

March 1989

INFORMATION SECURITY

Update of Data on Employees Affected by Federal Security Programs



**National Security and
International Affairs Division**

B-215075

March 7, 1989

The Honorable John Conyers, Jr.
Chairman, Committee on Government
Operations
House of Representatives

The Honorable David Pryor
Chairman, Subcommittee on Federal Services,
Post Office and Civil Service
Committee on Governmental Affairs
United States Senate

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

On March 22, 1988, your Committees requested us to update the data compiled in our 1986 report¹ on employees affected by federal security programs. To update our prior report, we compiled federal agency responses to a questionnaire. The questionnaire was sent to 51 agencies that handle classified information, and 48 agencies responded.

The following sections summarize the questionnaire responses related to security clearances, nondisclosure agreements, sensitive compartmented information, unauthorized disclosures of classified information, and polygraph tests. More details on the agency responses are contained in appendix II.

Security Clearances

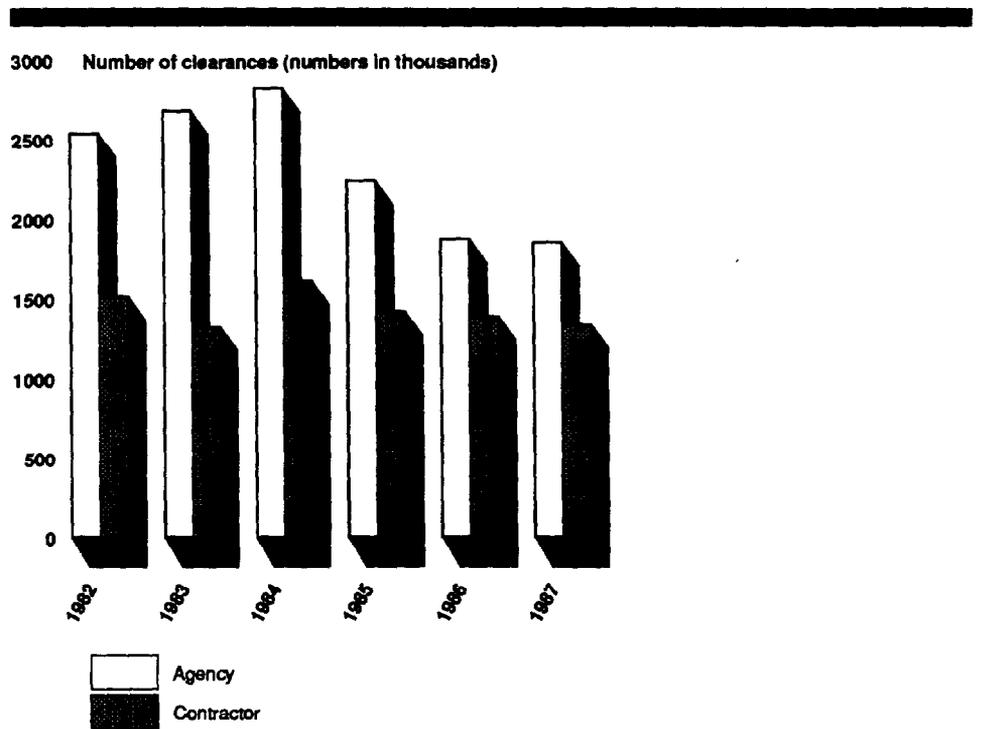
Overall, the 48 responding agencies estimated that about 3.2 million federal and contractor employees held security clearances at the end of 1987. This is a decrease of about 500,000, or about 13 percent, since the end of 1985 (3.7 million federal and contractor employees had security clearances at the end of 1985).

The reduction is primarily the result of a continuing clearance reduction program within the Department of Defense (DOD). Figure 1 shows the

¹Information and Personnel Security: Data on Employees Affected by Federal Security Programs (GAO/NSIAD-86-189FS, Sept. 29, 1986).

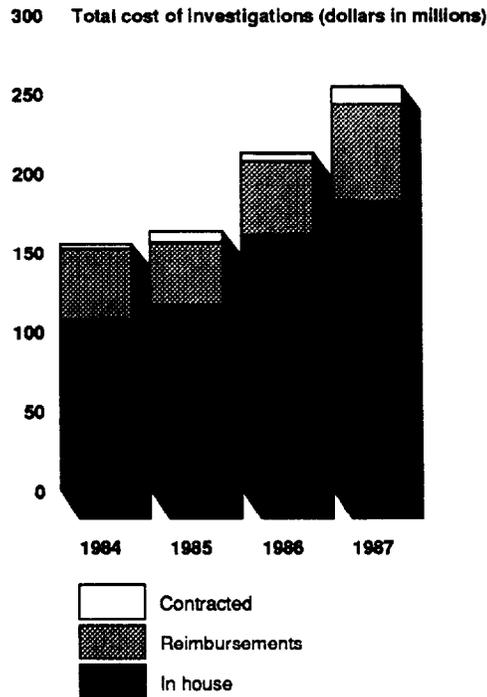
total number of clearances held by federal and contractor employees for 1982 through 1987.

Figure 1: Number of Security Clearances in Effect (1982 Through 1987)



Although the number of security clearances has declined, the total cost of background investigations needed for granting new clearances and updating old ones has increased substantially in recent years. These costs include expenditures for investigations performed by contractors, reimbursements to other federal agencies for investigations, and investigations performed by agencies for their own benefit. Figure 2 shows the total cost of clearance investigations for 1984 through 1987.

