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ARMY REGULATION

AR 604-5

PERSONNEL SECURITY CLEARANCE

DEPARTMENT OF THE ARMY

PERSONNEL SECURITY PROGRAM

REGULATION

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HEADQUARTERS, DEPARTMENT OF THE ARMY

FEBRUARY 1984

ARMY REGULATION

No. 604-5

HEADQUARTERS
DEPARTMENT OF THE ARMY
WASHINGTON, DC, 1 February 1984

PERSONNEL SECURITY
DEPARTMENT OF THE ARMY PERSONNEL SECURITY
PROGRAM REGULATION
(DoD 5200.2-R)

Effective Upon Receipt

This regulation implements the DoD Personnel Security Program and adds supplementing instructions where required. Provisions of this regulation are expanded to encompass administrative due process procedures applicable to adverse action determinations involving personnel security clearances and/or access to Sensitive Compartmented Information; due process procedures in national security cases; delineate the types of adverse actions; consolidate provisions of regulations, circulars and DA messages as identified in supersession notice below; identify special programs wherein personnel security investigations are required even though personnel security clearances are not required; and maintain a suitable data base to support ongoing evaluation of the program. This regulation includes all of DoD 5200.2-R, and Change 1, with Army supplementing instruction set in bold-face type to make them distinctive.

Local supplementation of this regulation is prohibited, unless prior approval is obtained from HQDA(DAMI-CIS) WASH, DC 20310.

Interim changes to this regulation are not official unless they are authenticated by The Adjutant General. Users will destroy interim changes on their expiration dates unless sooner superceded or rescinded.

*This regulation supersedes AR 604-5, 4 May 1972; AR 604-15, 10 August 1971; AR 604-20, 6 September 1976; AR 604-305, 23 July 1969; AR 690-1(w/C1), 25 September 1967; DA Message, DAMI-DOS, 261915Z Jan 78, subject: Assignment of American Red Cross and United Service Organizations (USO) Employees to Duty With the Armed Forces; Civilian Personnel Regulation 12; US Army Central Personnel Security Clearance Facility Letter of Instruction 80-1, February 1980. This includes all changes made to any of these regulations, messages, or letters of instruction.

December 20, 1979

FOREWORD

This regulation is issued under the authority of DoD Directive 5200.2, "DoD Personnel Security Program," December 20, 1979. It contains expanded direction and procedures for implementing those references cited in chapter 1 and in appendix A of this regulation that pertain to acceptance and retention of military and DoD civilian personnel and of granting such persons access to classified information. This regulation is effective immediately for implementation by all DoD Components.

Forward communications regarding this regulation and copies of supplementary instructions issued through appropriate channels to:

Deputy Under Secretary of Defense (Policy Review)
Attention: Director Security Plans and Programs
Room 3C-277, The Pentagon
Washington, DC 20310

Daniel J. Murphy
Admiral, USN (Ret.)

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DEPARTMENT OF DEFENSE PERSONNEL SECURITY PROGRAM
REGULATION
CHAPTER I
GENERAL PROVISIONS

Section 1
REFERENCES

1-100 References

(a) DoD 5220.22R, "Industrial Security Regulation," dated January 1979. AR 380-49 (Industrial Security).

(b) DoD Directive 5220.6, "Industrial Personnel

Security Clearance Program" dated December 20, 1976. AR 380-49 (Industrial Security).

(c) Public Law 88-290, "National Security Agency—Personnel Security Procedures"

(d) through (mmm), see Appendix A.

Section 2
PURPOSE AND APPLICABILITY

1-200 Purpose

a. To establish policies and procedures to ensure that acceptance and retention of personnel in the Armed Forces, acceptance and retention of civilian employees in the Department of Defense (DoD), and granting members of the Armed Forces, DoD civilian employees, and other affiliated persons access to classified information are clearly consistent with the interests of national security.

b. This Regulation:

(1) Establishes DoD and DA personnel security policies and procedures;

(2) Sets forth the standards and criteria upon which personnel security determinations shall be based;

(3) Prescribes the kinds and scopes of personnel security determinations required;

(4) Details the evaluation and adverse action procedures by which personnel security determinations shall be made; and

(5) Assigns overall program management responsibilities.

(6) Prescribes requirements for personnel engaged in information and educational programs, general education development (GED), and other educational programs on military installations overseas.

(7) Provides general guidance concerning clearances for personnel attending service schools which require attendees to possess a security clearance.

(8) Gives instructions and assigns responsibilities for implementation of the DoD Personnel Security Program and application of policies at all levels of DA.

c. This regulation will not limit or affect the authority of a commander to reassign personnel to nonsensitive positions or other duties when the in-

terests of national security require such reassignment.

1-201 Applicability

a. This Regulation implements the Department of Defense and DA Personnel Security Program and takes precedence over all other departmental issuances affecting these programs.

b. All provisions of this Regulation apply to DoD and DA civilian personnel, and civilian applicants, members or prospective members of the Armed Forces (Active Army, Army National Guard and US Army Reserve) excluding the Coast Guard in peacetime, and other personnel who are affiliated with the Department of Defense. Only the investigative provisions apply to contractor personnel except that the adverse actions provisions of Chapter VIII apply to those contractor personnel who need access to Sensitive Compartmented Information (SCI). Clearance procedures pertaining to other contractor personnel are contained in DoD 5220.22-R (Reference (a)) and in DoD Directive 5220.6 (reference (b)).

c. The provisions of this Regulation apply to the National Security Agency only to the extent that is consistent with policy and procedures prescribed by Public Laws 88-290 and 86-36, Executive Orders 10450 and 12036, and DoD Directive 5210.45 (reference (c), (d), (e), (f), and (g), respectively).

d. This regulation also applies to—

(1) Applicants for ROTC programs and scholarships (AR 145-1, ref (nn)).

(2) Persons employed by, hired on an individual basis, or serving in an advisory or consultant basis, whether on a permanent, temporary, or part-time basis, without regard to whether these persons are compensated for their services from appropriated or nonappropriated funds, where Army personnel security clearances are required.

(3) Employees of the Army National Guard, Army-Air Force Exchange Service, and the American Red Cross and/or United Service Organizations (USO) where Army personnel security clear-

ances are required.

1-202 Impact on New Manning System

This regulation does not contain information that affects the New Manning System.

Section 3 DEFINITIONS

1-300 Access

The ability and opportunity to obtain knowledge of classified information. An individual, in fact, may have access to classified information by being in a place where such information is kept, if the security measures that are in force do not prevent him from gaining knowledge of such information.

1-301 Adverse Action

Any action taken with respect to an individual who has been investigated under the provisions of this Regulation that result in:

a. Denial or revocation of clearance for access to classified information.

b. Denial or revocation of a Special Access Authorization (including access to Sensitive Compartmented Information (SCI)).

c. Nonappointment or nonselection for a sensitive position when such action is based on the criteria set forth in paragraph 2-200 of this Regulation.

d. Reassignment to a position of lesser sensitivity or to a nonsensitive position when such reassignment is based on the criteria of paragraph 2-200 of this Regulation.

e. Termination of employment when such termination is based on the criteria of paragraph 2-200 of this Regulation.

f. Nonacceptance for, or discharge from, the Armed Forces when such action is based on criteria a. through f. of paragraph 2-200 of this Regulation.

1-302 Alien

Any person not a citizen or national of the United States.

1-302.1 Applicant

A person not currently employed by DA or a member of the Armed Forces.

1-303 Background Investigation (BI)

A personnel security investigation consisting of both records reviews and interviews with sources of information as prescribed in paragraph 2, Appendix B, this Regulation, covering the most recent 5 years of an individual's life or since the 18th birthday, whichever is shorter, provided that at least the last 2 years are covered and that no investigation will be conducted prior to an individual's 16th birthday.

1-303.1 Break in Federal Service

A person (military member or civilian employee) is considered to have a break in Federal Service if the person has not been affiliated with the

US Government for more than 12 months. A break in service of more than 12 months will require a new or updated personnel security investigation. The reinvestigation requirement does not apply to summer hires, part-time, or seasonal employees who return to work each year even though a break of over 12 months may technically occur. If the employee misses a year, than reinvestigation is required.

1-304 Classified Information

Official Information or material that requires protection in the interests of national security and that is classified for such purpose by appropriate classifying authority in accordance with the provisions of Executive Order 12356 (reference (h)).

