

OFFICE OF THE DIRECTOR OF NATIONAL INTELLIGENCE

# 2012 Report on Security Clearance Determinations



LEADING INTELLIGENCE INTEGRATION

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## INTRODUCTION

The Intelligence Authorization Act for Fiscal Year 2010<sup>1</sup> established a requirement for the President to submit an annual report to Congress on the security clearance process, to include the total number of security clearances across government and in-depth metrics on the timeliness of security clearance determinations in the Intelligence Community (IC). In response to this requirement, the Office of the Director of National Intelligence (ODNI) has prepared this *2012 Report on Security Clearance Determinations*, which provides the number of security clearance determinations in the following categories:

- The number of individuals who held and who were approved for a security clearance as of October 1, 2012, categorized by government employees and contractors and by security clearance level.
- For the IC:
  - The time in days to process the shortest and longest security clearance determination made among 80 percent of determinations, and the time in days for the shortest and longest security clearance determination made among 90 percent of security clearance determinations.
  - The number of security clearance investigations as of October 1 of the preceding fiscal year open for: 4 months or less; between 4 months and 8 months; between 8 months and one year; and more than one year.
  - The percentage of reviews during the preceding fiscal year that resulted in a denial or revocation of a security clearance.
  - The percentage of investigations during the preceding fiscal year that resulted in incomplete information.
  - The percentage of investigations during the preceding fiscal year that did not result in enough information to make a decision on potentially adverse information.
  - The number of completed or pending security clearance determinations for government employees and contractors during the preceding fiscal year that have taken longer than one year to complete; the agencies that investigated and adjudicated such determinations; and the cause of significant delays in such determinations.

***The methodology employed to collect the number of security clearance determinations is designed to accurately measure the total population eligible for a security clearance at any level. A detailed explanation of the methodology is provided on pages 4-5 of this report.***

The process to determine the total number of security clearance determinations in the U.S. Government involves queries of the three primary record repositories that contain security clearance data: ODNI's Scattered Castles (SC); the Department of Defense (DoD) Joint Personnel Adjudication System (JPAS); and the Office of Personnel Management (OPM) Central Verification System (CVS). Data from these repositories are compiled and processed by the Office of the National Counterintelligence Executive/Special Security Directorate (ONCIX/SSD) through queries designed to eliminate as many duplicative records as possible and to achieve a

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<sup>1</sup> Intelligence Authorization Act for Fiscal Year 2010, see Sec. 367 Security Clearances: Reports; Reciprocity (PL 111-259).

more accurate count. Duplicate records are often created when multiple agencies grant a security clearance or access to an individual or when an agency reports its security determination to more than one repository. Adjudicative facilities are increasingly recording their clearance determinations in multiple repositories in order to better support reciprocity, and creating a single repository to house all national security determinations is not currently feasible given the sensitivity of certain clearance information and the need for non-IC agencies to have a repository to report determinations. The data on IC security clearances in this report were gathered to the extent possible from information that is already being reported to the ODNI and were augmented with data from a special data call to the seven IC agencies with delegated authority to conduct investigations or adjudications.

**(A) and (B) - Number of individuals who held and who were approved for a security clearance as of October 1, 2012, categorized by government employees and contractors and by security clearance level.<sup>2</sup>**

(A) Number of government employees who:

- (i) Held a security clearance at such level as of October 1, 2012;
- (ii) Were approved for a security clearance at such level during the preceding fiscal year;

(B) Number of contractors who:

- (i) Held a security clearance at such level as of October 1, 2012;
- (ii) Were approved for a security clearance at such level during the preceding fiscal year.

**Table 1**

Held a security clearance at such level:

Employee Type	As of 10/1/11:		As of 10/1/12:	
	Conf/Secret	Top Secret	Conf/Secret	Top Secret
Government	2,693,402	766,245	2,757,333	791,200
Contractor	598,006	478,835	582,524	483,263
Other	161,606	165,458	167,925	135,506
Sub-Total:	3,453,014	1,410,538	3,507,782	1,409,969

Total: 4,863,552

4,917,751

<sup>2</sup> The numbers reported in the "Other" category in Tables 1 and 2 are the number of individuals who held or were approved for security clearances **but could not be categorized** from the available data as either a government employee or a contractor. Therefore, **all** CVS data and any JPAS and SC data that could not be categorized by employee type are captured in this category.

**Table 2**

Approved for a security clearance at such level:

Employee Type	As of 10/1/11:		As of 10/1/12:	
	Conf/Secret	Top Secret	Conf/Secret	Top Secret
Government	400,490	178,926	364,498	140,016
Contractor	97,453	102,277	108,933	133,493
Other	42,546	29,702	38,045	13,633
Sub-Total:	540,489	310,905	511,476	287,142

Total: 851,394

798,618

The data indicate that the overall number of security clearance determinations held has increased slightly, by 1.1 percent, since October 2011. Queries using the methodology adopted for the 2011 report capture data for all individuals who were investigated and deemed eligible to hold a security clearance at any level, despite whether these individuals were granted a clearance and had access to classified information, or whether they no longer had access to classified information due to a transfer or change in position. Including this data in the report provides a more accurate assessment of the total cleared population.