Figure 2: Total Cost of Security Clearance Investigations (1984 Through 1987)



Much of the increased cost of investigations can be attributed to an effort by DOD to reduce its 1985 backlog of about 300,000 clearances which needed to be updated.

Nondisclosure Agreements

The government Standard Form (SF) 189 for federal employees and SF 189-A for contractor employees are the primary nondisclosure agreements. The SF 189 constitutes about 91 percent of the reported federal employee agreements. Some agencies have their own nondisclosure forms. The Director of Central Intelligence requires that special access nondisclosure agreements be signed for access to sensitive compartmented information. These agreements include Form 4193 and DOD Form 1847-1. The Federal Emergency Management Agency requires individuals to sign its Form 12-38 to obtain special access to some of its information. Individuals required to sign a special access nondisclosure agreement will have already signed a SF 189 or SF 189-A, in most cases.

The 48 agencies reported that at the end of 1987, current and former federal employees and contractor employees had signed 2.7 million and

270,000 classified information nondisclosure agreements, respectively. The number of signed agreements increased from 1.5 million for current and former federal employees and from 151,000 for contractor employees at the end of 1986. (These figures do not include the Central Intelligence Agency, which also requires nondisclosure agreements.)

Sensitive Compartmented Information

Since 1981, federal employees with sensitive compartmented information² access have been required to sign nondisclosure agreements with lifetime prepublication review³ requirements. The prepublication review was formalized by National Security Decision Directive 84 on March 11, 1983. Although the President suspended this provision in February 1984, the suspension had little effect on prepublication review requirements because employees were still required to sign the prior version of the Sensitive Compartmented Information Nondisclosure Agreement (Form 4193) before having access to such information.

As of December 31, 1987, about 594,000 federal and contractor employees had signed nondisclosure agreements with these review requirements.

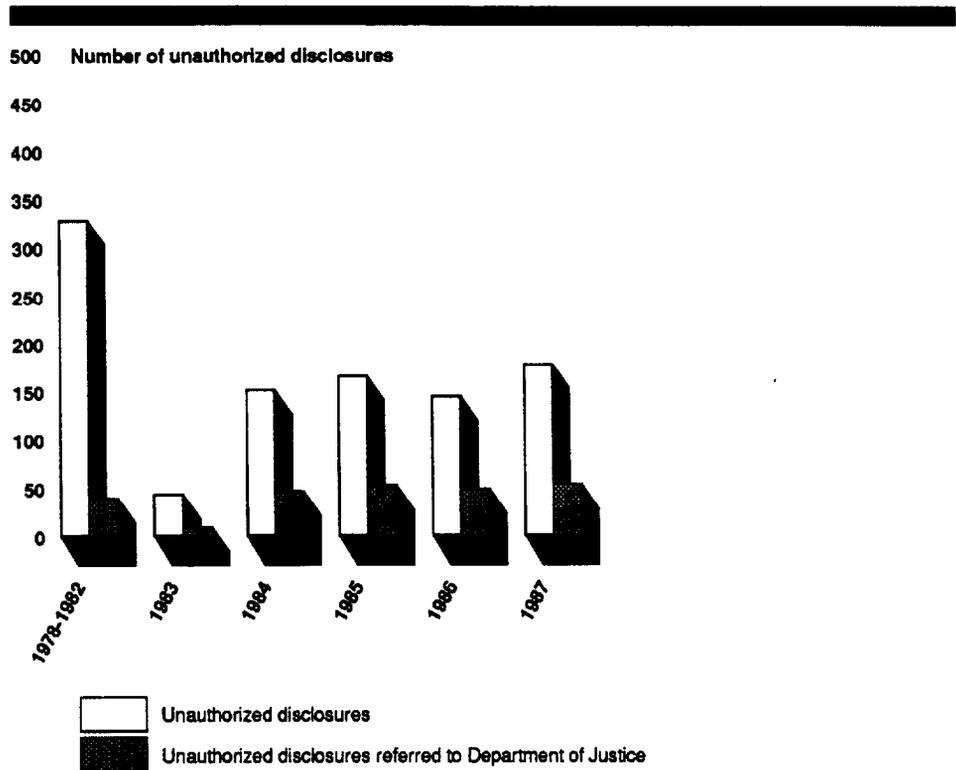
Unauthorized Disclosures of Classified Information

Seven agencies reported 144 unauthorized disclosures of classified information during 1986. Forty-eight were referred to the Department of Justice for investigation. Eleven agencies reported 177 such disclosures during 1987 and referred 53 to Justice. Figure 3 shows the number of known unauthorized disclosures since 1978 and the number reported to Justice as required by National Security Decision Directive 84.

²Sensitive compartmented information is intelligence-related material requiring special handling. The Director of Central Intelligence is responsible for protecting this information.

³Prepublication review allows the government to review nonofficial information or materials, including works of fiction, prior to publication to ensure that they contain no classified information.

Figure 3: Number of Known Unauthorized Disclosures of Classified Information (1978 Through 1987)



Note: 1976-1982 includes all known unauthorized disclosures and referrals which occurred during that period.

