

VLA CUT 108

GAO

Update of Data on Employees Affected By
Federal Security Programs

Rep Brooks

OCA FILE

Rep Ford

Rec'd 6 July 88

Sen Pryor

In a March 22, 1988, letter (Attachment 1), Chairmen Brooks, Ford *Sellman* and Pryor asked GAO to assist them in updating data involving government agencies' information and personnel security programs. The chairmen asked GAO to handle responses to a questionnaire that they were sending to all executive branch agencies, requesting data for calendar years 1986 and 1987 (attachment 2). GAO was asked to compile the data and include it in a report, as was done for calendar years 1984 and 1985 in GAO/NSIAD-86-189FS, September 29, 1986 (attachment 3).

The questionnaires for the previous and current reviews are similar, and most agencies have responded to the current request, including data in questions 3-7 that concern SCI access. Two agencies, the Department of Commerce and the United States Information Agency, declined to provide such data explaining that they believed the data to be CIA proprietary information, and suggested that GAO contact the CIA Office of Congressional Affairs. We would appreciate responses to questions 3-7 for the two agencies, either from the Office of Congressional Affairs or the agencies themselves, if so authorized by that office. Several agencies have been delayed in responding to the questionnaire; it is possible that some may also defer the SCI questions to CIA.

Congressional concerns appear to be directed to the use of nondisclosures agreements, especially those providing for prepublication review. We plan to report SCI access data in totals only, without identifying specific agencies.

Please contact Irv Boker (275-3973) or Don Lentz (275-4052).

88 124

Congress of the United States
House of Representatives
Washington, D.C. 20515

March 22, 1988

The Honorable Charles A. Bowsher
Comptroller General of the United States
Washington, D.C. 20548

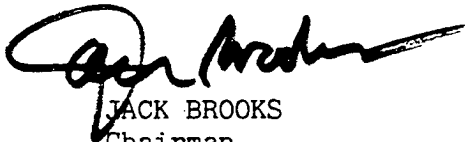
Dear General:

In preparation for hearings in October of 1983 by the Government Operations Committee on the Federal Government's policies on prepublication censorship and polygraph testing, the General Accounting Office conducted a survey of the Federal agencies. In September of 1986, that survey was updated for Calendar Years 1984 and 1985, and extended to include a general survey of information classification and access programs. GAO's report entitled Information and Personnel Security; Data on Employees Affected by Federal Security Programs, has been extremely useful to Congress in consideration of numerous legislative proposals and oversight projects conducted recently.

In anticipation of Congress' active consideration of various new proposals regarding government secrecy and the Executive's information and personnel security programs this year, we request that a further update be made for Calendar Years 1986 and 1987. We request that this project be started immediately in order that it may be completed by early summer. Because the agencies' have now been queried twice regarding this information, they should have no trouble responding quickly to your questionnaire.

Thank you very much for your attention to this request. With every good wish, we are

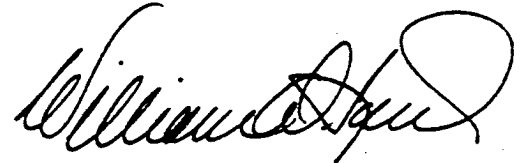
Sincerely,



JACK BROOKS
Chairman
Committee on Government
Operations



DAVID PRYOR
Chairman
Subcommittee on Federal
Services, Post Office
and Civil Service



WILLIAM A. FORD
Chairman
Committee on Post Office
and Civil Service

United States Senate

WASHINGTON, D.C. 20510

Dear

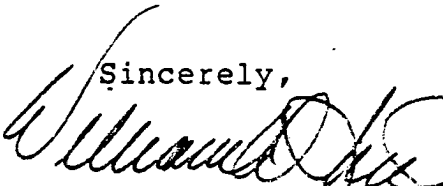
Since 1984, the General Accounting Office, at the request of the Committees on Government Operations and Post Office and Civil Service, has conducted several surveys of the government's information and personnel security programs. Their last survey covered calendar years 1984 and 1985. We have requested the General Accounting Office to obtain updated and additional information relative to calendar years 1986 and 1987. We would appreciate your response to the enclosed questionnaire by May 16, 1988.

Thank you very much for your prompt attention to this request.

Sincerely,



Jack Brooks
Chairman
Committee on
Government Operations



William D. Ford
Chairman
Committee on Post Office
and Civil Service



David Pryor
Chairman
Subcommittee on
Federal Services,
Post Office and
Civil Service

REQUEST FOR INFORMATION RELATIVE TO
INFORMATION AND PERSONNEL SECURITY

Introduction:

Throughout this questionnaire, we are talking about the number of people; for that reason, the number of positions should not be converted to full-time equivalents.

When an estimate is given for any answer, please precede the estimated number with the letter "E".

Unless otherwise specified, the requested information should be as of December 31, 1986, and December 31, 1987.

Please be specific when indicating whether an answer is classified.

If your agency participates in the Defense Industrial Security Program (DISP), you need not provide data on those contractor employees covered by the program, because such data will be obtained directly from the Department of Defense. If you also have contractor employees not covered by the DISP, please provide the requested data for them.

If any information will not be obtainable within the specified timeframe, please send that information which is available and indicate a date by which we may expect the remainder.

If you have any questions, please call Mr. Don Lentz 275-4052 or Mr. Irv Boker, 275-3973. Please return the completed questionnaire by May 16, 1988, to:

Mr. Irv Boker, Room 4100
U.S. General Accounting Office
Washington, D.C. 20548

QUESTIONNAIRE**GENERAL**

1. Approximately how many people were employed by your agency as of December 31, 1986, and December 31, 1987? (The total should include both full- and part-time employees. If the exact number is not available, please give your agency's best estimate, and indicate such by preceding the number with the letter "E").

	<u>1986</u>	<u>1987</u>
Employees	_____	_____

SECURITY CLEARANCES

2. As of December 31, 1986, and December 31, 1987, approximately how many of your employees and how many employees of your contractors were cleared for access to classified information? Please count the individuals based on their highest level of clearance. (If the exact number is not known, please give your agency's best estimate. Do not include contractor employees who were granted clearances by the Defense Investigative Service. Enter the number on each line. If none, enter "0").

<u>Highest Level of Clearance</u>	<u>1986</u>		<u>1987</u>	
	<u>Agency Employees</u>	<u>Contractor Employees</u>	<u>Agency Employees</u>	<u>Contractor Employees</u>
TOP SECRET	_____	_____	_____	_____
SECRET	_____	_____	_____	_____
CONFIDENTIAL	_____	_____	_____	_____

3. How many SCI and non-SCI special access programs did your agency have at the close of calendar years 1986 and 1987? How many billets were authorized for these programs and how many agency and contractor employees were granted special access authorizations for them for each of those years? (If the exact number is not available, please give your agency's best estimate, and indicate such by preceding the number with the letter "E").

	<u>1986</u>		<u>1987</u>	
	<u>SCI</u>	<u>Non-SCI</u>	<u>SCI</u>	<u>Non-SCI</u>
Programs	_____	_____	_____	_____
Billets	_____	_____	_____	_____
Agency employees	_____	_____	_____	_____
Contractor employees	_____	_____	_____	_____

4. How many personnel security clearances, SCI accesses, and non-SCI special access program (SAP) accesses did you grant (or were granted) to your employees, and employees of your contractors during calendar years 1986 and 1987? (If the exact number is not available, please give your agency's best estimate and indicate such by preceding the number with the letter "E". Do not include clearances granted to contractor employees by the Defense Investigative Service.)

	1986		1987	
	<u>Agency</u>	<u>Contractor</u>	<u>Agency</u>	<u>Contractor</u>
TOP SECRET	_____	_____	_____	_____
SECRET	_____	_____	_____	_____
CONFIDENTIAL	_____	_____	_____	_____
TOTAL	_____	_____	_____	_____
SCI Access	_____	_____	_____	_____
Non-SCI Special Access Program	_____	_____	_____	_____

5. How many requests for security clearances and SCI and non-SCI SAP accesses were in process (incomplete National Agency Checks, Background Investigations, adjudications, etc.) at the end of calendar years 1986 and 1987? (If the exact number is not available, please give your agency's best estimate, and indicate such by preceding the number with the letter "E").

<u>Level of Request for Clearance and Access in Process</u>	1986		1987	
	<u>Agency</u>	<u>Contractor</u>	<u>Agency</u>	<u>Contractor</u>
TOP SECRET	_____	_____	_____	_____
SECRET	_____	_____	_____	_____
CONFIDENTIAL	_____	_____	_____	_____
TOTAL	_____	_____	_____	_____
SCI Access	_____	_____	_____	_____
Non-SCI SAP Access	_____	_____	_____	_____

6. What was the average time (in calendar days) required for you or another agency to complete the investigative work incident to the granting of a top secret and secret security clearance and SCI and non-SCI SAP access during calendar years 1986 and 1987? (Do not include the time involved in the preparation and internal processing of the personnel security questionnaire and in the subsequent adjudicative process. Include, if appropriate, the average time taken by the Defense Investigative Service to process your requests for clearances for contractor employees.)

<u>Level of Clearance</u>	<u>1986</u>		<u>1987</u>	
	<u>Agency</u>	<u>Contractor</u>	<u>Agency</u>	<u>Contractor</u>
TOP SECRET	_____	_____	_____	_____
SECRET	_____	_____	_____	_____
CONFIDENTIAL	_____	_____	_____	_____
SCI Access	_____	_____	_____	_____
Non-SCI SAP Access	_____	_____	_____	_____

7. How many requests for your employees and employees of your contractors for security clearances and SCI and non-SCI SAP access were denied during calendar years 1986 and 1987? How many clearances and SCI and non-SCI accesses were revoked for reasons of risk or potential risk to national security or administratively because of insufficient need? Identify, by placing in brackets, those requests for clearances or revocations for contractor employees administered by the Defense Investigative Service. (If the exact number is not available, please give your agency's best estimate, and indicate such by preceding the number with the letter "E").

