



SECURITY EXECUTIVE AGENT DIRECTIVE 900

USE OF POLYGRAPH IN SUPPORT OF PERSONNEL SECURITY DETERMINATIONS AND DETERMINATIONS OF ELIGIBILITY TO HOLD A SENSITIVE POSITION (VERSION 10/11/12) (EFFECTIVE: DD MONTH YYYY)

A. (U) AUTHORITY: The National Security Act of 1947, as amended; Executive Order (EO) 13467, *Reforming Processes Related to Suitability for Government Employment, Fitness for Contractor Employees, and Eligibility for Access to Classified National Security Information*; EO 12968, *Access to Classified Information*, as amended; EO 12333, *United States Intelligence Activities*, as amended; EO 13549, *Classified National Security Information Program for State, Local, Tribal and Private Sector Entities*; Security Executive Agent Directive 1, *Security Executive Agent Authorities and Responsibilities*; EO 13587 *“Structural Reforms To Improve the Security of Classified Networks and the Responsible Sharing and Safeguarding of Classified Information,”* and other applicable provisions of law.

B. (U) PURPOSE: This Security Executive Agent (SecEA) Directive establishes policy and assigns responsibilities governing the use of polygraph examinations conducted by agencies for personnel security vetting for initial or continued eligibility for access to classified information or eligibility to hold a sensitive position. Polygraph examinations conducted for any reason other than those stated above are not covered by this Directive. Nothing in this Directive should be construed to limit the legal authorities of the Director of National Intelligence (DNI) or those authorities delegated to the heads of agencies by the DNI.

C. (U) APPLICABILITY: Any agency conducting polygraph examinations, seeking to obtain the authorization to expand existing polygraph or intending to establish a new program for personnel security vetting for initial or continued eligibility for access to classified information or eligibility to hold a sensitive position.

D. (U//FOUO) DEFINITIONS: As it pertains to this document, the following definitions apply:

1. “Agency”: Any “Executive agency” as defined in Section 105 of Title 5, United States Code, the “military departments,” as defined in Section 102 of Title 5, United States Code, and any other entity within the Executive Branch that comes into possession of classified national security information or has positions designated as sensitive, except such an entity headed by an officer who is not a covered individual.

2. "Classified national security information" or "classified information" means information that has been determined, pursuant to EO 13526, or any predecessor order, to require protection against unauthorized disclosure and is marked to indicate its classified status when in documentary form.
3. "Covered Individual" means an individual seeking initial or continued access to classified information or eligibility to hold a sensitive position with the exception of the President, Vice President, Members of Congress, Justices of the Supreme Court, and Federal Judges appointed by the President as exempted by CFR 17.46. Covered individuals include applicants, employees or contractors of federal, state, local, and tribal governments, and private sector entities who are seeking initial or continued access to classified information.
4. "Personnel Security Vetting" means the investigation of an individual's character and conduct, by one or more methods consistent with the E.O. 12968, the results of which are reviewed in accordance with the adjudicative guidelines in order to render a determination of the individual's eligibility for initial or continued access to classified information or eligibility to hold a sensitive position.
5. "Sensitive Position" means any position so designated by the head of an agency the occupant of which could bring about, by virtue of the nature of the position, a material adverse effect on the national security consistent with EO 10450 Sec. 3(b).

E. (U//FOUO) POLICY:

1. "Polygraph examinations are one tool used with agency head discretion in the conduct of investigations to determine eligibility for access to classified information or for a sensitive position. Heads of agencies may authorize the use of the polygraph credibility assessment technique for the purposes stated above in Section B. within their organizations when deemed to be in the interest of national security. In the case of the Department of Defense, agency head authority rests with the Secretary of Defense or as delegated. Determinations regarding polygraph use shall be limited to designated positions that require eligibility for access to classified information and/or eligibility for a sensitive position, or access to facilities whose unauthorized disclosure, manipulation, or damage could either:
 - a. Reasonably be expected to jeopardize human life or safety,
 - b. Result in the loss of unique or uniquely productive intelligence sources or methods vital to national security, or
 - c. Compromise technologies, operational plans, or security procedures vital to the strategic advantage of the United States (U.S.) and its allies.

