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**DISSS/PSDB-
Personnel Security Database Modernization Project
Compilation of Data Gathered from DOE Operations
Office's Site Visits**

**Robert Carpenter
Douglas Sweeney**

March 15, 1995

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Table of Contents

Introduction Site Visit.....	2
Rocky Flats	3
Richland	7
Las Vegas	12
Savannah River.....	16
Oak Ridge.....	20
Oakland.....	24
DOE Headquarters	27
Schenectady Naval Reactors	31
Pittsburgh Naval Reactor	33
Idaho	35
Chicago.....	38
Albuquerque	41
Nuclear Regulatory Commission.....	47

Compilation of Data Gathered from DOE Operations Office's Site Visits

Robert Carpenter and Douglas Sweeney

Introduction

This document is a compilation of the information gathered from visits to the DOE Operations Offices. The purpose of these visits was to gather requirements for the modernization of the personnel security database.

The initial phase of visits were to sites which had known local systems to augment CPCI. They were; Rocky Flats, Richland, Las Vegas, Savannah River, Oak Ridge, and Oakland. The second phase of site visits were to; Headquarters, Schenectady, Pittsburgh, Idaho Falls, Chicago, and Albuquerque. We also visited the NRC.

At each site we reviewed the current clearance process in use at the field office. If the site had a local personnel security database (PSDB), we also reviewed the current PSDB processing. Each meeting was began with the a discussion on the purpose of the meeting and the background of the redesign effort.

The following subjects were discussed with each site:

- **Organizational Profile:** Information on how each field office is organized, including number of users, type of users, and user location.
- **Business Functions:** Complete clearance processing life-cycle, from receipt of the QSP package to the disposition of the clearance.
- **CPCI Deficiencies:** Functionality the site felt was missing in the current CPCI.
- **Goals:** Functionality the site would like to see in the modernized PSDB.
- **Inputs:** Data inputs into the local systems, if applicable, and manual inputs into CPCI.
- **Outputs:** Data outputs from the local systems, if applicable, and outputs from CPCI used in other processes.
- **Operational Environment:** For sites with local PSDB systems, the operational environment of that local system.
- **Communications Environment:** Method each site uses to communicate with Headquarters and CPCI.
- **Computer Security:** Relevant computer security issues, such as, encryption.
- **Other Issues:** Any of the outstanding issues that the site thought to be of importance to the re-engineering of PSDB.

In the following sections the information gathered for each site is presented in outline form for each of the subjects above.

Rocky Flats

Dates of Visit: July 12-13, 1994

Organization Profile

It was determined that there are seven CPCI data entry clerks; five badge clerks who required query only access to CPCI; and one field site manager, Carianne Lutz. All these users were located on-site at Rocky Flats.

Business Functions

The following are the steps in the Rocky Flats clearance process life cycle:

1. There are three required forms before clearance processing can begin:

- Σ Justification for Clearance
- Σ Questionnaire for Sensitive Positions
- Σ Fingerprint Card

If there are any errors in these forms they are sent back to the originator for correction. These "go-backs" are tracked.

2. The completed and corrected package is then sent to OPM for investigation. If OPM discovers an error it is then sent back to Rocky Flats who would then return it to the originator, if necessary.
3. After OPM has performed the investigation the results are sent to Rocky Flats.
4. After the results are received at Rocky Flats the results are screened by a reviewer.
5. After screening is completed the package is then sent to an analyst. This analyst could be the same person as the reviewer and could be a contractor or a Fed. The analyst then reviews the case and makes a recommendation. From that recommendation the case could be granted, the individual requesting the clearance could be called in for an interview or the case could be sent to Administrative Review. The case could be reviewed by up to three different people for concurrence. The final concurrence must be by a Fed. For each step of the screen/review/action process a form is used to note when and who performed each step. This form, the Personnel Security Data Sheet, is then used by the data entry clerks as input into the clearance processing system. If the case goes into Administrative Review each step of the review is tracked on the local system, the DOE Security Clearance Tracking System (SEC) AR Tracking Form. this form will then also be used by the data entry clerks as input into the clearance processing system.
6. The clearance processing system then reports when the case is up for reinvestigation. The reinvestigation could be a full investigation or a credit check update. If it is a credit check update the cleared individuals credit history is checked to insure there is no derogatory information concerning their credit. If it is a full investigation the entire clearance process is started over.

Local System

The name of the local system is DOE Security Clearance Tracking System. The system acronym is SEC. The system is used by the security clearance processing personnel to track all security clearances of Rocky Flats employees and contractors. The following functions are performed by SEC.

- QSP (Mail) input and go-back tracking
- Request for Investigation
- Input of Reports Received
- Clearance Tracking
- Clearance Actions
 - Actions without Investigation
 - Actions following Investigation
- Clearance Information Query
- PSAP Tracking and reassignment
- Clearance Pre-Screen Tracking
- Employee Information Update
- Clearance Information Update
- Limited Access Clearance Information Query
- Administrative Review Tracking
- Deletion of Clearance Information
- On-request ad-hoc reports

CPCI Deficiencies:

- CPCI does not allow the acceptance of DOD or other agency clearances. CPCI requires investigation results before allowing a grant. When accepting a DOD or other agency clearance investigative results may not exist.
- CPCI does not allow for the update of Interview information when an interview happens, outside of the normal reinvestigation, due to special derog circumstances.
- There is no credit check due date field.
- One year reinvestigation of drug history derogs should be allowed to be changed. Allow analyst to enter when the reinvestigation should happen.
- Not able to print reports, easily, at the PC printer.
- CPCI doesn't store all histories of investigation/interview data.
- Rocky expressed a concern with the frequency of which they are dropped from CPCI. There seems to be a communications problem. This is not necessarily a problem with CPCI.

- Cannot cancel the L or the Q of a LQ clearance. Not capable of splitting the two clearances. No good way of handling downgrades.
- Not able to track multiple Letter of Interviews (LOI).
- Not able to clear a derog after a certain amount of time in which the case has been clean.
- Not enough reports available in CPCI.
- Field sites not well informed of changes to CPCI.
- HQ does not have a dedicated person to help in the day to day operations and decisions of CPCI.
- Allow the capability to swap from screen to screen for the same person.
- No report to show statistics by employer of investigation types.
- The use of codes for grant actions. Would rather use the word. (Example - the word GRANT instead of the code 1)
- They felt the facility table currently in CPCI was very confusing and hard to use.

Goals

- The reinstate policy seems to be very vague. They would like to see it standardized across all offices.
- Tighten the FOCI facility code to the employer to better assure that the code entered is the correct code for the employee.
- Allow the capability of a user friendly ad-hoc reporting.
- Allow Field Site Manager the capability to see who, what and when a record was changed.
- Allow capability for contractor to enter initial Master Data before paperwork received.
- Track budget information and create a report to show budget and counts of each investigation type.
- Create from CPCI the quarterly statistics report requested by HQ.

Inputs

The following inputs are used for SEC. Examples of these forms will be included in the "Review of Local Systems" document.

- SEC A/R Tracking Form
- Personnel Security Data Sheet (PSDS)
- Justification for Clearance
- Personnel Security Assurance Program (PSAP)

Outputs

A report from SEC is used for manual input into the Personnel Security Information Management System (PSIMS). PSIMS is part of the Rocky Flats access control system.

Operational Environment

SEC runs on a VAX 7620 with a VMS 5.4 operating system. SEC is developed in Oracle 6 and FORMS 3.0. The system is scheduled to be upgraded to Oracle 7 with FORMS 4.0. SEC also uses SQL* Report Writer, COBOL and PRO* C for reports. The acceptable response time for simple queries in SEC is two to three minutes. When refreshing a screen SEC has immediate response. SEC currently uses 50 to 60 MB of disk space. The system administrators believe SEC has 85% data accuracy, but would like to achieve as close to 100% as possible. Due to the data being tracked in SEC only a 24 to 48 hour downtime is permissible to assure the continuity of the clearance/visitor access process. SEC currently has 15 active users, which all may be accessing the system at the same time.

Communications Environment

SEC runs on a protected LAN. Users of CPCI connect through the Ethernet to the Rocky Flats mainframe modem pool which connects to the HQ mainframe. All CPCI users are located on-site at Rocky Flats.

Computer Security

The data in SEC is unclassified sensitive, subject to the Privacy Act. No data or communication lines are currently encrypted.

Other Issues

The following issues were identified during the interviews:

- How will the new PSDB connect with DISSS/ET. Will double data entry be required.
- New PSDB must be better than SEC to get Rocky Flats to abandon SEC
- The new PSDB would need better access to training than the current CPCI.
- Need all sites to use the new PSDB the same way.
- Documentation must be kept up to date.