1-304.1 Denial of Security Clearance

The refusal to grant a security clearance, or the refusal to grant a higher degree of clearance to a person who possesses a clearance of a lower degree.

1-304.2 Derogatory Information

Information of such nature as to constitute a possible basis for taking an adverse action.

a. Adverse loyalty information—see paragraph 2-200a through f and m.

b. Adverse suitability information—see paragraph 2-200 h through p.

1-304.3 Employee

A civilian employed by DA. The term employee is also used to denote any salaried person serving with, or employed by, the American National Red Cross or USO who is subject to assignment for overseas duty with the Armed Forces.

1-305 Entrance National Agency Check (ENTNAC)

A personnel security investigation scoped and conducted in the same manner as a National Agency Check except that a technical fingerprint search of the files of the Federal Bureau of Investigation is not conducted.

1-306 Head of DoD Component

The Secretary of Defense; the Secretaries of the Military Departments; the Chairman, Joint Chiefs of Staff; and the Directors of Defense Agencies.

1-307 Immigrant Alien

Any alien lawfully admitted into the United States under an immigration visa for permanent residence.

1-308 Interim Security Clearance

A security clearance based on the completion of minimum investigative requirements, which is granted on a temporary basis, pending the completion of the full investigative requirements.

1-308.1 Limited Access Authorization (LAA)

The formal authority granted to non-US citizens to have access to specifically prescribed and limited US classified defense information and/or material.

1-308.2 Major Army Command (MACOM)

A command directly subordinate to, established by authority of, and specifically designated by HQDA. Army component commands of unified and specified commands are major Army commands.

1-309 Minor Derogatory Information

Information that, by itself, is not of sufficient importance or magnitude to justify an adverse action in a personnel security determination.

1-310 National Agency Check (NAC)

A personnel security investigation consisting of a records review of certain national agencies as prescribed in paragraph 1, Appendix B, this Regulation, including a technical fingerprint search of the files of the Federal Bureau of Investigation (FBI).

1-311 National Agency Check and Inquiry (NACI)

A personnel security investigation conducted by the Office of Personnel Management, combining a NAC and written inquiries to law enforcement agencies, former employers and supervisors, references and schools.

1-311.1 National of the United States

A citizen of the United States, or a person who, though not a citizen of the United States, owes permanent allegiance to the United States. The provisions of this regulation are equally applicable to US citizens and nationals of the United States.

1-312 National Security

National security means the national defense and foreign relations of the United States.

1-313 Need-to-know

A determination made by a possessor of classified information that a prospective recipient, in the interest of national security, has a requirement for access to, or knowledge, or possession of the classified information in order to perform tasks or services essential to the fulfillment of an official United States Government program. Knowledge or possession of, or access to, classified information shall not be afforded to any individual solely by virtue of the individuals office, position, or security clearance.

1-314 Personnel Security Investigation (PSI)

Any investigation required for the purpose of de-

termining the eligibility of DoD military and civilian personnel, contractor employees, consultants, and other persons affiliated with the Department of Defense, for access to classified information, acceptance or retention in the Armed Forces, assignment or retention in sensitive duties, or other designated duties requiring such investigation. PSIs include investigations of affiliations with subversive organizations, suitability information, or hostage situations (see para 2-403) conducted for the purpose of making personnel security determinations. They also include investigations of allegations that arise subsequent to adjudicative action and require resolution to determine an individual's current eligibility for access to classified information or assignment or retention in a sensitive position.

1-314.1 Polygraph examination

A polygraph examination is a voluntary examination of a person by qualified examiners using polygraph equipment approved by DA. AR 195-6 (ref(n)) applies.

1-314.2 Qualification of DD Form 398

A "yes" answer to any question in item 17 of the form or any entry of national security significance in items 16, 18, 19 or the remarks section, DD Form 398, March 1964 edition.

1-314.3 Refusal to Complete DD Form 398 in its Entirety

A refusal to complete any part of items 16, 17, 18, 19 or any claim that the information requested in these items is privileged under the US Constitution or Article 31, Uniform Code of Military Justice.

1-314.4 Revocation of Security Clearance

The cancellation of a person's eligibility for access to classified information.

1-315 Scope

The time period to be covered and the sources of information to be contacted during the prescribed course of a PSI.

1-316 Security Clearance

A determination that a person is eligible under the standards of this regulation for access to classified information.

1-317 Senior Intelligence Officer

The Senior Intelligence Officers are: the Director, National Security Agency/Central Security Service; Director, Defense Intelligence Agency; Assistant Chief of Staff for Intelligence, U.S. Army; Assistant Chief of Staff for Intelligence, U.S. Air Force; and the Director of Naval Intelligence, U.S. Navy.

1-317.1 Sensitive Compartmented Information (SCI)

All information and material that requires special controls for restricted handling within compartmented intelligence systems and for which compartmentation is established.

1-318 Sensitive Position

Any position so designated within the Department of Defense, the occupant of which could bring about, by virtue of the nature of the position, a materially adverse effect on the national security. All civilian positions are either critical-sensitive, noncritical-sensitive, or non-sensitive as described in paragraph 3-101.

1-319 Significant Derogatory Information

Information that could, in itself, justify an adverse personnel security determination, or prompt an adjudicator to seek additional investigation or clarification.

1-320 Special Access Program

Any program imposing "need-to-know" or access controls beyond those normally provided for access to Confidential, Secret, or Top Secret information. Such a program includes, but is not limited to, special clearance, adjudication, investigative requirements, material dissemination restrictions, or special lists of persons determined to have a need-to-know.

1-321 Special Background Investigation (SBI)

A personnel security investigation consisting of all of the components of a BI plus certain additional investigative requirements as prescribed in paragraph 3, Appendix B, this Regulation. The period of investigation for an SBI is the last 15 years or since the 18th

birthday, whichever is shorter, provided that the last 2 full years are covered and that no investigation will be conducted prior to an individual's 16th birthday.

1-322 Special Investigative Inquiry

A supplemental personnel security investigation of limited scope conducted to update or assure completeness of a prior investigation or to prove or disprove relevant allegations that have arisen concerning a person upon whom a personnel security determination has been previously made and who, at the time of the allegation, holds a security clearance or otherwise occupies a position that requires a personnel security determination under the provisions of this Regulation. This also includes investigations for reconsideration of persons who were previously denied clearance or access.

1-322.1 Specific Geographical Area

The assignment location of a person determined by the Commanding General, US Army Military Personnel Center (MILPERCEN) together with the Assistant Chief of Staff for Intelligence.

1-322.2 Suspension of Access

The temporary withdrawal of a person's eligibility for access to classified information when information becomes known which casts doubt as to whether continued access is consistent with the best interests of the national security.

Section 4**RESPONSIBILITIES****1-400 Responsibilities**

a. the Deputy Assistant Secretary (DA Review Boards and Personnel Security) will insure the implementation of DoD Directive 5200.2 and DoD 5200.2-R.

b. The Assistant Chief of Staff for Intelligence (ACSI) will establish policy, control and exercise staff supervision of the Army personnel security program.

c. The Judge Advocate General (TJAG) will prepare allegations in cases which the ACSI recommends a person be rejected or discharged under provisions of this regulation.

d. The Commander, US Army Central Personnel Security Clearance Facility (CCF) is responsible

for the adjudication, granting, revocation and denial of personnel security clearances and SCI access eligibility determinations.

e. Local commanders will:

(1) Initiate requests for personnel security investigations.

(2) Suspend the access to classified information.

(3) Request security clearances.

(4) Grant interim security clearances.

(5) Report adverse information.

(6) Assist personnel in completing applicable forms.

These functions are usually performed by the G2, S2, or Security Manager.

Section 5**EXCEPTIONS AND WAIVERS****1-500 Exceptions and Waivers**

Authority to grant exceptions or waivers under this regulation or to submit requests for waivers or exceptions to DoD, is retained by HQDA

(DAMI-CIS). Requests for exceptions or waivers will be submitted through command channels to HQDA (DAMI-CIS), WASH DC 20310.