- 83 2. Counterintelligence Scope Polygraph (CSP) examinations supporting determinations for
84 initial or continued eligibility for access to classified information, access to facilities as
85 outlined in Section E.1, or eligibility to hold a sensitive position shall include
86 counterintelligence (CI) topics concerning involvement in espionage, sabotage, terrorism,
87 unauthorized disclosure of classified information (to include the media), unauthorized or
88 unreported foreign contacts and deliberate damage to or malicious misuse of U.S.
89 government information or defense systems.
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- 91 a. CSPs may be conducted subsequent to the initial polygraph examination in support of
92 reinvestigations or continuous evaluation and administered at periodic or aperiodic
93 intervals.
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- 95 b. SecEA approval is required prior to an agency adding the Expanded Scope Polygraph
96 (ESP) topics to a new or existing CSP program. ESP coverage shall include all CI
97 topics as well as the topics of criminal conduct, drug involvement and falsification of
98 security questionnaires and forms. The ESP examination may also be referred to as a
99 Full Scope Polygraph (FSP) or an Expanded Scope Screening (ESS) examination.
100 An FSP or ESS shall be conducted in accordance with the guidance for the ESP.
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- 102 c. Nothing in this Directive prohibits currently authorized agencies (i.e. Central
103 Intelligence Agency, National Security Agency, Federal Bureau of Investigation and
104 the United States Secret Service) or those authorized in the future from conducting
105 ESP examinations for pre-employment screening, personnel security vetting or
106 eligibility for access to classified information or to hold a sensitive position.
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- 108 d. Specific issue polygraph examinations may be conducted to resolve known or
109 developed information of adjudicative significance in personnel security or CI
110 inquiries and investigations.
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- 113 3. A favorably completed and adjudicated polygraph examination conducted by an agency,
114 in accordance with this directive, shall be reciprocally accepted by all other agencies.
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- 117 4. Heads of departments or agencies shall adhere to the following principles in
118 administering their polygraph programs:
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- 120 a. Polygraph examination types and their completion dates shall be recorded in the
121 Scattered Castles or the Department of Defense Joint Personnel Access System
122 databases.
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- 124 b. A signed consent form explaining the purpose and uses of any information discovered
125 as part of the examination shall be obtained prior to each polygraph session.
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- 127 c. Refusal or failure, without reasonable cause, to undergo or cooperate during a
128 polygraph examination, or purposeful non-cooperation, including confirmed

polygraph countermeasure tactics shall result in a review of the individual's eligibility for access to classified information, access to facilities as outlined in Section E.1, or eligibility to hold a sensitive position. .

- d. Questions used in polygraph examinations, except for technical and diagnostic questions, shall be relevant to national security matters.
- e. Agencies authorized to conduct polygraph examinations shall act upon and share relevant reported information of a law enforcement, security or counterintelligence (CI) concern with appropriate law enforcement, security and CI officials.
- f. All polygraph programs shall include standardized training and educational certification of polygraph examiners to ensure consistency, fair process, and reciprocity. All examiners shall receive initial training from the National Center for Credibility Assessment (NCCA), undergo educational certification processes and advanced or refresher polygraph training as defined by their agency and consistent with NCCA standards.

- 5. Polygraph programs shall undergo NCCA quality assurance audits on a biennial basis.

F. (U) RESPONSIBILITIES:

- 1. The DNI as the SecEA is responsible for:

- a. Establishing guidelines and minimum standards for polygraph programs and ensuring compliance with such;
- b. Establishing the notification process for departments or agencies wishing to initiate a polygraph program utilizing the CSP, and
- c. Establishing the approval process for departments or agencies to utilize the ESP as part of their polygraph program with the exception of those departments and agencies that already have an established and approved ESP program, as listed in paragraph E.2.b. of this policy.

- 2. The SecEA recognizes NCCA as the office of primary responsibility for polygraph examiner education and training, continuing education certification, audits of agencies quality assurance programs against federal standards, and credibility research.

- 3. Heads of agencies shall:

- a. Notify SecEA of their intention to implement a polygraph program, and/or request SecEA approval to initiate use of the ESP.

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- b. Implement the provisions of this Directive within their respective organization as applicable.
 - c. Ensure policies and procedures governing the collection of polygraph derived information and use of this information is in accordance with all applicable laws, executive orders, and civil protections.
 - d. Institute the highest standards of polygraph program supervision, and quality control consistent with NCCA guidelines.
 - e. Coordinate polygraph related research in collaboration with NCCA to enhance the effectiveness of the polygraph and other credibility assessment programs.

191 **G. (U) EFFECTIVE DATE:** This Directive is effective on the date of signature.
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196 James R. Clapper

Date