Richland

Dates of Visit: July 26-28, 1994

Organization Profile

It was determined that there are eight CPCI data entry clerks; five DAVACS clerks who required query only access to CPCI; six badge clerks; and one field site manager, Joyce Nelson. All these users were located on-site at Richland except for five DAVACS users who were located at PNL.

Business Functions

The following are the steps in the Richland clearance process life cycle:

1. The clearance processing packet contains the following items;

- Justification for Clearance
- Questionnaire for Sensitive Positions
- Fingerprint Card
- QSP Addendum A

If there are any errors in these forms they are sent back to the originator for correction. These "go-backs" are tracked in the local system.

2. The completed and corrected package is then sent to OPM for investigation. If OPM discovers an error it is then sent back to Richland who would then return it to the originator, if necessary.
3. After OPM has performed the investigation the results are sent to Richland.
4. The OPM results are screened by a contractor or federal employee.
5. After screening is completed the package is then sent to an analyst. The analyst then reviews the case and makes a recommendation. Based on the recommendation the clearance could be granted, denied, or sent to Administrative Review.
6. The local clearance processing system reports when the case is up for reinvestigation. A full reinvestigations can happen 1 to 5 years after a grant action. A limited reinvestigation, such as a credit check, can occur 1 to 2 years after a grant action. If it is a full investigation the entire clearance process is started over.

Local System

The name of the local system is DOE Personnel Security System. The system acronym is SEC. The SEC is used by the security clearance processing personnel to track all security clearances of Richland employees and contractors. The following are highlighted functions performed by SEC:

- QSP/Mail Logging
- Request for Investigation
- Input of Reports Received
- Clearance Actions

- Actions without Investigation
- Actions following Investigation
- Clearance Termination
- Downgrade Q to L
- Special Access Input
- Pre-processing Tracking
- Clearance Tracking
- Administrative Review Tracking
- Interview Information Tracking
- Interrogatory/Other Letter Tracking
- Employee Information Update
- Clearance Information Update
- PSF/QSP/Fingerprint "Go-backs"
- Leave of Absence Tracking
- Specific Contractor Access Menus
- Suitability Processing
- On-request ad-hoc reports
- Visit Control Processing
- Hanford Environmental Health Facility/Employee Assistance Program (HEHF/EAPRO) Tracking
- Personnel Security Clearance Record (PSCR) Badge Issuance (future)
- Personnel Security Assurance Plan (PSAP) Tracking (future)

CPCI Deficiencies:

- No access to CPCI for contractors. Contractors should be allowed query access to Screen 13 and some update capabilities.
- Communications Link - Link to CPCI sometimes is very difficult or sometimes you get kicked off the machine.
- No allowance for contractors to perform extensions or updates.
- Not able to track or be informed about clearances from DoD. Currently must go through DIS.
- No field to track box number or building number for actual file location. To whom and the reason the file is out are not tracked.
- No way to track suitability.
- No budget reporting.
- No special update tracking.
- No PSAP tracking. Can tell a person is PSAP only after approval.
- Can't downgrade both active and pending clearances.

- Derogatory codes are not able to be changed if resolved during reinvestigation.
- Required to enter both code and description for occupation. Should have description automatically fill in when code is entered.
- Facility listing does not have approval number of contract number to tie the correct facility code to the person. For multiple like facilities how do you know which is the code to use.
- Field sites should have better access to A/R tracking.
- A/R tracking needs to be improved. More fields need to be added.
- Can't track multiple LOI's or interviews.
- No EAPRO tracking.
- No PSAP Tracking
- No derogatory code ratings.
- No linking of clearance to training required.
- No centralized clearance processing group. All sites have separate contractors doing the process differently.

Goals

- Process should be standardized.
- Forms should be standardized.
- Policies and procedures for use not enforced the same everywhere. (e.g. only an 'L' is needed for CAT at Richland, but other sites still require a 'Q'. So if Richland issues an 'L' that person would not get access at a 'Q' site.)
- EAPRO tracking- When an EAPRO person transfers to another site the EAPRO should be transferred with them. Need field to track this.
- Need a voting body or procedure to get a consensus for changes to CPCI.
- Persons requesting a clearance should be given an estimate of how long the process will take. (CPCI statistics could assist in estimates).
- Request clearance justification before reinvestigation to insure the level of clearance is still required.
- Would like to see an automated interview scheduler to schedule/approve/complete interviews.
- Automate request for Sigma's, similar to the automation of the clearance request.

Inputs

The following inputs are used for SEC.

- Pre-employment Investigation (Contractors)
- Security Acknowledgment
- Justification for Clearance
- OFI 36

- QSP
- Fingerprint Cards
- QSP Addendum A, Part II Letter

In the future they will link with the People Core system, an on-line employee information system, to retrieve up-to-date employee information.

Outputs

The badge office personnel checks the Action Notification Screen for recently granted clearances. This information is entered into the PSCR badge system to generate an employee badge.

The Personnel Security File Tracking System (PSFT) is a bar code system that tracks the location of security files. A nightly download of file location data is sent to PSFT.

Operational Environment

SEC runs IBM 390/J running a ESA operating system. SEC is developed in DB/2 utilizing COBOL and uses Gener/OL as its screen generator. For ad-hoc reporting SEC uses Platinum Report Facility (PRF). The acceptable response time for simple queries in SEC is one minute and for more complex queries the acceptable response time is three to four minutes. SEC currently uses approximately 60 MB of disk space. The system administrators believe SEC has 95% to 99% data accuracy. Due to the data being tracked in SEC only a 48 to 96 hour downtime is permissible to assure the continuity of the clearance/visitor access process. SEC currently has approximately 60 users with no more than five or six accessing the system concurrently.

Communications Environment

SEC runs on a ethernet network using PCTERM emulating a VT100. Their CPCI connection is a TVI950 emulation through a SNA line to Idaho Falls and then through to the HQ mainframe. CPCI users are located on-site at the Federal Building, PNL, and the Hanford 300 area site. Contractors make up a small percentage of the SEC transactions. Most transactions are from users at the Federal Building.

Computer Security

The data in SEC is unclassified sensitive, subject to the Privacy Act. Although user passwords are scrambled in a password table, no data or communication lines are currently encrypted. Anita Farrell is the Richland system application administrator, she must approve all account request.

Other Issues

The following issues were identified during the interviews:

- Flexibility of changes to CPCI. How easy will it be to get changes made to CPCI.
- New PSDB must be better than SEC to get Richland to abandon SEC.
- The new PSDB would need better training than the current CPCI.
- Need all sites to be consistent in the way the new PSDB and the clearance process works.

- HQ should not be the system administrator. There should be a governing body to administer the system.
- Up-to-date documentation must be provided.

Richland expressed a major concern over the lack of consistency between the offices in how CPCI is used and how the clearance process is performed as a whole. They performed an in-depth review of their clearance process and developed a document which outlines how the clearance process "should be done". They thought it would be very beneficial if all the offices could come together and perform that same task. This they felt would help in establishing consistencies between offices.

Las Vegas

Dates of Visit: August 22-23, 1994

Organization Profile

From discussion it was determined that there are six CPCI data entry clerks and a possible 11 DOE entry people in the future, due to DISS/ET. All these users were located on-site at Las Vegas and used the system on a daily basis. Robin Roby is the field site manager for CPCI.

Business Functions

The following are the steps in the Las Vegas clearance process life cycle:

1. The clearance processing packet contains the following parts:
 - Justification for Clearance
 - Questionnaire for Sensitive Positions
 - Security Acknowledgment Form
 - File Summary Sheet (for initial processing only)
 - Form NV-232 (to include DOE Acquisition Request Statement (DEARS) if applicable)
 - Fingerprint Cards.

Additional forms may be requested including:

- Pre-Employment Verification
- DD-214 (Statement of Military Service)
- Foreign Background Statement
- Certification of Citizenship (naturalized)
- Data Report on Spouse
- OFI-36 (Foreign Family).

If there are any inaccuracies in the forms the forms are sent to the requester (i.e. contractor) for corrections. If the forms are incomplete the applicant is contacted. When errors are detected in these forms they are sent back to the originator for correction. These "go-backs" are tracked in the local system.

2. When the package has been verified correct, the "QSP Agency Use Part 1" is completed and the package is forwarded to the DOE Team Leader. At this time the QSP is entered into the local automated system.
3. The DOE Team Leader then signs the Justification Form and returns the package to the clearance processing group.
4. The completed and corrected package is then sent to OPM for investigation. If OPM discovers an error it is then sent back to Las Vegas who would then return it to the originator, if necessary.
5. After OPM has performed the investigation the results are sent to Las Vegas.
6. After the results are received at Las Vegas the results are filed in the applicants Personnel Security File.

