Panel to provide details of case and assist in interpreting adjudication guidelines/policy, as required.	4.90	11	9
4. Prepare written case summary report of panel proceedings and recommendations to the Administrative Assistant to the Secretary for final decision on the appeal.	5.00	10	10
8. LIAISON WITH OTHER AGENCIES/REPRESENTATION			
A. <u>LIAISON WITH OTHER AGENCIES</u>			
1. Represent organization at meetings, briefings or policy formulating sessions with other government agencies.	10.87	33	17
B. <u>COMPLIANCE INSPECTIONS AND TRAINING IN FIELD</u>			
1. Conduct inspections at local Security Offices to determine that directives or regulations are being complied with.	2.57	7	5
2. Summarize findings recommendations based on results of compliance inspections.	2.57	7	6
C. <u>BRIEFINGS/CONFERENCES</u>			
1. Conduct briefings on personnel security matters.	4.82	23	8
2. Participate in Personnel Security Screening Program Conference	1.73	19	2

Table 11 (Continued)

The Least Frequently Performed Adjudicator Tasks

<u>ADJUDICATOR FUNCTIONS, DUTIES, AND TASKS</u>	<u>FRQ</u>	<u>N</u>	<u>RANK</u>
9. RESPONDING TO REQUESTS AND INQUIRIES			
C. <u>CONGRESSIONALS</u>			
2. Prepare written replies to Congressional inquiries on Due Process appeals and "For Cause" military discharge cases.	6.62	8	13
3. Prepare responses to Congressional inquiries concerning the status of investigations/clearance processing.	10.62	16	17
10. SUPERVISORY/MANAGEMENT FUNCTIONS			
B. <u>PERFORMANCE EVALUATIONS</u>			
1. Develop Civilian Work Performance Plan to identify tasks and standards of task performance.	1.63	19	1
2. Prepare performance appraisals to document employee's degree of success in meeting Work Performance Plan objectives.	2.45	24	4
4. Select/nominate personnel for appropriate recognition/award or promotion for outstanding achievement/performance.	1.85	21	3
C. <u>DEVELOPMENT OF STANDARD OPERATING PROCEDURES (SOPS) AND AGENCY-SPECIFIC POLICY</u>			
3. Develop procedures for security managers and commanders in the field to follow, i.e., suspension of access, granting of interim clearances, obtaining psychiatric evaluations, etc.	5.20	10	11
E. <u>TRAINING</u>			
4. Schedule/arrange lectures by experts in related fields of drug and alcohol abuse, criminal and personnel security investigations, psychiatric evaluations for security clearance purposes, polygraph techniques, etc.	8.28	7	15
5. Develop recommendations for changes and improvement in personnel security practices and procedures conducted at field activities.	9.22	9	16

Table 12

Adjudicator Tasks Most Likely to Result in Errors or Inadequate Performance

<u>ADJUDICATOR FUNCTIONS, DUTIES, AND TASKS</u>	<u>FRQ</u>	<u>N</u>	<u>RANK</u>
2. INITIAL CASE REVIEW			
D. <u>INITIAL DEROGATORY CASE REVIEW</u>			
3. Evaluate mitigating factors to assess the seriousness of derogatory information.	2.88	105	16
4. MAJOR DEROGATORY/POST-ADJUDICATION/RECONSIDERATION CASE REVIEW			
A. <u>MAJOR DEROGATORY CASE REVIEW</u>			
4. Review the major derogatory case file to determine if temporary suspension/pending adjudication is warranted based on severity of derogatory material.	3.01	90	5
C. <u>MAJOR DEROGATORY CASE EVALUATION</u>			
2. Using appropriate adjudication guidelines/criteria, evaluate mitigating factors against potentially disqualifying factors to assess the seriousness of derogatory information.	2.87	97	17
3. Logically analyze, in an unbiased fashion, the derogatory and mitigating information to determine its relationship to applicable adjudication criteria and to determine subject's clearance/access eligibility.	2.86	96	19
5. Review information contained in written summaries and/or recommendations to decide whether or not to approve determinations made by a lower grade adjudicator.	2.91	48	15
5. LOI/SOR AND REBUTTAL PROCESS			
A. <u>LOI/SOR DEVELOPMENT</u>			
5. Review LOI/SOR to ensure accuracy and compliance with adjudication guidelines/policy.	3.00	46	6
6. Approve LOI/SOR for referral to signature authority.	3.13	29	3
7. HANDLING OF SPECIAL PROGRAMS OR CASES			
B. <u>CONTROVERSIAL/SPECIAL CASES</u>			
1. Adjudicate sensitive-unique cases requiring extensive adjudicative expertise/knowledge to ensure the credibility of adjudication process and confidentiality of information.	2.86	58	20

Table 12 (Continued)

Adjudicator Tasks Most Likely to Result in Errors or Inadequate Performance

<u>ADJUDICATOR FUNCTIONS, DUTIES, AND TASKS</u>	<u>FRQ</u>	<u>N</u>	<u>RANK</u>
4. Review unique or complex cases referred by supervisor or subordinates to advise concerning investigative sufficiency; credibility or authenticity of information produced; proper application of security standards, national directives and Army regulations.	2.98	60	11
C. SPECIAL ACCESS PROGRAMS			
1. Serves as subject matter expert in administration of Special Program cases (e.g., Loyalty, Pres. Support)	3.17	29	2
2. Review case files for loyalty issues to determine if further investigative efforts are warranted.	3.12	40	4
5. Adjudicate cases at the presidential appointee, Public Law 313 and general officer level to ensure confidentiality and expeditious handling of case because of the rank of the person or the sensitivity of information involved in the case file.	2.91	12	14
6. Make recommendations to command or employer for non-retention based on evaluation of loyalty issues.	2.94	18	13
7. Prepare summary recommendations of case files related to Special Programs as required for review by appointing authority.	3.00	17	7
8. LIAISON WITH OTHER AGENCIES/REPRESENTATION			
A. LIAISON WITH OTHER AGENCIES			
5. As Liaison Officer, review cases at DIS to adjudicate.	3.71	7	1
8. Review and summarize DIS open cases for emergency access.	2.95	21	12
B. COMPLIANCE INSPECTIONS AND TRAINING IN FIELD			
1. Conduct inspections at local Security Offices to determine that directives/regulations are being complied with.	3.00	7	10
3. Conduct staff assistance visits/training seminars to inform and to ensure compliance with personnel security procedures.	3.00	11	8
9. RESPONDING TO REQUESTS AND INQUIRIES			
C. CONGRESSIONALS			
1. Conduct file searches in response to Congressional inquiries on Due Process appeals and "For Cause" military discharge cases.	3.00	17	9
2. Prepare written replies to Congressional inquiries on Due Process appeals and "For Cause" military discharge cases.	2.87	8	18

Table 13

**Distribution of Adjudicator Tasks Most Likely to
Lead to Errors or Inadequate Performance**

<u>Functions</u>	<u>Number of Tasks</u>
1. Case Management	0
2. Initial Case Review	1
3. Minor Derogatory	0
4. Major Derogatory	4
5. LOI/SOR & Rebuttal	2
6. Appeal Process	0
7. Handling Special Programs/Cases	7
8. Liaison With Other Agencies	4
9. Responding to Inquiries	2
10. Supervision/Management	0

Table 14

**Adjudicator Tasks with Most Serious Consequences of Errors
or Inadequate Performance**

<u>ADJUDICATOR FUNCTIONS, DUTIES, AND TASKS</u>	<u>FRQ</u>	<u>N</u>	<u>RANK</u>
2. INITIAL CASE REVIEW			
A. <u>INITIAL CASE REVIEW</u>			
4. Review content of investigation to identify unresolved derogatory items and to determine what additional information must be requested.	3.10	102	16
D. <u>INITIAL DEROGATORY CASE REVIEW</u>			
1. Compare potentially disqualifying factors against appropriate adjudication guidelines to determine if they are, in fact, disqualifying.	3.08	106	20
3. Evaluate mitigating factors to assess the seriousness of derogatory information.	3.22	105	7
4. MAJOR DEROGATORY/POST-ADJUDICATION/RECONSIDERATION CASE REVIEW			
A. <u>MAJOR DEROGATORY CASE REVIEW</u>			
4. Review the major derogatory case file to determine if temporary suspension/pending adjudication is warranted based on severity of derogatory material.	3.13	90	14
C. <u>MAJOR DEROGATORY CASE EVALUATION</u>			
2. Using appropriate adjudication guidelines/criteria, evaluate mitigating factors against potentially disqualifying factors to assess the seriousness of derogatory information.	3.14	97	12
3. Logically analyze, in an unbiased fashion, the derogatory and mitigating information to determine its relationship to applicable adjudication criteria and to determine subject's clearance/access eligibility.	3.12	96	15
5. Review information contained in written summaries and/or recommendations to decide whether or not to approve determinations made by a lower grade adjudicator.	3.14	48	13
5. LOI/SOR AND REBUTTAL PROCESS			
A. <u>LOI/SOR DEVELOPMENT</u>			
5. Review LOI/SOR to ensure accuracy and compliance with adjudication guidelines/policy.	3.10	46	18
6. Approve LOI/SOR for referral to signature authority.	3.31	29	6

Table 14 (Continued)

**Adjudicator Tasks with Most Serious Consequences of Errors
or Inadequate Performance**

<u>ADJUDICATOR FUNCTIONS, DUTIES, AND TASKS</u>	<u>FRQ</u>	<u>N</u>	<u>RANK</u>
C. <u>REBUTTAL ANALYSIS/DECISION</u>			
3. Evaluate total case to determine if the rebuttal information mitigates disqualifying factors contained in the LOI/SOR.	3.18	38	9
6. Approve letter recommending final action based on rebuttal analysis for referral to signature authority.	3.15	19	11
7. HANDLING OF SPECIAL PROGRAMS OR CASES			
B. <u>CONTROVERSIAL/SPECIAL CASES</u>			
1. Adjudicate sensitive-unique cases requiring extensive adjudicative expertise/knowledge to ensure the credibility of adjudication process and confidentiality of information.	3.10	58	17
2. Expedite high priority or time-sensitive cases to support special requirements of commanders or employers.	3.18	58	8
4. Review unique or complex cases referred by supervisor or subordinates to advise concerning investigative sufficiency; credibility or authenticity of information produced; proper application of security standards, national directives and Army regulations.	3.36	60	4
C. <u>SPECIAL ACCESS PROGRAMS</u>			
1. Serves as subject matter expert in administration of Special Program cases (e.g., Loyalty, Presidential Support).	3.41	29	3
2. Review case files for loyalty issues to determine if further investigative efforts are warranted.	3.35	40	5
5. Adjudicate cases at the presidential appointee, Public Law 313 and general officer level to ensure confidentiality and expeditious handling of case because of the rank of the person or the sensitivity of information involved in the case file.	3.41	12	2
6. Make recommendations to command or employer for nonretention based on evaluation of loyalty issues.	3.16	18	10
8. LIAISON WITH OTHER AGENCIES/REPRESENTATION			
A. <u>LIAISON WITH OTHER AGENCIES</u>			
5. As Liaison Officer, review cases at DIS to adjudicate cases.	4.14	7	1

Table 14 (Continued)

**Adjudicator Tasks with Most Serious Consequences of Errors
or Inadequate Performance**

10. SUPERVISORY/MANAGEMENT FUNCTIONS

D. CASE ASSIGNMENTS AND QUALITY ASSURANCE

3. Carefully review completed work assignments to ensure accuracy, detail, and compliance with appropriate security regulations and to determine if a higher supervisory review/action is required.

3.09 41 19

Table 15

Numbers of Tasks with Most Serious Consequences by Function

<u>Functions</u>	<u>Number of Tasks</u>
1. Case Management	0
2. Initial Case Review	3
3. Minor Derogatory	0
4. Major Derogatory	4
5. LOI/SOR & Rebuttal	4
6. Appeal Process	0
7. Handling Special Programs/Cases	7
8. Liaison With Other Agencies	1
9. Responding to Inquiries	0
10. Supervision/Management	1

Task Complexity/Difficulty

Table 16 lists mean complexity ratings (PLX), the N's, and rank of the 20 tasks rated as most complex or difficult to perform. These tasks have mean ratings of 4.28 to 4.70 indicating that they require between an advanced and an extremely high level of skill such that only a very experienced and very competent adjudicator would have. Table 17 summarizes these tasks by function. Tasks considered most difficult/complex are in 6 of the 10 functions including LOI/SORs and Rebuttals, Supervision/Management, Major Derogatory Case Review, Liaison with Other Agencies, Handling Special Programs/Cases, and Appeals. No tasks were included from Case Management, Initial Case Review, Minor Derogatory Case Review, or Responding to Inquiries. Five of the most difficult tasks deal with review of files or prior determinations and another five with evaluation/analysis of cases. In the Supervision/Management category, tasks involve the development of procedures and recommendations to improve adjudication, and training both in the field and within the adjudication branch.

Task Schedule Flexibility. Task Schedule/Flexibility ratings indicated that only one task is time-critical. This task is:

7.0 Handling of Special Programs/Cases

B. Controversial/Special Cases

2. Expedite high priority time-sensitive cases to support special requirements of commanders or employers.

All other tasks were rated as being planned and scheduled. These data indicate that, in general, adjudicators' work is well planned and scheduled and that there are relatively few surprises in the daily workload.

Combined Task Ratings. Table 18 lists the 36 tasks rated as most critical on each of three rating scales: (1) consequence of errors or inadequate performance (ERR); (2) likelihood of errors or inadequate performance (RSK); and (3) task complexity (PLX). An "X" in the table under the rating indicates that the task was included in the most critical list for that rating. The SUM column notes the number of ratings for which the task was included as most critical. For example, Task 2.D.3 was included as having the most serious consequences of error (ERR) and as having the highest likelihood of resulting in errors (RSK), for a total in the SUM column of "2" out of the 3 possible ratings. Table 19 summarizes the number of tasks in each function rated as critical on each of the measures.