CHAPTER II POLICIES

Section 1

STANDARDS FOR ACCESS TO CLASSIFIED INFORMATION OR ASSIGNMENT TO SENSITIVE DUTIES

2-100 General

a. Only United States citizens shall be assigned to sensitive duties or granted access to classified information unless an authority designated in Appendix F has determined that, based on all available information, it is in the national interest, considering special expertise, to assign an individual who is not a citizen to sensitive duties or grant access to classified information. Non-U.S. citizens may be employed in the competitive service in sensitive civilian positions only when specifically approved by the Office of Personnel Management (reference(i)). Only in rare circumstances shall a non-U.S. citizen be granted access to classified information. Non-U.S. citizens issued clearances or assigned to sensitive duties prior to the issuance of this Regulation may continue in that status in accordance with this Regulation.

b. No person is entitled to knowledge of, possession of, or access to classified defense information solely by virtue of the person's office, position, grade, or security clearance. Such information will be entrusted only to those persons whose official military or other governmental duties require this knowledge or possession and who have

been investigated and cleared for access under the minimum standards prescribed by this regulation. Security clearances indicate that the persons concerned are eligible for access to classified information should their official duties require it.

2-101 Clearance and Sensitive Position Standard

The personnel security standard that must be applied to determine whether a person is eligible for access to classified information or assignment to sensitive duties is whether, based on all available information, the person's loyalty, reliability, and trustworthiness are such that entrusting the person with classified information or assigning the person to sensitive duties is clearly consistent with the interests of national security.

2-102 Military Service Standard

The personnel security standard that must be applied in determining whether a person is suitable under national security criteria for appointment, enlistment, induction, or retention in the Armed Forces is that, based on all available information, there is no reasonable basis for doubting the person's loyalty to the Government of the United States.

Section 2

CRITERIA FOR APPLICATION OF SECURITY STANDARDS

2-200 Criteria for Application of Security Standards

The ultimate decision in applying either of the standards set forth in paragraph 2-101 and 2-102 above must be an overall commonsense determination based on all available facts. Failure to satisfy these standards shall be based upon, but not necessarily limited to, the following criteria:

a. Commission of any act of sabotage, espionage, treason, terrorism, sedition, or attempts thereat or preparation therefor, or conspiring with or aiding or abetting another to commit or attempt to commit any act of sabotage, espionage, treason, terrorism, or sedition.

b. Establishing or continuing a sympathetic association with a saboteur, spy, traitor, seditionist, anarchist, terrorist, or revolutionist, or with an espionage or other secret agent or representative of a foreign nation whose interests are inimical to the interests of the United States, or with any person who advocates the use of force or violence to overthrow the Government

of the United States by unconstitutional means.

c. Advocacy of use of force or violence to overthrow the Government of the United States or of the alteration of the form of Government of the United States by unconstitutional means.

d. Knowing membership with the specific intent of furthering the aims of, or adherence to and active participation in, any foreign or domestic organization, association, movement, group, or combination of persons that unlawfully advocates or practices the commission of acts of force or violence to prevent others from exercising their rights under the Constitution or laws of the United States or subdivision thereof by unlawful means.

e. Performing or attempting to perform one's duties, or otherwise acting, so as to serve the interests of another government in preference to the interests of the United States.

f. Close continuing association with persons or organizations whose activities are of the type described in a. through e. above.

- g. Conduct of the nature described in Appendix E in prior military service or civilian employment.
- h. Excessive indebtedness.
- i. Criminal or dishonest conduct.
- j. Deliberate false statement, deception or fraud in applying for enlistment or appointment or in providing information in connection with a security clearance or assignment to a sensitive position.
- k. Habitual or episodic use of intoxicating beverages to excess.
- l. Abuse of, or addiction to, narcotics, drugs, or other controlled substances.
- m. Any facts, circumstances, or conduct that furnishes reasons to believe that the person concerned may be subject to coercion, influence, or pressure that could cause him to act contrary to the national security. Such facts or circumstances may include the pressure of an immediate family member, friend, or associate residing in a nation whose interests may be inimical to the interests of the United States or in satellites or occupied areas of such a nation. Immediate family includes parents, brothers, sisters, children, and spouse.

n. Any facts, circumstances, or conduct that indicates poor judgment, unreliability, or untrustworthiness thereby suggesting that the person concerned might fail to safeguard classified information, deliberately or inadvertently, or may not be suitable for assignment to sensitive duties.

o. Any illness, including any mental condition, of a nature which in the opinion of competent medical authority may cause significant defect in the judgment or reliability of the person concerned, with due regard to the transient or continuing effect of the illness and medical findings in such case.

p. Wanton or reckless disregard of public law, statutes, Executive orders, or willful disregard of security regulations.

q. Refusal or intentional failure to provide material facts in a personal history statement or security form or otherwise intentionally failing or refusing in the course of an investigation, interrogation or hearing, to answer or to authorize others to answer, any material questions regarding the matters set forth in a. through p. of this paragraph.

Section 3

TYPES AND SCOPE OF PERSONNEL SECURITY INVESTIGATIONS

2-300 General

The types of personnel security investigations authorized below vary in scope of investigative effort required to meet the purpose of the particular investigation. No other types are authorized. The scope of a PSI may be neither raised nor lowered without the approval of the Deputy Under Secretary of Defense for Policy Review.

2-301 National Agency Check

Essentially, a NAC is a record check of designated agencies of the Federal Government that maintain record systems containing information relevant to making a personnel security determination. An ENTNAC is a NAC (scope as set forth in Appendix B) conducted on inductees and first-term enlistees. A NAC is also an integral part of each BI, SBI, and Periodic Reinvestigation (PR). The Office of Personnel Management (OPM), formerly the Civil Service Commission (CSC), conducts NACs and written inquiries (NACIs) for all departments and agencies of the Federal Government, pursuant to Executive Order 10450 (reference (e)). NACs or NACIs conducted by the OPM meet the NAC investigative requirements of this Regulation. Chapter III prescribes when a NAC is required.

2-302 Background Investigation

A BI includes a NAC and consists of local record checks as well as interviews with potentially knowledgeable personal sources. It will normally cover the 5 year period immediately preceding the investigation;

however, certain of the record checks may provide information considerably beyond the 5-year period when the record examined is itself older than 5 years. Chapter III prescribes when a BI is required.

2-303 Special Background Investigation

a. Any SBI is essentially a BI providing additional coverage both in period of time as well as sources of information, scoped in accordance with the provisions of DCID 1/14 (reference (j)). While the kind of coverage an SBI provides is the investigative requirement of DCID 1/14 for determining eligibility for access to SCI, DoD has adopted this coverage for certain other Special Access programs. Chapter III prescribes when an SBI is required.

b. The OPM, FBI, Central Intelligence Agency (CIA), Secret Service, and the Department of State conduct specially scoped BIs under the provisions of DCID 1/14. Any investigation conducted by one of the above-cited agencies under DCID 1/14 standards is considered to meet the SBI investigative requirements of this Regulation.

c. The detailed scope of an SBI is set forth in Appendix B.

2-304 Special Investigative Inquiry

a. A Special Investigative Inquiry is a personnel security investigation conducted for either of the following purposes:

(1) To supplement a BI, SBI, or PR that has been closed out to the requester but subsequently

found to be incomplete.

(2) To prove or disprove allegations relating to the criteria set forth in paragraph 2-200 of this Regulation, except current criminal activities (see para 2-402d), that have arisen concerning a person upon whom a personnel security determination has been previously made and who, at the time of the allegation, holds a security clearance or otherwise occupies a position that requires a trustworthiness determination. (This includes investigations referred to in previous years as "complaint" investigations, now also referred to as "post-adjudicative investigations.")

b. Special Investigative Inquiries are scoped as necessary to address the specific matters requiring resolution in the case concerned and generally consist of record checks and/or interviews with potentially knowledgeable persons, including the subject of the investigation.

c. In those cases when there is a disagreement between Defense Investigative Service (DIS) and the requester as to the appropriate scope of the investigation, the matter may be referred to the Deputy Under Secretary of Defense for Policy Review for resolution. **Requests for resolution will be forwarded through command channels to HQDA(DAMI-CIS) WASH, DC 20310.**

2-305 Periodic Reinvestigation

a. General. Nationally originated directives require that certain prescribed investigations be conducted periodically as described in paragraph 3-700. While the scope of a PR varies, it consists basically of updated checks of a limited number of records. Chapter III prescribes when a PR is required.

b. The detailed scope of a PR is set forth in Appendix B.