7. If the results are incomplete the file is held until the outstanding reports are received. Possible reasons for the reports being incomplete is because all forms and checks have not yet been received, such as, the Fingerprint Check, Name Check. Once the results are complete the case is screened by a reviewer to insure that all parts of the package are complete. The OPM report codes are tallied by type onto a "Bingo Sheet", this is to assist the analyst in setting priorities for reviewing a file.
8. After screening is completed the package is then sent to an analyst. The analyst then reviews the case and makes a recommendation. The case could then be sent to a second reviewer for there recommendation. If both reviewers agree, that recommendation will be submitted to a DOE for approval. If the reviewers disagree the case is sent to the branch chief for adjudication. During the adjudication process an Adjudication Tracking Form is updated to show who, what and when actions have been performed on the case. This form is then used to manually track the adjudication process.
9. After the case is adjudicated, the Adjudication Tracking Form data is entered into the Nevada Automated Badge System (NABS) and into CPCI.
10. The clearance processing system then reports when the case is up for reinvestigation. The reinvestigation could be a full investigation or a credit check update. If it is a credit check update the cleared individuals credit history is checked to insure there is no derogatory information concerning their credit. If it is a full investigation the entire clearance process is started over.

Local System

The name of the local system is Nevada Automated Badge System (NABS). The system is used by the security clearance processing personnel to track all security clearances of Las Vegas employees and contractors. The badge system also uses the system to issue and track badges at the site. The NABS system stores the active clearance records in a separate database from the inactive clearances. The following functions are performed by NABS.

- **Clearance Processing**

Clearance processing is broken into two screens, Search and Processing. Each clearance record is categorized as Active, Inactive, Old or New. The clearance process tracks the following data:

- Request for Information data
- Reports received
- Reinvestigation continued data
- Clearance status, type and date
- Derogatory codes
- Leave of Absence
- Special Access
- Termination Dates - by clearance office and employer
- Transfer

From these different screens the following functions can be performed:

- Save
- Delete

- Initiate Clearance
- See History information
- **Tracking Screen**
 From the Tracking Screen all the interviews, clearance reviews and other Adjudicative data can be tracked. The following data is tracked in the Tracking Screen:
 - Letter of Interrogatory
 - Interviews
 - Case reviewing - First and Second Reviewers
 - Drug Certificates
 - Psych Evaluation
 - A/R Authorization
 - Hearing dates and recommendations
- **History Processing**
 The History Processing screen is accessed through the "Active Clearance" screen. This screen is used to see all history information about a individuals clearances.
- **Background Screen**
 The Background Screen is used to show a history of investigation types and continuation dates, as well as, the reports received information.

CPCI Deficiencies:

- Not enough report options, ad-hoc or canned menu reports.
- **Communications Link** - Link to CPCI sometimes is very difficult or sometimes you get kicked off the machine.
- No field to enter miscellaneous comments about a clearance.
- No swapping from screen to screen without having to go back to the main menu.
- No clearance history information.
- No way to easily perform searches on the same record/person when going from screen to screen. (Las Vegas has set up a key to re-establish the query for the person being processed when going from screen to screen. This eliminates the need to re-enter the name, DOE Number or SSN.)
- On terminate there is no way to notify user if the file needs to be transferred.

Goals

- Be able to concatenate multiple reports and then download all reports as one file to the PC.
- Have CPCI perform budget functions and run reports required by HQ.
- Better training and documentation. (not just Answer/DB).

- Store OPM issue codes from the investigation. Would be nice to store the count of each issue code. This could then be used to assist the adjudicator during screening to understand what level of derogatory exists for the case.
- For temporary consultants, they would like to see an annual report showing who needs to be re-certified. Would also like to see the fields, program and requesting official, added to help in the temporary consultant re-certification process.

Inputs

The NABS system does not receive any data from outside systems.

Outputs

A termination report is generated from NABS which is then used by the badge office.

Operational Environment

NABS runs on a dedicated VAX 6210 with a VMS 5.5 operating system. NABS is developed in INGRIS 6.4.0.1. NABS also uses RBF (Report by Form) and QBF (Query by Form) for reporting purposes. For all reports NABS users have the option of having the report run immediately or submitted for overnight run. Overnight submission is recommended due to the limits of the VAX environment. The location of the printouts can be local or in the computer room facility. NABS processes approximately 600+ transactions a month. The system administrators believe NABS has 99% data accuracy. Due to the data being tracked in NABS only a 24 to 48 hour downtime is permissible to assure the continuity of the clearance/visitor access process. NABS currently has a maximum of 60 active users, but is limited to 14 users logged on at the same time. When the system has over 15 users logged on at the same time it tends to decrease system response time.

Las Vegas Communications Environment

Users of CPCI connect to the HQ mainframe through dial-up modems pool at a 2400 baud rate. A new LAN with a dial-up modem pool will increase the baud rate to 9600. All CPCI users are located on-site at Las Vegas.

Computer Security

The data in NABS is unclassified sensitive, subject to the Privacy Act. No data or communication lines are currently encrypted but users have to use a SECURE-ID card (passwords are changed every minute) for access to the computer system.

Other Issues

The following issues were identified during the interviews:

- The new PSDB would need better training than the current CPCI.

Savannah River

Dates of Visit: July 12-13, 1994

Savannah River Organization Profile

Savannah River has 22 clerks that have read/write capability in CPCI for data processing. Three to four DOE personnel have query only access to CPCI. There are 2 to 3 contract programmers who also have access to the system.

Other contractors who have access to the local clearance system include:

- Wackenhut - 2-3
- Bechtel - 4
- Westinghouse - 8.

Business Functions

The following are the steps in the Savannah River clearance process:

1. A clearance package is sent to a prospective employee, the package consists of :
 - Σ Justification
 - Σ QSP
 - Σ Security Acknowledgment
 - Σ Fingerprint Card
 - Σ OFI-36, if necessary

All justifications are approved by the personnel security chief Ron Bartholomew. If there are any errors or the justification is denied the package is returned, this is considered a 'go-back'.

2. When the completed forms have been reviewed for correctness, the local system prints a QSP Part 1 label that is attached to the QSP form. Completed packages are sent to OPM and a investigation is initiated. If there are any errors that are discovered by OPM the package is returned.
3. The completed investigation report is received from OPM, separated by investigation type, and sent to a case researcher to screen the case. The case researcher enters the reviewed information on a Form 70. Also at this time the results received dates and the "reason pending" are entered into the local system.
4. The case is then sent to a DOE reviewer for judgment. The judgment is manually tracked with a Form 70.
5. The case is returned to the processors and the Form 70 data is entered into an Electronic Form 70 on the local system and CPCI.
6. Grant dates are entered and grant letters are generated, one for the file and another for the contractor.
7. If the case enters A/R, Psych, or the applicant is called for an interview, the data associated with that process is tracked and entered, by a data entry person, into the local system.

Local System

The name of the local system is Personnel Security Clearance System (PSB) The system is used by the security clearance processing personnel to track all security clearances of Savannah River employees and contractors. The following functions are performed by PSB.

- **Input** - The investigation process of the Input Screen is broken into two processes; initial and secondary requests. There are three screens which allow input about the applicant or the request. After entering the data on the third screen the user is automatically returned to screen 1 to allow the user to process the next applicant. This helps reduce the processing time by not forcing the user to screen navigate. There is also a File Maintenance option on the Input Screen.
- **Reports** - PSB has many canned reports. It also uses an ad-hoc query tool to run reports or queries.
- **Mailbox** - shows list of grants for the day. That list is cross-referenced against the printed grant letters to insure all letters were printed.
- **Delete** - Used to delete the clearance information.
- **Pull Back** - Used to restore from the history data, a previously terminated clearance.
- **Red-badge** - A list of "cause" termination's. This list is referenced before a clearance request is submitted for a contractor. If an applicant is on the list they are either denied their employment request or called in to explain the termination.
- **Form 70** - Input screen of the data elements listed on the Form 70.
- **A/R Tracking** - Used to track the dates of the Administrative Review process.
- **Hunt List** - Used to alert reviewers and analysts of missing and/or needed Personnel Security Files.
- **EAPRO** - Used to track the Employee Assistance Program data elements and process.