<u>Agency</u> <u>1986</u>	<u>Level of Clearance and Access</u>					<u>Total</u>
	<u>Top Secret</u>	<u>Secret</u>	<u>Confidential</u>	<u>SCI access</u>	<u>Non-SCI SAP access</u>	
Number of Denials	_____	_____	_____	_____	_____	_____
Revocations-Because of: Risk or Potential Risk	_____	_____	_____	_____	_____	_____
Administrative-No Further Need	_____	_____	_____	_____	_____	_____
Total Number of Revocations	_____	_____	_____	_____	_____	_____
<u>1987</u>						
Number of Denials	_____	_____	_____	_____	_____	_____
Revocations-Because of: Risk or Potential Risk	_____	_____	_____	_____	_____	_____
Administrative-No Further Need	_____	_____	_____	_____	_____	_____
Total Number of Revocations	_____	_____	_____	_____	_____	_____

<u>Contractor</u> <u>1986</u>	<u>Top</u> <u>Secret</u>	<u>Secret</u>	<u>Confi-</u> <u>dential</u>	<u>SCI</u> <u>access</u>	<u>Non-SCI</u> <u>SAP access</u>	<u>Total</u>
Number of Denials	_____	_____	_____	_____	_____	_____
Revocations-Because of: Risk or Potential Risk	_____	_____	_____	_____	_____	_____
Administrative-No Further Need	_____	_____	_____	_____	_____	_____
Total Number of Revocations	_____	_____	_____	_____	_____	_____
<u>1987</u>						
Number of Denials	_____	_____	_____	_____	_____	_____
Revocations-Because of: Risk or Potential Risk	_____	_____	_____	_____	_____	_____
Administrative-No Further Need	_____	_____	_____	_____	_____	_____
Total Number of Revocations	_____	_____	_____	_____	_____	_____

8. Please provide copies of your agency's policies and procedures governing the periodic reinvestigation of individuals after the initial granting of clearances and SCI access. How many completed reinvestigations of any type did your agency conduct or have conducted for it during calendar years 1986 and 1987? What was the average time (in calendar days) required for completion of the reinvestigation? (If the exact number is not available, please give your agency's best estimate, and indicate such by preceding the number with the letter "E").

<u>1986</u>	<u>Level of Clearance and Access</u>					<u>Total</u>
	<u>Top</u> <u>Secret</u>	<u>Secret</u>	<u>Confi-</u> <u>dential</u>	<u>SCI</u> <u>access</u>	<u>Non-SCI</u> <u>SAP access</u>	
Number of completed Reinvestigations:						
Agency	_____	_____	_____	_____	_____	_____
Contractor	_____	_____	_____	_____	_____	_____
Average Time Required:						
Agency	_____	_____	_____	_____	_____	_____
Contractor	_____	_____	_____	_____	_____	_____

<u>1987</u>	<u>Level of Clearance and Access</u>					<u>Total</u>
	<u>Top Secret</u>	<u>Secret</u>	<u>Confidential</u>	<u>SCI access</u>	<u>Non-SCI SAP access</u>	
Number of completed Reinvestigations:						
Agency	_____	_____	_____	_____	_____	_____
Contractor	_____	_____	_____	_____	_____	_____
Average Time Required:						
Agency	_____	_____	_____	_____	_____	_____
Contractor	_____	_____	_____	_____	_____	_____

9. Approximately how much did you spend in calendar years 1986 and 1987 for security clearance investigations, reinvestigations, special investigations, and adjudications, including inhouse costs, reimbursements to other federal agencies, and contract costs? Please identify specific costs if possible (i.e. adjudicative costs, Defense Investigative Service vs. Office of Personnel Management, etc.).

	<u>1986</u>	<u>1987</u>
Inhouse costs		
_____	_____	_____
_____	_____	_____
_____	_____	_____
Total	_____	_____
Reimbursement to other agencies		
_____	_____	_____
_____	_____	_____
_____	_____	_____
Total	_____	_____
Contracted investigative services		
_____	_____	_____
_____	_____	_____
_____	_____	_____
Total	_____	_____

CLASSIFICATION MANAGEMENT

10. How many employees of your agency were authorized to classify information (either original or derivative authority) at the top secret level and below and at the secret level and below as of December 31, 1986, and December 31, 1987? Please count the individuals based on their highest level of authority. (if the exact number is not known, please give your agency's best estimate, and indicate such by preceding the number with the letter "E").

<u>Level of Information Classified</u>	<u>Agency Classifiers</u>			
	<u>1986</u>		<u>1987</u>	
	<u>Original Authority</u>	<u>Derivative Authority</u>	<u>Original Authority</u>	<u>Derivative Authority</u>
TOP SECRET and below	_____	_____	_____	_____
SECRET and below	_____	_____	_____	_____

11. Does your agency require its classifiers to be certified? Does your agency require training for classifiers? If you answer yes, please provide the requirements of the certification and syllabus of the training requirements.

<u>Certification of Classifiers</u>	<u>Training Required for Classifiers</u>
_____ yes	_____ yes
_____ no	_____ no

12. Does your agency use classification guides? If you answer yes, how many were issued as of December 31, 1986, and December 31, 1987?

<u>Classification Guides Used</u>	<u>Number of Classification Guides Issued as of</u>	
	<u>December 31, 1986</u>	<u>December 31, 1987</u>
_____ yes	_____	_____
_____ no	_____	_____

ACCESS BY HISTORIANS AND FORMER PRESIDENTIAL APPOINTEES

13. Section 4.3 of Executive Order 12356 authorizes access to classified information by historical researchers and former presidential appointees. Please provide the following information on the number of individuals given such access.

<u>1986</u>	<u>Historical Researchers</u>	<u>Former Presidential Appointees</u>
Number of individuals granted access during calendar year 1986	_____	_____
Number of individuals denied access during calendar year 1986	_____	_____
Number of individuals with access as of December 31, 1986	_____	_____
 <u>1987</u>	 <u>Historical Researchers</u>	 <u>Former Presidential Appointees</u>
Number of individuals granted access during calendar year 1987	_____	_____
Number of individuals denied access during calendar year 1987	_____	_____
Number of individuals with access as of December 31, 1987	_____	_____

14. Please provide a copy of your agency's procedures governing section 4.3 of the executive order. If your procedures do not include a provision for this section of the order, please identify the position of the individual authorized to grant access to historical researchers and former presidential appointees.

NONDISCLOSURE AGREEMENTS

15. As of December 31, 1986, and December 31, 1987, how many employees of your agency and employees of your contractors had signed a Standard Form (SF) 189, SF 189-A, Form 4193, DD Form 1847-1 (for SCI access), or other nondisclosure agreement? (Please attach copies of agreements other than SF 189, SF 189-A, Form 4193 and DD Form 1847-1.)

<u>1986</u>	<u>Agency Employees</u>	<u>Contractor Employees</u>
SF 189	_____	_____
SF 189-A	_____	_____
Form 4193	_____	_____
DD Form 1847-1	_____	_____
_____	_____	_____
(other)	_____	_____
_____	_____	_____
(other)	_____	_____
 <u>1987</u>	 <u>Agency Employees</u>	 <u>Contractor Employees</u>
SF 189	_____	_____
SF 189-A	_____	_____
Form 4193	_____	_____
DD Form 1847-1	_____	_____
_____	_____	_____
(other)	_____	_____
_____	_____	_____
(other)	_____	_____

16. Has your agency issued written procedures for use of the SF 189 and 189-A?

_____ Yes _____ No

If you answered "yes", please provide a copy of the procedures.

17. Information Security Oversight Office (ISOO) instructions on the use of SF 189 and SF 189-A did not designate a date for completing implementation for individuals who already had access to classified information. What date or dates did you establish for obtaining a signed SF 189 or SF 189-A from every individual granted access to classified information prior to the December 29, 1987, letter from ISOO directing immediate suspension of the program?

	<u>SF 189</u>	<u>SF 189-A</u>
None	_____	_____
Date	_____	_____

18. Did you require all of your employees and all of your contractors' employees to sign either an SF 189 or SF 189-A?

_____ Yes

_____ No

If you answered "no", which employees were not required to sign an SF 189 or SF 189-A?

19. What means of enforcement did you have to ensure that all required individuals signed an SF 189 or SF 189-A? (Please explain.)

20. When do you require individuals--new employees, newly cleared employees, and employees who already have access to classified information--to sign the nondisclosure agreements (SF 189, SF 189-A, Form 4193, DD Form 1847-1, and others)? (Please check the appropriate line or lines.)

<u>New employees</u>	<u>SF 189</u>	<u>SF 189-A</u>	<u>Form 4193</u>	<u>DD Form 1847-1</u>	<u>Other</u>
When hired	_____	_____	_____	_____	_____
When a clearance is requested	_____	_____	_____	_____	_____
When a clearance is granted	_____	_____	_____	_____	_____
After a security briefing	_____	_____	_____	_____	_____
Before access to classified data	_____	_____	_____	_____	_____
Other (please explain on attachment)	_____	_____	_____	_____	_____

<u>Newly cleared employees</u>	<u>SF 189</u>	<u>SF 189-A</u>	<u>Form 4193</u>	<u>DD Form 1847-1</u>	<u>Other</u>
After a security briefing	_____	_____	_____	_____	_____
Before access to classified data	_____	_____	_____	_____	_____
Other (please explain on attachment)	_____	_____	_____	_____	_____
<u>Employees already having access</u>	<u>SF 189</u>	<u>SF 189-A</u>	<u>Form 4193</u>	<u>DD Form 1847-1</u>	<u>Other</u>
All employees have signed agreements	_____	_____	_____	_____	_____
After a security briefing	_____	_____	_____	_____	_____
Before access to classified data	_____	_____	_____	_____	_____
Other (please explain on (attachment))	_____	_____	_____	_____	_____

21. How many employees of your agency and contractors had refused to sign the SF 189 SF 189-A, Form 4193, DD Form 1847-1, or other nondisclosure agreement as of December 31, 1987?