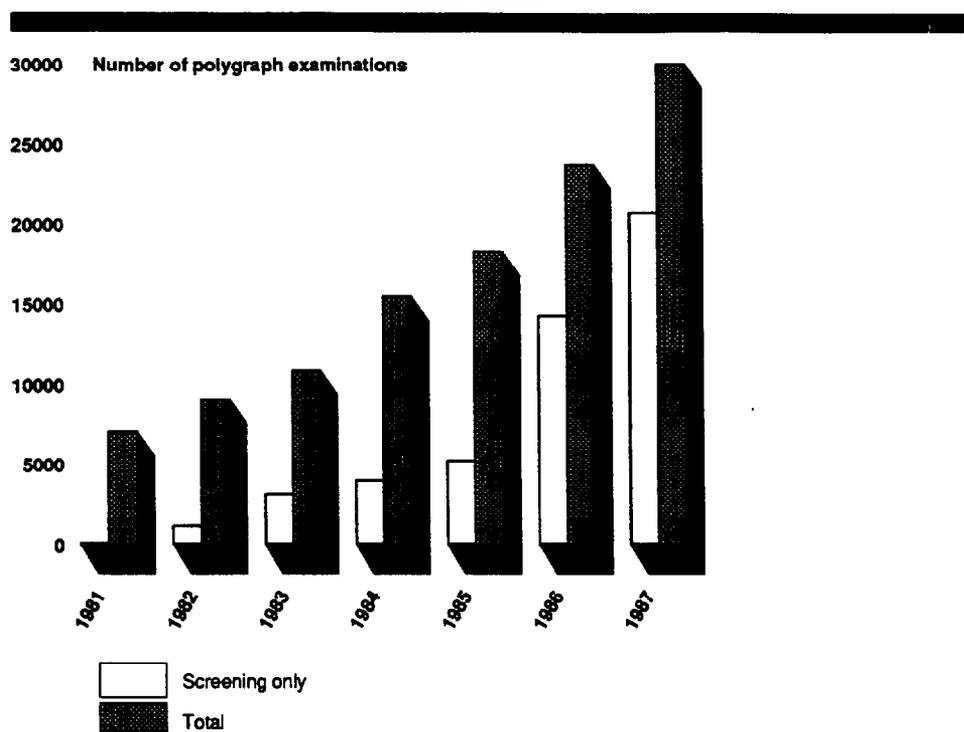
Polygraph Tests

The total number of polygraph tests being conducted annually has increased significantly in recent years. Between 1984 and 1987, the number of polygraph tests given by the government increased by 94 percent. Eleven agencies reported that their employees and applicants for employment were given 29,931 polygraph tests in 1987. DOD accounts for most of these tests. The proportion of the tests given by DOD increased from 47 percent in 1984 to 90 percent in 1987.

Since World War II, DOD has used the polygraph primarily in criminal investigations. However, since 1984 it has expanded the use of the polygraph for screening individuals for special access programs. The number of tests increased from 45 in 1981 to 20,644 in 1987, or from less than one percent to 69 percent of all tests.

Figure 4 shows the number of tests for employee screening and the total number of tests conducted annually since 1981.

Figure 4: Number of Annual Polygraph Examinations Conducted (1981 Through 1987)



Objective, Scope, and Methodology

Our objective was to update data contained in our prior report. To do this, we compiled agency responses to questionnaires. The questionnaires were sent to 51 agencies that handle classified information, and 48 of the agencies responded (see app. I). This information includes actual figures, as well as estimates where data were not available for 1986 and 1987. We did not verify the information reported by the agencies and offices, but we did compare it with their previous responses and in many cases requested clarification.

We counted responses from DOD, including the military services, as one response. The questionnaire was not sent to the Central Intelligence Agency.

As requested, we did not obtain agency comments on this fact sheet. Unless you publicly announce its contents earlier, we plan no further distribution of the fact sheet until 30 days from its issue date. At that time, we will send copies to all agencies that provided information and to other interested parties upon request.

GAO staff members who made major contributions to this fact sheet are listed in appendix III.



Martin M Ferber
Director, Manpower and
Logistics Issues

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Abbreviations

DOD	Department of Defense
FBI	Federal Bureau of Investigation
FEMA	Federal Emergency Management Agency
NSDD	National Security Decision Directive
SCI	Sensitive Compartmented Information
SF	Standard Form

Questionnaire Recipients

Agencies and Offices Responding to Questionnaire

Agency for International Development
Arms Control and Disarmament Agency
Board of International Broadcasting
Council of Economic Advisers
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 Interior
Department of Justice
Department of Labor
Department of State
Department of Transportation
Department of 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
National Security Council
Nuclear Regulatory Commission
Office of Administration, Executive Office of the President
Office of Management and Budget
Office of Personnel Management
Office of the Vice President
Overseas Private Investment Corporation
Peace Corps
Securities and Exchange Commission
Selective Service System
Small Business Administration

**Appendix I
Questionnaire Recipients**

Tennessee Valley Authority
U.S. Information Agency
U.S. Postal Service
Office of the U.S. Trade Representative
Veterans Administration

**Organizations Not
Responding to
Questionnaire**

Executive Office of the President

- Office of Science and Technology Policy
- President's Foreign Intelligence Advisory Board
- President's Intelligence Oversight Board

Responses to Questionnaire

General

Question 1

Approximately how many full- and part-time personnel were employed by the federal government as of December 31, 1986, and as of December 31, 1987?

Response

The responding agencies had 6,610,119 military and civilian full- and part-time employees in 1986 and 6,723,600 in 1987.

Security Clearances

Question 2

Approximately how many federal and contractor employees had security clearances as of December 31, 1986, and as of December 31, 1987?