CPCI Deficiencies:

- Does not pre-print the Part I labels of the QSP.
- No "Why Pending" field.
- No Special Update capability
- Not able to print grant letters.
- No PSAP tracking
- No EAPRO tracking
- Need better A/R tracking
- No "Red-badge"
- No audit trail of the history of changes to the CPCI data
- Does not allow the upgrade from 'L' to 'Q' after a downgrade from 'Q' to 'L'
- No special termination action for the upgraded or downgraded from clearance
- Screen 13 very confusing with the new format

- No screen swapping
- History Restore does not allow a restoration of a clearance if the restoration office is different from the terminated office
- Does not allow the granting of a 'Q' clearance to a person who had a 'L' that was terminated
- No annual clearance justification fields

Goals

- New reports:
 - By employee, who is scheduled for an interview
 - By employee, who is in Administrative Review
- More authority to contractors
- Immediate response to badge systems when clearance is granted or terminated
- Create method to upload data into CPCI from the local system
- Better ad-hoc reporting
- Better Administrative Review tracking
- Way to show on the query screen that a person is in Administrative Review
- Print capability at the attached or local printer
- Capability to change a derogatory code on a reinvestigation. Derogatory code should be attached to a clearance not the person.
- Screen swapping
- Query screen should show all clearance history.

Inputs

Westinghouse has the capability of initiating an initial QSP request via the local system.

Outputs

Updated clearance information is sent every 5 minutes or on request to the PAES (Personnel Access Enrollment System). This system is a VAX running a LU6.16 software in a CICS session. In the event the communications to the badge system is disconnected there is back up data used by the badge system.

There is also output of Employee Assistance Program (EAPRO) data.

Operational Environment

The local clearance system resides on an IBM/3090 with a MVS operating system. Natural is the language used to develop the application via the CICS session. ADABase is used as the database software. All queries are done in Natural with ad-hoc reporting done in Super Natural. All reports and queries are batch, there has been no request for on-line query or reports.

The IBM system is used by other large processes such as, payroll and purchasing. The system handles approximately 300 transactions a day and can handle all users concurrently without any noticeable effect on resources.

Savannah River has a site wide disaster recovery plan which covers the clearance system. The maximum downtime estimated is approximately one day.
95 to 98% is the believed data accuracy of the local clearance system.

Communications Environment

The local system runs on a SNA network. Communication to CPCI is via a direct SNA network connection to DOE/HQ. Ethernet connections are possible through a VAX using DEC All-in-1 office tools. All users are located on-site at Savannah River. The majority of the transactions processed come from the 22 SAIC processors.

Computer Security

The data in PSB is unclassified sensitive, subject to the Privacy Act. No data or communication lines are currently encrypted. Janet Babb is the system administrator.

Other Issues

No additional issues were noted.

Oak Ridge

Dates of Visit: September 13-14, 1994

Organization Profile

From discussion it was determined that there are nine CPCI data entry clerks, two visitor control clerks, 5 analysts, and an emergency operations control clerk. All these users were located on-site at the Oak Ridge Federal Building. Some contractors have query only access to CPCI. Most users use the system on a daily basis. Nancy Bowers is the field site manager for CPCI.

Business Functions

The following are the steps in the Oak Ridge clearance process life cycle. During the process analysts have access to a limited number of screens in the local system to enter the data from their part of the process. Also the file is tracked at all times during the process by the local system.

1. The clearance processing packet contains the following parts:

- Σ Justification for Clearance
- Σ Questionnaire for Sensitive Positions
- Σ Fingerprint Card
- Σ Pre-Employment Verification
- Σ File Summary Sheet (for initial processing only).

If there are any inaccuracies in the forms the forms are sent to the requester for corrections. If the forms are incomplete the applicant is contacted. When errors are detected in these forms they are sent back to the originator for correction. These "go-backs" are tracked.

2. When the package is complete it is logged into the computer system mail option.
3. An analyst is then assigned to the case. Each Oak Ridge site, K-25; Y-12; X-10; ORNL, has an assigned analyst for their site.
4. The analyst then reviews the justification. If the justification is determined to not be valid, the form and reason for denial is logged into the mail system. If the justification is valid the package is sent to the clearance processing group.
5. The clearance processing group then verifies if an active clearance already exists, screens the package for validity and completeness. When the package is ready for shipment to OPM, the reviewer fills out the Part I of the QSP and sends the package to OPM. If there are any errors in the package, the reviewer returns the package to the requester.
6. At the time the package is sent to OPM the date is also entered into the computer system.
7. When the results are received back from OPM the Personnel Security Branch opens the report and sends it to the clearance processing group which enters the reports received date and OPM Case Number into the computer system, and assigns the case to a reviewer.
8. The reviewer reviews the case and makes a recommendation. A second reviewer may also review the case and make a recommendation. The case then goes to a DOE representative for approval.

9. After the approval, a signed grant action is sent back to the clearance processing group. The clearance processing group then sends a grant letter to the requester and a copy of the letter is placed in the File.
10. The clearance processing system then reports when the case is up for reinvestigation. The reinvestigation could be a full investigation or a credit check update. If it is a credit check update the cleared individuals credit history is checked to insure there is no derogatory information concerning their credit. If it is a full investigation the entire clearance process is started over.

Local System

The name of the local system is Safeguards and Security System (SAS). The system is used by the security clearance processing personnel to track all security clearances of Oak Ridge employees and contractors. The following functions are performed by SAS.

- Investigation Request- Option to process the initial and subsequent investigations.
- File Transfer - Tracks when and where the PSF has been transferred.
- Investigation Reports - Used to track the results data from the investigation.
- Clearance Actions - Used to perform clearance actions. Derogatory and Country/Relative codes may be updated from this option.
- Subsequent Clearance Actions - Used to process subsequent clearance actions of 1,2,4,5,6,7,8 or D.
- Change Record - Used to modify a persons clearance and/or personnel data.
- Name/Number Change - Allows the change of the DOE Number and Name.
- Administrative Reviews - Used to track the Administrative Review process.
- Fingerprint Retakes - Tracks the date and count of fingerprint retakes.
- Interview Cases - Used to process interview/adjudication information.
- Local Extensions - Tracks clearance extensions to the Oak Ridge area offices (X-10, K-25, Y-12).
- Notification Letters - Used to print grant notification letters.
- Police Checks - Used to print letters and check addresses of the police departments performing police checks for the investigation.
- Remarks - Used to track the suspension of clearances.
- Associates - Used to track associates and any derogatory information about that associate of the subject of the clearance process.
- Bar-codes - Used to quickly process the PSF by DOE Number.
- Mail Log - Used to track incoming and outgoing mail.
- System Security - Used to control screen level access to SAS.
- File Tracking - Logs the PSF in and out. Also shows a history of where the file has been. This is used for only in-house tracking.
- Destruction Tracking - Tracks the destruction of old terminated files.

- **Query** - Used to query the database. Results can be received either printed out or viewed on-line.
- **Reports** - Many canned reports accessible through a menu.
- **Search** - Allows searching of records by DOE Number, Name or SSN. These fields may be entered partially or in full.
- **Select** - Displays all information about the person/clearance selected.

CPCI Deficiencies:

- Not enough report options.
- Not being allowed to process extensions when the PSF is not yours.
- Screen 13. New format is very confusing. Do not like toggling.
- Does not track former/maiden names.
- No on-line help window of valid data entry values. Would also like to see the capability to point and shoot from a help window.
- Printed reports are not easily printed.
- Can't print Tables values.

Goals

- Better communication between sites. Possibly more dedicated site managers.
- Would like to see some option that shows the status of a report that is running.
- Verification and retrieval from help windows.
- Police Checks and letters like in SAS.
- Better reports capabilities.

Inputs

The SAS system does not receive any data from outside systems.

Outputs

- **Document Accountability System** - An electronic feed is sent to this system.
- **Martin Marietta Badge System** - A tape is sent once a week of terminated badges. They use this for the purpose of updating their badge readers.

Operational Environment

SAS runs on a VAX 6420 with a VMS 5.5.2 operating system. SAS is developed in ALL-IN-ONE using DATATRIEVE for reporting and query purposes. Acceptable response time for a

simple query is three minutes and 10 to 15 minutes for a complex query. Screen refreshing takes one to two seconds. SAS processes approximately 600+ transactions a month and uses 120 megabytes of disk space for data, source and miscellaneous files. Nancy believes SAS has 95% data accuracy. Due to the data being tracked in SAS only a 24 to 48 hour downtime is permissible to assure the continuity of the clearance/visitor access process. SAS currently has 17 to 20 active users, but usually will only have about 10 users logged on at the same time.

Communications Environment

Users of CPCI connect to the HQ mainframe through dial-up modems that are connected to the OR Network, utilizing Pathworks, on DECNET. There is one user off-site at Oak Ridge residing at the K-25 site. Only nine of the users are the main portion of the daily transactions in SAS.

