Succeeding in the Open

Enabling NGA to Operate in Unclassified Environments

Rich Girven

August 2019

RAND CORPORATION

Purpose

Project Purpose:

Assist NGA's Office of Human Development (HD) in transitioning roles to unclassified spaces, such as remote telework, by identifying the ***technological***, ***legal***, ***policy***, ***financial*** and ***security*** considerations that would allow employees to engage in HD's mission outside of classified environments

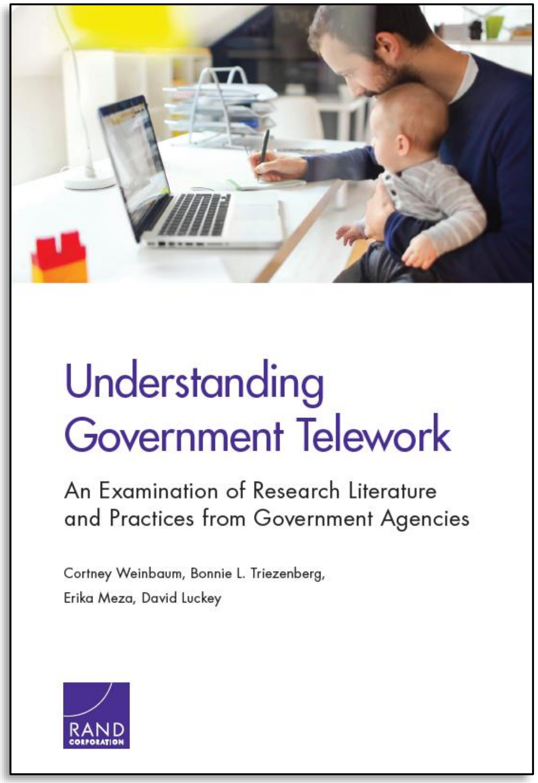
Task 1: Identify business constraints to moving work to unclassified facilities

Task 2: Identify which NGA functions could occur in unclassified facilities

Task 3: Discover how other agencies overcame or circumvented similar constraints

Task 4: Reveal solutions that would work at NGA

Project Reports



Understanding Government Telework

An Examination of Research Literature and Practices from Government Agencies

Cortney Weinbaum, Bonnie L. Triezenberg, Erika Meza, David Luckey

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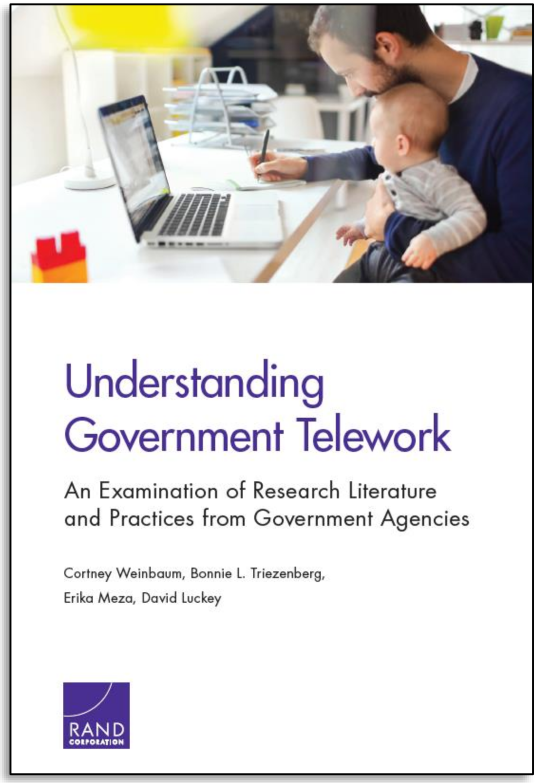
An examination of telework at 7 federal agencies. We chose agencies that handle sensitive but unclassified (SBU) information.

