

### Self-Inspection Certification >

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Click the Self-Inspection Certification check box after entering the name of the senior management official who can certify to DSS that a self-inspection has been conducted, that senior management has been briefed on the results, that appropriate corrective actions have been taken, and that management fully supports the security program at the cleared facility for the current calendar year.

Name of certifying senior management official:

### Personnel Security Investigation (PSI) Projections >

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The end date for submitting your PSI projections is 2018-XX-XX.



2018 Projections  
Unsubmitted



2016 Projections Result  
Thursday, April 28, 2016

### Package in Progress >

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To make changes to your existing forms, click the icon below.



Initial Package  
Submission Pending

## **Defense Security Service (DSS) Personnel Security Investigations (PSI) - Projected Requirements Data Collection**

**OMB Control No.:** 0704-0417; **Expiration Date:** XX/XX/XXXX

### **AGENCY DISCLOSURE NOTICE**

The public reporting burden for this collection of information is estimated to average 80 minutes per response for a single active, cleared facility submission, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Facilities submitting a consolidated submission of multiple active, cleared facilities may experience a longer reporting burden.

Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden to: Department of Defense, Washington Headquarters Services, Executive Services Directorate, Information Management Division, [whs.mc-alex.esd.mbx.dd-dod-information-collections@mail.mil](mailto:whs.mc-alex.esd.mbx.dd-dod-information-collections@mail.mil). Respondents should be aware that notwithstanding any other provision of law, no person shall be subject to any penalty for failing to comply if a valid OMB control number is not displayed.

**Personnel Security Clearance (PCL):** An administrative determination that an individual is eligible, from a security point of view, for access to classified information of the same or lower category as the level of the personnel clearance being granted.

### **Privacy Act Statement:**

**Authority:** DoD Directive 5220.22, National Industrial Security Program (NISP) and Executive Order (EO) 12829

**Principal Purpose(s):** To gather information necessary to budget for the resources to meet the need for Personnel Security Investigations (PSI) for Contractor clearances. DSS must solicit input from the contractor entities regarding the numbers of each type of investigation they require for contract performance requiring access to classified information.

**Routine Use(s):** Information collected is compiled to create an aggregate projection of NISP personnel security clearance requirements. Only the Aggregate data is reported and all individual Facility Security Officer name and company information is kept in DSS records.

**Disclosure:** Voluntary. However, failure to provide background investigation requirements may adversely impact sufficient funding for these background investigations for clearances.

## **Introduction:**

The purpose of this data collection is to gather the information necessary to ensure that funding is available to meet the need for Personnel Security Investigations (PSI) for contractor clearances.

Contractor clearances are part of the National Industrial Security Program (NISP) that DSS administers on behalf of DoD and 31 other federal agencies. Funding for the associated industry PSIs is handled centrally by DSS as part of its NISP responsibilities and DSS is conducting this data collection in order to carry out these responsibilities effectively. Data collection results are critical to DSS/DoD program planning for NISP security clearances.

Please read all the instructions and follow the prompts to submit your PSI Projected Requirements data collection to Defense Security Service.

If you received this data collection email invitation, DSS records indicate that you are a proper point of contact to complete this data collection for a specific cleared facility or facilities.

## **General Information:**

The data collection has three sections (A, B, and C) as described in the following pages.

## **Section A Description:**

You will be asked to:

- confirm that the CAGE Code of this cleared facility matches the listed CAGE Code in e-FCL
- Identify whether your facility is a single submitter, filing a consolidated response, or does not require clearances in the next three years
- Identify whether your facility's PSI requirements are DoD, non-DoD or both

## **Section B Description:**

You will be asked to provide your PSI for clearance projections for DoD and Non-DoD agencies for three fiscal years. (The fiscal year runs from Oct 1 to Sep 30.)

You will provide your projections for Tier 5 (Top Secret), Tier 5R (Top Secret Reinvestigation), Tier 3 (Secret and Confidential), and Tier 3 Periodic Re-investigations.

If you have an employee who works under multiple cleared contracts who will require a PSI for a clearance, you should only count them once and toward their primary contracting activity (either DoD or Non-DoD). Do not "double count".

After you provide your projections, you will identify the agencies that are requiring the clearances by selecting the agencies from a list provided.


## **Section C Description:**

This final section of the data collection will provide you with an opportunity to input general comments or comments for a specific fiscal year.

**Do not submit classified information in the comments section.** If you believe classified information is essential to your facility's data collection response, contact your DSS Industrial Security Representative for assistance.