2-306 Personal Interview

Investigative experience over the years has demonstrated that, given normal circumstances, the subject of a personnel security investigation is the best source of accurate and relevant information concerning the matters under consideration. Further, restrictions imposed by the Privacy Act of 1974 (reference (k)) dictate that Federal investigative agencies collect information to the greatest extent practicable directly from the subject when the information may result in adverse determinations about an individual's rights, benefits, and privileges under Federal programs. Accordingly, personal interviews are an integral part of the DoD personnel security program and shall be conducted in accordance with the requirements set forth in the following paragraphs of this section.

a. Resolving Adverse Information. A personal interview of the subject shall be conducted by a DIS agent (or, when authorized, by investigative personnel of other DoD investigative organizations designated in

this Regulation to conduct personnel security investigations) as part of each Special Investigative Inquiry as well as during the course of initial or expanded investigations to resolve any potential adverse information.

b. Hostage Situation. A personal interview shall be conducted by a DIS agent (or, when authorized, by investigative personnel of other DoD investigative organizations designated in this Regulation to conduct personnel security investigations) in those instances in which an individual has immediate family members or other persons bound by ties of affection or obligation who reside in a nation whose interests are inimical to the interests of the United States. (See 2-403.)

c. Applicants/Potential Nominees for DoD Military or Civilian Positions Requiring Access to SCI. A personal interview of the individual concerned shall be conducted, to the extent feasible, as part of the selection process for applicants/potential nominees for positions requiring access to SCI. The interview shall be conducted by a designee of the Component to which the applicant or potential nominee is assigned. Clerical personnel are not authorized to conduct these interviews. Such interviews shall be conducted utilizing resources in the order of priority indicated below:

(1) Existing personnel security screening systems (e.g., Air Force Resource Evaluation Program, Naval Security Group Personnel Security Interview Program, U.S. Army Personnel Security Screening Program); or

(2) Commander of the nominating organization or such official as he or she has designated in writing (e.g., Deputy Commander, Executive Officer, Security Officer, Security Manager, S-2, Counterintelligence Specialist, Personnel Security Specialist, or Personnel Officer); or

(3) Agents of investigative agencies in direct support of the Component concerned.

d. Contractor Personnel Nominated for SCI Access. Contractor personnel nominated for SCI access shall be interviewed by the DIS as a preliminary step in conducting the SBI, except for those programs for which other procedures have been approved by the Deputy Under Secretary of Defense for Policy Review.

(1) When the interview conducted by DIS develops potentially disqualifying information, DIS will report the results of the interview to the requesting organization which will advise DIS regarding the continuation of the investigation; and

(2) When the personal interview develops no potentially disqualifying information, DIS will continue the investigation and report the results of the personal interview as part of the completed investigation.

e. Administrative Procedures

(1) The personal interview required by para-

graphs c. and d., above, shall be conducted in accordance with Appendix G.

(2) For those investigations requested subsequent to the personal interview requirements of paragraph c., the following procedures apply:

(a) The DD Form 1879 (Request for Personnel Security Investigation) shall be annotated under Item 20 (Remarks) with the statement "Personal Interview Conducted Under AR 604-5 by (cite the duty assignment of the designated official (e.g., Commander, Security Officer, Personnel Security Specialist, etc.))" in all cases in which an SBI is subsequently requested for SCI purposes.

(b) Unfavorable/questionable information developed through the personal interview required by paragraphs c. and d. above will be detailed on the DD Form 1879 under Item 20 (or in an attachment) in all instances in which a personnel security investigation is subsequently requested.

(c) Whenever it is determined that it is not feasible to conduct the personal interview required by paragraphs c. and d. above prior to requesting the SBI, the DD Form 1879 shall be annotated under Item 20 citing the reason for not conducting the interview.

2-306.1 Personnel Security Screening Program

a. The US Army Military Personnel Center (MILPERCEN) is responsible for the Personnel Security Screening Program (PSSP). The PSSP was implemented to insure quality security screening is accomplished on applicants at Military Entrance Processing Stations (MEPS) for enlistment (first termers and prior service) in a critical security or nuclear related Military Occupational Specialty (MOS), or who are being assigned to duty positions requiring access to SCI. If the applicant meets pre-enlistment screening requirements and is enlisted, PSSP processing permits CCF to make a preliminary SCI access eligibility determination. Interim clearances and/or access allows the enlistee to continue to be trained in a sensitive MOS and/or be assigned to sensitive duty positions pending completion of BI or SBI.

b. The PSSP is a four-phase program as follows:

(1) Pre-enlistment security screening and initial eligibility determination by MILPERCEN Security Interviewers at MEPS.

(2) Initially acceptable enlistee is processed by one of the PPSP detachments in conjunction with Reception Station processing at Forts Dix, NJ; Gordon, GA (only for soldiers who will undergo both Basic Training and Advanced Individual Training at the installation); Jackson, SC; Leonard Wood, MO; or McClellan, AL. During this phase, the Personnel Security Screening Interview (PSSI) is conducted by US Army Intelligence and Security

Command (INSCOM) Special Agents on enlistees. A request for the appropriate PSI is normally submitted during this phase.

(3) CCF renders eligibility determination for award of interim clearances and/or access to SCI based on—

(a) Verification that BI or SBI has been opened by DIS.

(b) Favorable PSSI has been accomplished.

(c) ENTNAC or NAC, as appropriate, is completed.

(d) Review of prior service records, if any.

(e) Completion of local records checks.

(f) The review of responses made by the applicant on Security Screening Questionnaires executed at the MEPS with those responses made during the PSSI.

(4) Final adjudication by CCF, and granting or denial of security clearances and/or access to SCI after completion of PSI.

c. Personnel to be processed under the PSSI include, but are not limited to, the following categories of enlistees under the respective enlistment table of AR 601-210 (ref (ccc)):

(1) Table H-3 (Training of Choice) in an MOS requiring security clearances (Secret or higher) and/or SCI access based on a BI or SBI. MOS included: BI - 35F (SECRET), 55G (SECRET), 96B (Top Secret) and 96D (Top Secret); (Top Secret clearance with eligibility for access to SCI)—05D, 05G, 05H, 05K, 33S, 72G, 97B, 98C, 98G, and 98J.

(2) Table H-3 in an MOS not listed above but assignment instructions are issued in AIT to a permanent duty assignment with Security Investigation Status Code (SISC) "S".

(3) Table H-3 in a nuclear-related MOS. PRP eligibility is determined only at the pre-enlistment phase by the Security Interviewer.

(4) Table H-14 (USACC Enlistment Option) whose duties will require access to SCI.

(5) Table H-25 (Electronic Warfare/Cryptologic Enlistment Option).

d. The Commanding Generals, or designees, of MILPERCEN and INSCOM will coordinate procedures to effect the PSSP.

2-307 Expanded Investigation

If adverse or questionable information relevant to a security determination is developed during the conduct of a personnel security investigation, regardless of type, the investigation shall be expanded, consistent with the restrictions in paragraph 2-504, to the extent necessary to substantiate or disprove the adverse or questionable information.

Section 4

AUTHORIZED PERSONNEL SECURITY INVESTIGATIVE AGENCIES

2-400 General

The DIS provides a single centrally directed security investigative service to conduct personnel security investigations within the 50 states, District of Columbia, and Commonwealth of Puerto Rico for DoD Components (except as provided for in DoD Directive 5100.23 (reference (1)). DIS will request the Military Departments to accomplish investigative requirements of DIS in other geographic areas. No other DoD Component shall conduct personnel security investigations unless specifically authorized by the Deputy Under Secretary of Defense for Policy Review. In certain instances provided for below, the DIS shall refer an investigation to other investigative agencies.

2-401 Subversive Affiliations

a. General. In the context of DoD investigative policy, subversion refers only to such conduct as is forbidden by the laws of the United States. Specifically, this is limited to information concerning the activities of individuals or groups that involve or will involve the violation of Federal law, for the purpose of:

(1) Overthrowing the Government of the United States or the government of a state;

(2) Substantially impairing for the purpose of influencing U.S. Government policies or decisions:

(a) The functions of the Government of the United States, or

(b) The functions of the government of a state;

(3) Depriving persons of their civil rights under the Constitution or laws of the United States.

b. Military Department/FBI Jurisdiction.

