

# Automated Questionnaire for Sensitive Positions, SF-86 (QSP System)

M. J. Fisher  
K. W. Deatherage

Date Published  
July 1991

To be presented at  
Institute of Nuclear  
Materials Management  
New Orleans, Louisiana  
July 28-31, 1991

Prepared for the U.S. Department of Energy  
Office of Security Affairs



**Westinghouse**  
**Hanford Company**

P.O. Box 1970  
Richland, Washington 99352

Hanford Operations and Engineering Contractor for the  
U.S. Department of Energy under Contract DE-AC06-87RL10930

---

**Copyright License** By acceptance of this article, the publisher and/or recipient acknowledges the U.S. Government's right to retain a nonexclusive, royalty-free license in and to any copyright covering this paper.

Approved for Public Release

*als*  
DISTRIBUTION OF THIS DOCUMENT IS UNLIMITED

## **DISCLAIMER**

**This report was prepared as an account of work sponsored by an agency of the United States Government. Neither the United States Government nor any agency thereof, nor any of their employees, makes any warranty, express or implied, or assumes any legal liability or responsibility for the accuracy, completeness, or usefulness of any information, apparatus, product, or process disclosed, or represents that its use would not infringe privately owned rights. Reference herein to any specific commercial product, process, or service by trade name, trademark, manufacturer, or otherwise does not necessarily constitute or imply its endorsement, recommendation, or favoring by the United States Government or any agency thereof. The views and opinions of authors expressed herein do not necessarily state or reflect those of the United States Government or any agency thereof.**

---

## **DISCLAIMER**

**Portions of this document may be illegible in electronic image products. Images are produced from the best available original document.**

## AUTOMATED QUESTIONNAIRE FOR SENSITIVE POSITIONS, SF-86 (QSP SYSTEM)

Melinda J. Fisher  
Kelley W. Deatherage  
Westinghouse Hanford Company/  
Boeing Computer Services Richland  
Richland, Washington 99352

### ABSTRACT

An automated, menu-driven system has been developed by Westinghouse Hanford Company/Boeing Computer Services Richland, Inc., for generation of electronic forms resembling the Questionnaire for Sensitive Positions, SF-86. The applicant or employee personal information is entered into databases through a series of custom screens, which are formatted to correspond to pages and sections of the form. The information may be queried and edited or may be extracted for printing. By storing a facsimile of the Questionnaire for Sensitive Positions form in the laser printer's memory, using electronic forms-generation software, an applicant or employee data file is merged with this electronic form image and printed together as one form. The applicant or employee data can be retained indefinitely with minimal file updates for the five-year reinvestigation or other investigations, as needed.

In 1988, the Office of Personnel Management drastically revised the investigative form used as a source document in conducting background investigations. To manually produce the revised form, the Questionnaire for Sensitive Positions, the Westinghouse Hanford Company would have required an estimated increased staff effort of 32%. One alternative was to create a computer-aided system, the Automated Questionnaire for Sensitive Positions. Through development and implementation of the system, the need for additional staffing has been eliminated, the predetermined reinvestigation submission quotas have been maintained, and the Office of Personnel Management rejection rate has been reduced to less than 1%. There are currently 20 known facilities successfully using the U.S. Department of Energy and Office of Personnel Management approved Automated Questionnaire for Sensitive Positions.

### INTRODUCTION

In 1988, the Office of Personnel Management (OPM) drastically revised the investigative form used as a source document in conducting background investigations. The revised form, the Questionnaire for Sensitive Positions (QSP), SF-86, was developed to enhance the OPM investigation process.

However, for the Westinghouse Hanford Company (Westinghouse Hanford) the revised form would have required an estimated increased staff effort of 32%. The Westinghouse Hanford personnel security organization believed that there was a better alternative. They, along with Boeing Computer Services, Richland, initiated a feasibility study determining that the computer generation of the SF-86 was a viable option. System objectives were then identified and prioritized.

