**PERSONNEL SECURITY ASSURANCE
PROGRAM:
PROFILE FROM 1992 THROUGH 2000**

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INTRODUCTION

The Personnel Security Assurance Program (PSAP) was initiated to ensure that individuals employed in certain positions in the Department of Energy (DOE) meet and maintain high standards of reliability and trustworthiness. The positions included in the PSAP fall into three groups: (1) positions that provide direct access to, or have direct responsibility for transporting, category I quantities of special nuclear material; (2) positions that afford unescorted access to the control areas of nuclear material production reactors; and (3) positions having the potential for causing unacceptable damage to national security. Although individuals in the PSAP are subject to the customary access authorization criteria, the program establishes a more intensive and frequent review process for maintaining PSAP access authorizations.

This report presents information from 1992 through 2000, both overall and stratified by DOE site, on individuals removed from the PSAP. Only a small percentage of removals (generally less than 5% per year) were caused by actions on the part of program participants that brought into question their loyalty, trustworthiness, or reliability. Most removals were due to administrative reasons, such as employees retiring, paperwork delays, or positions being reclassified due to change in scope. In this report the term “reliability issues” will be used for causes of removal that are based on derogatory issues delineated in Title 10 Code of Federal Regulations, Part 710 (10 CFR, Part 710), and “non-reliability issues” will refer to all other sources for removal of employees from PSAP.

ENROLLMENTS IN AND REMOVALS FROM THE PSAP

Figure 1 presents the enrollment on January 1 of each year from 1992 through 2000 and the number of removals that occurred during each year. At the beginning of 1992, the PSAP at DOE sites throughout the country had 2,299 participants. By 1995 this number had more than doubled to 5,084 and continued to increase gradually to 5,747 at the beginning of 1999. From January 1999 to January 2000 there was an 18.5% increase in PSAP participants to 6,812, and the number enrolled in PSAP continued to increase to 7,345 by December 31, 2000. Excluding 1992 when employee removal information may not be complete, the number of removals per year from all causes combined has ranged from a low of 728 in 1994 to a high of 1,237 in 2000. Other years that saw more than 1,000 removals were 1993 and 1996.

Annual removals for major reliability issues are presented in Figure 2. Throughout the entire time period from 1992 to 2000 the number of removals for misuse of alcohol has remained very low at five or fewer per year. Similarly, fewer than 10 PSAP participants annually were removed for drug issues except for 1995 when the number was 12. Beginning in 1996 the number of removals for issues listed by site PSAP administrators as “security,” “termination for cause,” or “cases under administrative review” has ranged from 27 to 39 as contrasted with 7 to 22 before 1996.

Figure 3 compares the removals each year for reliability versus non-reliability issues. Specifically, reliability issues were cases listed by site PSAP administrators as “alcohol,” “drugs,” “security,” “termination for cause,” and “cases under administrative review.” Non-reliability issues included “medical/behavioral,” “transfer,” termination (i.e., “retirement,” “reduction in force,” “voluntary reduction,” “deceased”), “position reclassification,” “transfer,” and administration (i.e., “paperwork delays” and “requirements not met in time”).

A peak of 52 removals occurred for behavioral issues in 1997 with the number ranging from 31 to 42 from 1993 to 2000. Data for 1992 indicating 8 removals may be incomplete.

Because the number of PSAP participants has been increasing regularly, it is more appropriate to compare the percentage of removals each year that were the result of reliability issues, as seen in Figure 4. This percentage has remained fairly constant, generally about 4% each year, except for 1997 when it rose to 6.7%. The high percentage in 1997 reflects not only the larger number of reliability issue cases during the year but also the drop in the total number of removals, which was affected by the peak in total removals the previous year. The 2000 value of 3.4% was the lowest annual percent of reliability issue removal since 1993 (excluding 1992 data which may be incomplete).

Alcohol, drugs, and security issues in each year are further broken down in Figure 4. PSAP removals for reasons of alcohol abuse occurred very infrequently, ranging from 1 to 5 occurrences per year. Drug-related removals were more variable and somewhat more common, ranging from 0 to 12 incidents per year, with a peak occurring in 1995. Removals classified as security concerns ranged from 7 to 22 per year through 1995 and from 27 to 39 per year since then.