Allegations of activities covered by criteria a. through e. of paragraph 2-200 of this Regulation are in the exclusive investigative domain of either the counterintelligence agencies of the Military Departments or the FBI, depending on the circumstances of the case and the provisions of the Agreement Governing the Conduct of Defense Department Counterintelligence Activities in Conjunction with the FBI (reference (m)). Whenever allegations of this nature are developed, whether before or after a security clearance has been issued or during the course of a personnel security investigation conducted by DIS, they shall be referred immediately to either the FBI or to a military department counterintelligence agency, as appropriate.

c. DIS Jurisdiction. Allegations of activities limited to those set forth in criterion f. of paragraph 2-200 of this Regulation shall be investigated by DIS in the absence of criteria a. through e. allegations. The purpose of investigating criterion f. allegations is to

determine whether criteria a through e. may apply. While investigation of criterion f. activities is authorized for the foregoing stated purpose, such activities normally would not, in the absence of other applicable information, serve as the basis for an adverse security determination.

2-402 Suitability Information

a. General. Most derogatory information developed through personnel security investigations of DoD military or civilian personnel is so-called suitability information, that is, information pertaining to activities or situations covered by criteria g. through p. of paragraph 2-200 of this Regulation. Almost all adverse personnel security actions taken by DoD authorities are based on derogatory suitability information, although such information is often used as a basis for adverse actions not of a security nature, such as action under the Uniform Code of Military Justice or removal from Federal employment under OPM regulations.

b. Preclearance Investigation. Derogatory suitability information, except that covered in d. below, developed during the course of a personnel security investigation, prior to the issuance of an individual's personnel security clearance, shall be investigated by DIS to the extent necessary to confirm or refute its applicability to criteria g. through p. of paragraph 2-200.

c. Postadjudication Investigation. Derogatory suitability allegations, except those covered by d. below, arising subsequent to clearance requiring investigation to resolve and to determine the individual's eligibility for continued access to classified information, reinstatement of clearance/access, or retention in a sensitive position shall be referred to DIS for the conduct of a Special Investigative Inquiry. Reinvestigations of individuals for adjudicative consideration due to the passage of time or evidence of favorable behavior change shall also be referred to DIS for investigation, if the individual so consents. Postadjudication investigations of allegations of a suitability nature required to support other types of adverse personnel actions or disciplinary procedures independent of a personnel security determination shall be handled in accordance with applicable Component administrative regulations. These latter categories of allegations lie outside the DoD personnel security program and are not a proper investigative function for departmental counterintelligence organizations, Component personnel security authorities, or DIS.

d. Allegations of Criminal Activity. Any allegations of conduct of a nature indicating possible criminal conduct, including any arising during the course of a personnel security investigation, shall be referred to

the appropriate military department or civilian criminal investigative agency. **Military department investigative agencies have primary investigative jurisdiction in cases where there is probable cause to believe that the alleged conduct will be the basis for prosecution under the Uniform Code of Military Justice. Such information will be referred to the installation or unit Provost Marshal and/or Security Manager or the US Army Criminal Investigation Command for action.**

2-403 Hostage Situations

a. General. A hostage situation exists when a member of an individual's immediate family or such other person to whom the individual is bound by obligation or affection resides in a nation whose interests are inimical to the interest of the United States. The rationale underlying this category of investigation is based on the possibility that an individual in such a situation might be coerced, influenced, or pressured to act contrary to the best interests of national security.

b. DIS Jurisdiction. In the absence of evidence of any coercion, influence or pressure, hostage investigations are exclusively a personnel security matter, rather than counterintelligence, and all such investigations shall be conducted by DIS.

c. Military Department and/or FBI Jurisdiction. Should indications be developed that hostile intelligence is taking any action specifically directed against the individual concerned—or should there exist any

other evidence that the individual is actually being coerced, influenced, or pressured by an element inimical to the interests of national security—then the case becomes a counterintelligence matter (outside of investigative jurisdiction of DIS) to be referred to the appropriate military department or the FBI for investigation.

2-204 Overseas Personnel Security Investigations.

Personnel security investigations requiring investigation overseas shall be conducted under the direction and control of DIS by the appropriate military department investigative organization (**AR 381-20, ref (ww) applies**). Only postadjudication investigations involving an overseas subject, **to include LAA cases**, may be referred by the requestor directly to the military department investigative organization having investigative responsibility in the overseas area concerned (see Appendix C) and a copy of the investigative request will be sent to DIS. In such cases, the military department investigative agency will complete the investigation, forward the completed report of investigation directly to DIS, and send a copy of the completed report of investigation to the requester. In the case of Army and Air Force requesters, the copy will be sent to the U.S. Army Central Personnel Security Clearance Facility, Ft. George Meade, Maryland, and the Personnel Security Division, Headquarters, USAF, respectively. **Copies of completed investigations for LAAs will not be sent to CCF.**

Section 5

LIMITATIONS AND RESTRICTIONS

2-500 Requester and Personnel Security Determination Authority.

Personnel security investigations may be requested and personnel security clearances (including Special Access authorizations as indicated) may be issued only by those authorities designated in paragraph 5-101 and Appendix F.

2-501 Limit Investigations and Access

The number of persons cleared for access to classified information shall be kept to a minimum, consistent with the requirements of operations. Special attention shall be given to eliminating unnecessary requests for personnel security investigations.

2-502 Collection of Investigative Data

To the greatest extent practicable, personal information relevant to security determination shall be obtained directly from the subject of a personnel security investigation. Such additional information required to make the necessary personnel security determination shall be obtained as appropriate from knowledgeable personal sources, particularly the subject's peers, and through checks of relevant records including school,

employment, credit, medical, and law enforcement records.

2-503 Privacy Act Notification.

Whenever personal information is solicited from an individual for the purpose of initiating a personnel security investigation, the individual must be informed of (1) the authority (statute or Executive order that authorized solicitation); (2) the principal purpose or purposes for which the information is to be used; (3) the routine uses to be made of the information; (4) Whether furnishing such information is mandatory or voluntary; and (5) the effects on the individual, if any, of not providing the information. All DoD personnel security forms that are intended to be completed by the subjects of investigation will include this five-point notification within the body of the form or a separate notification shall accompany the investigative form when it is given to the individual for completion. DoD activities that furnish investigative forms directly to individuals for completion must ensure that the individuals are provided this five-point notification by one of the two methods indicated above or (when supplemental personal data is orally solicited) that the no-

tice is given orally to the subject of investigation.

2-504 Restrictions on Investigators

Investigation shall be carried out insofar as possible to collect only as much information as is relevant and necessary for a proper personnel security determination. Questions concerning personal and domestic affairs, national origin, financial matters, and the status of physical health thus should be avoided unless the question is relevant to the criteria of paragraph 2-200 of this Regulation. Similarly, the probing of a person's thoughts or beliefs and questions about conduct that have no personnel security implications are unwarranted. When conducting investigations under the provisions of this Regulation, investigators shall:

a. Investigate only cases or persons assigned with in their official duties.

b. Interview sources only where the interview can take place in reasonably private surroundings.

c. Always present credentials and inform sources of the reasons for the investigation. Inform sources of the subject's accessibility to the information to be provided and to the identity of the sources providing the information. Restrictions on investigators relating to Privacy Act advisements to subjects of personnel security investigations are outlined in paragraph 2-503.

d. Furnish only necessary identity data to a source, and refrain from asking questions in such a manner as to indicate that the investigator is in possession of derogatory information concerning the subject of the investigation.

e. Refrain from using, under any circumstances, covert or surreptitious investigative methods, devices, or techniques including mail covers, physical or photographic surveillance, voice analyzers, inspection of trash, paid informants, wiretap, or eavesdropping devices.

f. Refrain from accepting any case in which the investigator knows of circumstances that might adversely affect his fairness, impartiality, or objectivity.

g. Refrain, under any circumstances, from conducting physical searches of the subject or his property.

h. Refrain from using a polygraph in any investigation conducted under this Regulation, except as provided for in DoD Directive 5210.48 (AR 195-6) (ref(n)).

i. Refrain from attempting to evaluate material contained in medical files. Medical files shall be evaluated for personnel security program purposes only by

such personnel as are designated by DoD medical authorities. However, review and collection of medical record information may be accomplished by authorized investigative personnel.

2-505 Polygraph Restrictions

The polygraph shall not be used as a personnel security screening measure except in those limited instances authorized by the Secretary of Defense in DoD Directive 5210.48 (AR 195-6) (reference (n)).