	<u>Agency Employees</u>	<u>Contractor Employees</u>
SF 189	_____	_____
SF 189-A	_____	_____
Form 4193	_____	_____
DD Form 1847-1	_____	_____
Other	_____	_____

22. What action has been taken with respect to those individuals who refused to sign the SF 189, SF 189-A, Form 4193, DD Form 1847-1, or other nondisclosure agreement? Please indicate the number of employees involved and indicate the action or actions taken. For example, if any employee's security clearance was suspended and the individual was also reassigned to another position, the individual would be included in two of the categories described below.

	<u>Agency Employees</u>	<u>Contractor Employees</u>
Security clearance suspended	_____	_____
Security clearance revoked	_____	_____
No action taken on clearance	_____	_____
Individual reassigned to another position or duties with:		
No reduction in salary	_____	_____
Reduction in salary	_____	_____
Individual resigned	_____	_____
Individual's employment terminated	_____	_____
Case still under consideration	_____	_____
Other administrative sanctions (please describe below)	_____	_____

23. How many SF 189, SF 189-A, Form 4193, DD Form 1847-1, or other nondisclosure agreements were signed by employees of your agency and contractors during the periods of December 22, 1987 (date of enactment of on the use of nondisclosure) through March 31, 1988?

<u>December 22, 1987 - March 31, 1988</u>	<u>Agency Employees</u>	<u>Contractor Employees</u>
SF 189	_____	_____
SF 189-A	_____	_____
Form 4193	_____	_____
DD Form 1847-1	_____	_____
<u>(Other)</u>	_____	_____
<u>(Other)</u>	_____	_____
Total	_____	_____

PRE-PUBLICATION REVIEW AND UNAUTHORIZED DISCLOSURES

24. Are any of your agency's employees required to submit to any pre-publication review procedure (other than to review official statements on behalf of the agency)?

_____ Yes

_____ No (Please skip to Question 28)

25. Approximately how many books, articles, speeches, and other materials, by category, were reviewed during your agency's pre-publication review process (described in Question 24) for calendar years 1986 and 1987? If possible, identify the reason for pre-publication review. If the number is not known, please give your agency's best estimate (required by regulation or nondisclosure agreement). Please enter the number on each line. (If none, enter "0".)

<u>Reason for Pre-Publication Review</u>	<u>Type of Material</u>			<u>Other (Please Specify)</u>
	<u>Books</u>	<u>Articles</u>	<u>Speeches</u>	
<u>1986</u>				
Regulation	_____	_____	_____	_____
SCI Agreement	_____	_____	_____	_____
Non-SCI SAP Agreement	_____	_____	_____	_____
Other (please specify)	_____	_____	_____	_____
<u>1987</u>				
Regulation	_____	_____	_____	_____
SCI Agreement	_____	_____	_____	_____
Non-SCI SAP Agreement	_____	_____	_____	_____
Other (please specify)	_____	_____	_____	_____

26. Please estimate the average number of working days that elapse from the date of receipt of a request for pre-publication review of each type of document below, to the date the requestor is informed of the final results. If you have not had experience in reviewing a type of document, enter "NA" on the applicable line. (Enter estimated average number of working days on each line).

Estimated Average Working Days

_____	Books	_____	Articles
_____	Speeches	_____	Other (please specify)
_____		_____	

27. During calendar years 1986 and 1987, approximately how many employees were assigned, and working days were used for pre-publication review as described in Question 24?

	<u>1986</u>	<u>1987</u>
Estimated number of employees assigned	_____	_____
Estimated number of working days used	_____	_____

28. During calendar years 1986 and 1987, did your agency experience any unauthorized disclosures of classified information? (Check one).

	<u>1986</u>	<u>1987</u>
Yes	_____	_____
No (Please skip to Question 32)	_____	_____

29. For calendar years 1986 and 1987, please indicate the total number of unauthorized disclosures, the number of unauthorized disclosures made through books, articles, speeches, written or given by then-current and former employees, the number which were not reported to the Department of Justice, and the number made by individuals who had previously signed a nondisclosure agreement.

	<u>1986</u>	<u>1987</u>
Total number of known unauthorized disclosures	_____	_____
Number not reported to Department of Justice	_____	_____
Number made through published writing or speeches by: then-current employees, or Former employees	_____	_____
Number made by individuals who had previously signed a nondisclosure agreement	_____	_____

30. How many unauthorized disclosures were investigated by your agency or referred to another agency for investigation during calendar years 1986 and 1987?

	<u>1986</u>	<u>1987</u>
Number of cases investigated by your agency	_____	_____
Number of cases referred to another agency for investigation, after your investigation was completed	_____	_____

	<u>1986</u>	<u>1987</u>
Number of cases referred to another agency for investigation, that your agency did not investigate.	_____	_____

31. How many employees of your agency and employees of your contractors were denied further access to classified information, because of their unwillingness to cooperate with the investigation of an unauthorized disclosure (because the use of the polygraph was involved or for other reasons), during calendar years 1986 and 1987? How many were subjected to other administrative sanctions?

<u>Employees denied further access to classified information</u>	<u>1986</u>		<u>1987</u>	
	<u>Polygraph Involved</u>	<u>Other Reasons</u>	<u>Polygraph Involved</u>	<u>Other Reasons</u>
Agency	_____	_____	_____	_____
Contractor	_____	_____	_____	_____
<u>Employees subjected to other administrative sanctions</u>				
Agency	_____	_____	_____	_____
Contractor	_____	_____	_____	_____

32. Please indicate which of your agency's policies and procedures governing contacts between your employees and media representatives are for national security reasons. Also, explain or provide documentation explaining the method by which your agency assures that all employees with security clearances are apprised of these policies and procedures.

POLYGRAPH ACTIVITY

33. Did your agency employ polygraph operators during calendar years 1986 and 1987?

	<u>1986</u>	<u>1987</u>
Yes	_____	_____
No	_____	_____

34. As of December 31, 1986, and December 31, 1987, how many polygraph operators were employed by your agency? How many contracts for polygraph examinations did you have?

	<u>1986</u>	<u>1987</u>
Agency employees	_____	_____
Number of contracts	_____	_____

35. Do you have plans to employ any additional polygraph operators or contract out for services? If so, why and how many?

 Agency employees

 Contractors

36. As of December 31, 1986 and December 31, 1987, how many polygraph machines, if any, did your agency possess? How many were procured during calendar years 1986 and 1987? Do you have plans to procure any additional polygraph machines, and if so, how many?

	<u>1986</u>	<u>1987</u>
Number of polygraph machines on hand at end of the year	<u> </u>	<u> </u>
Number of polygraph machines procured during the year	<u> </u>	<u> </u>
Plans to procure additional polygraph machine		
<u> </u> yes (number of machines <u> </u>)		
<u> </u> no		

37. Approximately how many polygraph tests were conducted of your employees or applicants for employment by, or for, your agency? Please list by the indicated categories for each of the listed calendar years. If they were conducted by another agency or contractor, so indicate. Identify how many tests resulted in security clearance action (denial, revocation, suspension, other) and explain.

Reason for Polygraph Test

	<u>1986</u>		<u>1987</u>	
	<u>Number of Tests</u>	<u>Clearance Action</u>	<u>Number of Tests</u>	<u>Clearance Action</u>
<u>Criminal or specific incident investigations</u>				
Conducted by agency	_____	_____	_____	_____
Conducted by other agencies or contractors (list)	_____	_____	_____	_____
<u>Pre-employment screening</u>				
Conducted by agency	_____	_____	_____	_____
Conducted by other agencies or contractors (list)	_____	_____	_____	_____
<u>Pre-access screening</u>				
Conducted by agency	_____	_____	_____	_____
Conducted by other agencies or contractors (list)	_____	_____	_____	_____
<u>Subsequent screening</u>				
Conducted by agency	_____	_____	_____	_____
Conducted by other agencies or contractors (list)	_____	_____	_____	_____
Other (explain)	_____	_____	_____	_____
Conducted by agency	_____	_____	_____	_____
Conducted by other agencies or contractors (list)	_____	_____	_____	_____
Total (do not double count)	_____	_____	_____	_____
<u>Summary</u>				
Conducted by agency	_____	_____	_____	_____
Conducted by other agencies or contractors (list)	_____	_____	_____	_____
Total (should be the same number as in above "total")	_____	_____	_____	_____

Explanation of Clearance Actions:

38. Under what authority, regulations and rules are your polygraph examinations conducted? Please list citations and attach copies. Highlight any changes since 1985. Also, indicate any plans to revise these governing regulations proposed at this time. Please describe the changes and attach copies of these proposals, if available. In particular, describe which employees, and indicate how many, would be potentially covered under each type of polygraph examination (specific incident investigation, screening or other uses (described) and the projected number of exams to be given in each category.