Project Reports



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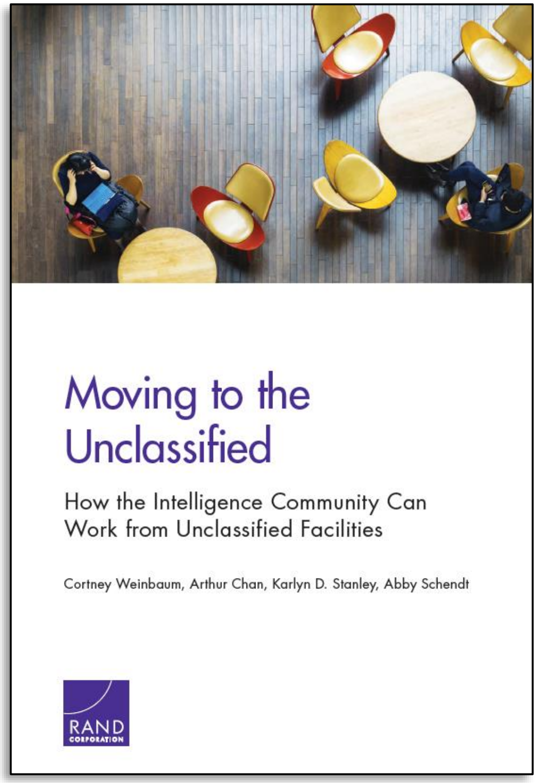

Moving to the Unclassified

How the Intelligence Community Can Work from Unclassified Facilities

Cortney Weinbaum, Arthur Chan, Karlyn D. Stanley, Abby Schendt

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Recommendations for IC executives and managers who want to move intelligence agency functions to unclassified facilities and networks.

Project Reports

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ROADMAP
to Succeed in the Open

For the National Geospatial-Intelligence Agency's Human Development Directorate

AUGUST 2017

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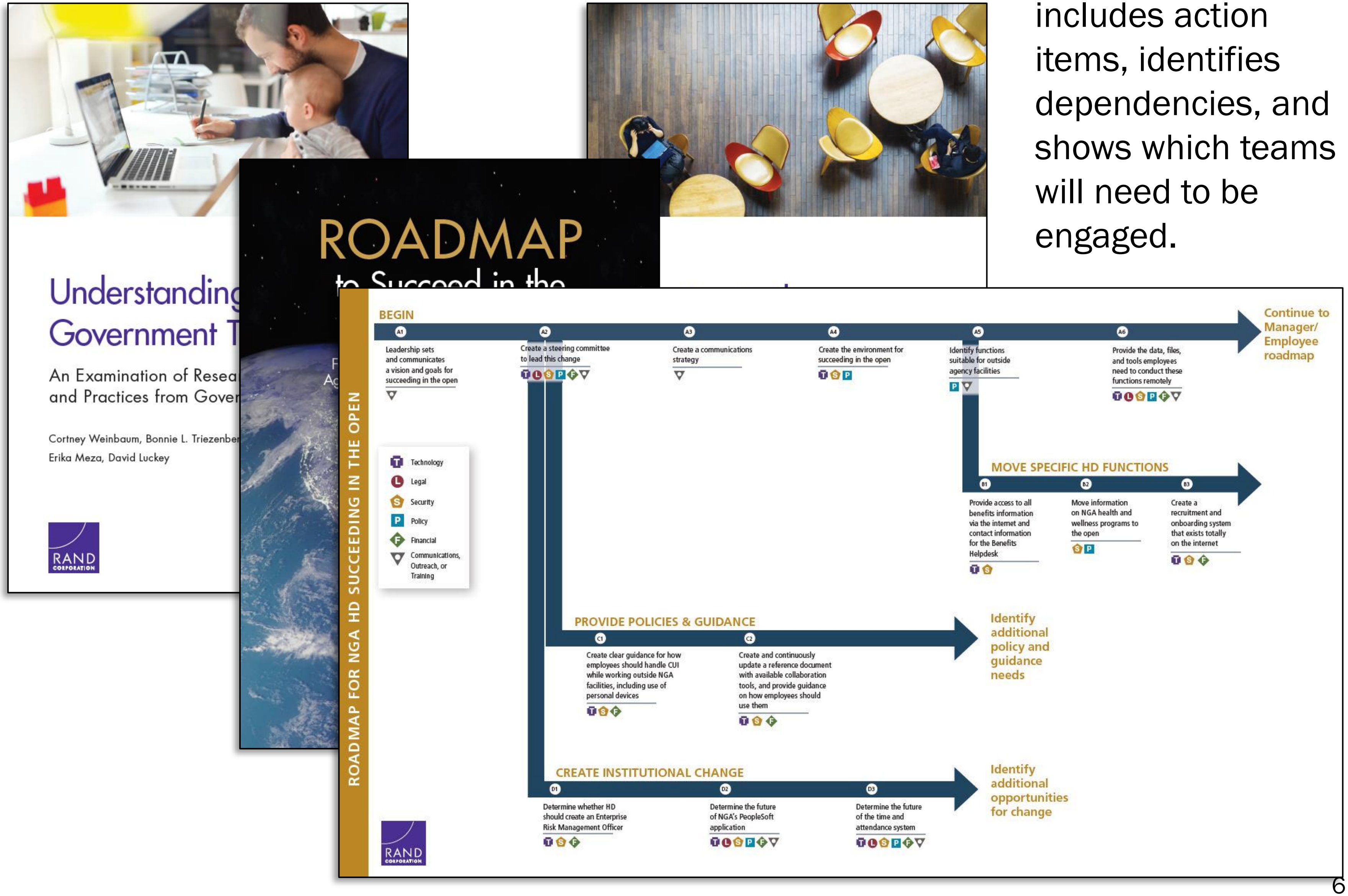
A roadmap for NGA with specific recommendations for how NGA executives can make these changes.