[Proceed with Submitting PSI Projections](#)

## Validate CAGE Code

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1. CAGE Code: **PSI16**

2. Is Your CAGE Code correct?

- YES** (CAGE code is correct for facility)
- NO** (CAGE Code is not correct for facility)

Cancel

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## Incorrect Cage Code



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**You indicated that the CAGE Code is incorrect for your facility. Please stop the data collection now and contact your Industrial Security Representative to correct the CAGE Code before proceeding. Then return to the beginning of Section A to continue the data collection.**

OK

## Submission Type

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Select one of the following four types of submission

1.  **SINGLE SUBMISSION/ONE CAGE CODE:** I am submitting data for only my facility's CAGE Code.

**CONSOLIDATED SUBMISSION:** I am either submitting one consolidated response for at least two facilities' CAGE Codes(my facility's CAGE Code + 1 more) OR my facility's information is being submitted under another CAGE code's consolidated submission

2.  **Parent:** I am the parent facility. I am submitting information for my facility and at least one other facility under a consolidated response.


3.  **Covered Under a Consolidated Response:** My facility's PSI projection data will be included in another facility's consolidated response.

4.  **I will not be requiring any initial and periodic investigations in FY2019, FY2020, FY2021 and I will not be covered under a consolidated response.**

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## Confirmation and Reason

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You have stated that you are not currently projecting any initial and periodic investigations for clearances in the upcoming three years and you are not being covered under a consolidated response.

1. Is this correct?

YES

NO

If not, please push "Previous" and change your response on the previous question.

2. Please indicate the reason that you will not require any clearances in the next three years.

Loss of all classified contracts

Employees are not due for periodic re-investigations over the next three years

Debarment from government contracts


Other (please indicate reason below)

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## Consolidated Submission - Parent

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**If you are the sender of a consolidated submission, please provide a list of the CAGE Codes covered by these projections. In this list, DO NOT include:**

- YOUR OWN CAGE CODE
- CAGE CODES FOR ANY UNCLEARED OR INACTIVE FACILITIES

**You may paste lists of child CAGE Codes separated by either a comma, space or line feed into the text area below.**

Child CAGE Codes:

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[Save \(before clicking Next\)](#)

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## Covered Under a Consolidated Submission



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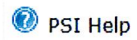
**If your facility's PSI projection data will be included in another facility's consolidated response, please indicate the CAGE Code of the facility that is submitting your data.**

1. Parent CAGE Code:

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## Agency Type



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**Do you project requiring clearances in the upcoming fiscal years due to:**

- Only DoD contracts/activities
- Only non-DoD contracts/activities
- Both DoD and non-DoD contracts/activities

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## DOD Data Input

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### Estimated Projections >

Below is a table to input your best numeric PSI requirements estimate for clearances by investigation type for fiscal years 2019, 2020, 2021.

Please provide your best estimates for PSI requirements where a DoD contract or activity requires a clearance.

**Click each value in the table below to edit it.**

Year	Tier 5 (Top Secret)	Tier 5R (Top Secret Reinvestigation)	Tier 3 (Secret/Confidential)	Tier 3 Periodic Reinvestigation
2019	0	0	0	0
2020	0	0	0	0
2021	0	0	0	0

### DOD Agencies requiring PSI >

For your projections above, please select the DoD agencies which are requiring the PSI for clearance.

Select all that apply:

**Select all that apply:**

- Air Force
- Army
- DARPA
- DCAA
- DCMA
- DIA
- DISA
- DLA
- DSCA
- DSS
- DTRA
- Marine Corps
- MDA
- NATO
- Navy
- NGA
- NSA
- OSD
- Other DoD

**If you selected "Other DoD" as one of your agencies, please enter the agency name.**

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## Non DOD Data Input

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### Estimated Projections >

Below is a table to input your best numeric PSI requirements estimate for clearances by investigation type for fiscal years 2019, 2020, 2021.

Please provide your best estimates for PSI requirements where a non-DoD contract or activity requires a clearance.

**Click each value in the table below to edit it.**

Year	Tier 5 (Top Secret)	Tier 5R (Top Secret Reinvestigation)	Tier 3 (Secret/Confidential)	Tier 3 Periodic Reinvestigation
2019	0	0	0	0
2020	0	0	0	0
2021	0	0	0	0

### Non DOD Agencies requiring PSI >

For your projections above, please select the non-DoD agencies which are requiring the PSI for clearance.