Response

About 1.9 million federal employees of the responding agencies had security clearances at the end of 1986 and 1987. About 1.4 and 1.3 million contractor employees had security clearances at the end of 1986 and 1987, respectively. Table II.1 shows the number of employees with security clearances by level of clearance in 1986 and 1987.

Table II.1: Employees With Security Clearances, by Level of Clearance

Level of clearance	1986	
	Federal employees	Contractor employees
Top secret	390,804	273,002
Secret	1,293,617	878,598
Confidential	189,102	235,044
Total	1,873,523	1,386,644
Level of clearance	1987	
	Federal employees	Contractor employees
Top secret	395,370	275,578
Secret	1,298,527	849,308
Confidential	159,259	214,584
Total	1,853,156	1,339,470

We reported that about 2.2 million federal and 1.4 million contractor employees had security clearances at the end of 1985. The decrease in the number of clearances in 1986 and 1987 was due mainly to a Department of Defense (DOD) program to reduce the number of clearances held by federal and contractor employees. Of the total number of federal employees in 1987, including military reservists—6,723,600—about 6 percent had top secret clearances, and 19 percent had secret clearances.

Question 3

How many sensitive compartmented information (SCI) and non-SCI special access programs were there at the end of 1986 and 1987, and how many agency and contractor employees were granted special access authorizations for them in those years?

Response

Eleven agencies reported that employees participated in 85 and 87 SCI special access programs in 1986 and 1987, respectively. Thirteen agencies reported that employees participated in 209 and 205 non-SCI special access programs in 1986 and 1987, respectively. Twenty-one agencies reported employees participated in 64 SCI programs and 17 agencies reported employees participated in over 160 non-SCI programs in 1985. Table II.2 shows the number of employees with special access authorizations at the end of 1986 and 1987.

Table II.2: Employees With Special Access Authorizations

Agency	1986		1987	
	SCI	Non-SCI	SCI	Non-SCI
DOD	145,089	37,483	157,004	43,317
State	4,907	0	5,265	0
Justice	4,470	0	5,193	0
Other agencies	2,076	1,144	2,141	1,296
Total	156,542	38,627	169,603	44,613
Contractor	13,096	83,252	15,465	93,882
Total	169,638	121,879	185,068	138,495

Question 4

How many personnel security clearances were granted to federal and contractor employees during 1986 and 1987?

Response

The total number of clearances granted to federal employees in 1987 was less than the number granted in 1986; however, the total number of

clearances granted to contractor employees increased in 1987. The number of SCI and non-SCI accesses granted in 1987 increased for both agency and contractor employees. Table II.3 shows, by level, the number of clearances granted during 1986 and 1987.

Table II.3: Clearances Granted to Employees During 1986 and 1987, by Level of Clearance

Level of clearances granted	1986		1987	
	Federal	Contractor	Federal	Contractor
Top secret	97,013	57,805	77,951	71,816
Secret	295,338	118,689	265,389	125,269
Confidential	607	3,420	663	5,930
Total	392,958	179,914	344,003	203,015
SCI/Non-SCI access	107,993 ^a	16,761	122,537 ^a	19,497

^aThe majority of these are DOD clearances.

Question 5

How many security clearance requests were in process at the end of 1986 and 1987?

Response

The total number of clearances in process at the end of the year declined between 1986 and 1987 for both federal and contractor employees. The total number of SCI and non-SCI accesses in process at the end of the year increased in 1987 for both federal and contractor employees. Table II.4 shows the number of clearances in process at the end of 1986 and 1987.

Table II.4: Clearances in Process at End of Year, by Level of Clearance

Level of clearances in process	1986		1987	
	Federal	Contractor	Federal	Contractor
Top secret	15,042	20,630	17,611	20,247
Secret	101,915	34,782	86,481	30,107
Confidential	201	28	190	21
Total	117,158	55,440	104,282	50,375
SCI/non-SCI access ^a	131,370	41,204	146,762	52,205

^aThe majority of these are for DOD clearances.

Question 6

What was the average time required to complete the investigative work before granting top secret and secret clearances and SCI/non-SCI access during 1986 and 1987?

Response

Table II.5 shows the range of average days agencies reported they needed to complete the investigative work before granting clearances.

Table II.5: Range of Average Days Needed to Complete Investigative Work Before Granting Clearances

Level of clearance	Average number of days	
	1986	1987
Top secret	30 to 548	30 to 548
Secret	39 to 215	42 to 270
Confidential	42 to 182	42 to 270
SCI access	30 to 200	30 to 212
Non-SCI access	10 to 217	10 to 200

The figures reported generally indicate that the average time required to complete investigative work increased somewhat between 1986 and 1987. The lowest averages reported in 1987 were by the U.S. Postal Service, 10 days, and the National Science Foundation and National Security Council, 30 days. The Tennessee Valley Authority reported the highest average, 548 days.

DOD, which accounted for about 90 percent of the clearance investigations completed in 1987, reported a low of 44 days to complete secret and confidential investigations and a high of 95 days for SCI accesses.

Question 7

How many requests for security clearances and special accesses for federal and contractor employees were denied in 1986 and 1987, 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

Between 1986 and 1987, the number of clearance requests denied to federal employees decreased while requests denied contractor employees increased. Clearance revocations for both federal and contractor employees increased between 1986 and 1987. The number of denials of requests for and revocations of security clearances for federal and contractor employees, respectively, in 1986 and 1987 is shown in table II.6.