Table 16

Adjudicator Tasks Rated as Most Complex or Difficult to Perform

<u>ADJUDICATOR FUNCTIONS, DUTIES, AND TASKS</u>		<u>FRQ</u>	<u>N</u>	<u>RANK</u>
4.	MAJOR DEROGATORY/POST-ADJUDICATION/RECONSIDERATION CASE REVIEW			
A.	MAJOR DEROGATORY CASE REVIEW			
4.	Review the major derogatory case file to determine if temporary suspension/pending adjudication is warranted based on severity of derogatory material.	4.28	90	18
C.	MAJOR DEROGATORY CASE EVALUATION			
2.	Using appropriate adjudication guidelines/criteria, evaluate mitigating factors against potentially disqualifying factors to assess the seriousness of derogatory information.	4.28	97	20
3.	Logically analyze, in an unbiased fashion, the derogatory and mitigating information to determine its relationship to applicable adjudication criteria and to determine subject's clearance/access eligibility.	4.30	96	14
5.	LOI/SOR AND REBUTTAL PROCESS			
A.	LOI/SOR DEVELOPMENT			
3.	Identify specific allegations/reasons under adjudication policy guidelines for inclusion in LOI/SOR.	4.31	61	12
4.	Prepare LOI/SOR for submission to approval authority.	4.31	57	13
5.	Review LOI/SOR to ensure accuracy and compliance with adjudication guidelines/policy.	4.34	46	11
C.	REBUTTAL ANALYSIS/DECISION			
3.	Evaluate total case to determine if the rebuttal information mitigates disqualifying factors contained in the LOI/SOR.	4.36	38	10
5.	Review the letter recommending final action (i.e., denial, revocation, or granting of clearance/access eligibility) based on the rebuttal analysis to ensure accuracy and compliance with adjudication guidelines/policy.	4.45	35	6
6.	APPEAL PROCESS			
A.	APPEAL ANALYSIS			
3.	Perform reevaluation of cases submitted for appeal to develop recommendation to reaffirm or overturn the previous decision to revoke or deny clearance/access eligibility.	4.30	23	15

Table 16 (Continued)

Adjudicator Tasks Rated as Most Complex or Difficult to Perform

<u>ADJUDICATOR FUNCTIONS, DUTIES, AND TASKS</u>	<u>FRQ</u>	<u>N</u>	<u>RANK</u>
7. HANDLING OF SPECIAL PROGRAMS OR CASES			
B. CONTROVERSIAL/SPECIAL CASES			
1. Adjudicate sensitive-unique cases requiring extensive adjudicative expertise/knowledge to ensure the credibility of adjudication process and confidentiality of information.	4.68	58	2
4. Review unique or complex cases referred by supervisor or subordinates to advise concerning investigative sufficiency; credibility or authenticity of information produced; proper application of security standards, national directives and Army regulations.	4.48	60	5
C. SPECIAL ACCESS PROGRAMS			
1. Serves as subject matter expert in administration of Special Program cases (e.g., Loyalty, Presidential Support).	4.55	29	3
8. LIAISON WITH OTHER AGENCIES/REPRESENTATION			
B. COMPLIANCE INSPECTIONS AND TRAINING IN FIELD			
1. Conduct inspections at local Security Offices to determine that directives or regulations are being complied with.	4.28	7	19
3. Conduct staff assistance visits/training seminars to inform and to ensure compliance with personnel security procedures.	4.54	11	4
C. BRIEFINGS/CONFERENCES			
1. Conduct briefings on personnel security matters.	4.30	23	16
10. SUPERVISORY/MANAGEMENT FUNCTIONS			
C. DEVELOPMENT OF STANDARD OPERATING PROCEDURES (SOPS) AND AGENCY-SPECIFIC POLICY			
3. Develop procedures for security managers and commanders in the field to follow, i.e., suspension of access, granting of interim clearances, obtaining psychiatric evaluations, etc.	4.30	10	17

Table 16 (Continued)

Adjudicator Tasks Rated as Most Complex or Difficult to Perform

<u>ADJUDICATOR FUNCTIONS, DUTIES, AND TASKS</u>	<u>FRQ</u>	<u>N</u>	<u>RANK</u>
E. TRAINING			
1. Conduct on-the-job training for newly assigned or promoted adjudicators to develop knowledges and skills necessary for performing adjudicative tasks at increasingly difficult levels of complexity and to enhance career progression.	4.44	36	8
3. Develop specific in-house training programs to improve adjudicator performance in critical areas (e.g., security violations, finances).	4.70	10	1
5. Develop recommendations for changes and improvement in personnel security practices and procedures conducted at field activities.	4.44	9	7
F. HANDLING OF OTHER PERSONNEL ISSUES			
3. Assure equality in determining qualifications, selections, assignments, promotions, awards, etc., to ensure compliance with EEO and affirmative action programs.	4.42	21	9

Table 17

Numbers of Tasks Rated as Most Complex/Difficult to Perform by Function

<u>Functions</u>	<u>Number of Tasks</u>
1. Case Management	0
2. Initial Case Review	0
3. Minor Derogatory	0
4. Major Derogatory	3
5. LOI/SOR & Rebuttal	5
6. Appeal Process	1
7. Handling Special Programs/Cases	3
8. Liaison With Other Agencies	3
9. Responding to Inquiries	0
10. Supervision/Management	5

Table 18

Adjudicator Tasks Selected as Critical on One or More Rating Scales

<u>ADJUDICATOR FUNCTIONS, DUTIES, AND TASKS</u>	<u>ERR</u>	<u>RSK</u>	<u>PLX</u>	<u>SUM</u>
2. INITIAL CASE REVIEW				
A. INITIAL CASE REVIEW				
4. Review content of investigation to identify unresolved derogatory items and to determine what additional information must be requested.	X			1
D. INITIAL DEROGATORY CASE REVIEW				
1. Compare potentially disqualifying factors against appropriate adjudication guidelines to determine if they are, in fact, disqualifying.	X			1
3. Evaluate mitigating factors to assess the seriousness of derogatory information.	X	X		2
4. MAJOR DEROGATORY/POST-ADJUDICATION/ RECONSIDERATION CASE REVIEW				
A. MAJOR DEROGATORY CASE REVIEW				
4. Review the major derogatory case file to determine if temporary suspension/pending adjudication is warranted based on severity of derogatory material.	X	X	X	3
C. MAJOR DEROGATORY CASE EVALUATION				
2. Using appropriate adjudication guidelines/criteria, evaluate mitigating factors against potentially disqualifying factors to assess the seriousness of derogatory information.	X	X	X	3
3. Logically analyze, in an unbiased fashion, the derogatory and mitigating information to determine its relationship to applicable adjudication criteria and to determine subject's clearance/access eligibility.	X	X	X	3
5. Review information contained in written summaries and/or recommendations to decide whether or not to approve determinations made by a lower grade adjudicator.	X	X		2

Table 18 (Continued)

Adjudicator Tasks Selected as Critical on One or More Rating Scales

<u>ADJUDICATOR FUNCTIONS, DUTIES, AND TASKS</u>	<u>ERR</u>	<u>RSK</u>	<u>PLX</u>	<u>SUM</u>
5. LOI/SOR AND REBUTTAL PROCESS				
A. LOI/SOR DEVELOPMENT				
3. Identify specific allegations/reasons under adjudication policy guidelines for inclusion in LOI/SOR.			X	1
4. Prepare LOI/SOR for submission to approval authority.			X	1
5. Review LOI/SOR to ensure accuracy and compliance with adjudication guidelines/policy.	X	X	X	3
6. Approve LOI/SOR for referral to signature authority.	X	X		2
C. REBUTTAL ANALYSIS/DECISION				
3. Evaluate total case to determine if the rebuttal information mitigates disqualifying factors contained in the LOI/SOR.	X		X	2
5. Review the letter recommending final action (i.e., denial, revocation, or granting of clearance/access eligibility) based on the rebuttal analysis to ensure accuracy and compliance with adjudication guidelines/policy.			X	1
6. Approve letter recommending final action based on rebuttal analysis for referral to signature authority.	X			1
6. APPEAL PROCESS				
A. APPEAL ANALYSIS				
3. Perform reevaluation of cases submitted for appeal to develop recommendation to reaffirm or overturn the previous decision to revoke or deny clearance/access eligibility.			X	1
7. HANDLING OF SPECIAL PROGRAMS OR CASES				
B. CONTROVERSIAL/SPECIAL CASES				
1. Adjudicate sensitive-unique cases requiring extensive adjudicative expertise/knowledge to ensure the credibility of adjudication process and confidentiality of information.	X	X	X	3
2. Expedite high priority or time-sensitive cases to support special requirements of commanders or employers.	X			1

Table 18 (Continued)

Adjudicator Tasks Selected as Critical on One or More Rating Scales

ADJUDICATOR FUNCTIONS, DUTIES, AND TASKS	ERR	RSK	PLX	SUM
4. Review unique or complex cases referred by supervisor or subordinates to advise concerning investigative sufficiency; credibility or authenticity of information produced; proper application of security standards, national directives and Army regulations.	X	X	X	3
C. SPECIAL ACCESS PROGRAMS				
1. Serves as subject matter expert in administration of Special Program cases (e.g., Loyalty, Presidential Support).	X	X	X	3
2. Review case files for loyalty issues to determine if further investigative efforts are warranted.	X	X		2
5. Adjudicate cases at the presidential appointee, Public Law 313 and general officer level to ensure confidentiality and expeditious handling of case because of the rank of the person or the sensitivity of information involved in the case file.	X	X		2
6. Make recommendations to command or employer for non-retention based on evaluation of loyalty issues.	X	X		2
7. Prepare summary recommendations of case files related to Special Programs as required for review by appointing authority.		X		1
8. LIAISON WITH OTHER AGENCIES/REPRESENTATION				
A. LIAISON WITH OTHER AGENCIES				
5. As Liaison Officer, review cases at DIS to adjudicate cases.	X	X		2
8. Review and summarize DIS open cases for emergency access.		X		1
B. COMPLIANCE INSPECTIONS AND TRAINING IN FIELD				
1. Conduct inspections at local Security Offices to determine that directives or regulations are being complied with.		X	X	2
3. Conduct staff assistance visits/training seminars to inform and to ensure compliance with personnel security procedures.		X	X	2
C. BRIEFINGS/CONFERENCES				
1. Conduct briefings on personnel security matters.			X	1

Table 18 (Continued)

Adjudicator Tasks Selected as Critical on One or More Rating Scales

<u>ADJUDICATOR FUNCTIONS, DUTIES, AND TASKS</u>	<u>ERR</u>	<u>RSK</u>	<u>PLX</u>	<u>SUM</u>
9. RESPONDING TO REQUESTS AND INQUIRIES				
C. CONGRESSIONALS				
1. Conduct file searches in response to Congressional inquiries on Due Process appeals and 'For Cause' military discharge cases.		X		1
2. Prepare written replies to Congressional inquiries on Due Process appeals and 'For Cause' military discharge cases.		X		1
10. SUPERVISORY/MANAGEMENT FUNCTIONS				
C. DEVELOPMENT OF STANDARD OPERATING PROCEDURES (SOPS) AND AGENCY-SPECIFIC POLICY				
3. Develop procedures for security managers and commanders in the field to follow, i.e., suspension of access, granting of interim clearances, obtaining psychiatric evaluations, etc.			X	1
			X	1
D. CASE ASSIGNMENTS AND QUALITY ASSURANCE				
3. Carefully review completed work assignments to ensure accuracy, detail, and compliance with appropriate security regulations and to determine if a higher supervisory review/action is required.	X			1
E. TRAINING				
1. Conduct on-the-job training for newly assigned or promoted adjudicators to develop knowledges and skills necessary for performing adjudicative tasks at increasingly difficult levels of complexity and to enhance career progression.			X	1
3. Develop specific in-house training programs to improve adjudicator performance in critical areas (e.g., security violations, finances).			X	1
5. Develop recommendations for changes and improvement in personnel security practices and procedures conducted at field activities.			X	1
F. HANDLING OF OTHER PERSONNEL ISSUES				
3. Assure equality in determining qualifications, selections, assignments, promotions, awards, etc., to ensure compliance with EEO and affirmative action programs.			X	1

Table 19

**Numbers of Tasks Rated Most Critical
on Each of the Criticality Measures**

<u>Function</u>	<u>ERR</u>	<u>RSK</u>	<u>PLX</u>	<u>SUM</u>
1. Case Management	0	0	0	0
2. Initial Case Review	3	1	0	4
3. Minor Derogatory Case Review	0	0	0	0
4. Major Derogatory Case Review	4	4	3	11
5. LOI/SOR and Rebuttals	4	2	5	11
6. Appeal Process	0	0	1	1
7. Handling Special Programs/Cases	7	7	3	17
8. Liaison With Other Agencies	1	4	3	8
9. Responding to Requests/Inquiries	0	2	0	0
10. Supervision/Management	1	0	5	6

Of the 36 tasks listed as most critical, 25 were rated critical in terms of errors. This means that there were an additional 11 tasks rated as most difficult/complex but not necessarily most critical in terms of seriousness or likelihood of errors. Examination of the content of these tasks indicates that Case Management and Minor Derogatory Case Review had no tasks rated as the most critical.

The RSK and ERR indices can be defined as the top most critical tasks in terms of severity and likelihood of errors or inadequate performance. No tasks in this category come from Case Management, Minor Derogatory Case Review, Appeal Process, only one from Supervision/Management, and two from Responding to Inquiries. Most critical are 5 of the 10 major functions:

- Handling Special Programs/Cases.
- Major Derogatory.
- LOI/SORs and Rebuttals.

- Liaison with Other Agencies.
- Initial Case Review.

Combining the two criticality indices of RSK and ERR, there were 25 tasks, 14 of which were rated as both likely to produce errors and to have most serious consequences of errors. Seven of these 14 tasks also were rated as most difficult/complex.

Twenty tasks were rated as highest on only 1 of the 3 scales. Three of these were considered to have the most serious consequences, 6 the highest likelihood of errors, and 11 to be most difficult/complex.

Above all, the function with the most serious impact was Handling of Special Programs/Cases. It should be noted that this was the function with the single most time-pressured task. While ERR and RSK ratings are not necessarily correlated, in the case of Special Programs/Cases and Major Derogatory Case Review both indices were present.

Examination of specific task content in RSK & ERR indicates that over half of the tasks rated as critical involve review of case content prior to determination, analysis/adjudication, or approval of decisions/determinations.

Complexity of task performances is more of a training issue than a criticality variable. The more complex tasks require both initial and regular training as well as decision aids. Tasks that are most complex as well as critical need special attention. These factors suggest a program that emphasizes Handling of Special Programs/Cases, Major Derogatory Case Review, LOIs/SORs, Liaison with Other Agencies, and Supervision/Management. With tasks that are not that difficult but are likely to cause errors, enhanced training and/or decision aids should be able to reduce the likelihood and severity of the errors.

CHAPTER VI

Summary and Conclusions

The following are products developed in the Phase A research effort.

- o Complete functional flow analysis of adjudicator functions and duties.
- o Comprehensive listing of adjudicator major functions, duties, and tasks.
- o Summary of adjudicator functions and duties by estimated time spent by each grade level.
- o Mean ratings for all tasks, duties, and functions on the four major rating scales: Frequency, Consequence of Error or Inadequate Performance, Likelihood of Errors or Inadequate Performance, and Difficulty/Complexity.
- o Rank-ordered lists of the most critical tasks in terms of the four rating scales.
- o Computer-based, interactive task analysis data base containing the task inventory and response data from 95% of all incumbent adjudicators in grades GS-05 to GS-09 for nine DOD agencies.

The study reports the objective judgments of virtually all adjudicators in these nine DoD agencies. The experience of these adjudicators leads us to believe that the research products accurately reflect the behaviors required to carry out adjudicators' jobs and job tasks in DoD agencies.

All of the products from the Phase A research have immediate and future utility for facility managers and for DoD-wide programs. Some example uses are:

- Training curriculum based on analysis products tailored to career path and personnel development planning.
- Refresher training designed for all levels for critical or infrequently performed tasks.

- Design of rationally ordered and progressive on-the-job training exercises and evaluations for personnel development.
- Adjudicator certification program based on career development, on-the-job, and refresher training performance.
- Quality assurance program enhancement with procedural triggers based upon critical task data.
- Supplemental job and training aids development for critical and complex tasks.
- Position descriptions that detail functions, duties, and tasks in terms of the required training certification and performance expectations.
- Management information tracking system for agency supervisors and managers which is based upon objective frequency and level of effort data.

The next phase of this project will address some of these applications of the research products. Phase B will describe a subset of critical tasks in terms of the knowledge, skills, and abilities required to achieve specified levels of task performance and quality. This additional information will be useful in designing adjudicator training, performance evaluation programs and procedures, performance enhancement programs and techniques, and job management and decision aids.

Both the Phase A and upcoming Phase B products provide management with information required to reach its longer-term goals of developing a fully automated Adjudicator Management Information System (ADMIS) and an integrated Adjudicator Performance Enhancement Program (ADJPEP). The data collected form a foundation for the development of a limited Job Description Data Base--an essential component in the development of both the ADMIS and the ADJPEP.