#### Short-Term Objectives

1. Reduce processing costs
2. Avoid hiring additional staff
3. Develop data storage capability for future retrieval.

#### Long-Term Objectives

1. Provide basis for future automation
2. Provide the U.S. Department of Energy-Headquarters (DOE-HQ) with an option for complex-wide standardization
3. Address personnel security assurance program (PSAP) requirements.

User needs and built-in intelligence were key to afford functionality ease and assure, to the extent possible, limited QSP package return by the U.S. Department of Energy-Richland (DOE-RL) or OPM for missing information or incorrect data.

Following development completion, the QSP System was provided to the DOE-HQ for review, General Services Administration exception, and approval by the OPM.

The first automated QSP was transmitted to DOE-RL and OPM in August 1988 with the QSP System being fully implemented at Westinghouse Hanford in September 1988.

The DOE-HQ deemed the benefit of automating the SF-86 was such that the software should be made available to the DOE complex. To ensure the QSP System was implemented in an orderly manner, DOE-HQ authorized Westinghouse Hanford, through its Security Applications Center, to present a workshop demonstrating the software, before making it available to the DOE complex. Response to the workshop was extremely positive and has resulted in at least 20 known facilities using the QSP System.

## OPERATION

The QSP System operates on IBM PC/AT<sup>1</sup> equipment and is capable of supporting multiple concurrent users in a PARADOX<sup>2</sup> software-based environment. The QSP System is user-friendly and is menu-driven. Data input is through a series of custom screens which are formatted to correspond to pages and sections of the SF-86. The data is then stored in a database for eventual printing or query.

Each page of the SF-86 has been reproduced electronically and captured in a form file. These form files are stored in the memory of a HP LaserJet<sup>3</sup> Series II/III printer. During the print process, a data file containing the applicant or employee's personal data is merged with the stored electronic image of the SF-86 using the JetForm<sup>4</sup> software package. The electronic image and data file are then printed together as one using electronic form generation. The applicant or employee data can be retained indefinitely with minimal file updates for the five-year reinvestigation or other investigations, as needed.

## BENEFITS

As a result of implementing the QSP System at Westinghouse Hanford, the need for additional staffing has been eliminated. The existing staffing level has been able to

function at an increased production rate of 35% with little impact to the personnel security program and has maintained consistently the DOE-RL predetermined reinvestigation submission quotas. Additionally, rejection of QSPs by the OPM are less than 1%.

The greatest economical benefit of the QSP System is the ability to recall records for reinvestigation. Some savings may be seen in the first few years following implementation, but most of the cost savings will be realized 5 years after the implementation of the QSP System when an individual QSP is submitted for reinvestigation.

The QSP System has improved the working relationships between the applicant or employee, clearance processing staff, the DOE-RL and the OPM. It has been conducive to simplifying the working environment by increasing the quality of the tools that are required in the investigative process.

The automation of the SF-86 has created a foundation for future growth to electronic networking and transmission, theoretically reducing the investigation time needed to obtain or reinstate a clearance.

## ENHANCEMENTS

The QSP System currently is being revised to facilitate the revision of the SF-86 implemented on March 1, 1991. Numerous form changes are contained on the new form which are being included in the update to the QSP System.

Enhancements to printing capabilities and database functions also are being made to enable greater flexibility and system effectiveness.

## TRADEMARK ACKNOWLEDGEMENTS

- <sup>1</sup> PARADOX is a trademark of Borland International, Inc.
- <sup>2</sup> IBM AT is a trademark of International Business Machines Corporation.
- <sup>3</sup> HP and LaserJet are trademarks of Hewlett-Packard Company.
- <sup>4</sup> JetForm is a trademark of JetForm Corporation.

## DISTRIBUTION

### Number of Copies

#### ONSITE

1

34

#### DOE-Richland Field Office

J. W. Wiley A6-35

#### Westinghouse Hanford Company

K. W. Deatherage (15) B5-26

M. J. Fisher (15) L6-10

Central Files L8-15

Information Release

Administration (3) L8-07