2-506 Screening Out Minor Unfavorable Information

a. During the course of a personnel security investigation, some unfavorable personal information of a minor nature may be collected that has little significance in making a personnel security determination. The forwarding of such reports of investigation serves only to use adjudicative time and divert attention from more important cases. In addition, unnecessary dissemination of such trivial data may be unnecessarily intrusive of personal privacy. Accordingly, DIS will screen all personnel security reports of investigation using a logic table of minor derogatory data, consistent with Appendix E, for the purpose of not disseminating unfavorable personal information of a minor nature.

b. The Director, DIS, will establish and maintain procedures to insure that only adverse/derogatory/questionable information falling within the criteria of Appendix E will be forwarded to requesters. Those reports of investigation that pertain to persons on whom there is either no adverse information or only minor unfavorable information will be retained in DIS files and reported to the requesters by annotating the request form (DD 1879, DD 1584, or letter of request) with a statement indicating (1) type of investigation, (2) the date investigation was completed, (3) the fact that no significant information was developed, and (4) enumeration of sources contacted (i.e., identification of agencies checked, extent of local agencies, employment, residences, education, credit, medical, and/or references checked). Components whose reports are specifically excluded from the foregoing policy by the Secretary of Defense or the Deputy Under Secretary of Defense for Policy Review will receive all reports of investigation. The procedures of this section do not apply to investigations of personnel nominated for Special Access programs except Navy personnel requiring access to SCI.

CHAPTER III PERSONNEL SECURITY INVESTIGATIVE REQUIREMENTS

Section 1 SENSITIVE POSITIONS

3-100 Designation of Sensitive Positions

Certain civilian positions within the Department of Defense entail duties of such a sensitive nature, including access to classified information, that the misconduct, malfeasance, or nonfeasance of an incumbent in any such position could result in an unacceptably adverse impact upon the national security. These positions are referred to in this Regulation as sensitive positions. It is vital to the national security that great care be exercised in the selection of individuals to fill such positions. Similarly, it is important that only positions which truly meet the criteria set forth in paragraph 3-101 be designated as sensitive. **A sensitive position will not be downgraded or reclassified as nonsensitive solely to aid the recruitment of personnel.**

3-101 Criteria for Security Designation of Positions

Each civilian position within the Department of Defense shall be categorized, with respect to security sensitivity, as either nonsensitive, noncritical-sensitive, or critical-sensitive.

a. The criteria to be applied in designating a position as sensitive are:

(1) Critical-sensitive

(a) Access to Top Secret Information.
(b) Development or approval of plans, policies, or programs that effect the overall operations of the Department of Defense or of a DoD Component.

(c) Development or approval of war plans, plans or particulars of future major or special operations of war, or critical and extremely important items of war.

(d) Investigative and certain investigative support duties, the issuance of personnel security clearances or access authorizations, or the making of personnel security determinations.

(e) Fiduciary, public contact, or other duties demanding the highest degree of public trust.

(f) Duties falling under Special Access programs.

g. Category I automated data program positions.

(h) Any other position so designated by the head of the Component or designee.

(2) Noncritical-sensitive

(a) Access to Secret or Confidential information.

(b) Security police/provost marshal-type duties involving the enforcement of law and security duties involving the protection and safeguarding of DoD personnel and property.

(c) Category II automated data program positions.

(d) Duties involving education and orientation of DoD personnel.

(e) Duties involving the design, operation, or maintenance of intrusion detection systems deployed to safeguard DoD personnel and property.

(f) Any other position so designated by the head of the Component or designee.

b. All other positions shall be designated as nonsensitive.

3-102 Authority to Designate Sensitive Positions

The authority to designate sensitive positions is limited to those authorities designated in Appendix F, paragraph G. These authorities shall designate each position within their jurisdiction as to its security sensitivity and maintain these designations current vis-a-vis the specific duties of each position.

3-103 Limitation of Sensitive Positions

It is the responsibility of those authorities authorized to designate sensitive positions to insure that (1) only those positions are designated as sensitive that meet the criteria of paragraph 3-101 above and (2) that the designation of sensitive positions is held to a minimum consistent with mission requirements. Designating authorities shall maintain an annual accounting of the number of sensitive positions by category and specific designation criteria.

Section 2 CIVILIAN EMPLOYMENT

3-200 General

The appointment of each civilian employee in any DoD Component is subject to investigation, except for reappointment when the break in employment is less than 12 months. The type of investigation required is set forth in this section according to position sensitivity.

3-201 Nonsensitive Positions

A NACI shall be requested no more than 3 work days after appointment to nonsensitive positions.

3-201.1 Exceptions to Investigative Requirements

The following exceptions have been granted DA by the Office of Personnel Management (OPM):

a. When a person, either a US citizen or an alien (who will work within the US and its territories or possessions), is to be assigned to a nonsensitive position on a temporary basis not to exceed 6 months, a NACI is not automatically required. The person will be subject to this investigation as is consistent with the circumstances and duties involved as determined by the commander or head of the activity. In no case will this investigation be less than the preemployment inquiries prescribed by CPR 296-31, appendix B, S731-3. Commanders will assure maximum and proper use of this exception.

b. A non-US citizen to be assigned to a nonsensitive position outside the US and its territories and possessions will be subject to so much of the investigation outlined below as it is feasible to conduct.

(1) A check of the national investigative agencies of the foreign government.

(2) A check of appropriate local law enforcement agencies at the place or places where the person has resided for the past 5 years.

(3) A check of the appropriate US military intelligence files.

c. The requirement for the "written inquiries" portion of the NACI in connection with summer hire personnel being considered for assignment to sensitive positions has been waived. A NACI will be required if a summer hire employee subsequently receives appointment as a permanent civilian employee.

d. A NACI will not be requested for a military or civilian family member employee hired under 5 CFR 213.3106 (b)(6). Commanders will assure that this employment will not be adverse to US interests.

3-202 Noncritical-sensitive Positions

A NACI shall be requested and the NAC portion

favorably completed prior to appointment to noncritical-sensitive positions (for exceptions see paragraph 3-204).

3-203 Critical-sensitive Positions

A BI shall be completed favorably prior to appointment to critical-sensitive positions (for exceptions see paragraph 3-204). Certain critical-sensitive positions require a preappointment SBI in accordance with section 5 of this chapter. Preappointment BIs and SBIs will be conducted by DIS.

3-204 Exceptions

a. Noncritical-sensitive. In an emergency, a noncritical-sensitive position may be occupied pending the completion of the NAC portion of the NACI if the head of the requesting organization finds that the delay in appointment would be harmful to the national security and such finding shall be reduced to writing and made part of the civilian personnel record. In such instances, the position may be filled only after the NACI has been requested.

b. Critical-sensitive. In an emergency, a critical-sensitive position may be occupied pending completion of the BI (or SBI, as appropriate) if the head of the requesting organization finds that the delay in appointment would be harmful to the national security and such finding shall be reduced to writing and made a part of the civilian personnel record. In such instances, the position may be filled only when the NAC portion of the BI (or SBI) has been completed and favorably adjudicated.

c. For use with the exceptions a and b above, a delay in appointment may be considered harmful to national security if—

(1) Regulatory requirements, mission essential functions, or responsibilities cannot be met.

(2) No other personnel are available, on a temporary basis, to complete these requirements.

Section 3

MILITARY APPOINTMENT, ENLISTMENT, AND INDUCTION

3-300 General

The appointment, enlistment, and induction of each member of the Armed Forces or their Reserve Components shall be made subject to investigation. The types of investigation required are set forth in this section.

3-301 Entrance Investigation

An ENTNAC shall be conducted on each enlisted member of the Armed Forces at the time of initial entry into the service as well as reentry when there is a break of service greater than 12 months, and a full NAC shall be conducted on each commissioned officer, except as permitted by paragraph 3-303 of this sec-

tion, warrant officer, cadet, midshipman, and Reserve Officers Training Candidate, at the time of appointment. A full NAC shall be conducted upon reentry of any of the above when there has been a break in service greater than 12 months. A precommission NAC for an ROTC student is acceptable for appointment and clearance purposes even if the investigation is over 12 months old at time of appointment. The student must not have had a break of more than 12 months in the academic progression from the date of investigation to time of appointment. If there is a break of more than 12 months in the academic progression between the

investigation and appointment, a new NAC is required. If an officer or warrant officer candidate has been the subject of a favorable NAC or ENTNAC and there has not been a break in service of more than 12 months, a new NAC is not authorized.