Computer Security

The data in SAS is unclassified sensitive, subject to the Privacy Act. No data or communication lines are currently encrypted. Nancy Bowers is the system administrator.

Other Issues

There was a concern on the future of the User Conference. Nancy felt the conference was very important in trying to improve the communication of the sites and definitely wants to see it continue annually if not semi-annually.

Oakland

Date of Visit: September 22, 1994

Organization Profile

It was determined that there are six support personnel and ten Personnel Security Specialist who have access to the local system. Of that 16 only six have access to CPCI. All of the users are located at the Livermore site. Jessie Monroe is the local site manager.

Business Functions

The following are the steps in the Oakland clearance process life cycle:

1. Packages are received from applicant or contractor requesting a clearance. The packages consist of :
 - QSP
 - Security Acknowledgment
 - Fingerprint
 - OPM OFI-36
 - Foreign Relatives Form 58
 - Justification (Letters, Forms)
 - Cover Letter
 - File Summary Sheet
2. The package is then reviewed for completeness and errors. If there is a problem with the package it is returned to the applicant or contractor.
3. The package is assigned a case number and entered into the local system.
4. The package is sent to OPM and an investigation is initiated. If any errors are found by OPM the case is returned to Oakland.
5. When the report is returned to Oakland the report completed date is recorded into the local system.
6. The case is sent to a reviewer for review. Since all of Oakland's reviewers are senior DOE analyst the cases are reviewed once. A second review is done in special cases. The date the case was screened is recorded into the local system.
7. If an A/R is required the case is sent to an administrator and that date is recorded. If an interview is required, interview notifications are generated and sent out. The date of the interview notification was sent out is recorded in the local system.
8. The clearance is granted (or denied) and the grant date is entered into the system. The system then generates the grant letter to be sent out. The systems reports when a re-investigation is due, either a full or special update.

Local System

The name assigned to the local system is Safeguard and Security system (SS). The system is used by the personnel security department to track the clearance procedure. SS is formatted in transaction types. The screens in SS have a reviewer ID at the top of the screen. This ID shows to which analyst the case has been assigned. The following functions are performed by SS.

- **Administrative Review** - Dates in the order each step of the administrative review process is performed.
- **Clearance Information** - Query screen to view clearance data.
- **Clearance Delete** - Screen to delete clearance information.
- **Request for Investigation** - Initiates the clearance request. The fields; Submit to Agency, From Contractor, Justification Received, Supplemental Investigation (used for upgrades), Submitted Initials and six occurrences of Extra Coverage.
- **DOCS File Checkout** - Used to scan in and internally track the PSF.
- **Date Briefing** - Tracks the clearance briefings.
- **Investigative Results** - Tracks the results of the investigation.
- **Clearance Actions** - Used to perform the clearance grant actions.
- **Extensions** - Used to track extensions.
- **Name/Location/DOE Number Change** - Used to change the name, location or DOE Number.
- **Adjudication** - Tracks adjudicative information. Also a "Why Pending" field is entered here to explain why the clearance is still pending.
- **Prints Grant/Downgrade Letters**

SS information is entered onto a Clearance Activity Report (CAR) by the analyst which is then used by the data entry clerks as input into SS.

CPCI Deficiencies:

- **Communications problems with CPCI.** Logging on and remaining connected do not seem consistent.
- **The current CPCI does not have enough fields to track the clearance process.**
- **Reporting capability is insufficient.** Use of Answer DB is difficult.
- **Lack of local printing capability.**
- **Notification of program changes are not done in a timely fashion.**
- **With no batch there will be double data entry.**
- **A/R process needs more fields.**

Goals

- A working system
- Ease of use, graphical user Interface (GUI), with on line help
- A system with reliable communications
- A link with the badge system.

Inputs

There are no systems that input data into the local clearance system.

Outputs

The local system does not feed information to any other system.

Operational Environment

The SS system is run on a Hewlett Packard 3000 mainframe computer located in the Oakland, California offices. The Oakland office processes approximately 75 to 100 clearances a day. They hold 14 to 15 thousand clearances.

The system administrators believe SS has 95% data accuracy. A maximum downtime of 3 to 5 days is all that can be handled before clearance operations are affected.

Communications Environment

The users connect several ways; a direct connection to the HP 3000 or via a Macintosh computer running Reflections 3.62.

Computer Security

The data in SS is unclassified sensitive, subject to the Privacy Act. No data or communication lines are currently encrypted.

Other Issues

None were noted.

DOE Headquarters

Dates of Visit: October 18-19, 1994

Organizational Profile

From discussion it was determined that there are approximately 60 users with access to CPCI. The users are located at DOE HQ and Forrestal. At Headquarters there are four Defense Programs(DP) users, five users from NN512.2, seventeen users from NN514.3, three users from EH-43, one Safeguards and Security Information Management System(SSIMS) user and twenty-five guards with access to CPCI. At Forrestal there is eight CPCI users. Jack Harley is the field site manager for CPCI. Butch Lyles, April Stottler and Geralyn Praskiewicz are the CPCI system owners, these people have the capabilities to update any record in CPCI, regardless of the PSF Location or Clearance Office.

Business Functions

The following are the steps in the Headquarters clearance process life cycle. Each step of the process is tracked in CPCI.

1. The clearance processing packet contains the following parts:

- Σ Request for Clearance (FIPS 5631.2)
- Σ Security Acknowledgment
- Σ Form 171 (Fed.'s only), OFI-36 (if applicable)
- Σ Questionnaire for Sensitive Positions
- Σ Fingerprint Card

If there are any inaccuracies in the forms the forms are sent to the requester for corrections. If the forms are incomplete the applicant is contacted. When errors are detected in these forms they are sent back to the originator for correction. These "go-backs" are tracked.

2. When package is complete the justification is approved by one of three DOE employee's.
3. After the packet is assigned a DOE Number it is tracked manually in a log book. The log book tracks the package from approval to OPM submittal.
4. The package is then pre-screened and shipped to OPM.
5. When package is received from OPM the case report is screened for issues. If issues exist, the case is assigned top priority and given to an analyst. Otherwise case is processed normally.
6. The analyst reviews the case and makes a recommendation. Contractors may make recommendations but only a DOE employee may approve grant actions. A second tier analyst will review the recommendation (always a DOE employee). If the second tier analyst concurs, the case is granted. If the second tier analyst does not concur, the case goes to a third tier analyst for the final decision on the case.
7. The case is filed until reinvestigation is due. A special update request is not tracked in CPCI, it is tracked by a separate database system.
8. If case goes to Administrative Review it is tracked by a separate database system, it is not tracked in CPCI.

Local System

CPCI

CPCI Deficiencies:

The following is a list of deficiencies that were identified by Headquarters Staff with CPCI. Most of the deficiencies identified came from the annual User's Conference List:

- No history of interviews and investigations.
- Not enough A/R information.
- Need easier ad-hoc reporting tool and the capability to print at attached printer easier.
- No screen swapping.
- No partial name search.
- Not able to track multiple LOI's.
- No "Why Pending" field.
- No clearance comments field.
- No second or third reviewer initials.
- No credit check due and conducted dates.
- No special update tracking.
- No Leave of Absence tracking.
- No grant/LOI letter printing.
- No recipient responded date.
- No employer termination date.
- No supplemental clearance processing.
- Clearance needs to be tied to A/R screen.
- Occupation description should not have to be typed in after the code is entered.

Goals

- Bar code interface.
- Add remarks field to A/R process.
- File transfer tracking.
- File Box Number tracking (terminated files only).
- Special Access Grant and Term Dates, and PSF to HQ Date.
- New field "Reviewed by Consultant Psychiatrist" Date.

- Add Clearance Action and Investigation Type for situation where clearance is terminated before investigation.
- Report of terminated facilities.
- Link with badge system.
- EAPRO tracking.
- Incorporate separate A/R tracking system into CPCI.
- AAAP (Accelerated Access Authorization Program) tracking
- Reciprocity tracking

Inputs

- There is a manual input from the SSIMS system into CPCI (facility code).
- There is a PAY/PERS Interface File feed into CPCI to track employment status.

Outputs

- There is a file created that is passed to PAY/PERS to be used in the Drug Free Workplace Program.
- Headquarters Badge System.
- Classified Visitor Control System (CVCS).