Select all that apply:


- Department of Agriculture
- Department of Commerce
- Department of Education
- Department of Health and Human Services,
- Department of Homeland Security
- Department of Justice

- Department of Labor
- Department of State
- Department of the Interior
- Department of the Treasury
- Department of Transportation
- Environmental Protection Agency
- Federal Communications Commission
- Federal Reserve System
- General Services Administration
- Government Accountability Office
- National Aeronautics and Space Administration -NASA
- National Archives and Records Administration
- National Science Foundation
- Nuclear Regulatory Commission
- Office of Personnel Management
- Other
- Overseas Private Investment Corporation
- Small Business Administration
- U.S. Agency for International Development
- U.S. International Trade Commission
- U.S. Trade Representative

If you selected "Other" as one of your agencies, please enter the agency name.

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## Methodology/Data Source

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Select from the list provided the description(s) that best matches the methodology or type of data source used to make PSI projections for this data collection.

Select all that apply:

- Average over a 3 year period
- Average over a 5 year period
- Current contracts requiring cleared personnel
- Projected contracts requiring cleared personnel
- Historical business data for this company
- Projected or Strategic business plan data for this company
- Human Resources | Personnel data
- JPAS data for PR calculations
- Statistical Modeling
- Other

If you selected "Other" as one of your methodologies for your numeric PSI estimates, please describe your methodology.

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## Comments

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You may add optional comments in general about the data collection and/or regarding a particular fiscal year.

Do not submit classified information. If you feel it is essential to pass along any classified information pertaining to this data collection please contact your Defense Security Service Industrial Security Representative to resolve how to submit such information.

**1. Time:**

Approximately how long, in minutes, did it take you to complete this data collection (including data collection) ?

Time (Minutes):

**2. Comments:**

If leaving a comment, please select the category type it falls under: (If you have multiple comments that fall under more than one category please select "other")

- Data collection Design/Layout
- Technical Issue
- Projections Clarification
- Other

**3. Comments concerning FY2019:**

**4. Comments concerning FY2020:**

**5. Comments concerning FY2021:**

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## Submitted



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Thank you for submitting your 2018 projections. You may continue to edit and resubmit your responses during the reporting period that ends on 2018-XX-XX. Your participation is essential to DoD program planning and budgeting for NISP security clearances. We appreciate your continued support. If you have any questions, please email [dss.ncr.dss.mbx.psiprogram@mail.mil](mailto:dss.ncr.dss.mbx.psiprogram@mail.mil).

OK

## 2018 PSI Projections

### Summary Information

Year: 2018  
CAGE Code: PSI16  
Start Date: 2018-03-28  
Last Updated: 2018-03-28  
Submission Type: No Investigations  
No Clearance Reason: Loss of all classified contracts

### General Comments:

Minutes to complete: 3  
Comment Type:  
Description:  
FY2019 Comments:  
FY2020 Comments:  
FY2021 Comments:

Done Print

### Self-Inspection Certification

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Click the Self-Inspection Certification check box after entering the name of the senior management official who can certify to DSS that a self-inspection has been conducted, that senior management has been briefed on the results, that appropriate corrective actions have been taken, and that management fully supports the security program at the cleared facility for the current calendar year.

Name of certifying senior management official:

### Personnel Security Investigation (PSI) Projections

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The end date for submitting your PSI projections is 2018-XX-XX.

  
2018 Projections  
Submitted  
Wednesday, March 28, 2018

  
2018 Projections Result  
Wednesday, March 28, 2018

  
2016 Projections Result  
Thursday, April 28, 2016

### Package in Progress

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To make changes to your existing forms, click the icon below.



Initial Package  
Submission Pending

## GLOSSARY

### SECTION 1 - CLEARANCE DEFINITIONS

**Personnel Security Clearance (PCL):** An administrative determination that an individual is eligible, from a security point of view, for access to classified information of the same or lower category as the level of the personnel clearance being granted.

**Personnel Security Investigation (PSI) (in the context of this data collection):** Any investigation required for determining the eligibility of contractor employees, consultants, and other persons affiliated with the DoD or non-DoD agency covered under the National Industrial Security Program for access to classified information, Adjudications of investigations for Industry PCL are completed by DSS.

**Periodic Reinvestigations (PR):** People with security clearances must be routinely reinvestigated at set intervals based on the level of clearance they possess. A Periodic Reinvestigation is done to ensure that cleared personnel are still suitable for access to classified information. The type of reinvestigation and frequency required depend on the level of clearance.

**Secret/Confidential Eligibility:** The classification level applied to information, the unauthorized disclosure of which reasonably could be expected to cause damage ("serious damage" for Secret) to the national security that the original classification authority is able to identify or describe.

**Tier 3:** Tier 3 is the type of investigation required for Confidential or Secret access to classified information.

**Tier 5:** A Tier 5 is a more detailed investigation and is required for a Top Secret clearance, for Sensitive Compartmented Information (SCI) access, and for designated Special Access Programs (SAP).