3-302 Reserve Components and National Guard

Reserve Component and National Guard personnel not on active duty are subject to the investigative requirements of this chapter.

3-303 Exceptions for Certain Commissioned Officers of Reserve Components

The requirements for entrance investigation shall

be rigidly adhered to except as follows. Health professionals, chaplains, and attorneys may be commissioned in the Reserve Components prior to completion of a NAC provided that:

a. A NAC is initiated at the time and application for a commission is received; and

b. The applying health professional, chaplain, or attorney agrees in writing that, if the results of the investigation are unfavorable, he or she will be subject to discharge if found to be ineligible to hold a commission. Under this exception, commissions in Reserve Components other than the National Guard may be tendered to immigrant alien health professionals, chaplains, and attorneys.

Section 4

SECURITY CLEARANCE

3-400 General

Military personnel, DoD civilian personnel, and persons who are employed by or serving in a consultant capacity to the DoD, may be considered for access to classified information when such access is required in connection with official duties. Such individuals may be granted either a final or interim personnel security clearance provided the investigative requirements set forth below are complied with, and provided further that all information has been adjudicated and a finding made that such clearance would be clearly consistent with the interests of national security.

3-401 Investigative Requirements for Clearance (US citizens).

a. Top Secret

(1) Requirement for final clearance

(a) Civilian employee and consultants: BI.

(b) Military: BI. (Top Secret clearances granted before the date of the original issuance of this regulation based on a NAC plus 10 years continuous, active, honorable service will not require initiation of a BI.)¹

(2) Requirement for interim clearance

(a) Civilian employees and consultants: NAC provided that a BI has been requested (see paragraphs 3-800 and 3-204).¹

(b) Military: NAC/ENTNAC provided that a BI has been required (see paragraph 3-800).¹

b. Secret

(1) Requirements for final clearance

(a) Civilian employees and consultants: NACI

conducted by OPM or an advance NAC conducted by DIS in connection with a BI or SBI; except for summer hires who may be granted final clearance on the basis of a favorably completed NAC conducted by DIS.

(b) Military: NAC or ENTNAC.¹

(2) Requirements for interim clearance

(a) Civilian employees and consultants: NACI has been initiated and an authority designated in appendix F finds that a delay in such appointment and issuance of clearance would be harmful to the national security and makes a record of such finding (see paragraph 3-800 and 3-204).¹

(b) Military: A check of the Defense Central Index of Investigations (DCII).¹

c. Confidential

(1) Requirements for final clearance

(a) Civilian employees and consultants: NACI conducted by OPM; or an Advance NAC conducted by DIS in connection with a BI or SBI; except for summer hires who may be granted final clearance on the basis of a favorably completed NAC conducted by DIS.

(b) Military: NAC or ENTNAC.

(2) Requirements for interim clearance

(a) Civilian employees and consultants:

1 NAC portion of a NACI.

2 NACI has been initiated and an authority designated in appendix F finds that a delay in issuing the clearance would be harmful to the national security and makes a record of such finding (see paragraph 3-800 and 3-204).¹

(b) Military: A check of the DCII and local personnel files.¹

d. Interim security clearances. Only the authorities, or designees, identified in paragraph 3-800 may grant interim personnel security clearances. The exceptions stated in paragraph 3-204 apply only to emergency appointment of civilian employees, not the granting of interim security clearances.

¹ The final or interim clearance may be issued only after personnel, base/military police, medical, and security records have been reviewed with favorable results. The DCII check may be either telephonically or in writing by the DoD Component organization authorized to request personnel security investigation. If the check reveals the existence of an investigative file must be reviewed favorably by the element designated by the component to adjudicate personnel investigations.

3-402 Security Clearances for Non-United States Citizens

Subject to the general policy stated in paragraph 2-100 of this Regulation, the following applies:

a. Immigrant Aliens

(1) An immigrant alien may be granted only a final Secret or Confidential clearance upon completion of a BI (scoped for 15 years) provided that it discloses no derogatory information relating to the criteria set forth in paragraph 2-200 of this Regulation indicating that such access would not be clearly consistent with the interests of national security. Neither Top Security nor interim Secret clearance is authorized. Interim clearance for Confidential is authorized in emergency situations provided that (1) a personal interview is conducted by an investigator, personnel security, or counterintelligence specialist with favorable results, (2) a NAC is completed with favorable results, and (3) the required BI has been initiated. **A polygraph examination may be conducted under AR 195-6 (ref (n)) to verify information that cannot be verified through other investigative means. The examination is strictly voluntary and the person must give written consent.**

(2) When a individual is admitted to the United States for a permanent residence, there is established a presumption that there has been a change of national allegiance from the native country to that of the United States. When an individual becomes eligible for citizenship but elects not to become a citizen, the presumption of primary national allegiance to the United States is placed in doubt. Accordingly, if an immigrant alien does not become a citizen within 12 months after becoming eligible for citizenship, any personnel security clearance shall be administratively reviewed by the person's commander to determine if it is clearly consistent with the national security to continue the clearance. Non-U.S. citizens currently holding clearances who are eligible for U.S. citizenship may continue to have the clearance for a period of 12 months after which their status will be reviewed by the commander to determine continuing need in accordance with this Regulation.

b. Nonimmigrant Aliens (Foreign Nationals)

Aliens, other than those covered in a. above, shall not be granted personnel security clearances.

3-403 Limited Access Authorizations for Non-United States Citizens

Every effort shall be made to insure that non-United States citizens are not employed in duties that require access to classified information. **Commanders will attempt to fill any vacant or newly created position that requires access to classified information first with US citizens (military personnel, civilian employees, their family members if quali-**

fied or contractors if appropriate), then qualified immigrant aliens. If the position cannot be filled with a clearable US citizen or immigrant alien, the commander may then consider requesting an LAA for a foreign national. However, when it is determined that employment of a non United States citizen in duties requiring access to certain classified information relating to a specific program is necessary in furthering the mission of the Department of Defense and when such access is clearly consistent with the interests of national security such an individual may be granted a "Limited Access Authorization" for classified information relating to that program under the following conditions:

a. In each case, there shall have been completed with favorable results a BI (scoped for 15 years). If geographical and political situations prevent the full completion of a BI, as prescribed by paragraph 2-302 of this regulation, access shall not be authorized unless the investigative information obtainable is sufficiently complete and reliable to enable the authority empowered to grant access to determine that such access is clearly consistent with the interests of national security. **A polygraph examination may be conducted to cover that portion of the individual's life which cannot be investigated because of geographical, political, or other considerations, provided the person consents in writing. Non-US persons who refuse to be polygraphed will not be granted an LAA.**

b. Limited Access Authorizations to Top Secret information shall be kept to the minimum consistent with the requirements of national security and may be granted only upon the written and personal authorization of the authorities designated in paragraph B, appendix F. In each case of granting such access, a record of the authorization shall be made to include:

(1) The identity of the individual to whom access is granted;

(2) The specific nature and description of the material to which access is authorized; and

(3) The reasons for granting the access authorization. A report of each determination granting a Limited Access Authorization to Top Secret information shall be furnished, **through the OACSI**, to the Deputy Under Secretary of Defense for Policy Review.

c. Limited Access Authorizations to Secret and Confidential information may be granted by officials designated by those authorities specified in paragraphs B.2. and 3., appendix F. Each case approved shall be made a matter of official record and will contain that information required by b, above.

(1) The appropriate authority, upon granting an LAA, will prepare DA Form 3028-R (Limited Access Authorization). DA Form 3028-R will be reproduced locally on 8½ by 11 inch paper. A copy

for reproduction purposes is located at the back of this regulation.

(2) MACOM commanders will determine distribution of DA Form 3028-R.

(3) A job description and commander's statement will accompany each DA Form 3028-R.

(4) An LAA will remain in effect for 5 years unless sooner revoked or rescinded by change of duties, termination of employment, or similar circumstances. Renewal requests will be processed through the channels provided for original requests. Reinvestigation will be accomplished every 5 years during the period of authorization but need not include an additional polygraph examination, if previously conducted, unless security considerations presented in an individual case warrant reexamination.

d. Heads of DoD Components shall compile an annual tabulation of Limited Access Authorizations granted at the Secret and Confidential levels. Tabulations will be compiled by commanders identified in appendix F on a calendar year basis, with cutoff of 31 December, and submitted to HQDA(DAMICIS), WASH DC 20310, on call.

e. LAAs will be limited to persons who possess a special skill or technical expertise essential to the national security that is not available with US personnel. These authorizations will not be granted

to secretarial or clerical personnel and other persons that perform routine administrative duties because this is not considered a special skill or technical expertise essential to the national security.

f. Commanders are reminded that an LAA is not a security clearance, but an authorization for access to specific, US classified information in performance of job duties. Exposure to classified information outside the scope of an approved LAA is a compromise of classified information and will be processed according to AR 380-5 (ref (o)).