Operational Environment

CPCI runs on a IBM ES9000 with an MVS operating system utilizing TSO. CPCI is written in IBM VS COBOL II, IBM JCL, and CICS v3.2.1. Answer/DB is used for producing queries and reports. One to three minutes is the acceptable time for a complex query, five to ten minutes for a complex query. Currently CPCI HQ processes approximately 200 transactions a day and has approximately 11,000 active clearances. The CPCI users feel CPCI HQ records have a 95% data accuracy rate. They also feel a 24 hour downtime would be acceptable until the clearance process would be adversely affected. Currently there are a maximum of approximately 60 CPCI users at HQ with no more than 30 users accessing CPCI at a time.

Communications Environment

Users of CPCI connect to the HQ mainframe Data Path Units (DPU). There is one modem dial-up user. Most transactions described above are processed by NN-514.3.

Computer Security

The data in CPCI is unclassified sensitive, subject to the Privacy Act. No data or communication lines are currently encrypted. April Stottler is the system administrator.

Other Issues

- Why are Special Access Codes stored in CPCI, especially SCI. CPCI should not be used to verify weapons data access. The belief is that CPCI is being used to approve weapons data access.
- Currently only 250-500 clearances of the 155,000 active DOE clearances in CPCI are in Administrative Review. But there is a major number of fields that need to be tracked. It is very important to track the information and the data is very "high profile". Definitely need a larger Administrative Review processing module in CPCI.
- Special Access and SCI fields should not be kept since DOE/HQ neither grants or deletes these clearances.

Schenectady Naval Reactors

Date of Visit: October 21, 1994

Organization Profile

CPCI is the only automated system in use to track the clearance process at SNR. There are currently four CPCI users on site. All users have read/write capability. Anne Hainon is the field site manager for CPCI.

Business Functions

The following are the steps in the SNR clearance process life cycle:

1. A clearance package is submitted by the contractor. The package contains the following :
 - QSP
 - SF-86
 - Fingerprint Card
 - File Summary sheet (justification)
 - Master Card
 - Company Card

The contractor is given a block of DOE numbers to use and keep track of. The contractor assigns a DOE number to the package before it is submitted.

2. The package is assigned an analyst based on the last digit of the DOE number. The assigned analyst handle the case from start to finish. The package is screened for errors. The clearance justification is approved and the initial data is entered into CPCI.
3. The package is sent to OPM and an investigation is initiated. The results are sent back to SNR.
4. The investigation report is received by SNR and the date information is entered into CPCI.
5. On a clear case the analyst can approve the clearance. For cases with derogatory information the analyst makes a recommendation and the case is sent to the branch chief for concurrence. If an interview is required the analyst performs the interview and makes a recommendation.
6. A stamped copy of the file summary sheet is sent to the contractor as notification of clearance approval.

Local System

None.

CPCI Deficiencies:

- Printing Capabilities
- Reporting Capabilities
- The ability to screen swap

- Reliable communications
- No mass update of sub-contractor codes
- Cannot update adjudication information from other sources before an investigation
- The steps in the clearance process through CPCI is very time consuming
- Update of derogatory information after an investigation
- Table browsing screen is hard to understand and use
- Unable to indicate acceptance of a DOD investigation and clearance
- Screen 10 Clearance Continuation Date problems

Goals

- Budget Reporting capability
- A tickle system for re-investigation notification
- Secure and reliable communications

Inputs

Not applicable.

Outputs

Not applicable.

Operational Environment

SNR holds approximately 7000 active clearances. They process on average a 100 CPCI transactions a day with an estimated 95% data accuracy. The clearance personnel believe they can tolerate a 24 to 48 hour downtime of CPCI before clearance operations are severely affected.

Communications Environment

SNR has two simultaneous CPCI terminals. The terminal hardware consist of an IBM/286 with internal modems running at 9600 and 2400 baud. The terminal emulation program used is Relay Gold. There currently is no unclassified LAN system at this site.

Computer Security

Not applicable.

Other Issues

None noted.

Pittsburgh Naval Reactor

Date of Visit: October 24, 1994

Organization Profile

CPCI is the only automated system used to track the clearance process. PNR currently has two on site users of the CPCI system, both users are part-time employees. PNR handles clearances for four prime contractors in addition to DOE and DOD clearances. One contractor also has query capability into the CPCI database.

Business Functions

The clearance process at PNR consist of the following steps:

1. A clearance package is submitted to the clearance office. The package contains:
 - QSP
 - Fingerprint Card
 - Request Form (one of four depending on the contractor)
2. The package is screened first by the contractor then by the clearance personnel for any errors. Part 1 of the QSP is filled out and an analyst is assigned the file based on the last digit of the DOE number. The assigned analyst handles the case from start to finish. The initial data is entered into CPCI.
3. The file is sent to OPM
4. When the OPM report is received the receive date is entered into CPCI
5. All the analyst are DOE employees and can grant clearances on clean cases. If derog information exist then the analyst will make a recommendation and seek a second review.
6. A clearance action is taken and the information is entered into CPCI. CPCI Screen 5 is printed and given to the contractor as notification of clearance action.

Local System

None.

CPCI Deficiencies:

- Reliable communications
- Error handling
- Reporting Capabilities
- Printing Capabilities
- Record updating capability

Goals

- The ability to retrieve all clearance records beyond the ten year limit
- Electronic transfer of clearance records
- Pending interview log

Inputs

Not applicable.

Outputs

Not applicable.

Operational Environment

PNR currently holds approximately 10,000 active clearances. It processes about 125 CPCI transactions a day with an data accuracy of 95% (PNR recently completed a file review). A maximum of two days of downtime can be tolerated before operations are severely impacted.

Communications Environment

A single Compaq/286 serves as the CPCI terminal station. Communications is via a Hayes 2400 baud modem with a PC-Term emulation package.

Computer Security

All networks are on a classified LAN. There is no unclassified LAN system at this location.

Other Issues

Expenditures for equipment for modernized PSDB.

Idaho

Date of Visit: November 16, 1994

Organization Profile

The INEL offices has a total of 35 CPCI users, most with query capability only. Of the 35 users 12 have read/write authorization. Most of the users are contractors; 2 are DOE/ID employees.

Business Functions

The following are the major steps to process a clearance at Idaho :

1. Contractor screens the package and send it to DOE office.

Package consist of :

- QSP
 - Fingerprint
 - Security Acknowledgment
 - Requirements Letter (justification)
 - OFI-36 (if needed)
2. Justification is approved by the security specialist.
 3. A check of CPCI for any clearances currently held by the applicant.
 4. A DOE number is manually assigned to the file. A specialist is assigned the case based on the last digit of the DOE number.
 5. All the forms are pre-screened, any go-backs are tracked by their local system.
 6. Preliminary information is entered into their local system and entered into CPCI (double data entry).
 7. Package is sent to OPM to initiate an investigation.
 8. When the report is sent back the date returned is entered into CPCI and the local system (double data entry).
 9. A specialist screens the case and determines if an interview is needed. If there is no or minor derog the specialist (DOE) can grant the clearance. If there is major derog or psychiatric information a second analyst (specialist) is required for concurrence. If a third opinion is needed it goes to the Team Leader (Sandra) for action.
 10. The adjudication information is entered into the local system and CPCI (double data entry).
 11. A grant letter is generated and sent to the contractor.

Local System

Idaho has a local tracking system called the Personnel Security Tracking System (PSTS). This system is used to provide additional information and capabilities that CPCI does not offer. The system is used to track the clearance process and provide status reports. The ability to query the data via several fields is designed into the system.

CPCI Deficiencies:

The following are a list of deficiencies identified by Idaho field office personnel:

- The current CPCI has a problem in the re-investigation due date calculation.
- CPCI Screen 3 grant does not allow the granting of a clearance when a report is pending.
- The ability to enter a psych date with a psych code is not available.
- Termination of a suspended clearance is not easily accomplished.
- There is no logical matching of facility codes to facilities. the current CPCI does not do any checking of facility codes.
- As an ad hoc reporting tool Answer DB is difficult to use.
- The process of extending a clearance is not handled well in the system.

Goals

The Idaho field office would like to see the following goals achieved in the re-engineering of CPCI:

- Better reporting capabilities, ad hoc reporting, and printing locations.
- The ability to do EAPRO tracking.
- Improved network capabilities to make communications more reliable.
- The ability to track the adjudicators actions in the same system.
- The ability and procedures to accept DOD clearances.

Inputs

Not applicable.

Outputs

Not applicable.

Operational Environment

Idaho holds an estimated 8500 active clearances and processes 50 to 75 transactions per day. In addition to DOE Idaho and contractor clearances this office also handles clearances from Chicago, Argonne West. They feel that the accuracy of the data related to Idaho is approximately 98%. A 24 hour downtime for the current CPCI is all that could be tolerated before it seriously affects their operation. Presently, 15 simultaneous users (2 DOE, 2 Lockheed, 10 site) can be actively working on CPCI.