Specifically, the 2012 data from JPAS includes all of DoD's security clearance eligibility determinations. DoD makes an "eligibility" determination prior to granting "access" to improve support to the warfighter and the mobility of personnel requiring access. These individuals may not have been briefed yet, but may be briefed at any time without any additional investigative or adjudicative actions if required by their duties.

The reporting of "eligibility" is consistent with the ODNI's quarterly collection of timeliness metrics, which are based on investigations and adjudications conducted to determine "eligibility." This differs significantly from reporting "access," which can change significantly throughout the fiscal year. Therefore, "eligibility" measurements are reported with more confidence and consistency as the most accurate depiction of active clearance determinations.

The number of potential duplicate entries among repositories is minimal. Queries between the two largest repositories, which account for approximately ninety-five percent of all clearance entries, have been structured to eliminate duplication. The ODNI will continue to work with a third data provider to allow elimination of duplicative records to the fullest extent possible.

Finally, limitations in our current ability to extract specific data from the repositories represent a challenge to collecting more precise data. For instance, a query of the security clearance determination "approvals" recorded in certain repositories cannot distinguish between initial and periodic reinvestigation approvals. Therefore, the number of approvals does not represent the number of new clearances granted, but rather a combination of approvals for new and existing clearances based on an updated investigation.

JPAS has moved to the Defense Manpower Data Center (DMDC), and the DMDC rigorously scrutinized the FY 2012 data to ensure that the most accurate information available was provided for inclusion in this report. While the other two repositories do not provide the largest percentage of clearance information, the SC and CVS data owners also refined their queries to collect the most accurate data. The ODNI will continue to work with the data repository owners

to continue to improve methodology and enable collection of more granular data for future reports.

**(C) For Each Element of the Intelligence Community:**

The ODNI conducted a special data call to collect information responsive to Section (C) from the seven IC agencies<sup>3</sup> with delegated authority to conduct investigations or adjudications. Data from other agencies that have IC components<sup>4</sup> are not included because these agencies are unable to extract data on clearance actions for individuals assigned to IC positions without a manual review of the files. The results are as follows:

- i. The total number of days required to process the security clearance determination for the shortest and longest time among 80 percent of determinations made;**
- ii. The total number of days required to process the security clearance determination for the shortest and longest time among 90 percent of determinations made.**

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<sup>3</sup> Central Intelligence Agency (CIA), Defense Intelligence Agency (DIA), Federal Bureau of Investigation (FBI), National Geospatial-Intelligence Agency (NGA), National Reconnaissance Office (NRO), National Security Agency (NSA), and Department of State. The CIA also processes security clearances for ODNI employees and contractors.

<sup>4</sup> DHS, DOE, DEA, and Departments of the Treasury, Army, Navy (which includes the Marine Corps as a separate component), Coast Guard and Air Force.

Table 3 provides the total number of days required to process the shortest and longest security clearance cases—from initiation to adjudicative decision—for the fastest 80 percent of cases and the fastest 90 percent of cases.

**Table 3**

Agency	80th Percentile				90th Percentile			
	TS		Secret/Confidential		TS		Secret/Confidential	
	Longest	Shortest	Longest	Shortest	Longest	Shortest	Longest	Shortest
CIA	295	1	319	1	454	1	500	1
DIA	134	1	DNP	DNP	178	1	DNP	DNP
FBI	136	1	98	9	173	1	116	9
NGA	141	20	DNP	DNP	184	20	DNP	DNP
NRO	148	21	92	29	215	21	146	29
NSA	114	16	DNP	DNP	165	16	DNP	DNP
State	68	5	51	5	73	5	56	5

DNP = Does Not Perform

- iii. **The number of pending security clearance investigations for such level as of October 1, 2012 that have remained pending for: 4 months or less; between 4 months and 8 months; between 8 months and one year; and for more than one year.**

**Table 4**

Agency	Top Secret Initial Security Clearance			
	0 to 4 Months	4 to 8 Months	8 to 12 Months	Over 12 Months
CIA	269	6	0	0
DIA	341	14	4	1
FBI	1,099	133	16	7
NGA	4	0	0	0
NRO	284	0	0	0
NSA	1,025	347	83	75
State	1,009	49	2	0

- iv. **The percentage of reviews during the preceding fiscal year that resulted in a denial or revocation of a security clearance.**

**Table 5**

Agency	FY 12	
	Denials	Revocations
CIA	4.9%	0.4%
DIA	0.0%	DNP
FBI	0.1%	0.1%
NGA	1.3%	0.3%
NRO	5.9%	0.5%
NSA	5.7%	0.3%
State	0.6%	0.1%

DNP = Does Not Perform

This table reflects the percentage of security clearances denied or revoked in FY 2012 by IC agency, based upon that agency's annual total number of cases adjudicated.