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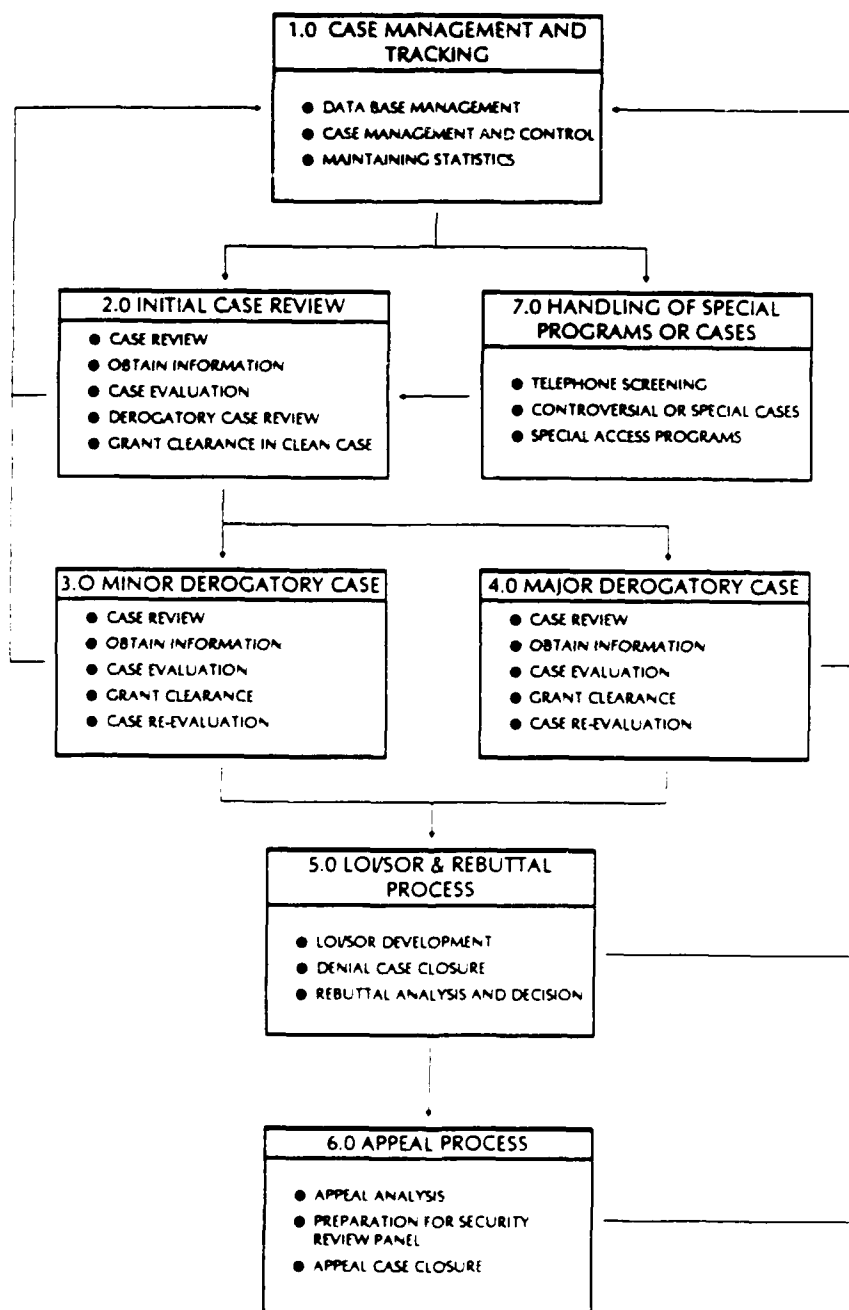
List of Appendixes

- A. Functional Analysis of Adjudication Process
- B. Comprehensive List of Adjudicator Functions, Duties, and Tasks
- C. Adjudicator Task Survey Questionnaire
- D. List of Means, Ns, and Rank of Task on Rating Scales

APPENDIX A

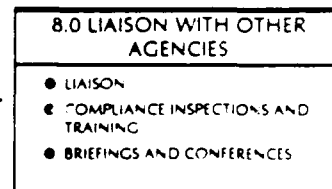
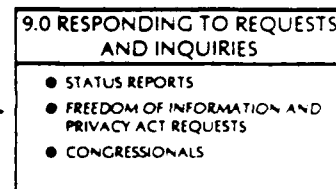
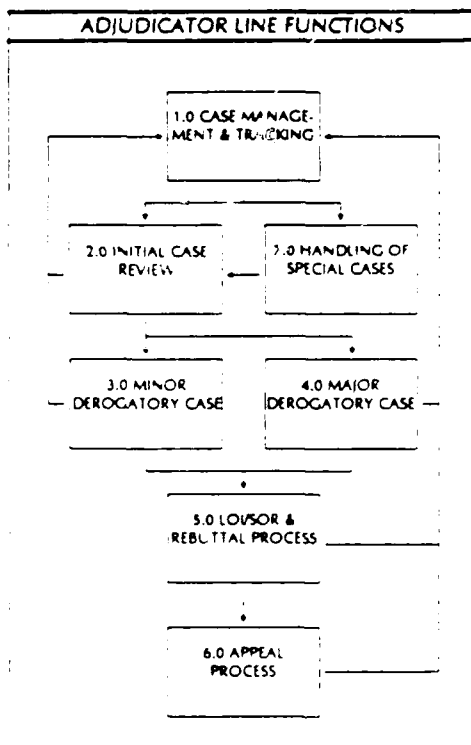
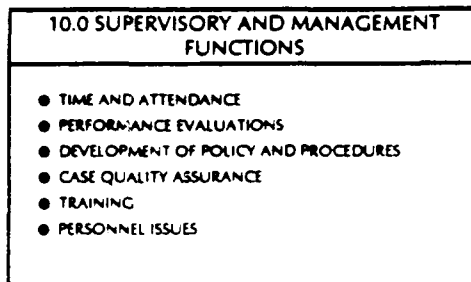
FUNCTIONAL ANALYSIS OF ADJUDICATION PROCESS

OVERVIEW: ADJUDICATOR LINE FUNCTIONS



II

OVERVIEW: ADJUDICATOR STAFF FUNCTIONS



1.0

Case Management, Tracking and Administration

DATA BASE MANAGEMENT

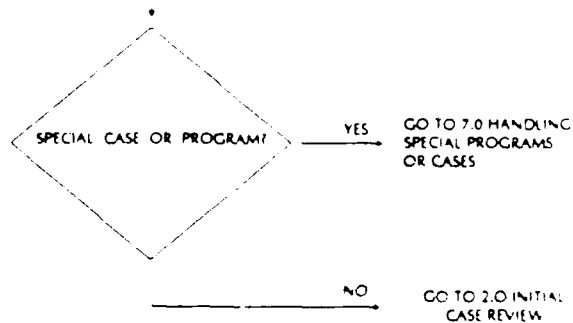
- ENTER CASE DATA
- OBTAIN CASE PRINTOUT
- UPDATE CASE RECORD

CASE MANAGEMENT AND CONTROL

- ASSIGN CASES
- MAINTAIN PHYSICAL CASE SECURITY
- MAINTAIN CASE ROSTERS
- DOCUMENT CASE CALLS AND VISITS

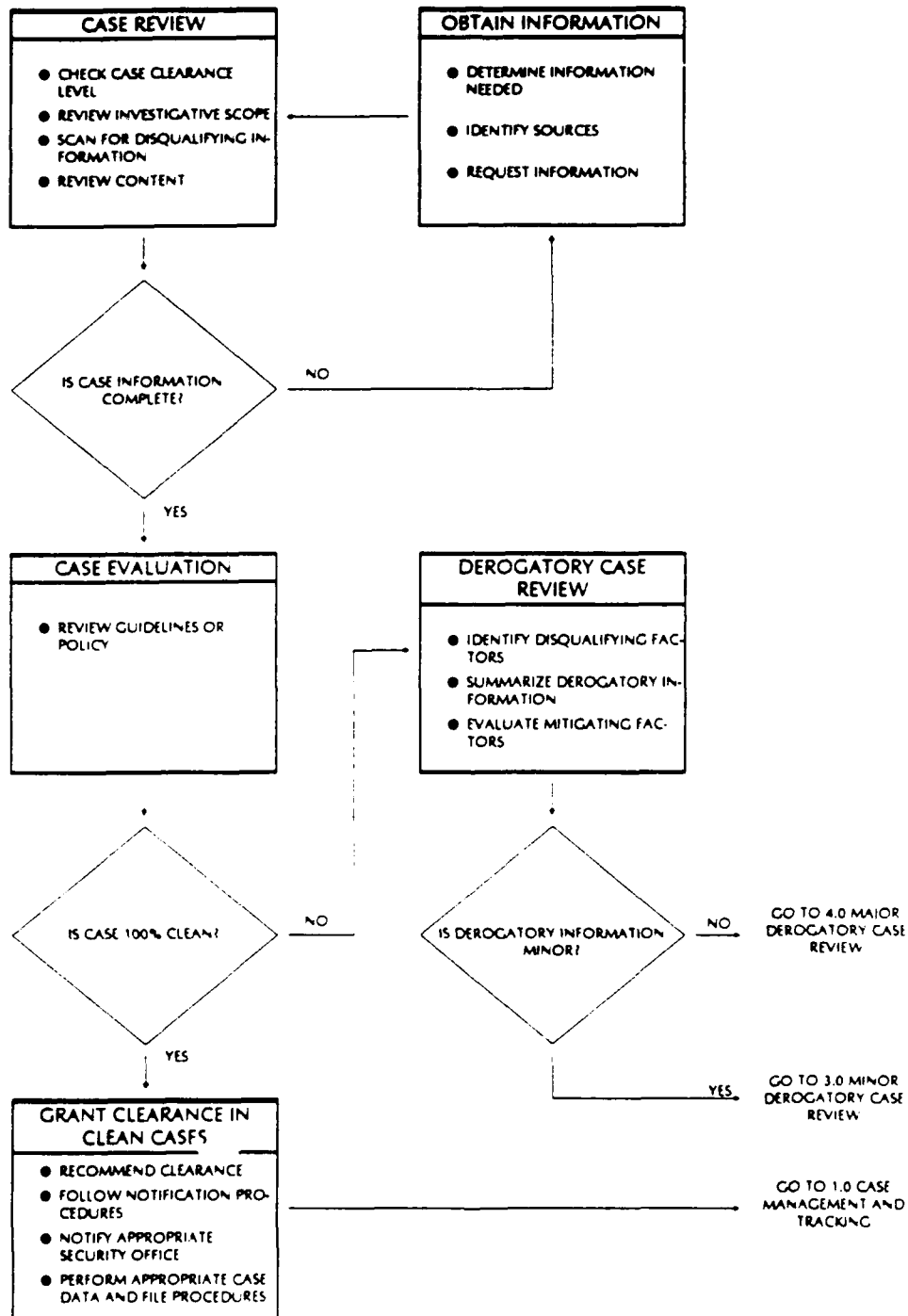
MAINTAINING STATISTICS

- RECORD TIME SPENT
- RECORD ALL CASE ACTIONS



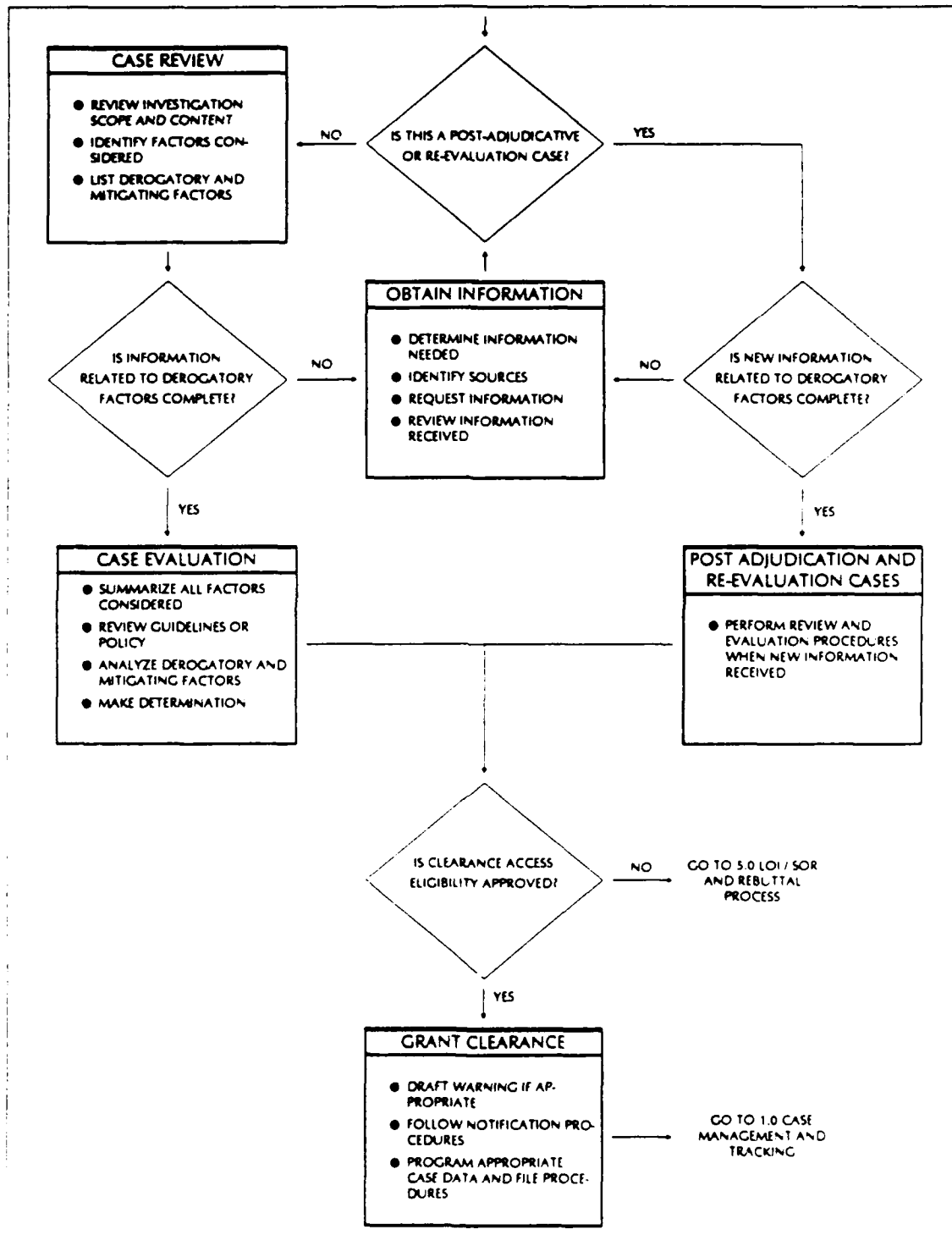
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Initial Case Review



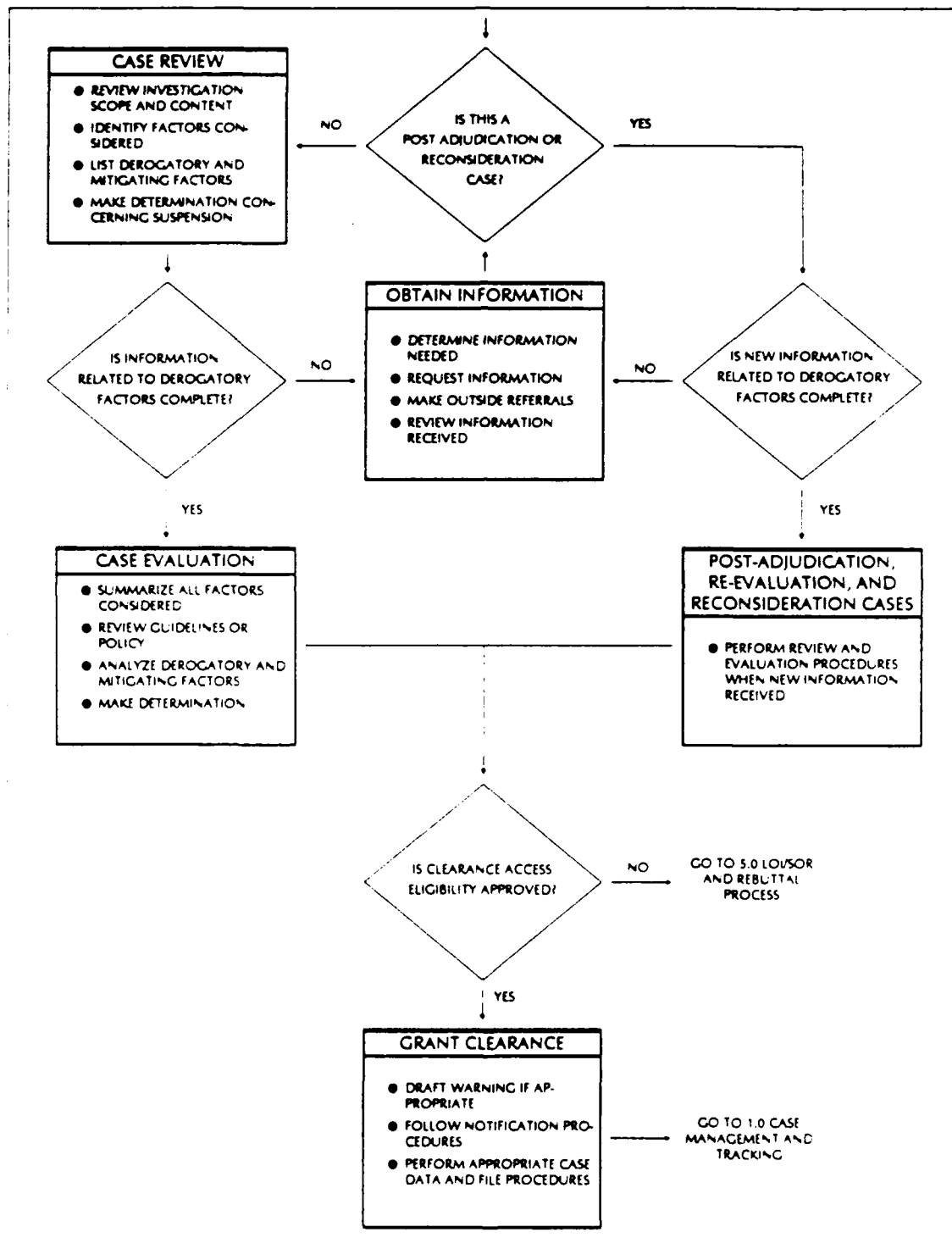
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Minor Derogatory Case Review