Project Reports



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ROADMAP
to Succeed in the

ROADMAP FOR NGA HD SUCCEEDING IN THE OPEN

BEGIN

A1 Leadership sets and communicates a vision and goals for succeeding in the open ▽

A2 Create a steering committee to lead this change T L S P F ▽

A3 Create a communications strategy ▽

A4 Create the environment for succeeding in the open T S P

A5 Identify functions suitable for outside agency facilities P ▽

A6 Provide the data, files, and tools employees need to conduct these functions remotely T L S P F ▽

Continue to Manager/ Employee roadmap

MOVE SPECIFIC HD FUNCTIONS

B1 Provide access to all benefits information via the internet and contact information for the Benefits Helpdesk T S

B2 Move information on NGA health and wellness programs to the open S P

B3 Create a recruitment and onboarding system that exists totally on the internet T S F

PROVIDE POLICIES & GUIDANCE

C1 Create clear guidance for how employees should handle CUI while working outside NGA facilities, including use of personal devices T S F

C2 Create and continuously update a reference document with available collaboration tools, and provide guidance on how employees should use them T S F

Identify additional policy and guidance needs

CREATE INSTITUTIONAL CHANGE

D1 Determine whether HD should create an Enterprise Risk Management Officer T S F

D2 Determine the future of NGA's PeopleSoft application T L S P F ▽

D3 Determine the future of the time and attendance system T L S P F ▽

Identify additional opportunities for change

T	Technology
L	Legal
S	Security
P	Policy
F	Financial
▽	Communications, Outreach, or Training

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The roadmap includes action items, identifies dependencies, and shows which teams will need to be engaged.

What RAND Did

- We conducted 51 interviews
- We analyzed dozens of NGA policies that would impact the implementation of unclassified work
- We reviewed over 100 previous studies, surveys, and research papers on the effects of telework on employees and organizations inside and outside government
- We analyzed 7 federal agencies to understand their specific policies, processes, programs, and IT systems to support remote work, including FEMA, GSA, IRS, NASA, NRC, NSF, & USPTO
  - All use SBU information, including employment records (PII), intellectual proprietary, and solicitation sensitive information.
  - Some handle additional types of FOUO.
  - Some handle classified information, including nuclear programs and classified technologies.

Conclusions Across Six Categories

Policy Considerations	Setting expectations and guidelines for how work should be conducted on unclassified systems and from unclassified facilities
Legal Considerations	Awareness of legal requirements and how agency policies and technologies adhere to the law
Technology Considerations	Providing employees with the tools they need to work from unclassified facilities
Security Considerations	Providing security policies and guidelines that are clear, easy to understand, and appropriate for the work employees will conduct
Financial Considerations	Understanding the investments and savings in both time and money that will be incurred by agencies and employees
Cultural Considerations	Understanding perceptions of unclassified work and creating performance incentives and training to overcome negative perceptions