Appendix II
Responses to Questionnaire

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

Federal employees	Level of clearance/type of access					Total
	Top secret	Secret	Confidential	Special Access Programs		
				SCI	Non-SCI	
1986						
Denials	17	131	1	5	122	276
Revocations:						
For risk	13	29	0	9	0	51
Administrative	1,197	2,907	97	568	30	4,799
By DOD ^a	0	12,481	0	4,187	1,025	17,693
Total	1,210	15,417	97	4,764	1,055	22,543
1987						
Denials	14	123	1	7	58	203
Revocations:						
For risk	12	20	0	8	2	42
Administrative	1,681	6,303	221	656	40	8,901
By DOD ^a	0	17,780	0	3,412	1,411	22,603
Total	1,693	24,103	221	4,076	1,453	31,546
Contractor employees						
1986						
Denials	57	15	0	643	504	1,219
Revocations:						
For risk	311	0	16	47	0	374
Administrative	359	32	80	460	3,235	4,166
Total	670	32	96	507	3,235	4,540
1987						
Denials	96	16	0	671	961	1,744
Revocations:						
For risk	43	313	0	62	1	419
Administrative	58	820	0	248	5,415	6,541
Total	101	1,133	0	310	5,416	6,960

^aDOD reported one figure for both risk and administrative revocations.

Question 8

How many reinvestigations of previously cleared individuals were completed in 1986 and 1987, and what was the average time required to complete those reinvestigations?

Response

The number of clearance reinvestigations completed increased between 1986 and 1987. Most of the increase was investigations for contractor

employees. Table II.7 shows the reinvestigations of previously cleared federal and contractor employees that were completed during 1986 and 1987 for top secret, secret, and confidential clearances and SCI accesses and non-SCI special accesses.

The average time required to complete reinvestigations in 1986 ranged from 8 to 240 days for top secret, 45 to 160 days for secret, and 42 to 182 days for confidential reinvestigations, and the time ranged from 60 to 200 days for SCI and non-SCI reinvestigations. In 1987, the average time reported for reinvestigations ranged from 5 to 210 days for top secret, 5 to 185 days for secret, and 42 to 270 days for confidential while the average times reported for SCI and non-SCI accesses ranged from 36 to 270 days.

Table II.7: Completed Reinvestigations of Federal and Contractor Employees

	Level of clearance/type of access						Total
	Top secret	Secret	Confidential	Special Access Programs		Combined ^a	
				SCI	Non-SCI		
1986							
Federal employees	28,570	1,378	666	1,256	192	33,308	65,370
Contractor employees	12,219	1,833	0	114	195	21,645	36,006
Total	40,789	3,211	666	1,370	387	54,953	101,376
1987							
Federal employees	8,247	2,821	379	1,298	243	54,250	67,238
Contractor employees	23,696	9,596	0	176	150	29,059	62,677
Total	31,943	12,417	379	1,474	393	83,309	129,915

^aSome agencies provided only one figure for all clearance categories.

Question 9

How much money was spent in 1986 and 1987 for granting security clearances (investigations, reinvestigations, special investigations, and adjudications)?

Response

The total cost of security clearance investigations, reinvestigations, special investigations, and adjudications for 1986 and 1987 was \$211 million and \$254 million, respectively. Table II.8 gives a breakdown of the costs by in-house costs, reimbursements to other federal agencies, and contracted investigative services costs.

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

Type of cost	1986	1987
Agency in-house	\$161,119,691	\$183,102,072
Reimbursements to other agencies	46,007,633	60,614,789
Contracted services	4,698,747	10,529,624
Total	\$211,826,071	\$254,246,485

Classification Management

Question 10

How many federal employees were authorized to classify information at the top secret and secret levels as of December 31, 1986, and December 31, 1987?

Response

The questionnaire responses indicated a slight increase between 1986 and 1987 in the number individuals having classification authority. Table II.9 shows the number of federal employees with original and derivative classification authority as of December 31, 1986 and 1987. Derivative authority (the authority to create new classified documents by extracting classified information from existing documents) includes all classifiers with original classification authority and most individuals with security clearances.

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

Level of information classified	December 31, 1986		December 31, 1987	
	Original authority	Derivative authority	Original authority	Derivative authority
Top secret and below	1,318	323,297	1,377	331,858
Secret and below	4,082	1,277,150	4,110	1,281,960

Question 11

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

Response

Ten agencies required their classifiers to be certified: Peace Corps, Nuclear Regulatory Commission, National Archives and Records Administration, Office of Personnel Management, Federal Communications Commission, U.S. Information Agency, and the Departments of Commerce, Energy, Interior, and Justice. At the Office of Personnel Management, U.S. Information Agency, and Department of State certification may be obtained by attending a briefing on security classification requirements. The Department of Energy required its classifiers to have formal training and pass a test.

Ten agencies required training and testing for their classifiers: Peace Corps, U.S. Postal Service, National Aeronautics and Space Administration, Federal Communications Commission, U.S. Information Agency, Marine Mammal Commission, Export-Import Bank, and the Departments of Energy, State, and Defense.

Question 12

How many agencies use classification guides, and how many guides were issued as of December 31, 1986, and December 31, 1987? (Classification guides are documents issued by authorized original classifiers that prescribe the level of classification to be used when classified documents are created by someone other than the original classifier. Classification guides are supposed to be issued for each classified system, program, plan, or project.)

Response

Fourteen agencies reported using classification guides. They had issued 3,123 classification guides as of December 31, 1986, and 3,185 guides as of December 31, 1987. DOD issued about half of the guides. The Department of Interior uses other agencies' classification guides and has issued no guides of its own.