39. Please provide the qualifications required of individuals employed as polygraph examiners by your agency.

40. Please enter below the name, title, and telephone number of the person to be contacted if clarification or additional information is needed:

Agency: _____

Name: _____

Title: _____

Location: _____

Telephone number: (Area Code) _____ (Number) _____

If you have any questions, please contact either GAO staff member:
Mr. Don Lentz, 275-4052 or Mr. Irv Boker, 275-3973

Thank you for your time. Please return the completed questionnaire by
May 16, 1988, to:

Mr. Irv Boker, Room 4100
U.S. General Accounting Office
Washington, D.C. 20548

United States General Accounting Office

GAO

Fact Sheet for Congressional Requesters

September 1986

INFORMATION AND PERSONNEL SECURITY

Data on Employees Affected by Federal Security Programs



GAO/NSIAD-86-189FS



United States
General Accounting Office
Washington, D.C. 20548

National Security and
International Affairs Division

B-215075

September 29, 1986

The Honorable Jack Brooks
Chairman, Committee on Government
Operations
House of Representatives

The Honorable William A. Ford
Chairman, Committee on Post Office
and Civil Service
House of Representatives

On November 7, 1985, you requested that we update the information we provided in 1984 concerning the federal government's policies on polygraph testing and prepublication review procedures.¹ On December 5, 1985, you sent a questionnaire to those agencies that handle classified information (as you had done in 1984), and asked them to return the responses to us. The purpose of the questionnaire, in addition to updating the previous survey, was to make a broader inquiry into the agencies' policies regarding information and personnel security programs, including a general survey of information classification activity and special access programs.

Most of the agencies responded to the questionnaire. However, the Executive Office of the President, which had informed us that it would be responding for nine of the questionnaire recipients, had not responded by September 29, 1986. A list of all agencies is included as appendix I. The responding agencies' data are included in summary form in appendix II. The information includes actual figures, as well as some estimates where data was not readily available. We did not verify the information reported by the agencies, but we did compare it with their previous responses and in many cases requested clarification.

We counted responses from the Department of Defense (DOD), including the military services, as one response; however, we did provide the individual services' responses, as well as

¹Polygraph and Prepublication Review Policies of Federal Agencies, GAO/NSIAD-84-134, June 11, 1984.

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all agency responses, to your offices. Questionnaires were not sent to the National Security Agency and Central Intelligence Agency. Overall, the 41 responding agencies estimated that about 2.2 million federal and 1.4 million contractor employees held security clearances at the end of 1985. This is a net decrease from the number of employees with clearances at the end of 1984 (2.8 million federal and 1.6 million contractor employees). The decrease is primarily the result of a clearance-reduction program within DOD. The following sections summarize the information received relative to prepublication review requirements, polygraph examinations, and unauthorized disclosures of classified information.

PREPUBLICATION REVIEW REQUIREMENTS

Since 1981, with the issuance of Form 4193 (app. III), agency employees with sensitive compartmented information (SCI)² access have been required to sign nondisclosure agreements with lifetime prepublication review requirements. The President formalized this policy by issuing National Security Decision Directive 84 on March 11, 1983, requiring all individuals with SCI access to sign nondisclosure agreements with a prepublication review requirement. Under the directive, a revised Form 4193 (app. IV) was promulgated to replace the 1981 version. Although the President suspended the prepublication review provision of the Directive on February 15, 1984, the suspension has had little effect on prepublication review requirements. This is because employees are still required to sign the prior version of Form 4193 before being granted access to SCI. Since the agreements apply for the life of the employee, they cover both current and former employees.

Twenty agencies reported that, as of December 31, 1985, 138,245 of their employees were involved in SCI programs and that, as far as they knew, almost all had signed the agreements which contain the lifetime prepublication review requirement. Of the 138,245 current federal employees with SCI access, 125,088 were DOD employees. In addition to federal employees with SCI access, 1,332 contractor employees had SCI access as of December 31, 1985.

²SCI refers to intelligence or intelligence-related material that requires special handling. The Director of Central Intelligence is responsible for protecting this information.

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Because the agencies did not know the number of former employees covered by these agreements, the total number of agreements now in effect is unknown. However, agencies reported that at least 240,776 individuals have signed the agreements.

In addition to SCI nondisclosure agreements with prepublication review requirements, employees working on other non-SCI special access programs may be required to sign similar agreements. At the end of 1985, the numbers of non-SCI special access programs had grown to over 160, from about 100 in 1983 and 30 in 1979. While the number of government employees involved in non-SCI special access programs declined slightly from the number in our last report (from about 27,500 in 1983 to about 25,000 in 1985), the number of contractor employees involved in those programs has more than doubled (from about 21,600 in 1983 to about 56,700 in 1985).

The Federal Bureau of Investigation requires all employees to sign its own nondisclosure agreements containing a lifelong prepublication review provision. To date, about 45,000 Bureau employees have signed these agreements. In addition, the Defense Intelligence Agency requires some of its employees to sign its own nondisclosure agreement that contains a prepublication review provision. To date, about 4,300 employees have signed this agreement.

In addition to contractual requirements, 11 agencies (including DOD) indicated that, as a matter of agency regulation, current employees must comply with prepublication review requirements. The number of employees subject to the prepublication review regulations was 3,534,481 as of December 31, 1985. This figure includes many of the employees covered by SCI agreements.

POLYGRAPH EXAMINATIONS

Ten agencies told us that their employees and applicants for employment were given 15,428 polygraph examinations in 1984; eight agencies said that 18,213 such examinations were given in 1985. (The Department of Labor and the Veterans Administration did not use the polygraph in 1985.) The majority of the examinations were given in connection with criminal or specific incident investigations; however, about 32 percent of the 1984 and 35 percent of the 1985 examinations were given for screening purposes (before being granted access to classified information, reinvestigations, and aperiodic examinations) and were not conducted in connection with a specific event. DOD accounts for most of the polygraph examinations administered in the government. Table 1 shows the total number of polygraph examinations, as well as a

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breakout of screening examinations, given by DOD in 1981 through 1985.

Table 1: Total Number of Polygraph and Screening Examinations Given by DOD

<u>Examinations</u>	<u>1981</u>	<u>1982</u>	<u>1983</u>	<u>1984</u>	<u>1985</u>
Total	6,556	8,657	10,502	11,128	13,786
Screening only	45	1,176	3,105	3,649	4,863

The Postal Service and the Departments of Defense, Justice, and Treasury employed 222 and 267 polygraph operators at the end of calendar years 1984 and 1985, respectively. DOD plans eventually to hire an additional 84 polygraph operators, and the Department of Treasury plans to hire an additional 7 operators.

National Security Decision Directive (NSDD) 196, issued on November 1, 1985, includes a provision for the use of aperiodic, non-life style, counterintelligence-type polygraph examinations for all individuals with access to certain classified information. In response to a question about how agencies have adopted, or plan to adopt, the use of polygraph examinations as outlined in NSDD 196, the responding agencies noted that nothing had been done to implement that provision of the directive. The agencies said that they were awaiting implementing instructions for the directive. As of September 2, 1986, the National Security Planning Group had issued no such instructions.

UNAUTHORIZED DISCLOSURES

Seven agencies reported having 151 unauthorized disclosures of classified information during calendar year 1984, 105 of which were not reported to the Department of Justice. The number of unauthorized disclosures made through published writings or speeches by then-current employees was six; by former employees, two. For the calendar year 1985, nine agencies reported having 165 unauthorized disclosures of classified information, 113 of which were not reported to the Department of Justice. The number made through published writings or speeches by then-current employees was five; by former employees, two.

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Unless you publicly announce its contents earlier, we plan no further distribution of this fact sheet until 30 days from the date of this letter. At that time, we will send copies to all agencies that provided information and to other interested parties upon request.

If we can be of further assistance, please contact me at 275-8412.



Martin M Ferber
Associate Director

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APPENDIX I

APPENDIX I

QUESTIONNAIRE RECIPIENTS

AGENCIES RESPONDING TO QUESTIONNAIRE

Agency for International Development
Arms Control and Disarmament Agency
Department of Agriculture
Department of Commerce
Department of Defense
Department of Education
Department of Energy
Department of Health and Human Services
Department of Housing and Urban Development
Department of the Interior
Department of Justice
Department of Labor
Department of State
Department of Transportation
Department of the Treasury
Environmental Protection Agency
Export-Import Bank
Farm Credit Administration
Federal Communications Commission
Federal Emergency Management Agency
Federal Home Loan Bank Board
Federal Maritime Commission
Federal Reserve System
General Services Administration
International Trade Commission
Interstate Commerce Commission
Marine Mammal Commission
National Aeronautics and Space Administration
National Archives and Records Administration
National Science Foundation
Nuclear Regulatory Commission
Office of Personnel Management
Overseas Private Investment Corporation
Peace Corps
Securities and Exchange Commission
Selective Service
Small Business Administration
Tennessee Valley Authority
U.S. Information Agency
U.S. Postal Service
Veterans Administration

APPENDIX I

APPENDIX I

AGENCIES NOT RESPONDING TO QUESTIONNAIRE

Executive Office of the President:

- Assistant to the President for National Security Affairs
- Board for International Broadcasting
- Council of Economic Advisers
- Office of Administration
- Office of Management and Budget
- Office of Science and Technology
- President's Foreign Intelligence Advisory Board
- President's Intelligence Oversight Board
- United States Trade Representative

APPENDIX II

APPENDIX II

Responses to Questions of the
House Committee on Government Operations
and the
House Committee on Post Office and Civil Service

On December 5, 1985, questionnaires were sent to 50 executive branch agencies that handle classified information. The Executive Office of the President, which was to have responded for 9 questionnaire recipients, had not responded as of September 29, 1986. Appendix I is a listing of the 50 agencies. The combined responses are presented below. The totals do not include figures from the National Security Agency or the Central Intelligence Agency because they were not sent questionnaires.