Policy

- **Telework policy:** The Telework Enhancement Act of 2010 creates mechanisms employees to work from home. For agencies without unclassified facilities, telework provides clear requirements for teleworkers and their managers.
- **Use of personal devices:** Agencies should have a policy on the use of government-issued or personal devices. There is no federal law that bans the use of personal devices; it is up to each agency to set their own policies and requirements.
- **Handling of sensitive information:** Because of the nature of their missions, IC components need detailed, but also easily comprehensible, policies about how employees should handle different types of information, including Controlled Unclassified Information (CUI), personally identifiable information (PII), and Proprietary Information (PROPIN).
- **Core work hours:** Agencies could establish guidelines for core work hours, though there is no legal requirement to do so.
- **Time and attendance management:** Agencies should establish policies about how to record time and attendance when employees are off-site, especially if the T&A system is only accessible from classified computers.

Legal

- **Federal Information Security Management Act of 2002 (FISMA)** mandates information security controls over information resources that support federal operations and assets.
- **Telework Enhancement Act of 2010** defines *telework* and mandates that agencies establish specific policies, processes, and training for employees and managers.
- **EO 13556** creates the CUI Program to replace previous unclassified control markings and establishes standard procedures for handling CUI across agencies.
- **Use of personally owned devices** for unclassified government work is not forbidden by law, and agencies have flexibility in creating their own policies and processes for use of employee-owned devices, such as using personal smartphones and laptops to remotely log into government systems.

Technology

- **Remote log-on:** The ability of employees to access their unclassified emails, applications, and files from outside government facilities. This may include VPN secure computing environments to provide safeguards to prevent improper access of CUI and monitor for malicious activity.
- **Collaboration tools:** The ability to collaborate and communicate remotely may include instant message and chat room capabilities, phone-call forwarding, and the ability to share files across teams.
- **File transfer across IT systems:** Unclassified documents stored on classified computing systems becomes a hurdle to remote work because employees are unable to remotely access these files. This hurdle can be overcome by instituting responsive transfer processes—subject to multilevel approval to ensure continued security—to efficiently move files between classified and unclassified systems.

Security

- **Security classification guides (SCGs)** tell employees what information is classified at various levels and handling restrictions. Yet SCGs are often vague, confusing, or not all inclusive of the information employees handle. Agencies should consolidate their SCGs so that they conform to new government-wide standards and incorporate delineations for when information crosses from one security classification level to another.
- **Electronic data handling policies** include guidance on how employees may or may not access CUI via email (government email versus personal email), remote desktops, and other methods and under which circumstances employees must use encryption and digital signatures.
- **Physical handling policies** include guidance on how employees may or may not remove printed CUI from facilities, print hard copies outside of government facilities, secure information when off-site, and destroy copies that are no longer needed. Such policies may require the use of locked drawers, shredders, or other equipment.