The PSTS database is designed in FoxPro and runs on Compaq PC/486 computers with the Windows operating system. The data is encrypted, using a software package called NetLib, before it is stored in the database. The graphical user interface (GUI) consist of pull down menus and edit

tables that allow click and shoot operation of the system. Form letters can be generated in WordPerfect by PSTS for automated printing of interview and grant action letters. All edit tables are configurable, data fields can be added or changed on-line.

There is a separate bar code system that is used to track location and storage maintenance of files.

Communications Environment

The Idaho network is based on a Novell LAN, 95% of the site is networked. Connection to CPCI via an IBM/3090 to DOE/HQ. This IBM computer is protected by a firewall computer for communications security. The software communications package used to interface with CPCI is called EXTRA.

Computer Security

None of the communications lines are encrypted, but the data is encrypted before storage in the database. The site managers are Gerri Smith and Denise Brush.

Other Issues

- They did not want to be required to do double data entry.
- Concerns about the integration of the new PSDB and DISS/ET.
- Concerns about Quality assurance (QA) and a test environment to test software before release into production.

Chicago

Date of Visit: November 18, 1994

Organization Profile

From discussion it was determined that there are three CPCI users. Each of these users has update capability. Yvonne Washington is the field site manager for CPCL.

Business Functions

The following are the steps in the Chicago clearance process life cycle.

1. The clearance processing packet contains the following parts;
 - Justification for Clearance
 - Fingerprint Card
 - Pre-Employment Suitability
 - Security Acknowledgment
 - OFI-36, if applicable
2. The package is screened. If there are any inaccuracies the forms are sent to the requester for corrections. If not the justification is approved.
3. Case is assigned a DOE number and given to one of three specialists based on the last digit of the DOE number.
4. The top of Part I of the SF-86 is filled in.
5. The case is then entered into CPCI and sent to OPM.
6. When the case is received back from OPM the case is date stamped and entered into CPCL.
7. The case is then given to the specialist to review the case. If it is a clear case the grant action is made and the action is entered into CPCL. If derogatory information exists a recommendation is made and the case is sent to the Team Leader for a second review and concurrence. If the case goes to Psych, it is submitted to the Director for a third review and concurrence.

Local System

None.

CPCI Deficiencies:

- Communications.
- Too many steps to get into CPCL.
- No capability to swap between screens.
- Reports - need a larger selection of reports.
- No easy on-line help

- Takes too long to enter data into CPCI. Too many screens to have to process through.
- Screen 1 does not carry over to Screen 2.
- No history information of clearance adjudication/interviews.
- Not able to process multiple interviews and LOI's.

Goals

- Add field to track reported information.
- Add Special Update field.
- Add report to show actions by analyst.
- Add second and third reviewer fields.
- Add field to track data entry clerk initials.
- Add audit trail capabilities
- Add reconsideration date for A/R.

It was also asked if it was still necessary to get the bi-weekly microfiche and if the Contractor Query screen was still necessary.

Inputs

Not applicable.

Outputs

Not applicable.

Operational Environment

According to the Chicago CPCI users the current response time for queries is acceptable, but of course would like to see the queries run faster. Chicago processes approximately 10 to 15 transactions per day and have a total of approximately 1500 clearances. They believe their CPCI data is 70 to 75 percent accurate in its completeness. Chicago says 24 hours is the maximum allowed downtime for CPCI. Chicago has a total of three users, but, because there are only two terminals, only two users can be on CPCI at the same time.

Communications Environment

Users of CPCI connect to the HQ mainframe through dial-up modems, 2400 and 9600 baud. All CPCI users are located on-site at Argonne National Laboratory.

Computer Security

No communication lines to CPCI from Chicago are currently encrypted. Yvonne Washington is the system administrator.

Other Issues

None noted.

Albuquerque

Dates of Visit: December 6-7, 1994

Organization Profile

The Albuquerque operations office has approximately 23 CPCI users. Approximately 80 users of the local Clearance Tracking System. The 80 users are located on site in two buildings and the badge office. Offsite contractors have query access only and have approximately 75 users with eight area offices.

Business Functions

The following are the steps in the Albuquerque clearance process life cycle:
Clearance Process (currently is tracked via a logbook there are plans to move this process to the local Clearance tracking System (CTS)).

Applicant Process (7 Processors handle this):

1. Received applicant case package
 - SF-86
 - 5631.C
 - Security Acknowledgment
 - OFI-36
 - Fingerprint
 - DOE Fedrickson Letter/AL (site specific)
 - Questionnaire of Foreign Country
 - DD214 (if needed)
 - Maps or directions (to homes)
2. Screen package for errors (go-backs and check facility codes).
3. Create a bar code label for the file.
4. The case is placed on a processing cart for the analysts to screen and review the justification (each site has a separate analyst group, there is "cart duty" which rotates between the analysts in the group, in addition to their adjudication functions).
5. For an L clearance Part II is reviewed for derog, it is sent to the analyst to determine the investigation.
6. Screen package for dates, previous clearances (go-backs, if necessary).
7. Code Part A of QSP.
8. Complete File Summary sheets.
9. Enter initial information into CPCI.
10. Request Investigation sent to OPM (the file is stored in the vault).
11. Reports received (the reports have 8 hours to get to the proper branch).
12. Pull file from the vault.
13. Enter information into CPCI (screen 3).
14. Enter File Summary Sheet information.
15. File is date stamped and sent to the proper branch (CTS assigns which analyst gets the case).
16. Use of CTS to track the adjudication process within each branch.
17. For a clear case, Clearance is granted
18. Information is entered into CPCI, by a different analyst. Derogatory Code is entered at this time.
19. Complete the file summary sheet.

20. Next day a grant report is generated for each site (area office).
21. They QA the grant report with the file.
22. Fax the report to the area offices (the operations office keeps binders of reports for the calendar year).
23. For ALBQ on-site, an access authorization report is sent to the subcontractor or DOE/HR/ALBQ.

Other Processes

Beginning 7/18/94 ALBQ is allowed to grant clearance off of other agency investigations.

Defense Investigative Service (DIS) or other clearance verification from other agencies.

1. Call agency for information on clearance. If less than 5 years since the last investigation, else (>5) applicant goes through the normal process.
2. Call adjudication agency for verification of clearance. A verification of clearance form is filled out (this is used as the investigative report)
3. Fax a copy of the form to investigative agency, this will be used as a summary of the last adjudication.
4. Form is faxed back to DOE/AL
5. If there is sufficient information the file is sent for concurrence.
6. The file is placed on the cart for the analyst.
7. Analyst will review the file. While in adjudication a NAC is initiated with OPM.
8. Grant clearance (the DIS or OPM report will be the report received date)
9. Grant Report sent to area offices.

Reinstates

1. Package is received (<6 months)
 - QSP
 - Justification
 - Security Acknowledgment
2. Query CPCI for file location.
3. Pull file from the vault (if local) or request file via fax.
4. Review justification.
5. Screen file for errors.
6. Place file on cart.
7. Analyst reviews and may request an investigation.
8. Request an investigation (analyst can grant with concurrent investigation)
9. Review received report.
10. Grant clearance.

Downgrades

1. Package is received
 - Justification
 - DOE 5631.2C
2. Processor reviews package for errors.
3. Check of facility codes and employer.
4. Pull file from vault.
5. Complete file summary sheet.
6. Place file on cart.
7. Analyst reviews the file.
8. File is sent to the processor.
9. Enter downgrade in CPCI.
10. Downgrade granted.
11. Grant Report sent to area offices.

Upgrades

1. If previously held a Q clearance
 - Only a Justification is needed.
2. If no Q has ever been granted a complete package is needed except fingerprints.
3. Package is sent to the processor.
4. File is pulled from the vault.
5. Employer is verified.
6. Complete file summary sheet.
7. Request investigation.
8. Place file on cart.
9. Analyst reviews the file.
10. Grant upgrade.
11. Grant report is sent to area offices.

Extensions/Transfers

Problem is that sites may not update CPCI when they terminate a clearance.

1. Package is received
 - Justification (5631) from a site.
2. CPCI print screen of screens 13 and 10.
3. Pull file from the vault.
4. Request extension information from site (Fax).
5. Site Faxes information back.
6. Put together a dummy file.
7. Complete file summary sheet.
8. A memorandum is sent to the site holding the clearance.
9. File is placed on the cart.
10. Analyst review the file.
11. Extend clearance.
12. Enter information into CPCI (screen 2).
13. Grant extension.
14. Grant report is sent to area offices.
15. Dummy file is placed in the vault.
16. Original file from the site is received if main interest is terminated.
17. The original file and dummy file are combined.
18. Change CPCI extension by transfer.
19. Change PSF location.