QUESTION 1

Approximately how many full- and part-time people were employed by the federal government as of December 31, 1984, and as of December 31, 1985?

RESPONSE

The responding agencies had 5,269,151 military and federal civilian personnel in 1984 and 5,330,402 in 1985.

QUESTION 2

Approximately how many federal and contractor employees had security clearances as of December 31, 1984, and as of December 31, 1985?

RESPONSE

About 2.8 million federal and 1.6 million contractor employees of the responding agencies had security clearances at the end of 1984. About 2.2 million federal and 1.4 million contractor employees had security clearances at the end of 1985. The decrease in the numbers of security clearances from 1984 to 1985 was due mainly to the DOD clearance-reduction program. Of the total number of federal employees--5,330,402--about 9 percent had top secret clearances, and 33 percent had secret clearances in 1985. Table II.1 shows the number of employees with security clearances at the different levels in 1984 and 1985, respectively.

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Table II.1: Number of Employees With Security Clearances

<u>Level of clearance</u>	<u>1984</u>	
	<u>Federal employees</u>	<u>Contractor employees</u>
Top secret	542,073	273,185
Secret	2,251,565	1,030,728
Confidential	<u>28,113</u>	<u>305,942</u>
Total	2,821,751 =====	1,609,855 =====

<u>Level of clearance</u>	<u>1985</u>	
	<u>Federal employees</u>	<u>Contractor employees</u>
Top secret	464,065	270,127
Secret	1,751,612	948,920
Confidential	<u>26,925</u>	<u>198,589</u>
Total	2,242,602 =====	1,417,636 =====

QUESTION 3

How many Sensitive Compartmented Information (SCI) and non-SCI special access programs were there at the close of calendar years 1984 and 1985, and how many agency and contractor employees were granted special access authorizations for them in those years?

RESPONSE

Twenty agencies reported having employees participating in 59 SCI special access programs in 1984, and 21 agencies reported employees participating in 64 programs in 1985. Sixteen agencies reported having employees participating in over 100 non-SCI special access programs in 1984, and 17 reported having employees participating in over 160 non-SCI special access programs in 1985. The number of non-SCI programs reported for 1984 and 1985 was 111 and 177, respectively; however, because the programs were not identified, there could have been duplicative reporting of the programs. Table II.2 shows the number of employees with special access authorizations.

APPENDIX II

APPENDIX II

Table II.2: Number of Employees With Special Access Authorizations

<u>Agency</u>	<u>1984</u>		<u>1985</u>	
	<u>SCI</u>	<u>Non-SCI</u>	<u>SCI</u>	<u>Non-SCI</u>
DOD	125,138	21,194	125,088	23,724
State	4,000	0	4,513	0
Justice	4,230	46	4,230	51
Other agencies	3,865	644	4,414	1,232
Total	137,233	21,884	138,245	25,007
	=====	=====	=====	=====
Contractor	1,245	54,999	1,332	56,747
Total	138,476	76,883	139,577	81,754
	=====	=====	=====	=====

QUESTION 4

How many new personnel security clearances were granted to agency and contractor employees during calendar years 1984 and 1985?

RESPONSE

Table II.3 shows, by level, the number of clearances granted during 1984 and 1985.

Table II.3: Number of Clearances Granted to Employees During 1984 and 1985

<u>Level of clearance granted</u>	<u>1984</u>		<u>1985</u>	
	<u>Agency</u>	<u>Contractor</u>	<u>Agency</u>	<u>Contractor</u>
Top secret	119,550	58,108	117,581	53,260
Secret	346,990	225,344	445,715	220,897
Confidential	1,044	1,965	1,032	2,314
Total	467,584	285,417	564,328	276,471
	=====	=====	=====	=====
SCI/Non-SCI access	109,706 ^a	1,228	112,813 ^a	1,546

^aThe majority of these are DOD figures which combine agency and contractor employees and include determinations for access to SCI, non-SCI special access programs, and other programs such as presidential support assignments.

APPENDIX II

APPENDIX II

QUESTION 5

How many security clearance requests were in process at the end of calendar years 1984 and 1985?

RESPONSE

Table II.4 shows the number of clearances in process at the end of calendar years 1984 and 1985.

Table II.4: Number of Clearances in Process at End of Calendar Year

<u>Level of clearances in process</u>	<u>1984</u>		<u>1985</u>	
	<u>Agency</u>	<u>Contractor</u>	<u>Agency</u>	<u>Contractor</u>
Top secret	19,524	12,243	16,566	7,866
Secret	101,858	2,932	125,524	3,101
Confidential	<u>271</u>	<u>62</u>	<u>289</u>	<u>63</u>
Total	121,653	15,237	142,379	11,030
	=====	=====	=====	=====
SCI/Non-SCI access	24,352 ^a	370	23,780 ^a	406

^aThe majority of these are for DOD, which combine agency and contractor employees and include requests for access to SCI, non-SCI special access programs, and other programs such as presidential support assignments.

QUESTION 6

What was the average time required to complete the investigative work incident to granting a top secret and secret clearance and SCI and non-SCI access during calendar years 1984 and 1985?

RESPONSE

Table II.5 shows the ranges of average times agencies reported they needed to complete the investigative work incident to granting clearances.

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Table II.5: Ranges of Average Times to Complete Investigative Work to Grant Clearances

<u>Level of clearance</u>	<u>Average number of days</u>	
	<u>1984</u>	<u>1985</u>
Top secret	30 to 300	30 to 250
Secret	30 to 270	45 to 270
SCI access	30 to 180	30 to 170
Non-SCI access	45 to 150	55 to 180

QUESTION 7

How many requests for security clearances and special accesses for agency and contractor employees were denied in calendar years 1984 and 1985, and how many clearances and accesses were revoked for reasons of risk or potential risk to national security or because of insufficient need during those years?

RESPONSE

The number of denials of requests and revocations of security clearances for agency and contractor employees, respectively, in 1984 and 1985 is shown in table II.6. The large increase in revocations in 1985 is in large part due to the DOD clearance-reduction program. (Totals do not always agree with individual figures since some agencies [including DOD] could not always determine the level or reason for revocations and provided only total numbers.)

APPENDIX II

APPENDIX II

Table II.6: Number of Denials of Requests and Revocations of Security Clearances

	Level of clearance/type of access					
	Top secret	Secret	Confi- dential	SCI	Non-SCI	Total
<u>AGENCY EMPLOYEES</u>						
<u>1984</u>						
Denials	132	56	0	29	128	345
Revocations:						
For risk	6	11	0	6	0	23
Administrative	1,597	5,639	306	529	49	8,120
Total revoca- tions	1,606	16,235	306	3,119	49	21,315
<u>1985</u>						
Denials	179	76	0	26	259	540
Revocations:						
For risk	20	37	1	11	0	64
Administrative	2,226	3,857	354	572	115	7,124
Total revoca- tions	2,247	232,136	355	3,184	347	238,271
<u>CONTRACTOR EMPLOYEES</u>						
<u>1984</u>						
Denials	41	24	0	4	68	331
Revocations:						
For risk	20	6	0	1	0	409
Administrative	3	35	0	63	30	131
Total revoca- tions	23	41	0	107	30	734
<u>1985</u>						
Denials	40	46	0	2	137	471
Revocations:						
For risk	20	9	0	3	0	751
Administrative	9,717	92,197	107,521	96	40	209,571
Total revoca- tions	9,737	92,208	107,521	218	40	209,724

APPENDIX II

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QUESTION 8

How many reinvestigations of previously cleared individuals were conducted in calendar years 1984 and 1985, and what was the average time required for the completion of those reinvestigations?

RESPONSE

The number of completed reinvestigations of agency and contractor employees is shown in table II.7. The average times required to complete reinvestigations in 1985 ranged from 5 to 237 days for top secret and 30 to 180 days for secret reinvestigations. For SCI and non-SCI reinvestigations, time ranges were 30 to 365 days and 60 to 90 days, respectively.

Table II.7: Number of Completed Reinvestigations of Agency and Contractor Employees

	<u>Level of clearance/type of access</u>					<u>Total</u>
	<u>Top Secret</u>	<u>Secret</u>	<u>Confidential</u>	<u>SCI</u>	<u>Non-SCI</u>	
<u>1984</u>						
Agency employees	11,357	578	15	33,273	23	45,234
Contractor employees	2,715	10	0	320	0	3,045
<u>1985</u>						
Agency employees	6,011	1,202	24	24,825	12	32,379
Contractor employees	1,877	13	0	318	0	2,208

QUESTION 9

How much money was spent in calendar years 1984 and 1985 for security clearance investigations, reinvestigations, special investigations, and adjudications?

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RESPONSE

The total costs for 1984 and 1985 were \$155,037,861 and \$162,954,602, respectively. Table II.8 gives a breakdown of the costs by inhouse costs, reimbursements to other federal agencies, and contracted investigative services costs.

Table II.8: Breakdown of Costs Incurred for Investigations and Adjudications

<u>Type of cost</u>	<u>1984</u>	<u>1985</u>
Agency inhouse	\$108,140,321	\$116,658,583
Reimbursements to other agencies	43,873,172	39,171,769
Contracted services	<u>3,024,368</u>	<u>7,124,250</u>
Total	\$155,037,861 =====	\$162,954,602 =====

QUESTION 10

How many agency employees were authorized to classify information at the top secret and secret levels as of December 31, 1984, and December 31, 1985?

RESPONSE

Table II.9 shows the number of employees with original and derivative classification authority in 1984 and 1985.