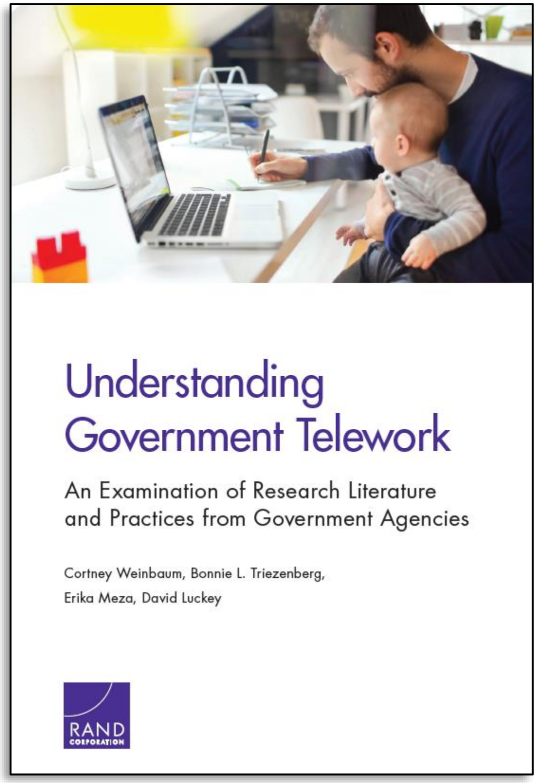
Financial

- **Investment costs:** The cost to implement the necessary features of a successful remote-work environment may include new technology investments—possibly purchasing government laptops or other equipment for employees to use when working remotely.
- **Financial savings:** The most significant cost saving that federal agencies report from remote work is the ability to consolidate facilities to reduce the square footage of office space needed and lower utility costs. These savings may not be possible for intelligence agencies whose workforces are centralized in headquarters facilities.
- **Employee costs and savings:** Employees themselves may incur costs and savings from remote-work programs, and these create both hurdles and incentives for employees to participate in these programs. The largest cost that employees will experience is setting up an effective workspace, which may include new computing equipment and peripherals if the agency does not provide these. Yet employees will experience savings in their commutes, and time savings may benefit employees who are the primary caretaker for a family member.

Cultural

- **Perceptions:** Include remote-work goals in performance reviews and promotion criteria so agency leaders can demonstrate how these programs advance careers and benefit the agency's mission.
- **Measuring performance:** Evaluate the productivity of remote workers to overcome the mentality of "if I can't see you, you're not working for me."
- **Training:** Telework programs are required to provide telework training to managers and employees. Additional training on results-oriented or deliverable-based management practices, managing teams and collaborating across geographic distances, and topics relevant to the mission and functions of the agency's remote workers could improve how remote-work programs are used.

Questions?



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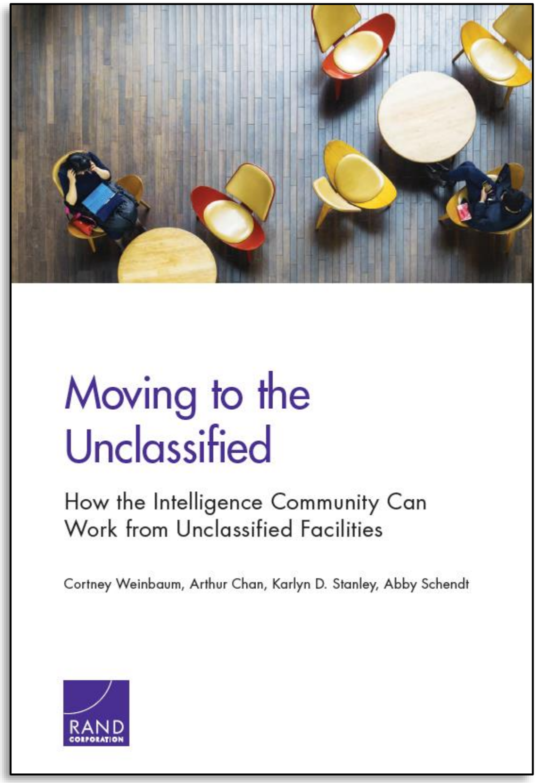

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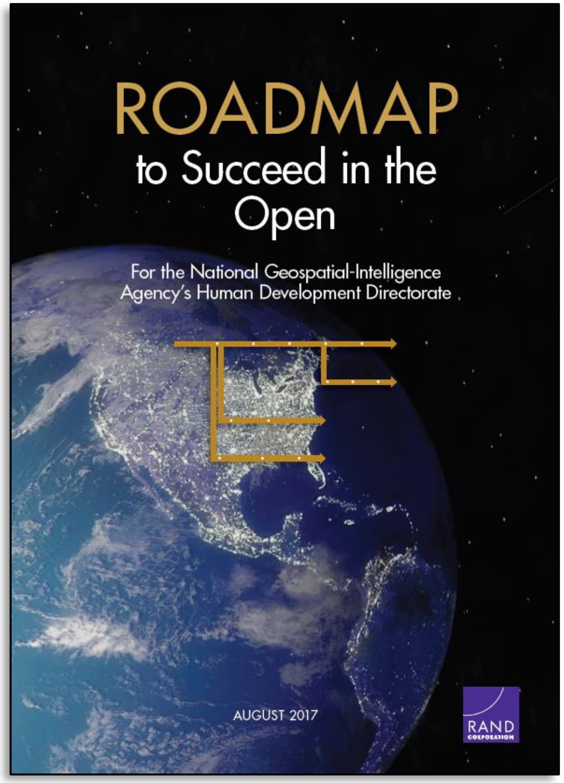

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