**Tier 5R (Top Secret Reinvestigation):** Reinvestigation for a Top Secret clearance to be initiated at any time following completion of, but not later than five years, from the date of the previous investigation or reinvestigation.

**Top Secret Eligibility:** The classification level applied to information, the unauthorized disclosure of which reasonably could be expected to cause exceptionally grave damage to the national security that the original classification authority is able to identify or describe.

**Trustworthiness Investigations:** Trustworthiness investigations are typically not conducted for a security clearance [DUI] . It is requested when an applicant is going to have access to Sensitive but Unclassified Information or occupy a position of "Public Trust." For example, trustworthiness investigations are sometimes conducted on those that will have access to a sensitive site (e.g., cleaning crew on a military installation). For the purpose of this data collection, you will not be asked to provide any projections for trustworthiness investigations.

## SECTION 2 - GENERAL DEFINITIONS

**Commercial and Government Entity Number (CAGE Code):** The CAGE Code is a five position code that identifies contractors doing business with the Federal Government, NATO member nations, and other foreign governments. The CAGE Code is used to support a variety of mechanized systems throughout the government and provides for a standardized method of identifying a given facility at a specific location. The code may be used for a Facility Clearance, a Pre-award survey, automated Bidders Lists, identification of Debarred Bidders, etc.

**Department of Defense (DoD):** The Office of the Secretary of Defense (including all boards, councils, staffs, and commands), DoD agencies, and the Departments of Army, Navy, and Air Force (including all of their activities).

**Defense Security Service (DSS):** The Defense Security Service (DSS) is an agency of the Department of Defense (DoD) headquartered in Quantico, Virginia with field offices throughout the United States. The Under Secretary of Defense for Intelligence provides authority, direction and control over DSS. DSS provides the military services, Defense Agencies, 31 federal agencies and approximately 12,000 cleared contractor facilities with security support services under the auspices of the National Industrial Security Program.

**Facility Security Clearance (FCL):** A facility clearance (FCL) is an administrative determination that a facility is eligible for access to classified information or award of a classified contract. Contract award may be made prior to the issuance of an FCL. However, in those cases, the contractor will be processed for an FCL at the appropriate level and must meet eligibility requirements for access to classified information. The FCL requirement for a prime contractor includes those instances in which all classified access will be limited to subcontractors. Contractors are eligible for custody (possession) of classified material, if they have an FCL and storage capability approved by the cognizant security agency, typically DSS.

**Facility Security Officer (FSO):** A Facility Security Officer (FSO) shall be appointed by the industry facility. The FSO shall report concerning the safeguarding of classified information. The local FSO for the facility acts as incident lead for any loss or contamination of classified material or information.

**Industrial Security:** That portion of information security concerned with the protection of classified information in the custody of U.S. Industry.

**Industry Security Representative (IS Rep):** IS Representatives are employees of the Defense Security Service located throughout the United States. IS Representatives schedule and conduct security surveys of industrial facilities prior to granting a facility a security clearance. They also schedule and conduct recurring security inspections of cleared industrial facilities that perform classified contract work under the auspices of the National Industrial Security Program.

**National Industrial Security Program (NISP):** The program established by Executive Order 12829 to serve as the single industrial security program throughout the Federal Government to protect classified information that may be released, or has been released, to current, prospective or former contractors, licensees, or grantees of the U.S. agencies, and to preserve U.S. economic and technological interests.

**NISP Operating Manual (NISPOM):** The NISPOM provides baseline standards for the protection of classified information released or disclosed to industry in connection with classified contracts under the NISP.

**Office of Personnel Management (OPM):** OPM serves as the investigative service provider for the investigative portion of the clearance process for cleared defense contractors.

## Helpful Hints

### Contact Information:

- For PSI projection submission questions, please contact DSS at [dss.ncr.dss.mbx.psiprogram@mail.mil](mailto:dss.ncr.dss.mbx.psiprogram@mail.mil)

**Data Collection Completion:** The data collection need not be completed in one sitting. The data will be saved and the next time the user logs into the system they are directed to the last page they previously visited.

**Previous Button:** Clicking on the 'Previous' button at the bottom of the page will direct you to the previous page within the data collection. Please refrain from using the browser 'back' button and use the 'Previous' button at the bottom of the page to continue to stay in the PSI-I data collection.

**Reporting Period:** The PSI data collection is open on 2018-XX-XX and will be closed COB on 2018-XX-XX. You may continue to edit and resubmit your responses during the reporting period.

**Saving Data:** Clicking the 'Next' button automatically saves the data on the current page before proceeding to the next page.

**Video Tutorial:** See <http://www.dss.mil/diss/efcl.html> under "Alerts".