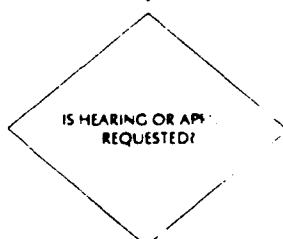
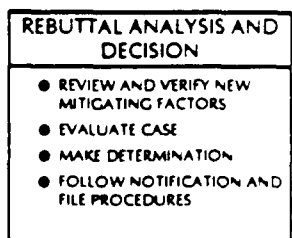
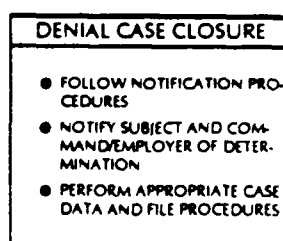
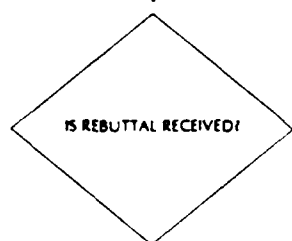
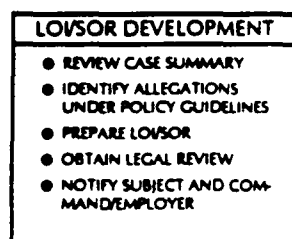
4.0

Major Derogatory Case Review



5.0

LOI/SOR and Rebuttal Process

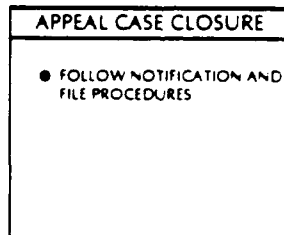
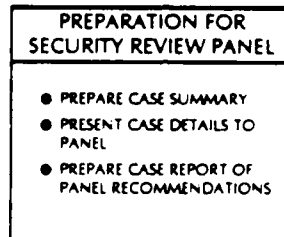
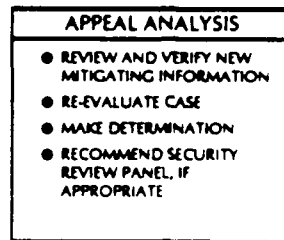


YES
GO TO 6.0 APPEAL PROCESS

NO
GO TO 1.0 CASE MANAGEMENT AND TRACKING

6.0

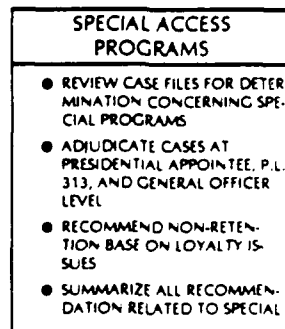
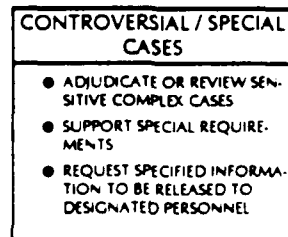
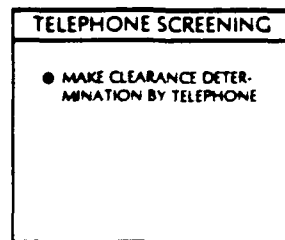
Appeal Process



GO TO 1.0 CASE
MANAGEMENT AND
TRACKING

7.0

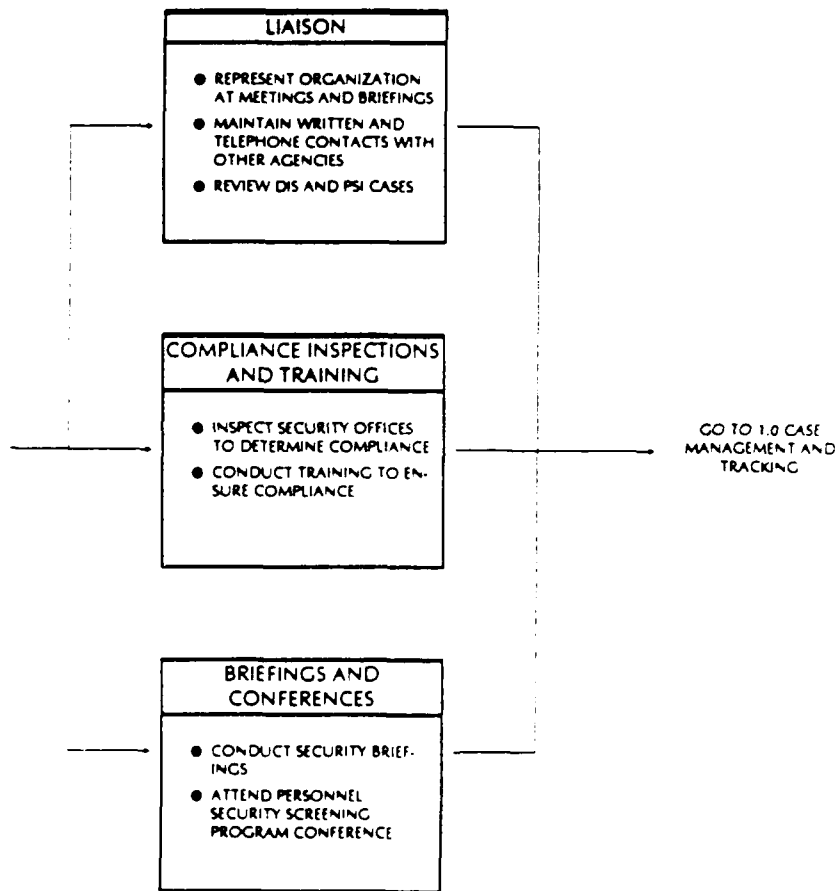
Handling of Special cases or Programs



GO TO 1.0 CASE
MANAGEMENT
AND TRACKING

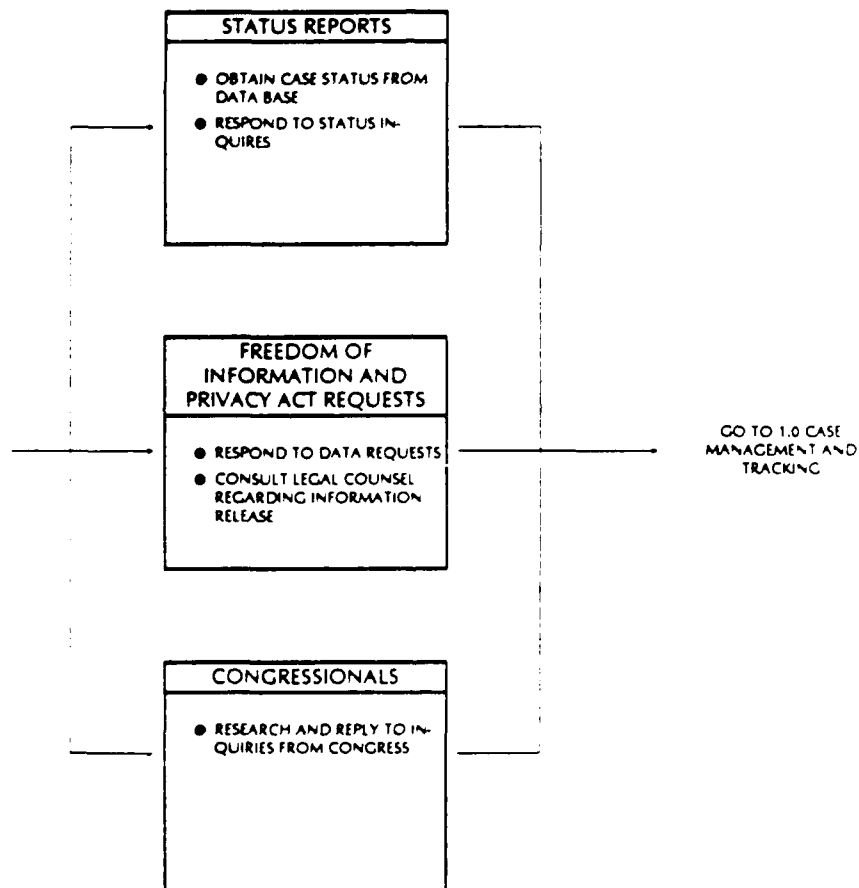
8.0

Liaison with other Agencies



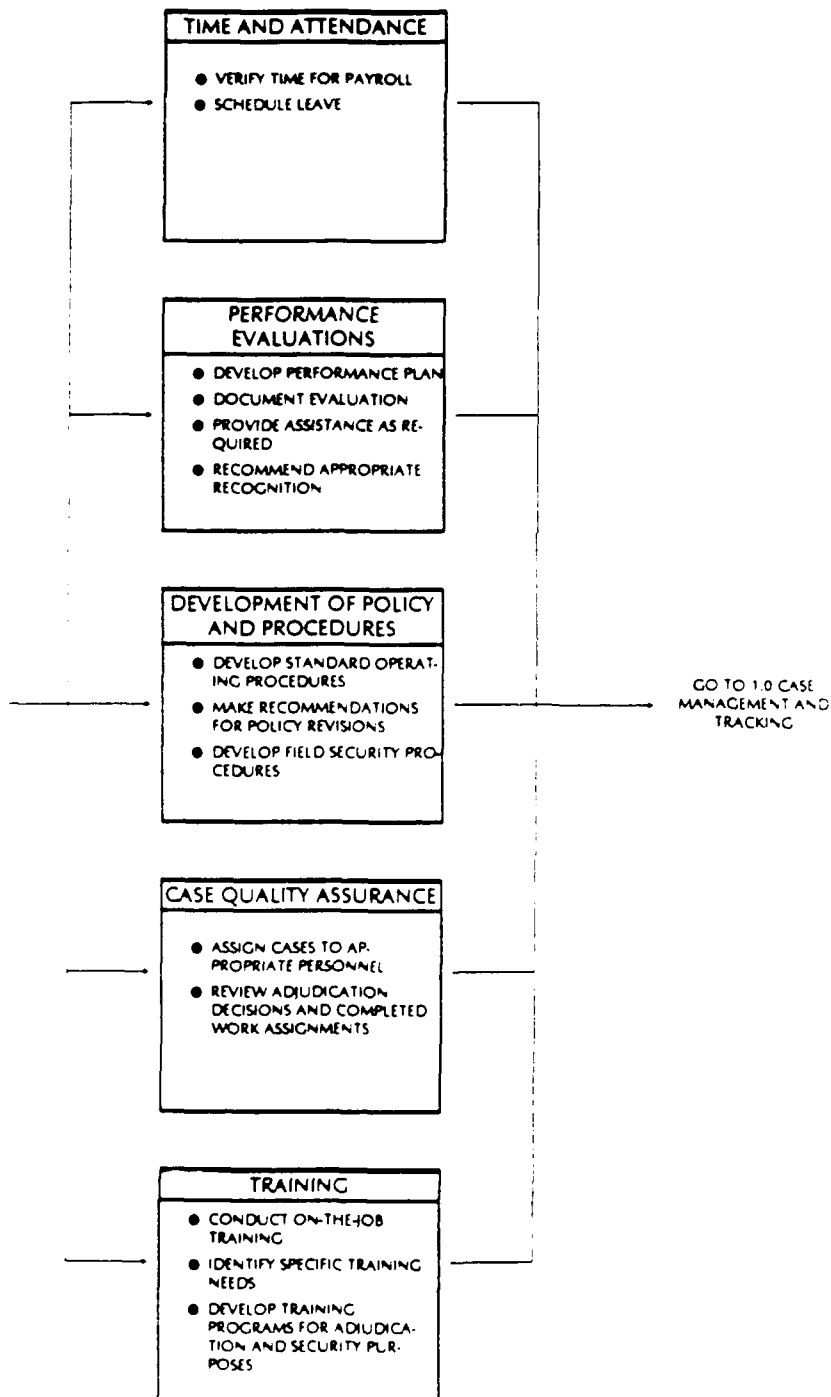
9.0

Responding to Requests and Inquiries



10.0

Supervisory and Management Functions



APPENDIX B

COMPREHENSIVE LIST OF ADJUDICATOR FUNCTIONS, DUTIES, AND TASKS

MAJOR FUNCTIONS, DUTIES, AND TASKS PERFORMED BY ADJUDICATORS IN DOD CENTRALIZED FACILITIES

Final Product of SME Meetings Conducted
19-20 and 26-27 January 1988

1. CASE MANAGEMENT, TRACKING, AND ADMINISTRATION

A. DATA BASE MANAGEMENT

1. Prepare/enter case data for entry into appropriate data systems (e.g., JACS, CMS).
2. Obtain printout from DCII data base for inclusion in case file.
3. Update automated records to include new or changed Personal Identifying Data (PID).

B. CASE MANAGEMENT AND CONTROL

1. Assign case to adjudicators based upon complexity of case and experience level of adjudicators.
2. Maintain physical control of case files during time case is assigned to adjudicator.
3. Maintain/review rosters of assigned cases to verify accountability and to reflect actions taken.
4. Document content of all incoming/outgoing case-related telephone calls/visits to ensure accurate record of case activity.

C. MAINTAINING STATISTICS

1. Keep track of time spent on adjudication and non-adjudication activities in order to ensure equitable distribution of work load.
2. Keep track of all actions taken on cases (e.g., disposition of cases, LOI/SORs drafted and issued, investigation requests) to aid in accessing productivity.

2. INITIAL CASE REVIEW

A. INITIAL CASE REVIEW

1. Check entry on investigative cover sheets to ascertain that type of case is appropriate for level of clearance (e.g., SCI, Collateral) or other

- actions as required.
- 2. Scan case material to determine that information meets the investigative scope as required by DoD regulations/directives.
- 3. Scan case information to identify any potentially disqualifying information that may be contained in it.
- 4. Review content of investigation to identify unresolved derogatory items and to determine what additional information must be requested.

B. REQUEST AND OBTAIN INFORMATION

- 1. Determine the type of information that is needed to complete adjudicative action.
- 2. Identify sources that can provide the needed information.
- 3. Compose letter, message, etc., to identified sources to request additional information needed to adjudicate case.

C. INITIAL CASE EVALUATION

- 1. Review case against adjudication guidelines/policy to determine if clearance or requested action can be supported.

D. INITIAL DEROGATORY CASE REVIEW

- 1. Compare potentially disqualifying factors against appropriate adjudication guidelines to determine if they are, in fact, disqualifying.
- 2. List/summarize derogatory information to provide a record or concise history of derogatory information.
- 3. Evaluate mitigating factors to assess the seriousness of derogatory information.

E. GRANT CLEARANCE/ACCESS ELIGIBILITY IN CLEAN CASES

- 1. Recommend final determination to grant clearance/access eligibility in clean cases (including recertification and acceptance of reciprocal clearances) providing the basis for decision if required.
- 2. Draft notification needed to grant clearance/access eligibility and to close out the case.
- 3. Approve notification needed to grant clearance/access eligibility and to close out the case.
- 4. Sign notification needed to grant clearance/access eligibility and to close out the case.
- 5. Send letter, message, or form to local security office to inform them of subject's clearance/access eligibility.
- 6. Code data entry sheet showing type of investigation and clearance/access eligibility for input into case management system.
- 7. Upon granting of clearance/access eligibility, make a notation on case package that investigation data should be sent back to field activity.
- 8. Mail investigation data to field activity.
- 9. If case is not clean, retain pertinent adjudicative data for reference in future adjudicative actions..