Access by Historians and Former Presidential Appointees

Question 13

During 1986 and 1987, how many historical researchers and former presidential appointees were granted access to classified information

and how many were denied access? As of December 31, 1986, and December 31, 1987, how many of these categories of individuals had access to classified information?

Response

The agencies responded that 103 historical researchers and former presidential appointees had access to classified information as of the end of 1987. Seventy-eight of these individuals were granted access by DOD organizations. Table II.10 shows the number of historical researchers and former presidential appointees who were granted or denied access to classified information during 1986 and 1987, and the number who had access as of December 31, 1986, and December 31, 1987.

Table II.10: Historians and Former Presidential Appointees Granted or Denied Access During 1986 and 1987 and With Access as of December 31, 1986 and 1987

	1986		1987	
	Historical researchers	Former presidential appointees	Historical researchers	Former presidential appointees
Granted access	42	12	31	16
Denied access	1	0	2	0
With access on December 31	80	14	88	15

Nondisclosure Agreements

Question 14

How many current and former federal and contractor employees had signed the SF 189 or a similar form requiring nondisclosure of classified information as of the end of 1986 and 1987?

Response

As of the end of 1986, current and former federal employees had signed about 1.4 million nondisclosure agreements and current and former contractor employees had signed 150,806 nondisclosure agreements. As of the end of 1987, federal employees had signed about 2.7 million nondisclosure agreements and contractor employees had signed 267,489 nondisclosure agreements. Table II.11 summarizes the number of nondisclosure agreements signed by type of agreement.

Appendix II
Responses to Questionnaire

Table II.11: Nondisclosure Agreements Signed as of December 31, 1986 and 1987

Type of agreement	1986		1987	
	Federal employees	Contractor employees	Federal employees	Contractor employees
SF 189	1,295,550	352	2,449,046	411
SF 189-A	78	50,373	81	102,555
Form 4193	45,499	10	54,126	10
DD 1847-1	59,120	67,181	109,994	119,709
FEMA 12-38 ^a	371	355	432	691
FBI FD-291 ^b	27,091	0	30,385	0
Other	28,159	32,535	32,753	44,110
Total	1,455,868	150,806	2,676,817	267,486

^aFEMA - Federal Emergency Management Agency

^bFBI - Federal Bureau of Investigation

Question 15

How many agencies have written procedures for using the SF 189 and SF 189-A?

Response

Thirty agencies reported they have issued written procedures for use of the SF 189 and 24 agencies said they have written procedures for the SF 189-A. These agencies are presented in table II.12.

**Appendix II
Responses to Questionnaire**

Table II.12: Agencies With Written Procedures for Using the SF 189 and SF 189-A

Agency	SF 189	SF 189-A
Farm Credit Administration	X	X
Small Business Administration	X	X
General Services Administration	X	X
Department of Transportation	X	X
Peace Corps	X	X
Department of Housing and Urban Development	X	X
U.S. Postal Service	X	X
International Trade Commission	X	X
Federal Maritime Commission	X	X
Department of Education	X	X
Department of Treasury	X	X
Nuclear Regulatory Commission	X	X
National Aeronautics and Space Administration	X	
Department of Agriculture	X	
Department of Labor	X	X
Office of Personnel Management	X	X
Department of Commerce	X	X
National Science Foundation	X	X
Veterans Administration	X	X
Federal Emergency Management Agency	X	X
Federal Reserve System	X	X
Department of Health and Human Services	X	
Tennessee Valley Authority	X	X
Department of Interior	X	
Department of Energy	X	
Department of Justice	X	X
Marine Mammal Commission	X	X
Selective Service System	X	
Export-Import Bank	X	X
Department of Defense	X	X

Question 16

How many agencies established dates for obtaining a signed SF 189 or SF 189-A from every individual granted access to classified information prior to the Congress' suspension of the program on December 22, 1987?

Response

Fourteen agencies had established a date for obtaining a signed SF 189. The dates established for obtaining these signatures ranged from

November 4, 1983, to September 30, 1988. Three agencies had established a date for obtaining a signed SF 189-A. These dates ranged from June 30, 1984, to June 30, 1987.

Question 17

How many agencies required all of their employees and all of their contractors' employees to sign either an SF 189 or SF 189-A?

Response

Twenty-four agencies required all of their employees and contractor employees to sign either an SF 189 or SF 189-A, while 23 agencies did not. The Federal Home Loan Bank Board did not respond to this question.

The U.S. Postal Service, Nuclear Regulatory Commission, and Departments of Justice, Labor, and Interior were among the agencies requiring all of their employees and contractors' employees to sign a SF 189 or SF 189-A. The agencies reporting that they do not require all of their employees and contractors' employees to sign either form included the National Space and Aeronautics Administration, and Departments of Treasury, Energy, State, and Defense.

Question 18

When did federal agencies require employees to sign a nondisclosure agreement?

Response

Federal agencies generally required employees to sign the SF 189 when a clearance was granted, after a security briefing, or before receiving access to classified data. Table II.13 shows when agencies required employees to sign the SF 189 and other nondisclosure agreements.