Table II.9: Number of Employees With Original and Derivative Classification Authority

	<u>Number of classifiers</u>			
	<u>1984</u>		<u>1985</u>	
<u>Level of information classified</u>	<u>Original authority</u>	<u>Derivative authority</u>	<u>Original authority</u>	<u>Derivative authority</u>
Top secret and below Secret	1,250	473,170	1,305	393,184
and below	4,117	2,250,810	4,272	1,751,497

APPENDIX II

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QUESTION 11

How many agencies require their classifiers to be certified? What are their certification requirements, and how many require training for their classifiers?

RESPONSE

Eight agencies required certification of their classifiers: Peace Corps, U.S. Information Agency, Federal Communications Commission, Nuclear Regulatory Commission, National Archives, and the Departments of Commerce, Interior, and Treasury. Certification requirements ranged from the holding of a top secret clearance to attending briefings and formal training courses.

Thirteen agencies required training for their classifiers: Peace Corps, U.S. Information Agency, Federal Communications Commission, Nuclear Regulatory Commission, Export-Import Bank, U.S. Postal Service, National Aeronautics and Space Administration, and the Departments of Commerce, Education, Labor, State, Interior, and Energy.

QUESTION 12

How many agencies use classification guides, and how many guides were issued as of December 31, 1984, and December 31, 1985? Classification guides are documents issued by authorized original classifiers that prescribe the level of classification to be used when information is classified derivatively. Classification guides are supposed to be issued for each classified system, program, plan, or project.

RESPONSE

Fourteen agencies reported using classification guides. They issued 1,709 classification guides as of December 31, 1984, and 1,805 guides as of December 31, 1985.

QUESTION 13

How many agencies employed polygraph operators in calendar years 1984 and 1985?

RESPONSE

Four agencies employed polygraph operators during 1984 and 1985. The agencies were the U.S. Postal Service and the Departments of Defense, Justice, and Treasury.

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QUESTION 14

As of December 31, 1984, and December 31, 1985, how many polygraph operators were employed by federal agencies, and how many contracts for polygraph examinations did the agencies have?

RESPONSE

As of December 31, 1984, 222 polygraph operators were employed by four agencies. As of December 31, 1985, the number of operators was 267. Table II.10 shows the number of operators employed by each of the four agencies.

Table II.10: Number of Polygraph Operators Employed as of December 31

<u>Agency</u>	<u>Number of operators</u>	
	<u>1984</u>	<u>1985</u>
Postal Service	9	10
Defense	124	160
Justice	57	59
Treasury	<u>32</u>	<u>38</u>
Total	222	267
	===	===

During the 2-year period, only one contract for polygraph examinations was granted--by the Department of Labor in 1984.

QUESTION 15

How many agencies plan to employ additional polygraph operators or contract out for polygraph services? How many additional employees or contracts are planned for?

RESPONSE

Two agencies--DOD and Treasury--plan to hire 91 additional polygraph operators. No agencies plan to contract out for polygraph services.

QUESTION 16

As of December 31, 1984, and December 31, 1985, how many polygraph machines did the agencies possess? How many were procured during 1984 and 1985, and how many additional machines were expected to be procured?

APPENDIX II

APPENDIX II

RESPONSE

At the end of 1984, four agencies had 419 machines on hand and had procured 35 machines during the year. At the end of 1985, those agencies had 446 machines on hand and had procured 84 during the year. During this period, they had discarded 57 older machines. Three of the agencies expect to procure 173 additional machines. Table II.11 shows the number of machines each agency had at the end of 1984 and 1985 and the number of additional machines they plan to procure.

Table II.11: Number of Polygraph Machines

<u>Agency</u>	<u>On hand, 1984</u>	<u>On hand, 1985</u>	<u>Future procurements</u>
Postal Service	8	11	3
Defense	271	290	152
Justice	99	100	1
Treasury	<u>41</u>	<u>45</u>	<u>17</u>
Total	419 ===	446 ===	173 ===

QUESTION 17

Approximately how many polygraph tests were conducted on agency employees or applicants for employment by, or for the agencies, during calendar years 1984 and 1985? How many of these tests resulted in a security clearance action (denial, revocation, suspension, or other)?

RESPONSE

Table II.12 shows the number of polygraph examinations given to agency employees or applicants for employment for various reasons during 1984 and 1985, and how many clearance actions (denials, revocations, etc.) resulted from those examinations.

APPENDIX II

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Table II.12: Number and Results of Polygraph Examinations Given Employees and Applicants at All Agencies

<u>Reason for polygraph test</u>	<u>1984</u>		<u>1985</u>	
	<u>Tests</u>	<u>Clearance actions</u>	<u>Tests</u>	<u>Clearance actions</u>
<u>Criminal or specific incident investigations</u>				
Conducted by agency	<u>11,460</u>	<u>5</u>	<u>13,016</u>	<u>1</u>
Conducted by other agencies or contractors	<u>17</u>	<u>0</u>	<u>21</u>	<u>0</u>
<u>Preemployment screening</u>				
Conducted by agency	<u>142</u>	<u>3</u>	<u>105</u>	<u>0</u>
Conducted by other agencies or contractors	<u>97</u>	<u>72</u>	<u>106</u>	<u>76</u>
<u>Preaccess screening</u>				
Conducted by agency	<u>2,524</u>	<u>3</u>	<u>2,977</u>	<u>2</u>
Conducted by other agencies or contractors	<u>0</u>	<u>0</u>	<u>57</u>	<u>0</u>
<u>Subsequent screening</u>				
Conducted by agency	<u>1,188</u>	<u>0</u>	<u>1,931</u>	<u>0</u>
Conducted by other agencies or contractors	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>
<u>Total</u>				
Conducted by agency	<u>15,314</u>	<u>11</u>	<u>18,029</u>	<u>3</u>
Conducted by other agencies or contractors	<u>114</u>	<u>72</u>	<u>184</u>	<u>76</u>
Total	<u>15,428</u>	<u>83</u>	<u>18,213</u>	<u>79</u>
	=====	=====	=====	=====

APPENDIX II

APPENDIX II

Tables II.13 and II.14 provide this information for DOD and the Department of Justice, the two agencies where the largest number of examinations were given. (Note: The information given in tables II.13 and II.14 is included in table II.12.)

Table II.13: Number and Results of Polygraph Examinations Given Employees and Applicants at DOD

<u>Reason for polygraph test</u>	<u>1984</u>		<u>1985</u>	
	<u>Tests</u>	<u>Clearance actions</u>	<u>Tests</u>	<u>Clearance actions</u>
Criminal or specific incident investigations	7,479	0	8,923	0
Preaccess screening	2,461	3	2,932	2
Subsequent screening	1,188	0	1,931	0
Total	11,128	3	13,786	2
	=====	=====	=====	=====

Table II.14: Number and Results of Polygraph Examinations Given Employees and Applicants at the Department of Justice

<u>Reason for Polygraph Test</u>	<u>1984</u>		<u>1985</u>	
	<u>Tests</u>	<u>Clearance actions</u>	<u>Tests</u>	<u>Clearance actions</u>
Criminal or specific incident investigations	2,719	2	2,767	1
Preemployment screening	130	0	83	0
Preaccess screening	63	0	45	0
Total	2,882	2	2,765	1
	=====	=====	=====	=====

QUESTION 18

What have agencies done to adopt the use of polygraph examinations as outlined in National Security Decision Directive 196?

RESPONSE

All of the responding agencies noted that nothing had been done as of June 1986 to implement that provision of the directive which was issued on November 1, 1985. The agencies said that they were waiting for implementing instructions for the directive. As of September 2, 1986, the National Security Planning Group had issued no such instructions.

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QUESTION 19

How many agencies require any of their employees to submit to any prepublication review procedure (other than to review official statements on behalf of the agency)?

RESPONSE

Eleven agencies require their employees to submit to prepublication review: Federal Reserve Board, Peace Corps, U.S. Information Agency, Agency for International Development, Securities and Exchange Commission, Tennessee Valley Authority, Arms Control and Disarmament Agency, and the Departments of State, Energy, Defense, and Justice.

QUESTION 20

How many agency employees covered by prepublication-review procedures implemented through agreements and contracts have signed such agreements or contracts as of December 31, 1985?

RESPONSE

According to the 11 agencies that require prepublication review, the number of current and former agency employees who have signed these agreements or contracts is 290,001. The majority of these (240,776) are SCI agreements, and the remainder are employment agreements of the Federal Bureau of Investigation (44,925) and the Defense Intelligence Agency (4,300).

QUESTION 21

How many books, articles, speeches, and other materials, by category, were reviewed through agency prepublication-review processes during calendar years 1984 and 1985?

RESPONSE

Table II.15 shows the number of books, articles, speeches, or other (research papers, technical reports, newsletters, etc.) that were reviewed before being published in 1984 and 1985.

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Table II.15: Material That Received Prepublication Review in 1984 and 1985

<u>Calendar year</u>	<u>Type of material</u>			
	<u>Books</u>	<u>Articles</u>	<u>Speeches</u>	<u>Other</u>
1984	103	5,291	3,390	12,934
1985	139	5,053	3,484	14,144

QUESTION 22

What was the average number of working days that elapsed from the date of receipt of a request for prepublication review of a document to the date that the requester was informed of the final result?

RESPONSE

Table II.16 shows the reported range of time for the prepublication review process.

Table II.16: Reported Range of Time for Prepublication Review

<u>Type of material</u>	<u>No. of days</u>
Books	7 to 53
Articles	3 to 30
Speeches	3 to 25
Others	7 to 12

QUESTION 23

During calendar years 1984 and 1985, approximately how many employees were assigned, and how many working days were used for prepublication reviews?

RESPONSE

In 1984, approximately 139 employees used about 12,496 working days for prepublication reviews. In 1985, approximately 136 employees used about 12,810 working days for prepublication reviews.