3. MINOR DEROGATORY/POST-ADJUDICATION CASE REVIEW

A. MINOR DEROGATORY CASE REVIEW

1. Scan minor derogatory case material to determine that information meets the investigative scope as required by DoD regulations/directives.
2. Review content of investigation to identify unresolved minor derogatory items and to determine what additional information must be requested.
3. Scan minor derogatory case information to identify any potentially disqualifying information that may be contained in it.
4. Review determinations that have been prepared by lower grade adjudicators to determine if decision is justified.
5. Prepare a narrative summary of all factors considered in the adjudication of case to communicate with reviewing adjudicator.
6. List on case data sheet all derogatory and mitigating factors considered in the adjudication to document basis for decision/ recommendation.

B. REQUEST AND OBTAIN NEEDED INFORMATION

1. Determine the type of information, if any, that is needed to complete the adjudicative action.
2. Identify sources that can provide the needed information.
3. Compose letter, message, etc., to sources to request additional information needed to adjudicate case.
4. Review responses to information requests to determine that information is adequate for continuing adjudication process.

C. MINOR DEROGATORY CASE EVALUATION

1. Summarize derogatory and mitigating information to provide a record or concise history of derogatory information.
2. Using appropriate adjudication guidelines/criteria, evaluate mitigating factors against potentially disqualifying factors to assess the seriousness of derogatory information.
3. Logically analyze, in an unbiased fashion, the derogatory and mitigating information to determine its relationship to applicable adjudication criteria and to determine subject's clearance/access eligibility.
4. Prepare written recommendation stating rationale for the determination made.
5. Review information contained in written summaries and/or recommendations to decide whether or not to approve determinations made by a lower grade adjudicator.
6. Sign determinations produced by other adjudicators.

D. GRANT CLEARANCE/ACCESS ELIGIBILITY IN CASES WITH MINOR DEROGATORY INFORMATION

1. Draft Warning Letter/Message in cases where warranted to inform of adjudication concerns or limitations.
2. Draft notification granting clearance/access eligibility for submission to approval authority.

3. Approve notification granting clearance/access eligibility for submission to signature authority.
4. Authorize/sign notification granting clearance/access eligibility to inform of action taken.
5. Code data entry sheet showing type of investigation and clearance/access eligibility for input into case management system.
6. Upon granting of clearance/access eligibility, make a notation on case package that investigation data should be sent back to field activity.
7. Mail investigation data to field activity.
8. Retain file of pertinent adjudication information for reference in future adjudicative actions.

E. POST-ADJUDICATION AND RE-EVALUATION CASES

1. 54. Re-evaluate previously granted clearance/access eligibility determinations when minor derogatory information is received.

4. MAJOR DEROGATORY/POST-ADJUDICATION/RECONSIDERATION CASE REVIEW

A. MAJOR DEROGATORY CASE REVIEW

1. Scan major derogatory case material to determine that information meets the investigative scope as required by DoD regulations/directives.
2. Review content of investigation to identify unresolved major derogatory items and to determine what additional information must be requested.
3. List major derogatory and mitigating information to provide a record or concise history of derogatory information.
4. Review the major derogatory case file to determine if temporary suspension/pending adjudication is warranted based on severity of derogatory material.

B. REQUEST AND OBTAIN NEEDED INFORMATION

1. Determine the type of information, if any, that is needed to complete the adjudicative action.
2. Identify sources that can provide the needed information.
3. Compose letter, message, etc., to sources to request additional information needed to adjudicate case.
4. Request employment/retention suitability determinations from command when warranted.
5. Make outside referrals to mental health, medical, legal, etc., experts for review when warranted.
6. Review responses to information requests to determine that information is adequate for continuing adjudication process according to adjudication guidelines/policy.

C. MAJOR DEROGATORY CASE EVALUATION

1. Summarize derogatory and mitigating information to provide a record or concise history of derogatory information.
2. Using appropriate adjudication guidelines/criteria, evaluate mitigating factors against potentially disqualifying factors to assess the seriousness

of derogatory information.

3. Logically analyze, in an unbiased fashion, the derogatory and mitigating information to determine its relationship to applicable adjudication criteria and to determine subject's clearance/access eligibility.
4. Prepare written recommendation stating rationale for the determination made and any necessary waivers, exceptions, or warnings.
5. Review information contained in written summaries and/or recommendations to decide whether or not to approve determinations made by a lower grade adjudicator.
6. Sign determinations produced by other adjudicators.

D. GRANT CLEARANCE/ACCESS ELIGIBILITY IN CASES WITH MAJOR DEROGATORY INFORMATION

1. Draft Warning Letter/Message in cases where warranted to inform of adjudication concerns or limitations.
2. Draft notification granting clearance/access eligibility for submission to approval authority.
3. Approve notification granting clearance/access eligibility for submission to signature authority.
4. Authorize/sign notification granting clearance/access eligibility to inform of action taken.
5. Retain pertinent adjudicative data to document case histories containing major derogatory information.
6. Code data entry sheet showing type of investigation and clearance/access eligibility for input into case management system.
7. Upon granting of clearance/access eligibility, make a notation on case package that investigation data should be sent back to field activity.
8. Mail investigation data to field activity.
9. Retain file of pertinent adjudication information for reference in future adjudicative actions.

E. POST-ADJUDICATION, RE-EVALUATION, AND RECONSIDERATION CASES

1. Re-evaluate previously granted clearance/access eligibility determinations when major derogatory information is received or when reconsideration is requested.
2. Prepare notification to appropriate agencies of reconsideration decision.

5. LOI/SOR AND REBUTTAL PROCESS

A. LOI/SOR DEVELOPMENT

1. Review case file/summary and recommendations to determine whether or not LOI/SOR is warranted.
2. Review case summary to determine level of clearance/access eligibility denial (e.g., SCI or Collateral).
3. Identify specific allegations/reasons under adjudication policy guidelines for inclusion in LOI/SOR.
4. Prepare LOI/SOR for submission to approval authority.
5. Review LOI/SOR to ensure accuracy and compliance with adjudication guidelines/policy.

6. Approve LOI/SOR for referral to signature authority.
7. Refer draft LOI/SOR to Department Counsel for legal review prior to issuance of LOI/SOR.
8. Issue/sign LOI/SOR to notify subject of intent to deny/ revoke clearance/access eligibility.
9. Obtain command recommendations/acknowledgment to ensure that command is informed of proposed action to deny or revoke clearance/access eligibility.

B. DENIAL CASE CLOSURE IF NO REBUTTAL IS RECEIVED OR RESPONSE IS DECLINED

1. Draft final notification of clearance/access eligibility denial/revocation to inform subject of actions taken.
2. Retain file of pertinent adjudication information for reference in future adjudicative actions.
3. Review draft final notification of clearance/access eligibility denial or revocation to ensure accuracy and compliance with regulations, directives, and guidelines.
4. Approve final notification of clearance/access eligibility denial or revocation for referral to signature authority.
5. Issue/sign final notification of clearance/access eligibility denial or revocation to inform subject of actions taken.
6. Notify command/employer of clearance/access eligibility denial/revocation to ensure that they are informed of the actions taken.
7. Draft/prepare Personnel Suitability letter and accompanying file information for retention in subject's personnel records.
8. Prepare data entry indicating denial/revocation of clearance/access eligibility to update appropriate data system records (e.g., DCII, ASCAS, JACS).
9. Return file to closed files for retention/retirement.
10. Provide copies of LOI/SOR, rebuttal, and final determination for inclusion in Officer/Senior Enlisted personnel records.

C. REBUTTAL ANALYSIS/DECISION

1. Summarize file information to include new mitigating information obtained from the subject's rebuttal.
2. Obtain additional information, if necessary, to verify information contained in subject's rebuttal.
3. Evaluate total case to determine if the rebuttal information mitigates disqualifying factors contained in the LOI/SOR.
4. Draft letter (following rebuttal analysis) stating rationale for recommendation to sustain or reverse the decision to deny/ revoke clearance/access eligibility as outlined in the LOI/SOR.
5. Review the letter recommending final action (i.e., denial, revocation, or granting of clearance/access eligibility) based on the rebuttal analysis to ensure accuracy and compliance with adjudication guidelines/policy.
6. Approve letter recommending final action based on rebuttal analysis for referral to signature authority.
7. Issue/sign letter to inform subject of actions taken following rebuttal analysis.
8. Prepare data entry for updating appropriate data system (e.g., DCII, ASCAS, JACS) with rebuttal results.

9. After rebuttal decision and notification, return file to closed files for retention/retirement.

6. APPEAL PROCESS

A. APPEAL ANALYSIS

1. Summarize file information to include new mitigating information obtained from the subject's appeal.
2. Obtain additional information, if necessary, to verify information contained in subject's appeal.
3. Perform reevaluation of cases submitted for appeal to develop recommendation to reaffirm or overturn the previous decision to revoke or deny clearance/access eligibility.
4. Recommend to approval authority that appeal be presented to Security Review Panel.
5. Approve recommendation to present appeal to Security Review Panel.

B. PREPARATION FOR APPEAL TO SECURITY REVIEW PANEL

1. Prepare case summaries/briefs for presentation to Security Review Panel.
2. Arrange for Security Review Panel meeting to evaluate appeal case.
3. Serve as Technical Advisor to Security Review Panel to provide details of case and assist in interpreting adjudication guidelines/policy, as required.
4. Prepare written case summary report of panel proceedings and recommendations to the Administrative Assistant to the Secretary for a final decision on the appeal.

C. APPEAL CASE CLOSURE

1. Draft notification to inform subject of results of appeal.
2. Approve notification stating results of appeal for submission to signature authority.
3. Issue/sign letter notifying subject of results of appeal process.
4. Prepare data entry for updating appropriate data systems (e.g., DCII, ASCAS, JACS) with appeal results.
5. After appeal decision and notification, return file to closed files for retention/retirement.

7. HANDLING OF SPECIAL PROGRAMS OR CASES

A. TELEPHONIC SCREENING ADJUDICATION

1. Makes on-the-spot telephonic SCI access/security clearance determinations on cases referred during and after duty hours by Security Interviews at Military Enlistment Processing Command and/or by personnel at Basic Training Sites (e.g., PSSP).

B. CONTROVERSIAL/SPECIAL CASES

1. Adjudicate sensitive-unique cases requiring extensive adjudicative

expertise/knowledge to ensure the credibility of adjudication process and confidentiality of information.

2. Expedite high priority or time-sensitive cases to support special requirements of commanders or employers.
3. Initiate requests for PSIs/SBIs for designated personnel (e.g., Air Staff) to obtain investigative information required for security clearance/access eligibility determinations.
4. Review unique or complex cases referred by supervisor or subordinates to advise concerning investigative sufficiency; credibility or authenticity of information produced; proper application of security standards, national directives and Army regulations.

C. SPECIAL ACCESS PROGRAMS

1. Serves as subject matter expert in administration of Special Program cases (e.g., Loyalty, Presidential Support).
2. Review case files for loyalty issues to determine if further investigative efforts are warranted.
3. Review case file against PRP guidelines/policy to determine eligibility for assignment to Personnel Reliability/Surety Program.
4. Review case file for suitability/eligibility in Special Programs (e.g., Presidential Support, Military Intelligence, General Officer) to determine subject's acceptability for special access program.
5. Adjudicate cases at the presidential appointee, Public Law 313 and general officer level to ensure confidentiality and expeditious handling of case because of the rank of the person or the sensitivity of information involved in the case file.
6. Make recommendations to command or employer for non-retention based on evaluation of loyalty issues.
7. Prepare summary recommendations of case files related to Special Programs as required for review by appointing authority.

8. LIAISON WITH OTHER AGENCIES/REPRESENTATION

A. LIAISON WITH OTHER AGENCIES

1. Represent organization at meetings, briefings or policy formulating sessions with other government agencies.
2. Call contacts at other agencies to obtain clearance status, visit requests, order investigative files, etc.
3. Request/order a Personnel Security Investigation and/or other investigative file from appropriate agency.
4. Write/call other security agencies to request authority to release information.
5. As Liaison Officer, review cases at DIS to adjudicate cases.
6. Brief other agency personnel on organizational policies and procedures.
7. Review PSI requests received for accuracy prior to submission to DIS.
8. Review and summarize DIS open cases for emergency access.
9. Maintain regular contact with representatives from military departments and national agencies concerning personnel security and special access matters.

10. Inform commands of any changes in investigative requirements and adjudicative policy/procedures.
11. Maintain liaison with assigned organizations to provide advice and resolve problems concerning personnel security, status on pending cases, etc.

B. COMPLIANCE INSPECTIONS AND TRAINING IN FIELD

1. Conduct inspections at local Security Offices to determine that directives or regulations are being complied with.
2. Summarize findings/recommendations based on results of compliance inspections.
3. Conduct staff assistance visits/training seminars to inform and to ensure compliance with personnel security procedures.

C. BRIEFINGS/CONFERENCES

1. Conduct briefings on personnel security matters.
2. Participate in Personnel Security Screening Program Conference.

9. RESPONDING TO REQUESTS AND INQUIRIES

A. STATUS REPORTS/TRACERS

1. Obtain status of cases and clearance/access eligibility from computer data bases.
2. Prepare responses to inquiries concerning the status of investigations/clearance processing.

B. FREEDOM OF INFORMATION AND PRIVACY ACT REQUESTS

1. Extract file data in response to requests for file documents under the provisions of the Freedom of Information Act and Privacy Act.
2. Consult with Judge Advocate, General Counsel, and Legislative Liaison Office regarding the ramifications of releasing certain sensitive information.

C. CONGRESSIONALS

1. Conduct file searches in response to Congressional inquiries on Due Process appeals and "For Cause" military discharge cases.
2. Prepare written replies to Congressional inquiries on Due Process appeals and "For Cause" military discharge cases.
3. Prepare responses to Congressional inquiries concerning the status of investigations/clearance processing.

10. SUPERVISORY/MANAGEMENT FUNCTIONS

A. TIME AND ATTENDANCE

1. Verify employees' attendance to ensure timely and accurate data for payroll purposes.

2. Monitor/schedule employee leave to ensure adequate workforce is available.

B. PERFORMANCE EVALUATIONS

1. Develop Civilian Work Performance Plan to identify tasks and standards of task performance.
2. Prepare performance appraisals to document employee's degree of success in meeting Work Performance Plan objectives.
3. Evaluate daily performance of employees to provide assistance, advice, counsel or instruction as required on both administrative and technical matters.
4. Select/nominate personnel for appropriate recognition/award or promotion for outstanding achievement/performance.

C. DEVELOPMENT OF STANDARD OPERATING PROCEDURES (SOPS) AND AGENCY-SPECIFIC POLICY

1. Participate in developing internal policies and procedures to provide detailed guidance to employees on how to accomplish tasks to support adjudicative process.
2. When appropriate, recommend to management the need for revision of adjudicative policy or procedures.
3. Develop procedures for security managers and commanders in the field to follow, i.e., suspension of access, granting of interim clearances, obtaining psychiatric evaluations, etc..

D. CASE ASSIGNMENTS AND QUALITY ASSURANCE

1. Assign cases to individual adjudicators taking into account the complexity of the case, experience of employee, and workload.
2. Review/approve adjudicative decisions to ensure proper and consistent application of adjudication policy.
3. Carefully review completed work assignments to ensure accuracy, detail, and compliance with appropriate security regulations and to determine if a higher supervisory review/action is required.

E. TRAINING

1. Conduct on-the-job training for newly assigned or promoted adjudicators to develop knowledges and skills necessary for performing adjudicative tasks at increasingly difficult levels of complexity and to enhance career progression.
2. Identify specific training needs of adjudicators to submit to the servicing personnel office or unit training coordinator for scheduling and funding.
3. Develop specific in-house training programs to improve adjudicator performance in critical areas (e.g., security violations, finances).
4. Schedule/arrange lectures by experts in related fields of drug and alcohol abuse, criminal and personnel security investigations, psychiatric evaluations for security clearance purposes, polygraph techniques, etc.