REMOVALS BY DOE SITE

Figures 5 through 11 present the PSAP removals that occurred each year at the various DOE sites. These removals were stratified by reliability/non-reliability issues, as specified above. Note that the scale varies from graph to graph; however, the number of removals appears in boxes to provide exact values. Total number of removals at the various sites each year are mainly a reflection of changing programmatic requirements because relatively few removals are due to reliability issues.

Table 1 shows the following for each site in 2000: the total number of removals, the number of removals for reliability issues, and the percent of removals for reliability issues. The higher percent for Idaho is affected by the small number of total removals. Results in Table 1 confirm that PSAP removals generally occur for non-reliability issues.

TABLE 1: 2000 PSAP REMOVALS BY DOE SITE

<i>DOE Site</i>	<i>Total Removals</i>	<i>Number Reliability</i>	<i>Percent Reliability</i>	<i>Comparative Interval*</i>
Oakland	53	4	7.5	4.4 – 14.7
Idaho	25	4	16.0	1.6 – 30.4
Richland	123	6	4.9	1.1 – 8.7
Albuquerque	225	2	1.0	0.3 – 2.1
Savannah River	186	10	5.1	2.1 – 8.6
Oak Ridge	587	16	2.7	1.4 – 4.0
Rocky Flats	28	0	0.0	
TOTAL	868	36	4.1	2.8 – 5.5

*Because all removals were reported, the actual percent of removals caused by reliability issues is known and does not need to be estimated. However, some of the percentages were based on a small number of PSAP employees removed from a site. The comparative interval was calculated as a 95% confidence interval for an estimated percent. These intervals were presented as examples to show the precision of the percent if the total number of PSAP employees removed had been a sample.

CONCLUSIONS

Overall the annual number of PSAP employees removed from the program has remained fairly consistent from 1992 through 2000. Although the PSAP population tripled from 1992 to 2000, the number of PSAP employee removals based on reliability issues remained relatively constant. The major fluctuation in the PSAP population is a reflection of changing programmatic requirements. PSAP employees are removed primarily because of non-reliability issues that include “medical/behavioral,” “transfer,” termination (i.e., “retirement,” “reduction in force,” “voluntary reduction,” “deceased”), “position reclassification,” “transfer,” and administration (i.e., “paperwork delays” and “requirements not met in time”). The percentage of all removals each year that were the result of reliability issues has remained fairly constant, generally about 4% each year. The value of 3.4% for the year 2000 was the lowest annual percent of reliability issue removals since 1993.

FIGURE 1: PSAP EMPLOYEES ENROLLED AND ANNUAL NUMBER REMOVED
1/1/92 - 1/1/00

**FIGURE 2: PSAP EMPLOYEES REMOVED FOR RELIABILITY ISSUES
1992 - 2000**

**FIGURE 3: PSAP EMPLOYEES REMOVED FOR
RELIABILITY/NON-RELIABILITY ISSUES
1992 - 2000**

Reliability issues include alcohol, drugs, security, termination for cause, and administrative review.

**FIGURE 4: PERCENT OF RELIABILITY ISSUES AMONG
PSAP EMPLOYEE REMOVALS
1992 - 2000**

Reliability issues include alcohol, drugs, security, termination for cause, and administrative review.

**FIGURE 5: OAK RIDGE PSAP EMPLOYEE REMOVALS
1992 - 2000**

Reliability issues include alcohol, drugs, security, termination for cause, and administrative review.

**FIGURE 6: SAVANNAH RIVER PSAP EMPLOYEE REMOVALS
1992 - 2000**

Reliability issues include alcohol, drugs, security, termination for cause, and administrative review.

**FIGURE 7: ROCKY FLATS PSAP EMPLOYEE REMOVALS
1992 - 2000**

Reliability issues include alcohol, drugs, security, termination for cause, and administrative review.

**FIGURE 8: OAKLAND PSAP EMPLOYEE REMOVALS
1992 - 2000**

Reliability issues include alcohol, drugs, security, termination for cause, and administrative review.

**FIGURE 9: ALBUQUERQUE PSAP EMPLOYEE REMOVALS
1992 - 2000**

Reliability issues include alcohol, drugs, security, termination for cause, and administrative review.

**FIGURE 10: IDAHO PSAP EMPLOYEE REMOVALS
1992 - 2000**

Reliability issues include alcohol, drugs, security, termination for cause, and administrative review.

**FIGURE 11: HANFORD PSAP EMPLOYEE REMOVALS
1992 - 2000**

Reliability issues include alcohol, drugs, security, termination for cause, and administrative review.