Appendix II
Responses to Questionnaire

Table II.13: Number of Agencies With Requirements for Signing Nondisclosure Agreements

New employees	SF 189	SF 189-A	Fm 4193	DD 1847-1	Other^a
When hired	5	1	0	0	2
When clearance requested	5	0	0	0	0
When clearance granted	27	6	5	1	3
After security briefing	28	6	6	1	6
Before access to classified data	23	6	5	1	3
Other	0	0	1	1	0
Newly cleared existing employees					
After Security briefing	30	6	6	1	6
Before access to classified data	29	4	6	1	4
Other	1	0	1	0	1
Employees already having access					
All employees have signed agreements	27	1	4	1	5
After a security briefing	15	2	3	1	3
Before access to classified data	8	0	2	1	2

^aIncludes Organization of the Joint Chiefs of Staff and Strategic Defense Initiative Office nondisclosure agreements.

Question 19

How many employees of federal agencies and employees of their contractors had refused to sign the SF 189 or other nondisclosure agreement as of December 31, 1987?

Response

An estimated 152 federal employees had refused to sign the SF 189 as of December 31, 1987. Agencies reported that only 3 contractor employees had refused to sign the SF 189-A as of the same date. Twenty-three federal and two contractor employees had refused to sign other types of nondisclosure agreements as of December 31, 1987.

Question 20

What action has been taken with respect to those individuals who refused to sign the SF 189 or other nondisclosure agreement?

Response

Table II.14 summarizes the actions federal agencies have taken with respect to those individuals who refused to sign a nondisclosure agreement.

Appendix II
Responses to Questionnaire

Table II.14: Actions With Respect to Individuals Who Refused to Sign a Nondisclosure Agreement

	Federal employees	Contractor employees
Clearance suspended	30	0
Clearance revoked	10	0
No action taken on clearance	99	3
Individual reassigned to another position or duties with:		
No reduction in salary ^a	8	0
Reduction in salary ^a	0	0
Individual resigned ^a	2	0
Other administrative sanctions ^a	37	2

^aActions taken in addition to clearance suspensions and revocations. Other administrative sanctions included such actions as downgrading clearances because they were no longer needed and canceling requests for clearances.

Question 21

How many SF 189s and other nondisclosure agreements were signed by federal and contractor employees during the period of December 22, 1987 (the date the program was suspended) through March 31, 1988?

Response

On December 22, 1987, the Congress passed legislation, which was effective on that day, that restricted the use of the SF 189 and SF 189-A. The United States District Court for the District of Columbia subsequently found this legislation unconstitutional. The case is now before the Supreme Court.

Federal agencies reported that 53,080 federal employees and 1,946 contractor employees signed nondisclosure agreements from December 22, 1987, through March 31, 1988. The types and numbers of nondisclosure agreements signed are shown in table II.15.

Table II.15: Nondisclosure Agreements Signed Between December 22, 1987, and March 31, 1988

	Federal employees	Contractor employees
SF 189	43,115	5
SF 189-A	5	230
Form 4193	347	0
DD Form 1847-1	6,587	697
Other	3,026	1,014
Total	53,080	1,946

Prepublication Review and Unauthorized Disclosures

Question 22

How many agencies required their employees to submit to any prepublication review procedures?

Response

Thirteen agencies indicated that their employees are required to submit to prepublication review procedures. These agencies are the Peace Corps, Securities and Exchange Commission, Agency for International Development, Federal Reserve System, U.S. Information Agency, Arms Control and Disarmament Agency, National Security Council, and Departments of Interior, Energy, Justice, State, Defense, and Education.

Question 23

Approximately how many books, articles, speeches, and other material, by category, were reviewed during agency prepublication review processes for 1986 and 1987? What were the reasons for prepublication review?

Response

The number of books, articles, and speeches requiring prepublication review declined between 1986 and 1987; however, the number of items categorized as other increased. Table II.16 summarizes the reasons agencies conducted prepublication reviews during 1986 and 1987.

Appendix II
Responses to Questionnaire

Table II.16: Reasons for Prepublication Review

Reasons	Number of items reviewed			
	Book	Articles	Speeches	Other ^a
1986				
Regulation	81	2,383	856	8,156
SCI agreement	2	5	0	3
Non-SCI agreement	0	16	3	0
Other	166	1,265	1,399	310
Total	249	3,669	2,258	8,469
1987				
Regulation	75	292	10	9,513
SCI agreement	6	15	3	7
Non-SCI agreement	0	28	3	0
Other	128	955	1,340	349
Total	209	1,290	1,356	9,869

^aIncludes papers and notes

Question 24

Estimate the average number of working days that elapsed from the date of receipt of a request for prepublication review for books, articles, speeches, and other types of documents to the date the requester was informed of the final results.

Response

The average time required to complete a prepublication review ranged from 3 to 47 days. DOD, which accounted for 98 percent of all items reviewed in 1987, required an average of 18 days to review speeches, 23 days for articles, 47 days for books, and 35 days for other items. Table II.17 shows the range of estimates reported for each type of document or material.

Table II.17: Average Days Required to Complete Prepublication Reviews During 1987

Type of material	Average days
Books	5 to 47 days
Articles	3 to 23 days
Speeches	3 to 18 days
Other	7 to 35 days

Question 25

During 1986 and 1987, approximately how many employees were assigned, and how many working days were used for prepublication review?

Response

Table II.18 shows the range of the estimated number of employees assigned and the number of working days used to perform prepublication reviews during 1986 and 1987.