5. Develop recommendations for changes and improvement in personnel security practices and procedures conducted at field activities.

F. HANDLING OF OTHER PERSONNEL ISSUES

1. Address employee complaints, grievances, and disciplinary problems to maintain office discipline, decorum, and productivity.
2. Respond to requests from branch chief for recommendations to address specific work-related problems.
3. Assure equality in determining qualifications, selections, assignments, promotions, awards, etc., to ensure compliance with EEO and affirmative action programs.

APPENDIX C

ADJUDICATOR TASK SURVEY QUESTIONNAIRE

PURPOSE

The Personnel Security Research and Education Center (PERSEC) is sponsoring a number of DoD-wide research projects to improve the adjudication process. One of the first steps in this effort is to understand more clearly what Personnel Security Specialists (GS-080 Series) do in adjudicating security clearance and access in DoD agencies.

STANDARDIZED TERMINOLOGY

Since a number of different agencies within the DoD are participating in the present study, it was necessary to standardize the language used in the task lists. Therefore, you may see terms that are not used by your agency. For purposes of this survey, we have used the following words and definitions.

CLEARANCE/ACCESS
ELIGIBILITY

Refers to eligibility for Secret and Top Secret Clearances as well as eligibility for access to Sensitive Compartmented Information (SCI).

ADJUDICATIVE
GUIDELINES/POLICY

Refers to all DoD and agency-specific regulations, directives, or guidelines concerning adjudicative issues and processes. This includes DoD Directive 5200.2-R, Director of Central Intelligence Directive No. 1/14, and other policy guidelines (e.g., those relating to Special Programs such as Presidential Support, Military Intelligence, and Personnel Reliability/Surety Program).

SUBJECT

The individual whose case is being investigated or being handled by an adjudicator. Sometimes referred to as the participant.

LOI/SOR

Includes Letters of Intent (LOI), Statements of Reason (SOR), and Notifications of Intent (NOI). These documents give official notice that a subject's security clearance/access eligibility is to be or has been denied or revoked.

ADJUDICATION:

TASK SURVEY QUESTIONNAIRE

Personnel Security Research and
Education Center

Monterey, CA
February 1988

Prepared by HUMPRO International Inc.

DIS

Defense Investigative Service

PSI

Personnel Security Investigations. An investigation required for making a determination of the eligibility for access to classified information, retention in sensitive duties, or other designated duties requiring such investigation. This includes Special Background Investigations (SBIIs) and Interview-Oriented Background Investigations (IBIs).

PID

Personal Identifying Data on a subject, e.g., name, place of birth, and social security number.

CMS

Case Management System or Clearance Management System used as in-house means of tracking and managing case load.

JACS

Joint Adjudication Clearance System is used within agencies to record case information such as the type of investigation, date of investigation, adjudicator handling case, files reviewed, and actions taken. Certain elements within this data base are fed into DCII at selected points within the adjudicative process and upon final determination of case.

DCII

Defense Central Index of Investigations is a computerized file that originates with DIS and contains case category codes identifying which type of investigation was conducted, whether an issue (i.e. hostage, security, suitability) was involved in the investigation, and whether unfavorable information was uncovered. DCII also contains information on clearance status, which clearances have been granted, denied, or revoked, or are pending further investigative or adjudicative action.

ASCAS

Automated Security Clearance Approval System is an Air Force computerized

system that allows bases to access security data concerning on-base personnel only. Clearance-related information flows from JACS to DCII and to ASCAS.

THE QUESTIONNAIRE

The goal of this questionnaire is to learn what tasks are performed by Adjudicators in various jobs and levels within your agency and across DoD agencies. We would appreciate your help since you are obviously in the best position to provide us with this information.

Your responses to this questionnaire will be used only for research purposes and will be held confidential by the contractor, HUMPRO International, Inc. (HII). No one at your agency or any other agency will have access to your individual responses. The data will be reported in aggregate fashion, and the completed questionnaires will be destroyed when the data analysis is completed.

Please read the instructions carefully and complete the questionnaire within three (3) days of its delivery to you. When you finish, place the completed questionnaire in the envelope provided and return it to your agency representative. The representative will return it unopened to HII.

We appreciate your assistance in this effort.

SECTION I:

First we want to make sure that you are in our participants' group.

1. Are you in the Security Administration Job Series, GS-0807 (Check one)

___ Yes

___ No

If you answered "NO", return the uncompleted questionnaire to your representative.

2. Is your present Position Title that of Personnel Security Specialist or Officer? (Check one)

☐ Yes
☐ No

If you answered "NO", return the uncompleted questionnaire to your representative.

3. What is your present grade level? (Check one)

☐ GS 05
☐ GS 07
☐ GS 09
☐ GS 11
☐ GS 12

If you are a GS 13 or above, do not complete the questionnaire. Return it to your representative uncompleted.

SECTION II:

BACKGROUND INFORMATION ABOUT YOUR PRESENT JOB

The information requested in section II will be used to develop a group profile of the participants in this study and to assist in the analysis of the remaining questionnaire data. Please answer all of the items in Section II. We need your name and phone number in case we need to check back with you about the questionnaire.

4. Name: _____

5. Phone: () _____

6. In which agency do you work? (Check one)

☐ CCF (Army-Ft. Meade, MD)
☐ CAF (Navy-Silver Spring, MD)
☐ NIC (Navy-Suitland, MD)
☐ AF/INSB (Air Force-Bolling AFB, DC)
☐ AFSCO/A (Air Force-Washington, DC)
☐ DISCR (Defense Industrial-Arlington, VA)
☐ DISCO (Defense Industrial-Columbus, OH)
☐ National Security Agency
☐ Defense Intelligence Agency
☐ Defense Investigative Agency
☐ Other (Specify) _____

7. Which type of clearances/access do you handle in your present position? (Check as many as apply.)

- Collateral Clearances
- Sensitive Compartmented Information Access
- Special Programs
- Other (Please specify) _____

8. Estimate the percentage of your time spent in performing each of the following functions. (Enter Percent time below. Put a zero (0) on functions you do not perform.)

- Case Management, Tracking, and Administration
 - Data Base Management
 - Case Management and Control
 - Maintaining Statistics

- Initial Case Review
 - Initial Case Review
 - Request and Obtain Information
 - Initial Case Evaluation
 - Initial Derogatory Case Review
 - Grant Clearance/Access Eligibility in Clean Cases

- Minor Derogatory, Post-Adjudication, or Reconsideration Case Review
 - Minor Derogatory Case Review
 - Request and Obtain Information
 - Minor Derogatory Case Evaluation
 - Grant Clearance/Access Eligibility in Cases with Minor Derogatory Information
 - Post-Adjudication and Reevaluation Cases

- Major Derogatory, Post-Adjudication, or Reconsideration Case Review
 - Major Derogatory Case Review
 - Request and Obtain Needed Information
 - Major Derogatory Case Evaluation
 - Grant Clearance/Access Eligibility in Cases with Major Derogatory Information
 - Post-Adjudication/Reevaluation Cases

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- LOI/SOR and Rebuttal Process
 - LOI/SOR Development
 - Denial Case Closure if No Rebuttal is Received or Response is Declined
 - Rebuttal Analysis/Decision

- Appeal Process
 - Appeal Analysis
 - Preparation for Appeal to Security Review Panel
 - Appeal Case Closure

- Handling of Special Programs or Cases
 - Telephonic Screening Adjudication
 - Controversial/Special Cases
 - Special Access Programs

- Liaison with Other Agencies-Representation
 - Liaison with other Agencies
 - Compliance Inspections and Training in Field
 - Briefings/Conferences

- Responding to Requests and Inquiries
 - Status Reports/Tracers
 - Freedom of Information and Privacy Act Requests
 - Congressionals

- Supervisory/Management Functions
 - Time and Attendance
 - Performance Evaluations
 - Development of Standard Operating Procedures and Agency-Specific Policy
 - Case Assignments and Quality Assurance
 - Training
 - Handling of Other Personnel Issues

ABOUT YOUR PREVIOUS JOBS AND EXPERIENCE

9. Total number of years in Security Administration Job Series, plus years of experience in positions such as Industrial Security, Physical Security, etc.? (Enter number of years below.)

___ Years

10. Number of years as Personnel Security Specialist or Officer? (Enter Number of years below).

___ Years

11. Number of years in your present grade?

___ Years

12. Have you worked as an Adjudicator for any other agency? (Check one)

___ Yes

___ No

If yes, please indicate which Agencies.

___ CCF (Army-Ft. Meade, MD)

___ CAF (Navy-Silver Spring, MD)

___ NIC (Navy-Suitland, MD)

___ AF/INSB (Air Force-Bolling AFB, DC)

___ AFSCO/A (Air Force-Washington, DC)

___ DISCR (Defense Industrial-Arlington, VA)

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___ DISCO (Defense Industrial-Columbus, OH)

___ National Security Agency

___ Defense Intelligence Agency

___ Defense Investigative Agency

___ Other (Specify) ___

ABOUT YOU

13. What is the highest level of education which you have completed? (Check one)

___ High school diploma or GED

___ Junior College

___ Four-year college degree

___ Masters Degree or higher

14. What is your age? (Check one)

___ 21 to 30

___ 31 to 40

___ 41 to 50

___ 51 to 60

___ 61 or 70

___ 71 or older

SECTION III

TASK EVALUATION

The remainder of the questionnaire is designed to help answer the following questions:

1. What are the duties and tasks performed at the each of the job levels?
2. How frequently are the tasks performed.
3. What is th. likelihood of an error or inadequate task performance?
4. What are the consequences of an error or inadequate task performance?
5. Which tasks are the most difficult and demand the highest levels of skill, knowledge and experience?
6. What scheduling flexibility is there in task assignment and completion?

Take a moment to browse through the rest of the questionnaire booklet to see how it is formatted. Notice that the ten major adjudicative functions are numbered, and the duties that make up each function are indexed alphabetically below the function.

For example, Function:

1. CASE MANAGEMENT, TRACKING, AND ADMINISTRATION

is composed of three primary duties:

- A. Data Base Management;
- B. Case Management and Control; and,
- C. Maintaining Statistics.

Each of these duties, in turn, is composed of one or more tasks that are necessary for the performance of the duty. Clearly, no one person performs all of these duties and tasks as part of their current job assignment. Therefore we want you to complete the questionnaire for those tasks that you currently perform.

Completion of Section III will require two main steps. In Step 1, you will eliminate tasks that are not part of your

present job. Then, in Step 2, you will assign weighted measures to the tasks that you do perform in your job.

INSTRUCTIONS FOR COMPLETING SECTION III

STEP 1. Eliminate tasks that are not part of your job.

For every function:

Read each duty and its tasks.

Draw a diagonal line through the block of response boxes of all TASKS that you DO NOT perform as part of your present job.

STEP 2. Assign evaluation measures to the tasks that you perform as part of your present job.

Each task is to be evaluated using the following procedure.

Read the definition of measure 1. TASK FREQUENCY, and then assign frequency values to ALL of the tasks that you perform as part of your job.

Read the definition for Measure 2. CONSEQUENCE OF ERRORS OR INADEQUATE PERFORMANCE, and then assign values to all of the tasks according to this definition.

Proceed, one at a time, to rate the remaining three measures. DO NOT try to assign all of the measures simultaneously; it is important to focus your attention on one measure at a time, to insure that you give a balanced weighting to all of the tasks.

1. TASK FREQUENCY

Some tasks are forgotten in the absence of practice while others are so simple that we never forget. We have all had the experience of "re-discovering fire" and wondering how we could have forgotten something so fundamental. The subtle aspects of our jobs can be forgotten in the hurry-up realities of the work place, especially when we are not required to practice or review infrequent procedures. Unfortunately, some of the tasks that we perform infrequently are required in critical or emergency situations, such as assuming a colleague's caseload in case of illness, making decisions in novel or unprecedented situations, or responding to high priority or time-sensitive situations.

Below are measures of how often you perform different job tasks. For each of the tasks in the inventory, estimate the frequency with which you perform the task in your current position using the following scale:

Enter Frequency data in FRQ column		F	R	Q
D = DAILY:	I do this task virtually every day.			
W = WEEKLY:	I do this task at least once a week.			
M = MONTHLY:	I do this task once a month.			
Q = QUARTERLY:	I do this task once every 3 months.			
Y = YEARLY:	I do this task once a year.			

2. CONSEQUENCE OF ERRORS OR INADEQUATE PERFORMANCE

A task may be essential to successful job performance regardless of how often it is performed. Errors or inadequate performance of these critical tasks may have serious impact on job performance, individual applicant rights or national security. For example, the consequence of inadequate task performance or errors could be the incorrect evaluation of an applicant's file and the subsequent erroneous granting or denial of clearance/access eligibility. Inadequacies or errors in task performance also could result in lengthy case delays and backlogs of unprocessed cases, additional review and revision of case decisions and documentation by supervisors, loss of needed information, etc.

Below is a measure of the consequences of errors or inadequate task performance. For each task that you perform, estimate the seriousness of the consequences of error or inadequate task performance using the following scale:

Enter Consequence data in ERR column		E	R	R
5	Very high potential for erroneous decision in disposition of an application, violation of applicant's rights, loss of information, or creation of delays and case backlogs.			
4	Considerable potential -			
3	Moderate potential -			
2	Some potential -			
1	No potential for erroneous decision in disposition of an application, violation of applicant's rights, loss of information, or creating of delays and case backlogs.			

3. LIKELIHOOD OF ERRORS OR INADEQUATE PERFORMANCE (RISK)

In any job, some tasks are more difficult to accomplish than others. The reasons for difficulty may include a combination of factors. These factors include lack of adequate information upon which to base sound decisions; extensive knowledge and high-level skills required to perform the task; task complexity requiring great attention to detail; inadequate time, training, or resources to perform the task; poor working conditions not conducive to a high level of performance, etc.

Below is a measure of the likelihood of occurrence of errors or inadequate task performance. For each task that you perform, estimate the likelihood of an error or inadequate task performance occurring using the following scale:

			R	S	K
Enter Risk data in RSK column —————»					

5 High likelihood of errors or inadequate task performance occurring due to factors such as those described above.

4 Considerable likelihood -

3 Moderate likelihood -

2 Some likelihood -

1 Little or no likelihood of errors or inadequate task performance occurring due to factors such as those described above.

4. TASK COMPLEXITY - DIFFICULTY

Many tasks consist of procedures that can be performed by simply following the steps in Standard Operating Procedures (SOPs). They can be "picked up" or learned easily by just about anyone, without formal training or experience. In contrast, other tasks may never be mastered completely. These tasks may require on-the-job or formal training, extensive experience, creativity, intuition, common sense, and human understanding and judgment. These tasks require the highest degree of knowledge, skill and ability, the kind of skill that only the very best and most experienced workers have.

Below is a measure of task complexity - difficulty. For each task that you perform, estimate the level of task complexity - difficulty using the following scale:

				P	L	X
Enter Complexity data in PLX column —————»						

5 Extremely high level - This task requires the highest level of knowledges, skills, and abilities possessed by only the very best and most experienced workers.

4 Advanced skill level -

3 Moderate skill level - This task requires a moderate level of knowledges, skills, and abilities possessed by the average worker with some experience.

2 Quickly Acquired skill level -

1 Lowest skill level - This task requires a very low level of knowledges, skills, and abilities such that an entry level person would be expected to do this task almost immediately.

	F R Q	E R R	R S K	P L X	T S F
2. Identify specific training needs of adjudicators to submit to the servicing personnel office or unit training coordinator for scheduling and funding.					
3. Develop specific in-house training programs to improve adjudicator performance in critical areas (e.g., security violations, finances).					
4. Schedule/arrange lectures by experts in related fields of drug and alcohol abuse, criminal and personnel security investigations, psychiatric evaluations for security clearance purposes, polygraph techniques, etc.					
5. Develop recommendations for changes and improvement in personnel security practices and procedures conducted at field activities.					

F. HANDLING OF OTHER PERSONNEL ISSUES

	F R Q	E R R	R S K	P L X	T S F
1. Address employee complaints, grievances, and disciplinary problems to maintain office discipline, decorum, and productivity.					
2. Respond to requests from branch chief for recommendations to address specific work-related problems.					
3. Assure equality in determining qualifications, selections, assignments, promotions, awards, etc., to ensure compliance with EEO and affirmative action programs.					