QUESTION 24

How many agency and contractor employees signed Standard Form 189 or a similar form requiring nondisclosure of classified information during calendar years 1984 and 1985?

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RESPONSE

During 1984, 123,077 agency employees and 286 contractor employees signed Standard Form 189. The respective figures for 1985 were 194,015 and 15,489. During 1984, 18,795 agency and 23,466 contractor employees signed other agreements with nondisclosure provisions. The numbers for 1985 were 25,381 and 23,800, respectively.

QUESTION 25

During calendar years 1984 and 1985, how many agencies experienced unauthorized disclosures of classified information?

RESPONSE

In 1984, seven agencies experienced unauthorized disclosures of classified information. In 1985, the number was nine.

QUESTION 26

For calendar years 1984 and 1985, what was the total number of unauthorized disclosures of classified information? What was the number not reported to the Department of Justice, and what was the number made through books, articles, or speeches, written by then-current or former employees?

RESPONSE

The total number of known unauthorized disclosures in 1984 was 151. Of these, 105 were not reported to the Department of Justice. The number in 1984 made through published writings or speeches by then-current employees was 6 and by former employees was 2. In 1985, the number of known disclosures was 165, of which 113 were not reported to the Department of Justice. The number in 1985 made through published writings or speeches by then-current employees was 5 and by former employees was 2.

QUESTION 27

How many cases of unauthorized disclosures were investigated by the affected agency, and how many were referred to another agency for investigation during calendar years 1984 and 1985?

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RESPONSE

Agencies investigated 151 of their own cases of unauthorized disclosures in calendar year 1984 and referred 9 of these to another agency for investigation. No cases were referred to another agency for investigation that were not first investigated by the affected agency. In 1985, agencies investigated 164 of their own cases and referred 9 of these to another agency. One case was referred to another agency in 1985 that was not first investigated by the affected agency.

QUESTION 28

How many agency and contractor employees were denied further access to classified information, or subjected to other administrative sanctions, because of their unwillingness to cooperate with the investigation of an unauthorized disclosure (because the use of the polygraph was involved or for other reasons)?

RESPONSE

Table II.17 shows the number of agency and contractor employees that were denied further access or had other administrative actions taken against them because of their unwillingness to cooperate with the investigation of an unauthorized disclosure.

Table II.17: Reasons and Sanctions for Non-Cooperation

<u>Sanctions</u>	<u>Reasons for unwillingness to cooperate</u>			
	<u>1984</u>		<u>1985</u>	
	<u>Polygraph involved</u>	<u>Other reasons</u>	<u>Polygraph involved</u>	<u>Other reasons</u>
Denied further access				
Agency employees	0	11	0	10
Contractor employees	0	10	0	10
Other administrative sanctions				
Agency employees	0	1	0	3
Contractor employees	0	0	0	0

FORM 4193

SENSITIVE COMPARTMENTED INFORMATION NONDISCLOSURE AGREEMENT

An Agreement Between _____ and the United States
(Name - Printed or Typed)

1. Intending to be legally bound, I hereby accept the obligations contained in this Agreement in consideration of my being granted access to information protected within Special Access Programs, hereinafter referred to in this Agreement as Sensitive Compartmented Information (SCI). I have been advised that SCI involves or derives from intelligence sources or methods and is classified or classifiable under the standards of Executive Order 12065 or other Executive order or statute. I understand and accept that by being granted access to SCI, special confidence and trust shall be placed in me by the United States Government.

2. I hereby acknowledge that I have received a security indoctrination concerning the nature and protection of SCI, including the procedures to be followed in ascertaining whether other persons to whom I contemplate disclosing this information have been approved for access to it, and I understand these procedures. I understand that I may be required to sign subsequent agreements upon being granted access to different categories of SCI. I further understand that all my obligations under this Agreement continue to exist whether or not I am required to sign such subsequent agreements.

3. I have been advised that direct or indirect unauthorized disclosure, unauthorized retention, or negligent handling of SCI by me could cause irreparable injury to the United States or be used to advantage by a foreign nation. I hereby agree that I will never divulge such information to anyone who is not authorized to receive it without prior written authorization from the United States Government department or agency (hereinafter Department or Agency) that last authorized my access to SCI. I further understand that I am obligated by law and regulation not to disclose any classified information in an unauthorized fashion.

4. In consideration of being granted access to SCI and of being assigned or retained in a position of special confidence and trust requiring access to SCI, I hereby agree to submit for security review by the Department or Agency that last authorized my access to such information, all information or materials, including works of fiction, which contain or purport to contain any SCI or description of activities that produce or relate to SCI or that I have reason to believe are derived from SCI, that I contemplate disclosing to any person not authorized to have access to SCI or that I have prepared for public disclosure. I understand and agree that my obligation to submit such information and materials for review applies during the course of my access to SCI and thereafter, and I agree to make any required submissions prior to discussing the information or materials with, or showing them to, anyone who is not authorized to have access to SCI. I further agree that I will not disclose such information or materials to any person not authorized to have access to SCI until I have received written authorization from the Department or Agency that last authorized my access to SCI that such disclosure is permitted.

5. I understand that the purpose of the review described in paragraph 4 is to give the United States a reasonable opportunity to determine whether the information or materials submitted pursuant to paragraph 4 set forth any SCI. I further understand that the Department or Agency to which I have submitted materials will act upon them, coordinating within the Intelligence Community when appropriate, and make a response to me within a reasonable time, not to exceed 30 working days from date of receipt.

6. I have been advised that any breach of this Agreement may result in the termination of my access to SCI and retention in a position of special confidence and trust requiring such access, as well as the termination of my employment or other relationships with any Department or Agency that provides me with access to SCI. In addition, I have been advised that any unauthorized disclosure of SCI by me may constitute violations of United States criminal laws, including the provisions of Sections 793, 794, 798, and 952, Title 18, United States Code, and of Section 783(b), Title 50, United States Code. Nothing in this Agreement constitutes a waiver by the United States of the right to prosecute me for any statutory violation.

7. I understand that the United States Government may seek any remedy available to it to enforce this Agreement including, but not limited to, application for a court order prohibiting disclosure of information in breach of this Agreement. I have been advised that the action can be brought against me in any of the several appropriate United States District Courts where the United States Government may elect to file the action. Court costs and reasonable attorneys fees incurred by the United States Government may be assessed against me if I lose such action.

8. I understand that all information to which I may obtain access by signing this Agreement is now and will forever remain the property of the United States Government. I do not now, nor will I ever, possess any right, interest, title, or claim whatsoever to such information. I agree that I shall return all materials, which may have come into my possession or for which I am responsible because of such access, upon demand by an authorized representative of the United States Government or upon the conclusion of my employment or other relationship with the United States Government entity providing me access to such materials. If I do not return such materials upon request, I understand this may be a violation of Section 793, Title 18, United States Code, a United States criminal law.

9. Unless and until I am released in writing by an authorized representative of the Department or Agency that last provided me with access to SCI, I understand that all conditions and obligations imposed upon me by this Agreement apply during the time I am granted access to SCI, and at all times thereafter.

10. Each provision of this Agreement is severable. If a court should find any provision of this Agreement to be unenforceable, all other provisions of this Agreement shall remain in full force and effect. This Agreement concerns SCI and does not set forth such other conditions and obligations not related to SCI as may now or hereafter pertain to my employment by or assignment or relationship with the Department or Agency.

11. I have read this Agreement carefully and my questions, if any, have been answered to my satisfaction. I acknowledge that the briefing officer has made available Sections 793, 794, 798, and 952 of Title 18, United States Code, and Section 783(b) of Title 50, United States Code, and Executive Order 12065, as amended, so that I may read them at this time, if I so choose.

12. I hereby assign to the United States Government all rights, title and interest, and all royalties, remunerations, and emoluments that have resulted, will result, or may result from any disclosure, publication, or revelation not consistent with the terms of this Agreement.

13. I make this Agreement without any mental reservation or purpose of evasion.

SIGNATURE _____

DATE _____

The execution of this Agreement was witnessed by the undersigned who accepted it on behalf of the United States Government as a prior condition of access to Sensitive Compartmented Information.

WITNESS and ACCEPTANCE: _____

SIGNATURE _____

DATE _____

SECURITY BRIEFING ACKNOWLEDGMENT

I hereby acknowledge that I was briefed on the following SCI Special Access Program(s):

(Special Access Programs by Initials Only)

Signature of Individual Briefed _____	Date Briefed _____
Printed or Typed Name _____	_____
Social Security Number (See Notice Below) _____	Organization (Name and Address) _____

I certify that the above SCI access(es) were approved in accordance with relevant SCI procedures and that the briefing presented by me on the above date was also in accordance therewith.

Signature of Briefing Officer _____	_____
Printed or Typed Name _____	Organization (Name and Address) _____
Social Security Number (See Notice Below) _____	_____

* * * * *

SECURITY DEBRIEFING ACKNOWLEDGMENT

Having been reminded of my continuing obligation to comply with the terms of this Agreement, I hereby acknowledge that I was debriefed on the following SCI Special Access Program(s):

(Special Access Programs by Initials Only)

Signature of Individual Debriefed _____	Date Debriefed _____
Printed or Typed Name _____	_____
Social Security Number (See Notice Below) _____	Organization (Name and Address) _____

I certify that the debriefing presented by me on the above date was in accordance with relevant SCI procedures.