- v. **The percentage of investigations during the preceding fiscal year that resulted in incomplete information.**

All agencies confirmed that their final reports of investigation contained complete information.

- vi. **The percentage of investigations during the preceding fiscal year that did not result in enough information to make a decision on potentially adverse information.**

The seven IC agencies listed on Table 5 stated they had no cases to report against this category. Agencies worked to ensure that sufficient information was available to make a decision on any potentially adverse information.



vii. **For security clearance determinations completed or pending during the preceding fiscal year that have taken longer than one year to complete:**

- **The number of security clearance determinations for positions as employees of the U.S. Government that required more than one year to complete:**

**Table 6**

Agency	Government Cases:	
	Over 1 Year	
	Pending	Completed
CIA	60	130
DIA	1	0
FBI	6	7
NGA	30	0
NRO	0	2
NSA	45	16
State	0	0

- **The number of security clearance determinations for contractors that required more than one year to complete:**

**Table 7**

Agency	Contractor Cases:	
	Over 1 Year	
	Pending	Completed
CIA	614	1,250
DIA	DNP	DNP
FBI	3	2
NGA	0	0
NRO	0	103
NSA	30	81
State	0	0

DNP = Does Not Perform

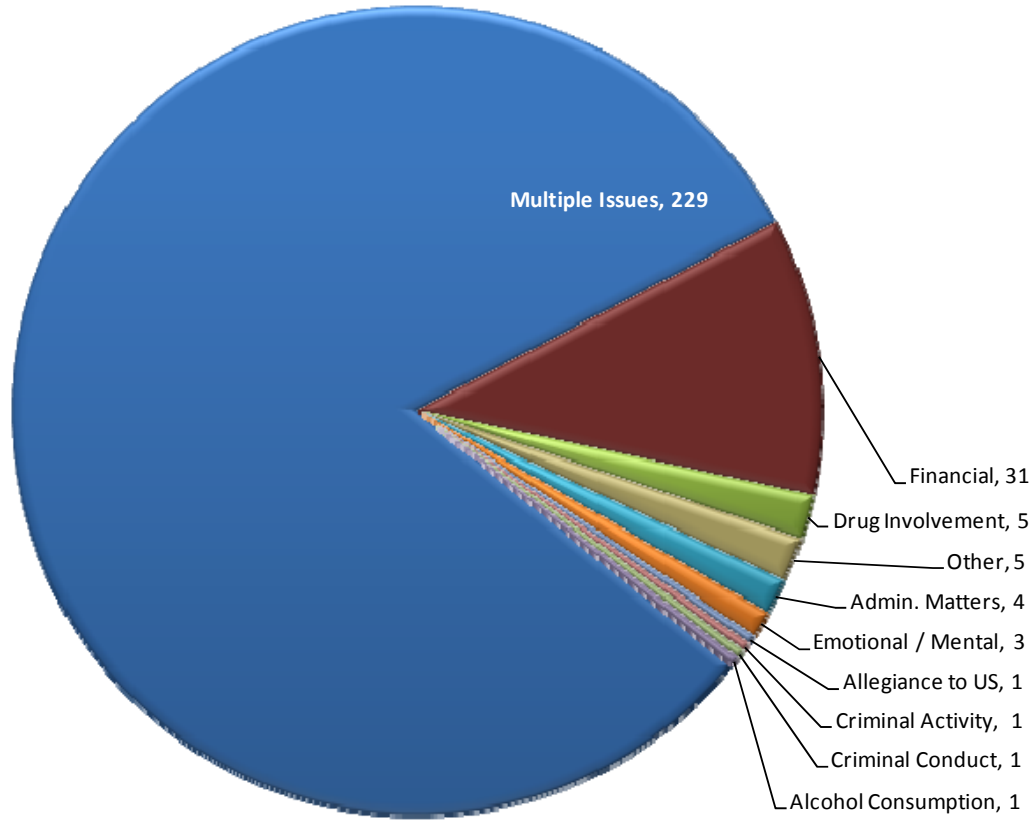
- **The agencies that investigated and adjudicated such determinations:**

CIA, DIA, FBI, NGA, NRO, NSA, and the Department of State investigated and adjudicated these determinations.

- **The cause of significant delays in such determinations.**

The ODNI conducted a special data call to obtain information on the number of IC clearances pending for more than a year and the delays associated with those cases. Seven of the 17 organizations that comprise the IC conduct their own security clearance investigations. CIA is among the seven agencies and also conducts security investigations for most ODNI employees and contractors. OPM's Federal Investigative Services performs investigations for the remaining nine IC organizations.

**Chart 1**  
**Processing Delays by Reason**



Six of the seven IC agencies reported that they had cases open in excess of one year. Five IC agencies were able to provide data on 326 such cases. "Multiple issues" were cited as the cause for significant delay in more than 70 percent of the cases; among the issues cited, foreign issues were reported as the most common single reason for delay.