Table II.18: Estimated Number of Employees Assigned and Working Days Used to Perform Prepublication Reviews During 1986 and 1987

	1986	1987
Estimated number of employees assigned	1 to 100	1 to 100
Estimated number of working days used	12 to 7,351	12 to 7,334

In 1987 DOD, which accounted for 98 percent of the prepublication reviews, devoted about 74 employees and 7,334 working days to this activity. This is slightly less than the 75 employees and 7,351 working days devoted to prepublication review in 1986.

Question 26

How many agencies experienced unauthorized disclosures of classified information during 1986 and 1987?

Response

Seven agencies reported 144 unauthorized disclosures in 1986 and 11 reported 177 unauthorized disclosures in 1987. The agencies with the most unauthorized disclosures in 1986 were the Departments of Defense with 115, and State and Justice with 13 each. In 1987, DOD had 117 unauthorized disclosures, Justice had 23, and State had 22.

Question 27

For 1986 and 1987, what was the total number of unauthorized disclosures; the number that were not reported to the Department of Justice; the number made through books, articles, and speeches, by then-current and former employees; and the number made by individuals who had previously signed a nondisclosure agreement?

Response

The number of known unauthorized disclosures and the number not reported to the Department of Justice increased between 1986 and 1987. Table II.19 summarizes the information reported by federal agencies.

Appendix II
Responses to Questionnaire

Table II.19: Data Reported on Unauthorized Disclosures by Federal Agencies

	1986	1987
Total number of known unauthorized disclosures	144	177
Number not reported to Department of Justice	96	124
Number made through published writings or speeches by		
Then-current employees	6	4
Former employees	0	0
Number made by individuals who had previously signed a nondisclosure agreement	61	80

Question 28

How many unauthorized disclosures were investigated by the affected agency or referred to another agency for investigation during 1986 and 1987?

Response

The number of unauthorized disclosures investigated by the affected agency increased between 1986 and 1987. The data reported by agencies on the investigations of unauthorized disclosures are presented in table II.20.

Table II.20: Investigations of Unauthorized Disclosures in 1986 and 1987

	1986	1987
Cases investigated by affected agency	103	115
Cases referred to another agency for investigation after affected agency's investigation was completed	12	9
Cases referred to another agency for investigation that affected agency did not investigate	3	4

Question 29

How many federal and contractor employees were denied further access to classified information, because of their unwillingness to cooperate with the investigation of an unauthorized disclosure, during 1986 and 1987? How many were subjected to administrative sanctions?

Response

One federal employee and one contractor employee were denied further access to classified information in 1987 because of unwillingness to cooperate with the investigation of an unauthorized disclosure of classified information. None were denied access in 1986. In 1986, one federal employee was subjected to administrative sanctions for failure to cooperate with investigations. In 1987, five federal employees and one contractor employee were subjected to administrative sanctions for failure

to cooperate with investigations of unauthorized disclosures of classified information.

Polygraph Activity

Question 30 How many agencies employed polygraph operators during 1986 and 1987?

Response Five federal agencies reported that they employed polygraph operators in 1986 and 1987. The agencies were the U.S. Postal Service, and the Departments of Treasury, Labor, Justice, and Defense.

Question 31 As of December 31, 1986, and December 31, 1987, how many polygraph operators were employed by federal agencies, and how many contracts for polygraph tests did the agencies have?

Response Federal agencies employed 338 polygraph operators in 1986 and 386 operators in 1987. In 1987, only the Tennessee Valley Authority reported that it contracted for polygraph tests. No agencies reported that they contracted for polygraph tests in 1986.

Question 32 How many agencies had plans to employ additional polygraph operators or contract out for services?

Response The U.S. Postal Service, and the Departments of Treasury, Justice, and Defense planned to employ a total of 165 additional polygraph operators. No agencies reported plans to contract for additional polygraph services.

Question 33 As of December 31, 1986, and December 31, 1987, how many polygraph machines did the agencies have? How many were procured during 1986 and 1987, and how many additional machines were expected to be procured?

Response Federal agencies had 610 polygraph machines on hand at the end of 1986 and 685 machines at the end of 1987. They had procured 44 machines in 1986 and 80 machines in 1987. Four agencies planned to acquire 81 additional machines.

Question 34 Approximately how many polygraph tests were conducted on agency employees or applicants for employment by, or for, the agency? Please list by the indicated categories the number of tests for each of the calendar years. If they were conducted by another agency or contractor, so indicate. Identify how many tests resulted in security clearance action and explain.

Response The number of polygraph tests given by federal agencies increased between 1986 and 1987. The increases were for preemployment, preaccess, and subsequent screening. Federal agency responses to the question above are summarized in table II.21.

**Appendix II
Responses to Questionnaire**

Table II.21: Reasons for Polygraph Tests

Reasons for tests	1986		1987	
	Number of tests	Security clearance action ^a	Number of tests	Security clearance action ^a
Criminal or specific incident investigations				
Conducted by agency	9,500	0	9,287	0
Conducted by other agencies or contractors	9	4	33	7
Preemployment screening				
Conducted by agency	6,878	0	9,049	0
Conducted by other agencies or contractors	0	0	0	0
Preaccess screening				
Conducted by agency	4,737	0	6,086	0
Conducted by other agencies or contractors	4	0	3	0
Subsequent screening				
Conducted by agency	2,570	9	5,473	12
Conducted by other agencies or contractors	0	0	0	0
Other screening				
Conducted by agency	10	0	0	0
Conducted by other agencies or contractors	0	0	0	0
Total	23,708	13	29,931	19

^aDOD, which accounted for about 90 percent of the total number of tests, reported that the number of tests involving clearance actions was unknown.

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