Signature of Debriefing Officer _____	_____
Printed or Typed Name _____	Organization (Name and Address) _____
Social Security Number (See Notice Below) _____	_____

NOTICE: The Privacy Act, 5 U.S.C. 522a, requires that federal agencies inform individuals, at the time information is solicited from them, whether the disclosure is mandatory or voluntary, by what authority such information is solicited, and what uses will be made of the information. You are hereby advised that authority for soliciting your Social Security Account Number (SSN) is Executive Order 9397. Your SSN will be used to identify you precisely when it is necessary to 1) certify that you have access to the information indicated above, 2) determine that your access to the information indicated has terminated, or 3) certify that you have witnessed a briefing or debriefing. Although disclosure of your SSN is not mandatory, your failure to do so may impede such certifications or determinations.

Revised Form 4193

AJG 2 4 1983

SENSITIVE COMPARTMENTED INFORMATION NONDISCLOSURE AGREEMENT

An Agreement Between _____ and the United States
(Name-Printed or Typed)

- 1 1. Intending to be legally bound, I hereby accept the obligations
2 contained in this Agreement in consideration of my being granted
3 access to information known as Sensitive Compartmented Information
4 (SCI). I have been advised and am aware that SCI involves or
5 derives from intelligence sources or methods and is classified or
6 classifiable under the standards of Executive Order 12356 or under
7 other Executive order or statute. I understand and accept that by
8 being granted access to SCI, special confidence and trust shall be
9 placed in me by the United States Government.
- 1 2. I hereby acknowledge that I have received a security indoctrination
2 concerning the nature and protection of SCI, including the procedures
3 to be followed in ascertaining whether other persons to whom I
4 contemplate disclosing this information have been approved for
5 access to it, and that I understand these procedures. I understand that
6 I may be required to sign subsequent agreements as a condition of
7 being granted access to different categories of SCI. I further
8 understand that all my obligations under this Agreement continue to
9 exist whether or not I am required to sign such subsequent agreements.
- 1 3. I have been advised and am aware that direct or indirect unauthorized
2 disclosure, unauthorized retention, or negligent handling of SCI by
3 me could cause irreparable injury to the United States or could be
4 used to advantage by a foreign nation. I hereby agree that I will
5 never divulge such information unless I have officially verified
6 that the recipient has been properly authorized by the United States
7 Government to receive it or I have been given prior written notice of
8 authorization from the United States Government Department or Agency
9 (hereinafter Department or Agency) last granting me either a security
10 clearance or an SCI access approval that such disclosure is permitted.
- 1 4. I further understand that I am obligated to comply with laws and
2 regulations that prohibit the unauthorized disclosure of classified
3 information. As used in this Agreement, classified information is
4 information that is classified under the standards of E.O. 12356, or
5 under any other Executive order or statute that prohibits the
6 unauthorized disclosure of information in the interest of national
7 security.
- 1 5. In consideration of being granted access to SCI and of being
2 assigned or retained in a position of special confidence and trust
3 requiring access to SCI and other classified information, I hereby
4 agree to submit for security review by the Department or Agency
5 last granting me either a security clearance or an SCI access
6 approval all materials, including works of fiction, that I contemplate
7 disclosing to any person not authorized to have such information,

8 or that I have prepared for public disclosure, which contain or
9 purport to contain:

- 10 (a) any SCI, any description of activities that produce or
- 11 relate to SCI, or any information derived from SCI;
- 12 (b) any classified information from intelligence reports
- 13 or estimates; or
- 14 (c) any information concerning intelligence activities,
- 15 sources or methods.

16 I understand and agree that my obligation to submit such information
17 and materials for review applies during the course of my access to
18 SCI and at all times thereafter. However, I am not required to
19 submit for review any such materials that exclusively contain
20 information lawfully obtained by me at a time when I have no employment,
21 contract or other relationship with the United States Government,
22 and which are to be published at such time.

1 6. I agree to make the submissions described in paragraph 5 prior
2 to discussing the information or materials with, or showing them to
3 anyone who is not authorized to have access to such information. I
4 further agree that I will not disclose such information or materials
5 unless I have officially verified that the recipient has been
6 properly authorized by the United States Government to receive it or
7 I have been given written authorization from the Department or
8 Agency last granting me either a security clearance or an SCI
9 access approval that such disclosure is permitted.

1 7. I understand that the purpose of the review described in paragraph 5
2 is to give the United States a reasonable opportunity to determine
3 whether the information or materials submitted pursuant to paragraph 5
4 set forth any SCI or other information that is subject to classification
5 under E.O. 12356 or under any other Executive order or statute that
6 prohibits the unauthorized disclosure of information in the interest
7 of national security. I further understand that the Department or
8 Agency to which I have submitted materials will act upon them,
9 coordinating with the Intelligence Community or other agencies when
10 appropriate, and substantively respond to me within 30 working days
11 from date of receipt.

1 8. I have been advised and am aware that any breach of this Agreement
2 may result in the termination of any security clearances and SCI
3 access approvals that I may hold; removal from any position of
4 special confidence and trust requiring such clearances or access
5 approvals; and the termination of my employment or other relationships
6 with the Departments or Agencies that granted my security clearances
7 or SCI access approvals. In addition, I have been advised and am
8 aware that any unauthorized disclosure of SCI or other classified
9 information by me may constitute a violation or violations of United
10 States criminal laws, including the provisions of Sections 641, 793,
11 794, 798, and 952, Title 18, United States Code, the provisions

12 of Section 783(b), Title 50, United States Code, and the provisions
13 of the Intelligence Identities Protection Act of 1982. I recognize
14 that nothing in this Agreement constitutes a waiver by the United
15 States of the right to prosecute me for any statutory violation.

1 9. I hereby assign to the United States Government all royalties,
2 remunerations, and emoluments that have resulted, will result, or
3 may result from any disclosure, publication, or revelation not
4 consistent with the terms of this Agreement.

1 10. I understand that the United States Government may seek any
2 remedy available to it to enforce this Agreement including, but not
3 limited to, application for a court order prohibiting disclosure of
4 information in breach of this Agreement.

1 11. I understand that all information to which I may obtain access
2 by signing this Agreement is now and will forever remain the property
3 of the United States Government. I do not now, nor will I ever,
4 possess any right, interest, title, or claim whatsoever to such
5 information. I agree that I shall return all materials which have
6 or may come into my possession or for which I am responsible
7 because of such access, upon demand by an authorized representative
8 of the United States Government or upon the conclusion of my employment
9 or other relationship with the Department or Agency that last
10 granted me either a security clearance or an SCI access approval.
11 If I do not return such materials upon request, I understand that
12 this may be a violation of Section 793, Title 18, United States
13 Code, a United States criminal law.

1 12. Unless and until I am released in writing by an authorized
2 representative of the United States Government, I understand that
3 all conditions and obligations imposed upon me by this Agreement
4 apply during the time I am granted access to SCI and at all times
5 thereafter.

1 13. Each provision of this Agreement is severable. If a court should
2 find any provision of this Agreement to be unenforceable, all other
3 provisions of this Agreement shall remain in full force and effect.

1 14. I have read this Agreement carefully and my questions, if any,
2 have been answered to my satisfaction. I acknowledge that the
3 briefing officer has made available to me Sections 641, 793, 794,
4 798, and 952 of Title 18, United States Code, Section 783(b) of
5 Title 50, United States Code, the Intelligence Identities Protection
6 Act of 1982, and Executive Order 12356 so that I may read them at
7 this time, if I so choose.

1 15. I make this Agreement without mental reservation or purpose of
2 evasion.

SIGNATURE

DATE

SOCIAL SECURITY NUMBER
(SEE NOTICE BELOW)

ORGANIZATION

- 1 The execution of this Agreement was witnessed by the undersigned,
- 2 who, on behalf of the United States Government, agreed to its terms
- 3 and accepted it as a prior condition of authorizing access to
- 4 Sensitive Compartmented Information.

WITNESS and ACCEPTANCE:

SIGNATURE

DATE

ORGANIZATION

SECURITY BRIEFING ACKNOWLEDGEMENT

I hereby acknowledge that I was briefed on the following SCI Special Access Program(s):

(Special Access Programs by Initials Only)

Signature of Individual Briefed

Date Briefed

Printed or Typed Name

Social Security Number (See Notice Below)

Organization (Name and Address)

I certify that the above SCI access(es) were approved in accordance with relevant SCI procedures and that the briefing presented by me on the above date was also in accordance therewith.

Signature of Briefing Officer

Printed or Typed Name

Organization (Name and Address)

Social Security Number (See Notice Below)

SECURITY DEBRIEFING ACKNOWLEDGEMENT

Having been reminded of my continuing obligation to comply with the terms of this Agreement, I hereby acknowledge that I was debriefed on the following SCI Special Access Program(s):

(Special Access Programs by Initials Only)

Signature of Individual Debriefed

Date Debriefed

Printed or Typed Name

Social Security Number (See Notice Below)

Organization (Name and Address)

I certify that the debriefing presented by me on the above date was in accordance with relevant SCI procedures.

Signature of Debriefing Officer

Printed or Typed Name

Organization (Name and Address)

Social Security Number (See Notice Below)

- 1 NOTICE: The Privacy Act, 5 U.S.C. 552a, requires that federal
- 2 agencies inform individuals, at the time information is solicited
- 3 from them, whether the disclosure is mandatory or voluntary, by
- 4 what authority such information is solicited, and what uses will
- 5 be made of the information. You are hereby advised that authority
- 6 for soliciting your Social Security Account Number (SSN) is Executive
- 7 Order 9397. Your SSN will be used to identify you precisely when
- 8 it is necessary to 1) certify that you have access to the information
- 9 indicated above, 2) determine that your access to the information
- 10 indicated has terminated, or 3) certify that you have witnessed
- 11 a briefing or debriefing. Although disclosure of your SSN is not
- 12 mandatory, your failure to do so may impede the processing of such
- 13 certifications or determinations.

(391557)

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