(Pages 18 - 36 of the Questionnaire used a format identical to Page 17 and listed the remaining adjudicator tasks, ending with Page 37. For a complete listing of all tasks, see Appendix B).

APPENDIX D

LIST OF MEANS AND Ns ON RATING SCALES FOR ALL ADJUDICATOR TASKS

<u>ADJUDICATOR FUNCTIONS, DUTIES, AND TASKS</u>					
	<u>FRO</u>	<u>ERR</u>	<u>RSK</u>	<u>PLX</u>	<u>N</u>
1. CASE MANAGEMENT, TRACKING, AND ADMINISTRATION	196.31	2.13	1.91	2.29	
A. <u>DATA BASE MANAGEMENT</u>	191.13	2.23	1.93	2.31	
1. Prepare/enter case data for entry into appropriate data systems (e.g., JACS, CMS).	217.97	2.51	2.14	2.56	107
2. Obtain printout from DCII data base for inclusion in case file.	192.90	1.77	1.60	1.91	102
3. Update automated records to include new or changed Personal Identifying Data (PID).	156.85	2.42	2.06	2.49	89
B. <u>CASE MANAGEMENT AND CONTROL</u>	191.10	2.06	1.87	2.30	
1. Assign case to adjudicators based upon complexity of case and experience level of adjudicators.	141.32	1.84	1.86	2.80	46
2. Maintain physical control of case files during time case is assigned to adjudicator.	227.95	2.25	1.91	2.16	62
3. Maintain/review rosters of assigned cases to verify accountability and to reflect actions taken.	175.71	1.87	1.78	2.09	64
4. Document content of all incoming/outgoing case-related telephone calls/visits to ensure accurate record of case activity.	203.96	2.18	1.90	2.31	77
C. <u>MAINTAINING STATISTICS</u>	215.65	2.04	1.95	2.22	
1. Keep track of time spent on adjudication and non-adjudication activities in order to ensure equitable distribution of work load.	211.33	1.86	1.81	2.09	75
2. Keep track of all actions taken on cases (e.g., disposition of cases, LOI/SORs drafted and issued, investigation requests) to aid in accessing productivity.	220.16	2.23	2.09	2.36	72
2. INITIAL CASE REVIEW	218.85	2.67	2.36	3.33	
A. <u>INITIAL CASE REVIEW</u>	237.33	2.84	2.40	3.27	
1. Check entry on investigative cover sheets to ascertain that type of case is appropriate for level of clearance (e.g., SCI, Collateral) or other actions as required.	233.44	2.56	2.07	2.75	101
2. Scan case material to determine that information meets the investigative scope as required by DoD regulations/directives.	236.07	2.77	2.32	3.22	103
3. Scan case information to identify any potentially disqualifying information that may be contained in it.	241.84	2.93	2.50	3.49	103
4. Review content of investigation to identify unresolved derogatory items and to determine what additional information must be requested.	237.88	3.10	2.69	3.63	102
B. <u>REQUEST AND OBTAIN INFORMATION</u>	217.02	2.59	2.37	3.44	
1. Determine the type of information that is needed to complete adjudicative action.	226.23	2.86	2.55	3.61	104
2. Identify sources that can provide the needed information.	221.60	2.41	2.22	3.29	101
3. Compose letter, message etc., to identified sources to request additional information needed to adjudicate case.	202.93	2.50	2.33	3.42	103
C. <u>INITIAL CASE EVALUATION</u>	239.25	2.93	2.70	3.61	
1. Review case against adjudication guidelines/policy to determine if clearance or requested action can be supported.	239.25	2.93	2.70	3.61	104

<u>ADJUDICATOR FUNCTIONS, DUTIES, AND TASKS</u>	<u>FRO</u>	<u>ERR</u>	<u>RSK</u>	<u>PLX</u>	<u>N</u>
<u>D. INITIAL DEROGATORY CASE REVIEW</u>	223.67	3.13	2.81	3.87	
1. Compare potentially disqualifying factors against appropriate adjudication guidelines to determine if they are, in fact, disqualifying.	223.67	3.08	2.78	3.83	106
2. List/summarize derogatory information to provide a record or concise history of derogatory information.	220.01	3.08	2.78	3.80	101
3. Evaluate mitigating factors to assess the seriousness of derogatory information.	227.2	3.22	2.88	3.98	105
<u>E. GRANT CLEARANCE/ACCESS ELIGIBILITY IN CLEAN CASES</u>	203.61	2.37	2.08	3.02	
1. Recommend final determination to grant clearance/access eligibility in clean cases (including recertification and acceptance of reciprocal clearances) providing the basis for decision if required.	217.98	2.68	2.31	3.34	102
2. Draft notification needed to grant clearance/access eligibility and to close out the case.	209.26	2.43	2.12	3.13	88
3. Approve notification needed to grant clearance/access eligibility and to close out the case.	207.94	2.37	2.07	3.15	79
4. Sign notification needed to grant clearance/access eligibility and to close out the case.	219.80	2.49	2.05	3.20	73
5. Send letter, message, or form to local security office to inform them of subject's clearance/access eligibility.	212.78	2.27	2.01	2.98	91
6. Code data entry sheet showing type of investigation and clearance/access eligibility for input into case management system.	220.16	2.49	2.20	2.88	79
7. Upon granting of clearance/access eligibility, make a notation on case package that investigation data should be sent back to field activity.	161.61	1.94	1.77	2.62	54
8. Mail investigation data to field activity.	117.56	2.04	1.80	2.45	46
9. If case is not clean, retain pertinent adjudicative data for reference in future adjudicative actions.	210.65	2.27	2.15	2.98	85
<u>3. MINOR DEROGATORY/POST-ADJUDICATION CASE REVIEW</u>	221.18	2.66	2.42	3.50	
<u>A. MINOR DEROGATORY CASE REVIEW</u>	216.06	2.75	2.47	3.53	
1. Scan minor derogatory case material to determine that information meets the investigative scope as required by DoD regulations/directives.	218.93	2.68	2.41	3.41	101
2. Review content of investigation to identify unresolved minor derogatory items and to determine what additional information must be requested.	237.84	2.77	2.48	3.52	102
3. Scan minor derogatory case information to identify any potentially disqualifying information that may be contained in it.	243.54	2.76	2.54	3.51	100
4. Review determinations that have been prepared by lower grade adjudicators to determine if decision is justified.	174.98	2.93	2.54	3.75	61
5. Prepare a narrative summary of all factors considered in the adjudication of case to communicate with reviewing adjudicator.	182.29	2.75	2.44	3.57	68
6. List on case data sheet all derogatory and mitigating factors considered in the adjudication to document basis for decision/recommendation.	209.83	2.69	2.43	3.54	71
<u>B. REQUEST AND OBTAIN NEEDED INFORMATION</u>	236.62	2.49	2.32	3.43	
1. Determine the type of information, if any, that is needed to complete the adjudicative action.	237.47	2.67	2.43	3.61	106
2. Identify sources that can provide the needed information.	232.53	2.34	2.18	3.25	101
3. Compose letter, message, etc., to sources to request additional information needed to adjudicate case.	224.30	2.36	2.22	3.31	103
4. Review responses to information requests to determine that information is adequate for continuing adjudication process.	251.82	2.58	2.43	3.55	104

<u>ADJUDICATOR FUNCTIONS, DUTIES, AND TASKS</u>	<u>FRQ</u>	<u>ERR</u>	<u>RSK</u>	<u>PLX</u>	<u>N</u>
C. <u>MINOR DEROGATORY CASE EVALUATION</u>	246.88	2.91	2.60	3.80	
1. Summarize derogatory and mitigating information to provide a record or concise history of derogatory information.	260.02	2.86	2.53	3.72	90
2. Using appropriate adjudication guidelines/criteria, evaluate mitigating factors against potentially disqualifying factors to assess the seriousness of derogatory information.	256.35	2.97	2.67	3.83	102
3. Logically analyze, in an unbiased fashion, the derogatory and mitigating information to determine relationship to applicable adjudication criteria and to determine subject's clearance/access eligibility.	256.81	2.99	2.74	3.85	101
4. Prepare written recommendation stating rationale for the determination made.	241.00	2.89	2.64	3.84	82
5. Review information contained in written summaries and/or recommendations to decide whether or not to approve determinations made by a lower grade adjudicator.	220.50	3.07	2.60	3.82	51
6. Sign determinations produced by other adjudicators.	210.16	2.44	2.11	3.72	36
D. <u>GRANT CLEARANCE/ACCESS ELIGIBILITY IN CASES WITH MINOR DEROGATORY INFORMATION</u>	198.96	2.48	2.26	3.20	
1. Draft Warning Letter/Message in cases where warranted to inform of adjudication concerns or limitations.	159.03	2.60	2.42	3.55	82
2. Draft notification granting clearance/access eligibility for submission to approval authority.	219.55	2.62	2.46	3.43	67
3. Approve notification granting clearance/access eligibility for submission to signature authority.	221.48	2.89	2.53	3.60	58
4. Authorize/sign notification granting clearance/access eligibility to inform of action taken.	228.54	2.69	2.33	3.48	66
5. Code data entry sheet showing type of investigation and clearance/access eligibility for input into case management system.	230.66	2.60	2.39	3.08	81
6. Upon granting of clearance/access eligibility, make a notation on case package that investigation data should be sent back to field activity.	150.62	2.02	1.81	2.77	48
7. Mail investigation data to field activity.	108.35	2.10	1.78	2.62	37
8. Retain file of pertinent adjudication information for reference in future adjudicative actions.	218.31	2.16	2.05	2.82	86
E. <u>POST-ADJUDICATION AND RE-EVALUATION CASES</u>	175.83	2.77	2.57	3.77	
1. Re-evaluate previously granted clearance/access eligibility determinations when minor derogatory information is received.	175.83	2.77	2.57	3.77	90
4. <u>MAJOR DEROGATORY/POST-ADJUDICATION/RECONSIDERATION CASE REVIEW</u>	201.47	2.77	2.58	3.87	
A. <u>MAJOR DEROGATORY CASE REVIEW</u>	228.04	3.02	2.85	4.15	
1. Scan major derogatory case material to determine that information meets the investigative scope as required by DoD regulations/directives.	226.96	2.88	2.76	4.03	102
2. Review content of investigation to identify unresolved major derogatory items and to determine what additional information must be requested.	223.72	3.08	2.85	4.17	103
3. List major derogatory and mitigating information to provide a record or concise history of derogatory information.	234.02	3.01	2.80	4.14	92
4. Review the major derogatory case file to determine if temporary suspension/pending adjudication is warranted based on severity of derogatory material.	228.11	3.13	3.01	4.28	90

<u>ADJUDICATOR FUNCTIONS, DUTIES, AND TASKS</u>	<u>FRQ</u>	<u>ERR</u>	<u>RSK</u>	<u>PLX</u>	<u>N</u>
B. <u>REQUEST AND OBTAIN NEEDED INFORMATION</u>	202.86	2.70	2.51	3.72	
1. Determine the type of information, if any, that is needed to complete the adjudicative action.	231.49	2.86	2.68	3.91	106
2. Identify sources that can provide the needed information.	233.56	2.47	2.31	3.46	102
3. Compose letter, message, etc., to sources to request additional information needed to adjudicate case.	205.15	2.56	2.32	3.60	104
4. Request employment/retention suitability determinations from command when warranted.	141.88	2.63	2.51	3.60	60
5. Make outside referrals to mental health, medical, legal, etc., experts for review when warranted.	173.36	2.87	2.71	3.82	73
6. Review responses to information requests to determine that information is adequate for continuing adjudication process according to adjudication guidelines/policy.	197.10	2.81	2.59	3.89	103
C. <u>MAJOR DEROGATORY CASE EVALUATION</u>	214.62	3.08	2.84	4.24	
1. Summarize derogatory and mitigating information to provide a record or concise history of derogatory information.	225.14	3.06	2.84	4.16	91
2. Using appropriate adjudication guidelines/criteria, evaluate mitigating factors against potentially disqualifying factors to assess the seriousness of derogatory information.	230.68	3.14	2.87	4.28	97
3. Logically analyze in an unbiased fashion, the derogatory and mitigating information to determine its relationship to applicable adjudication criteria and to determine subject's clearance/access eligibility.	235.02	3.12	2.86	4.30	96
4. Prepare written recommendation stating rationale for the determination made and any necessary waivers, exceptions, or warnings.	206.68	3.08	2.82	4.26	91
5. Review information contained in written summaries and/or recommendations to decide whether or not to approve determinations made by a lower grade adjudicator.	169.81	3.14	2.91	4.22	48
6. Sign determinations produced by other adjudicators.	166.12	2.81	2.60	4.18	33
D. <u>GRANT CLEARANCE/ACCESS ELIGIBILITY IN CASES WITH MAJOR DEROGATORY INFORMATION</u>	186.12	2.41	2.25	3.47	
1. Draft Warning Letter/Message in cases where warranted to inform of adjudication concerns or limitations.	151.26	2.62	2.48	3.86	72
2. Draft notification granting clearance/access eligibility for submission to approval authority.	213.58	2.54	2.36	3.86	68
3. Approve notification granting clearance/access eligibility for submission to signature authority.	162.61	2.61	2.50	3.80	42
4. Authorize/sign notification granting clearance/access eligibility to inform of action taken.	197.64	2.33	2.14	3.98	56
5. Retain pertinent adjudicative data to document case histories containing major derogatory information.	218.52	2.47	2.31	3.45	74
6. Code data entry sheet showing type of investigation and clearance/access eligibility for input into case management system.	233.85	2.56	2.32	3.14	67
7. Upon granting of clearance/access eligibility, make a notation on case package that investigation data should be sent back to field activity.	114.93	2.04	1.88	3.00	45
8. Mail investigation data to field activity.	97.58	1.91	1.80	2.75	36
9. Retain file of pertinent adjudication information for reference in future adjudicative actions.	211.16	2.32	2.19	3.07	71

<u>ADJUDICATOR FUNCTIONS, DUTIES, AND TASKS</u>	<u>FRQ</u>	<u>ERR</u>	<u>RSK</u>	<u>PLX</u>	<u>N</u>
E. <u>POST-ADJUDICATION, RE-EVALUATION, AND RECONSIDERATION CASES</u>	141.87	2.63	2.47	4.86	
1. Re-evaluate previously granted clearance/access eligibility determinations when major derogatory information is received or when reconsideration is requested.	146.28	2.71	2.53	4.17	82
2. Prepare notification to appropriate agencies of reconsideration decision.	136.58	2.53	2.48	3.94	67
5. <u>LOI/SOR AND REBUTTAL PROCESS</u>	134.67	2.66	2.42	3.85	
A. <u>LOI/SOR DEVELOPMENT</u>	171.16	2.88	2.65	4.18	
1. Review case file/summary and recommendations to determine whether or not LOI/SOR is warranted.	195.84	2.75	2.47	4.22	61
2. Review case summary to determine level of clearance/access eligibility denial (e.g., SCI or Collateral).	178.98	2.83	2.64	3.94	54
3. Identify specific allegations/reasons under adjudication policy guidelines for inclusion in LOI/SOR.	184.47	2.85	2.65	4.31	61
4. Prepare LOI/SOR for submission to approval authority.	188.77	2.85	2.56	4.31	57
5. Review LOI/SOR to ensure accuracy and compliance with adjudication guidelines/policy.	189.18	3.18	3.08	4.34	46
6. Approve LOI/SOR for referral to signature authority.	139.41	3.31	3.13	4.27	29
7. Refer draft LOI/SOR to Department Counsel for legal review prior to issuance of LOI/SOR.	95.89	2.68	2.26	3.94	19
8. Issue/sign LOI/SOR to notify subject of intent to deny/ revoke clearance/access eligibility.	115.33	3.88	2.58	3.91	12
9. Obtain command recommendations/acknowledgment to ensure that command is informed of proposed action to deny or revoke clearance/access eligibility.	137.64	2.64	2.48	3.96	31
B. <u>DENIAL CASE CLOSURE IF NO REBUTTAL IS RECEIVED OR RESPONSE IS DECLINED</u>	183.54	2.35	2.15	3.44	
1. Draft final notification of clearance/access eligibility denial/revocation to inform subject of actions taken.	95.16	2.65	2.48	3.83	43
2. Retain file of pertinent adjudication information for reference in future adjudicative actions.	111.38	2.22	2.12	3.22	48
3. Review draft final notification of clearance/access eligibility denial or revocation to ensure accuracy and compliance with regulations, directives, and guidelines.	123.88	2.78	2.58	3.84	44
4. Approve final notification of clearance/access eligibility denial or revocation for referral to signature authority.	182.62	2.51	2.24	3.79	29
5. Issue/sign final notification of clearance/access eligibility denial or revocation to inform subject of actions taken.	66.75	1.83	1.66	3.75	12
6. Notify command/employer of clearance/access eligibility denial/revocation to ensure that they are informed of the actions taken.	182.87	2.41	2.28	3.53	39
7. Draft/prepare Personnel Suitability letter and accompanying file information for retention in subject's personnel records.	97.37	2.31	2.17	3.74	35
8. Prepare data entry indicating denial/revocation of clearance/access eligibility to update appropriate data system records (e.g., DCII, ASCAS, JACS).	183.87	2.26	2.84	3.88	41
9. Return file to closed files for retention/retirement.	189.89	2.13	1.75	2.78	37
10. Provide copies of LOI/SOR, rebuttal, and final determination for inclusion in Officer/Senior Enlisted personnel records.	98.88	1.91	1.78	3.84	23