Transfer

Within an operations office

1. Pull file from the vault.
2. Change employer code (within operations offices, CPCI does not allow multiple interest).
3. Enter in CPCI terminate by transfer and accept by transfer (6/5).
4. A screen print out and grant report are sent (does not show as a grant action).

Re-investigations

This process is similar to the applicant process.

1. At the beginning of the year a report list of who is up for re-investigation is generated.
2. Review the QSP no fingerprints are required.
3. File is placed on the cart.
4. Review of the justification.
5. Send investigation request to OPM (for 5 year review).

6. Enter into CPCI report received date.
7. Send file to Branch (the clearance can be granted pending a complete report).
8. Analyst reviews the file.
9. Completed report is received.
10. Place file on cart (these file have an 8 hour turn around)
11. Analyst review the completed report.
12. File in vault
13. Send form to applicant if needed (Continuation Letter)

Combines

1. Operations office terminates the clearance.
2. Send file to new site.
3. File is combined with the dummy file/extension file.
4. Transfer Main interest.

When AL terminates a clearance the dummy file is not sent.

Termination's

1. Pull file from the vault.
2. Terminate interest (if there are multiple interest the file is held).
3. Put in terminated file or if transfer to other office the case is sent to other office.

Cancellations

In cases of no-hire, insufficient DIS, withdraw from company or clearance

1. Information is entered into CPCI.

Special Access

This involves SCI and PSAP information

1. Analyst pulls the file from the vault.
2. Add to screen 10 on CPCI.

Local System

Clearance Tracking System (CTS)

This system for tracking the analyst adjudication was brought on-line on March 15,1994.

Summary reports are generated by the system.

Analyst and Administrative supervisors are entering CTS information except LOI's (the ATM contractors handle the LOI's.)

The CTS has dial in modem capability.

CTS has all clearances from CPCI. A program was written to download information from CPCI to CTS (not all records are complete, ~35K).

CTS has on-line announcements and Topic index so users can see messages.

Audit trails are planned.

Detailed summary reports can be generated.

File Tracking

Bar coding system is being implemented. CTS will be capable of reporting on a file location.

CPCI Deficiencies:

- Does not track name changes or make the related field available.
- CPCI does not track pre-processing steps before a request to OPM.
- Facility codes are not valid and do not use a valid table.
- No error checking on facility codes.
- For security briefings (divisions) does not track contract numbers.
- For other agency investigations report received and report complete does not function properly. Order of date input (accepting DIS reports).
- Can not adjudicate without report received (i.e. reinstate still shows term).
- Upgrade as oppose to reinstate (L-terminate, reinstate/grant Q) are not handled well.
- AAAP, interim Q terminates when Q is granted. Interim Q is terminated without Q grant. This locks the file up.
- LQ grant upgrade to Q does not terminate the L.
- Can not handle local extensions (i.e. Q during the day L at night)
- Can not extend a L to a site within the same Operations office, must extend as a Q, but could extend L to other operations offices.
- Re-investigations/Special Updates/Special Request are not tracked in CPCI.
- Special access PSAP on terminated cases still show up on screen 13
- Can only have one Special access code.
- Analyst have query only , so they can not get screen 10.
- Special access codes are out of date.
- EAPRO and PSAP tracking is either none or lacking.

Goals

- Field to comment on reasons for incomplete packages.
- Tie clearance to employer codes
- Facility codes need to be checked with employer
- Employer and facility codes need to be tied to a contract number.
- Must handle employees that work on multiple contracts.
- Show analyst workload to team leaders.
- Calculate dates based on work days (exclude holidays and weekends).
- Supplemental field for dual processing (i.e. OPM and DIS).
- Better handling of upgrades and reinstates.
- Query by multiple fields (i.e. name, SSN, previous name,...).
- Upgrades need to be defined as a process.
- Perform Adjudication without investigations (reinstates).
- Initiate Investigations without clearances.
- Ability to query entered QSP (without request for investigation or clearance).
- Automated notification of main interest termination.
- Show multiple interest.
- File location field.
- Suspend notification.
- Automate notification (Grant Action).
- Tracking of name changes.
- Track Reinvestigation (Pending date, report date, Grant off Pending date).
- Additional tracking of special access (codes need to be updated).
- When a case is terminated all pending actions need to be terminated.
- Special access- want to track certification and re-certification.
- Need a history of special access.
- Simple user interface.

- Print control (limit print locations).
- Personal Assurance Program (PAP) - safety tracking.
- History of employer codes or other interest.
- Track actions without PSQ's or investigations.
- System notes; notification (i.e. E-mail, banner screen, on-line announcements). With the ability to track who has read announcements

Inputs

There are no systems that input data into the local clearance system.

Outputs

The local system does not feed information to any other system.

Operational Environment

The system administrators believe Albuquerque has 95% data accuracy due to the fact that they reconcile their data on a yearly basis. A maximum downtime of 24 hours is all that can be handled before clearance operations are affected.

Communications Environment

The communications environment utilized at Albuquerque is an SNA network via an IBM mainframe computer.

Computer Security

The data in CTS is unclassified sensitive, subject to the Privacy Act. No data or communication lines are currently encrypted.

Other Issues

When doing data conversion into the new system Albuquerque would like to use the grant actions data from CPCI, but, use the A/R and Adjudication information from their CTS system.

Nuclear Regulatory Commission

Date of Visit: October 13, 1994

Organization Profile

From discussion it was determined that there are five CPCI users. Basically only two of those users have data entry/update capability. The remaining three have query only capabilities. Paul Paskal is the field site manager for CPCI.

Business Functions

The following are the steps in the NRC clearance process life cycle. During the process analysts have access to a limited number of screens in the local system to enter the data from their part of the process. Also the file is tracked at all times during the process by the local system.

1. The clearance processing packet contains the following parts:

- Σ Justification for Clearance
- Σ Questionnaire for Sensitive Positions
- Σ Fingerprint Card
- Σ Pre-Employment Suitability
- Σ Security Acknowledgment.

If there are any inaccuracies in the forms the forms are sent to the requester for corrections.

2. Case is assigned to one of three specialists by the last digit of the DOE Number.
3. The case is then entered into the 145b database (a local NRC database) for preprocessing review.
4. After the case is preprocessed it is sent to OPM.
5. When the case is received back from OPM the case is reviewed for level of derogatory. If the case has substantial derogatory information it is assigned to a Senior Specialist. The Senior Specialist makes a recommendation and then gets concurrence from the Branch Chief. If the case is clear or has minor derogatory information a Specialist can grant the case. Throughout the entire process the same specialist handles the case from start to finish, unless needing Branch Chief concurrence.
6. Once the case action is performed the applicant is then notified.

NRC clearances are tracked separately from DOE clearances in CPCI. These two clearances are linked together with a Cross Reference Number.

Local System

The NRC has a limited local tracking system called PerSec (Personnel Security). This system has multiple modules that covers most parts of the clearance processing. The software is written in Clipper and runs on a PC/486 server. There are currently 12 users of the PerSec system.

CPCI Deficiencies:

- Not enough reports.
- The Investigation Date is being dropped without reason.
- Reinvestigation Due Date does not recalculate correctly.
- Do not like the new Screen 13 format.
- When a DOE clearance is updated the corresponding NRC clearance is not.
- There is no consistency checks between DOE and NRC data.
- Reports are not easily printed.
- Modem communications drops indiscriminately.
- No history information of clearance adjudication/interviews.
- No previous names querying.
- Search criteria is not consistent. Some screens require SSN or Doe Number or Name. Others require only DOE Number or only SSN.
- Can't see when was the last date a record was updated.

Goals

- Capability of viewing DOE and NRC records together on same screen.
- Capability to query by SSN first then by DOE Number.
- Would like to see the data on CPCI Screens 2,3 and 5 combined onto one screen.
- Add a field called Clearance Category for students so that they could be easily determined for the activation and termination of clearances.
- Have NRC clearances included in DAVACS.
- Would like Place of birth added to database.
- Button bar capability for record querying.

Inputs

Not applicable.

Outputs

Currently there are no outputs from CPCI to any NRC systems but NRC would like a future link to the badge system.

Operational Environment

PC/486 server.

Communications Environment

Users of CPCI connect to the HQ mainframe through dial-up modems.

Computer Security

No communication lines to CPCI from NRC are currently encrypted. Paul Paskal is the system administrator.

Other Issues

None noted.