ADJUDICATOR FUNCTIONS, DUTIES, AND TASKS	FRQ	ERR	RSK	PLX	N
C. <u>REBUTTAL ANALYSIS/DECISION</u>	124.00	2.76	2.46	3.90	
1. Summarize file information to include new mitigating information obtained from the subject's rebuttal.	121.20	2.88	2.64	4.08	34
2. Obtain additional information, if necessary, to verify information contained in subject's rebuttal.	116.86	2.69	2.38	3.94	36
3. Evaluate total case to determine if the rebuttal information mitigates disqualifying factors contained in the LOI/SOR.	134.76	3.18	2.84	4.36	38
4. Draft letter (following rebuttal analysis) stating rationale for recommendation to sustain or reverse the decision to deny/ revoke clearance/access eligibility as outlined in the LOI/SOR.	120.68	3.00	2.74	4.22	35
5. Review the letter recommending final action (i.e., denial, revocation, or granting of clearance/access eligibility) based on the rebuttal analysis to ensure accuracy and compliance with adjudication guidelines/policy.	141.77	3.05	2.71	4.45	35
6. Approve letter recommending final action based on rebuttal analysis for referral to signature authority.	96.00	3.15	2.68	4.26	19
7. Issue/sign letter to inform subject of actions taken following rebuttal analysis.	88.71	1.57	1.28	4.00	7
8. Prepare data entry for updating appropriate data system (e.g., DCII, ASCAS, JACS) with rebuttal results.	123.71	2.50	2.17	3.07	28
9. After rebuttal decision and notification, return file to closed files for retention/retirement.	130.84	1.96	1.69	2.66	33
6. <u>APPEAL PROCESS</u>	33.79	2.41	2.04	3.64	
A. <u>APPEAL ANALYSIS</u>	42.13	2.73	2.43	4.04	
1. Summarize file information to include new mitigating information obtained from the subject's appeal.	49.27	2.81	2.50	4.09	22
2. Obtain additional information, if necessary, to verify information contained in subject's appeal.	55.83	2.50	2.41	4.00	24
3. Perform reevaluation of cases submitted for appeal to develop recommendation to reaffirm or overturn the previous decision to revoke or deny clearance/access eligibility.	39.04	3.00	2.65	4.30	23
4. Recommend to approval authority that appeal be presented to Security Review Panel.	13.50	2.58	2.16	3.91	12
5. Approve recommendation to present appeal to Security Review Panel.	6.50	2.50	1.00	2.00	2
B. <u>PREPARATION FOR APPEAL TO SECURITY REVIEW PANEL</u>	5.80	2.36	1.95	3.61	
1. Prepare case summaries/briefs for presentation to Security Review Panel.	7.90	2.78	2.28	4.00	14
2. Arrange for Security Review Panel meeting to evaluate appeal case.	4.80	1.91	1.50	3.08	12
3. Serve as Technical Advisor to Security Review Panel to provide details of case and assist in interpreting adjudication guidelines/policy, as required.	4.90	2.27	1.81	3.72	11
4. Prepare written case summary report of panel proceedings and recommendations to the Administrative Assistant to the Secretary for final decision on the appeal.	5.00	2.40	2.20	3.60	10
C. <u>APPEAL CASE CLOSURE</u>	42.30	2.08	1.67	3.20	
1. Draft notification to inform subject of results of appeal.	35.12	2.42	2.14	3.71	21
2. Approve notification stating results of appeal for submission to signature authority.	73.91	2.33	1.91	3.75	12
3. Issue/sign letter notifying subject of results of appeal process.	64.75	1.50	1.00	3.50	4
4. Prepare data entry for updating appropriate data systems (e.g., DCII, ASCAS, JACS) with appeal results.	29.50	1.87	1.31	2.93	16
5. After appeal decision and notification, return file to closed files for retention/retirement.	36.70	1.85	1.45	2.50	20

<u>ADJUDICATOR FUNCTIONS, DUTIES, AND TASKS</u>	<u>FRQ</u>	<u>ERR</u>	<u>RSK</u>	<u>PLX</u>	<u>N</u>
7. HANDLING OF SPECIAL PROGRAMS OR CASES	131.99	3.13	2.85	4.29	
A. TELEPHONIC SCREENING ADJUDICATION	166.00	3.05	2.82	4.22	
1. Makes on-the-spot telephonic SCI access/security clearance determinations on cases referred during and after duty hours by Security Interviews at Military Enlistment Processing Command and/or by personnel at Basic Training Sites (e.g., PSSP).	166.00	3.05	2.82	4.22	35
B. CONTROVERSIAL/SPECIAL CASES	103.40	3.16	2.85	4.40	
1. Adjudicate sensitive-unique cases requiring extensive adjudicative expertise/knowledge to ensure the credibility of adjudication process and confidentiality of information.	92.31	3.10	2.86	4.68	58
2. Expedite high priority or time-sensitive cases to support special requirements of commanders or employers.	117.48	3.18	2.82	4.27	58
3. Initiate requests for PSIs/SBIs for designated personnel (e.g., Air Staff) to obtain investigative information required for security clearance/access eligibility determinations.	99.00	2.79	2.65	3.93	29
4. Review unique or complex cases referred by supervisor or subordinates to advise concerning investigative sufficiency; credibility or authenticity of information produced; proper application of security standards, national directives and Army regulations.	102.65	3.36	2.98	4.48	60
C. SPECIAL ACCESS PROGRAMS	156.84	3.12	2.85	4.19	
1. Serves as subject matter expert in administration of Special Program cases (e.g., Loyalty, Presidential Support).	160.51	3.41	3.17	4.55	29
2. Review case files for loyalty issues to determine if further investigative efforts are warranted.	138.65	3.35	3.12	4.25	40
3. Review case file against PRP guidelines/policy to determine eligibility for assignment to Personnel Reliability/Surety Program.	192.58	2.78	2.51	3.90	41
4. Review case file for suitability/eligibility in Special Programs (e.g., Presidential Support, Military Intelligence, General Officer) to determine subject's acceptability for special access program.	159.64	2.93	2.51	4.19	31
5. Adjudicate cases at the presidential appointee, Public Law 313 and general officer level to ensure confidentiality and expeditious handling of case because of the rank of the person or the sensitivity of information involved in the case file.	140.08	3.41	2.91	4.16	12
6. Make recommendations to command or employer for non-retention based on evaluation of loyalty issues.	120.11	3.16	2.94	4.27	18
7. Prepare summary recommendations of case files related to Special Programs as required for review by appointing authority.	152.76	3.00	3.00	4.11	17
8. LIAISON WITH OTHER AGENCIES/REPRESENTATION	83.28	2.48	2.37	3.46	
A. LIAISON WITH OTHER AGENCIES	95.23	2.44	2.31	3.34	
1. Represent organization at meetings, briefings or policy formulating sessions with other government agencies	10.87	2.18	2.09	4.15	33
2. Call contacts at other agencies to obtain clearance status, visit requests, order investigative files, etc.	99.81	2.16	1.98	3.08	75
3. Request/order a Personnel Security Investigation and/or other investigative file from appropriate agency.	123.85	2.09	1.95	2.79	84
4. Write/call other security agencies to request authority to release information.	74.46	2.48	2.37	3.13	45
5. As Liaison Officer, review cases at DIS to adjudicate cases.	186.14	4.14	3.71	3.71	7

<u>ADJUDICATOR FUNCTIONS, DUTIES, AND TASKS</u>	<u>FRO</u>	<u>ERR</u>	<u>RSK</u>	<u>PLX</u>	<u>N</u>
6. Brief other agency personnel on organizational policies and procedures.	30.81	2.59	2.51	3.66	27
7. Review PSI requests received for accuracy prior to submission to DIS.	92.43	2.65	2.52	3.30	23
8. Review and summarize DIS open cases for emergency access.	120.04	2.95	2.95	3.52	21
9. Maintain regular contact with representatives from military departments and national agencies concerning personnel security and special access matters.	105.69	2.69	2.55	3.63	36
10. Inform commands of any changes in investigative requirements and adjudicative policy/procedures.	47.23	2.73	2.65	3.65	26
11. Maintain liaison with assigned organizations to provide advice and resolve problems concerning personnel security, status on pending cases.	143.11	2.65	2.50	3.61	52
<u>B. COMPLIANCE INSPECTIONS AND TRAINING IN FIELD</u>	12.28	2.88	2.96	4.24	
1. Conduct inspections at local Security Offices to determine that directives or regulations are being complied with.	2.57	2.85	3.00	4.28	7
2. Summarize findings/recommendations based on results of compliance inspections.	2.57	2.71	2.85	3.71	7
3. Conduct staff assistance visits/training seminars to inform and to ensure compliance with personnel security procedures.	24.63	3.00	3.00	4.54	11
<u>C. BRIEFINGS/CONFERENCES</u>	3.42	2.59	2.61	4.23	
1. Conduct briefings on personnel security matters.	4.82	2.65	2.52	4.30	23
2. Participate in Personnel Security Screening Program Conference.	1.73	2.52	2.73	4.15	19
<u>9. RESPONDING TO REQUESTS AND INQUIRIES</u>	119.20	2.50	2.25	3.28	
<u>A. STATUS REPORTS/TRACERS</u>	167.63	2.34	2.05	3.05	
1. Obtain status of cases and clearance/access eligibility from computer data bases.	187.44	2.25	1.93	2.84	75
2. Prepare responses to inquiries concerning the status of investigations/clearance processing.	144.04	2.46	2.20	3.30	63
<u>B. FREEDOM OF INFORMATION AND PRIVACY ACT REQUESTS</u>	28.20	2.84	2.52	3.68	
1. Extract file data in response to requests for file documents under the provisions of the Freedom of Information Act and Privacy Act.	35.23	2.82	2.47	3.58	17
2. Consult with Judge Advocate, General Counsel, and Legislative Liaison Office regarding the ramifications of releasing certain sensitive information.	13.25	2.87	2.62	3.87	8
<u>C. CONGRESSIONALS</u>	11.70	2.80	2.75	3.85	
1. Conduct file searches in response to Congressional inquiries on Due Process appeals and "For Cause" military discharge cases.	15.11	3.00	3.00	3.52	17
2. Prepare written replies to Congressional inquiries on Due Process appeals and "For Cause" military discharge cases.	6.62	2.87	2.87	4.25	8
3. Prepare responses to Congressional inquiries concerning the status of investigations/clearance processing.	10.62	2.56	2.43	4.00	16

<u>ADJUDICATOR FUNCTIONS, DUTIES, AND TASKS</u>		<u>FRO</u>	<u>ERR</u>	<u>RSK</u>	<u>PLX</u>	<u>N</u>
10. SUPERVISORY/MANAGEMENT FUNCTIONS		105.04	2.57	2.27	4.01	
A. <u>TIME AND ATTENDANCE</u>		170.83	2.13	1.76	2.90	
1. Verify employees' attendance to ensure timely and accurate data for payroll purposes.		182.33	2.20	1.80	2.93	30
2. Monitor/schedule employee leave to ensure adequate workforce is available.		159.33	2.06	1.73	2.86	30
B. <u>PERFORMANCE EVALUATIONS</u>		48.97	2.29	1.98	3.98	
1. Develop Civilian Work Performance Plan to identify tasks and standards of task performance.		1.63	2.21	1.94	3.78	19
2. Prepare performance appraisals to document employee's degree of success in meeting Work Performance Plan objectives.		2.45	2.25	1.95	4.08	24
3. Evaluate daily performance of employees to provide assistance, advice, counsel or instruction as required on both administrative and technical matters.		169.20	2.56	2.12	4.12	25
4. Select/nominate personnel for appropriate recognition/award or promotion for outstanding achievement/performance.		1.85	2.09	1.90	3.90	21
C. <u>DEVELOPMENT OF STANDARD OPERATING PROCEDURES (SOPS) AND AGENCY-SPECIFIC POLICY</u>		27.87	2.46	2.23	4.19	
1. Participate in developing internal policies and procedures to provide detailed guidance to employees on how to accomplish tasks to support adjudicative process.		39.54	2.29	2.12	4.12	24
2. When appropriate, recommend to management the need for revision of adjudicative policy or procedures.		26.03	2.65	2.37	4.20	29
3. Develop procedures for security managers and commanders in the field to follow, i.e., suspension of access, granting of interim clearances, obtaining psychiatric evaluations, etc..		5.20	2.30	2.10	4.30	10
D. <u>CASE ASSIGNMENTS AND QUALITY ASSURANCE</u>		170.25	2.98	2.64	4.15	
1. Assign cases to individual adjudicators taking into account the complexity of the case, experience of employee, and workload.		159.67	2.83	2.51	3.96	31
2. Review/approve adjudicative decisions to ensure proper and consistent application of adjudication policy.		166.82	2.97	2.64	4.17	39
3. Carefully review completed work assignments to ensure accuracy, detail, and compliance with appropriate security regulations and to determine if a higher supervisory review/action is required.		181.51	3.09	2.75	4.26	41
E. <u>TRAINING</u>		77.37	2.57	2.33	4.35	
1. Conduct on-the-job training for newly assigned or promoted adjudicators to develop knowledges and skills necessary for performing adjudicative tasks at increasingly difficult levels of complexity and to enhance career progression.		134.13	2.75	2.47	4.44	36
2. Identify specific training needs of adjudicators to submit to the servicing personnel office or unit training coordinator for scheduling and funding.		50.05	2.11	1.88	4.16	18
3. Develop specific in-house training programs to improve adjudicator performance in critical areas (e.g., security violations, finances).		31.90	2.80	2.30	4.70	13
4. Schedule/arrange lectures by experts in related fields of drug and alcohol abuse, criminal and personnel security investigations, psychiatric evaluations for security clearance purposes, polygraph techniques, etc.		8.28	2.42	2.42	3.71	7

<u>ADJUDICATOR FUNCTIONS, DUTIES, AND TASKS</u>	<u>FRQ</u>	<u>ERR</u>	<u>RSK</u>	<u>PLX</u>	<u>N</u>
5. Develop recommendations for changes and improvement in personnel security practices and procedures conducted at field activities.	9.22	2.66	2.66	4.44	9
<u>F. HANDLING OF OTHER PERSONNEL ISSUES</u>	116.88	2.78	2.45	4.28	
1. Address employee complaints, grievances, and disciplinary problems to maintain office discipline, decorum, and productivity.	141.64	2.82	2.46	4.14	28
2. Respond to requests from branch chief for recommendations to address specific work-related problems.	122.38	2.61	2.42	4.87	26
3. Assure equality in determining qualifications, selections, assignments, promotions, awards, etc., to ensure compliance with EEO and affirmative action programs.	76.85	2.95	2.47	4.42	21