3-404 Access by Persons Outside the Executive Branch

Access to classified information by persons outside the Executive Branch shall be effected in accordance with Chapter VII, DoD 5200.1-R (AR 380-5) (reference (o)). The investigative requirement shall be the same as for security clearance.

3-405 Administrative Downgrading

Clearance certificates, regardless of level, will not be administratively reduced or invalidated because a person has been assigned to duties that do not need access to the same or lower degree of classified information; the permanent duty station has been changed; to avoid revocation when credible derogatory information is a factor.

Section 5

SPECIAL ACCESS PROGRAMS

3-500 General

It is the policy of the Department of Defense to establish, to the extent possible, uniform and consistent personnel security investigative requirements. Accordingly, investigations exceeding established requirements are authorized only when mandated by statute or national or international regulations and agreements. In this connection, there are certain Special Access programs originating at the national or international level that require personnel security investigations and procedures of a special nature. These programs and the special investigative requirements imposed by them are described in this section. A Special Access program is any program designed to control access, distribution, and protection of particularly sensitive information established pursuant to section 4-2 of Executive Order 12065 (reference (h)) and prior Orders. DoD 5200.1-R (AR 380-5) (reference (o)) governs the establishment of Departmental Special Access Programs.

3-500.1 Security Programs

Security clearance determinations for surety position nominees under the provisions of AR 50-5, AR 50-6 and AR 380-380 (ref (q), (w) and

(uu)) will be made by the Commander, CCF. Personnel Reliability Program determinations are the responsibility of the unit commander.

3-501 Sensitive Compartmented Information (SCI)

a. The investigative requirements for access to SCI is an SBI, including a NAC on the spouse and the individual's immediate family of 18 years or over who are United States citizens other than by birth or who are resident aliens.

b. When a previous investigation has been conducted on a scope at least equal to that of an SBI and completed within the past 12 months, it shall be considered to meet the basic investigative requirements for SCI even though there has been a break in the individual's military service, DoD civilian employment, or access to classified information under the Industrial Security Program, unless derogatory or questionable information exists that would impact on the individual's eligibility for access to SCI.

c. When a previous investigation has been conducted within the past 5 years which substantially meets the investigative requirements prescribed by this section, it may serve as a basis for granting access approval provided that there has been no break in the individ-

ual's military service, DoD civilian employment, or access to classified information under the Industrial Security Program greater than 12 months. DCID $\frac{1}{4}$ (ref (j) and TB 380-35 (ref (III)) apply.

3-501.1 General Officer (GO) SCI Access Determinations

a. A retired GO may participate in activities requiring one time SCI access under TB 380-35 (ref (III)) provided—

(1) The GO has a favorably completed SBI which meets the standards of DCID $\frac{1}{4}$ at the time the investigation was completed.

(2) The GO is officially representing the US Government at the request of an authorized US Government agency. This excludes one-time SCI access when the GO is representing a US Government contractor, consulting firm, independent business, or the GO.

(3) No disqualifying information is available that would preclude granting SCI access.

b. Active duty GOs whose SBI exceeds the 5 year expiration period and who state an intention to retire within 6 months will not be required to have an SBI PR. Such GOs will be encouraged to submit a request for an SBI PR because it would be advantageous to the Army and the GO to maintain current SCI eligibility.

3-502 Single Integrated Operation Plan—Extremely Sensitive Information (SIOP-ESI)

The investigative requirement for access to SIOP-ESI is an SBI, including a NAC on the spouse and the individual's immediate family who are 18 years of age or over and who are United States citizens other than by birth or who are resident aliens.

3-503 Presidential Support Activities

a. DoD Directive 5210.55 (AR 614-3) (reference (p)) prescribes the policies and procedures for the nomination, screening, selection, and continued evaluation of DoD military and civilian personnel and contractor employees assigned to or utilized in Presidential Support activities. The type of investigation of individuals assigned to Presidential Support activities varies according to whether the person investigated is Category One or Category Two personnel as indicated below:

(1) Category One

(a) Personnel assigned on a permanent or full-time basis to duties in direct support of the President (including the office staff of the Director, White House Military Office, and all individuals under his control):

1 Presidential aircrew and associated maintenance and security personnel.

2 Personnel assigned to the White House communications activities and the Presidential retreat.

3 White House transportation personnel.

4 Presidential mess attendants and medical personnel.

5 Other individuals filling administrative positions at the White House.

(b) Personnel assigned on a temporary or part-time basis to duties supporting the President:

1 Military Social Aides

2 Selected security, transportation, flight-line safety, and baggage personnel.

3 Others with similar duties.

(c) Personnel assigned to the Office of the Military Aide to the Vice President.

(2) Category Two

(a) Personnel assigned to honor guards, ceremonial units, and military bands who perform at Presidential functions and facilities.

(b) Employees of contractors who provide service or contractors employees who require unescorted access to Presidential Support areas, activities, or equipment—including maintenance of the Presidential retreat, communications, and aircraft.

(c) Individuals in designated units requiring a lesser degree of access to the President or Presidential Support activities.

b. Personnel nominated for Category One duties must have been the subject of an SBI, including a NAC on the spouse and all members of the individual's immediate family of 18 years of age or over who are United States citizens other than by birth or who are resident aliens. The SBI must have been completed within the 12 months preceding selection for Presidential Support duties. If such an individual marries subsequent to the completion of the SBI, the required spouse check shall be made at that time.

c. Personnel nominated for Category Two duties must have been the subject of a BI, including a NAC on the spouse and all members of the individual's immediate family of 18 years of age or over who are United States citizens other than by birth or who are resident aliens. The BI must have been completed within the 12 months preceding selection for Presidential Support duties. It should be noted that duties (separate and distinct from their Presidential Support responsibilities) of some Category Two personnel may make it necessary for them to have special access clearances which require an SBI.

d. The US citizenship of foreign-born immediate family members of all Presidential Support nominees must be verified by investigation.

3-504 Nuclear Weapon Personnel Reliability Program (PRP)

a. DoD Directive 5210.42 (AR 50-5) (reference (q)) sets forth the standards of individual reliability required for personnel performing duties associated with nuclear weapons and nuclear components. The in-

vestigative requirement for personnel performing such duties is:

(1) **Critical Position: BI.** In the event that it becomes necessary to consider an individual for a critical position and the required BI has not been completed, interim certification may be made under carefully controlled conditions as set forth below.

(a) The individual has had a favorable NAC (or ENTNAC) within the past 5 years without a break in service or employment in excess of 1 year.

(b) The BI has been requested.

(c) All other requirements of the PRP screening process have been fulfilled.

(d) The individual is identified to supervisory personnel as being certified on an interim basis.

(e) The individual is not used in a two-man team with another such individual.

(f) Justification of the need for interim certification is documented by the certifying official.

(g) Should the BI not be completed within 150 days from the date of the request, the certifying officials shall query the Component clearance authority who shall ascertain from DIS the status of the investigation. On the basis of such information, the certifying official shall determine whether to continue or to withdraw the interim certification.

(2) **Controlled Position: NAC.**

(a) An ENTNAC completed for the purpose of first term enlistment or induction into the Armed Forces satisfies this requirement.

(b) Interim certification is authorized for an individual who does not meet the requirement of a current ENTNAC/NAC, i.e., completed within the past 5 years, subject to the following conditions:

1 The individual has had a favorable ENTNAC/NAC, or higher investigation, that is more than 5 years old and has not had a break in service or employment in excess of 1 year.

2 A new NAC has been requested.

3 All other requirements of the PRP screening process have been fulfilled.

4 Should the ENTNAC/NAC not be completed within 90 days from the date of the request, the procedures set forth above for ascertaining the delay of the investigation in the case of a critical position shall apply.

(3) Additional requirements apply.

(a) The investigation upon which certification is based must have been completed within the last 5

years from the date of initial assignment to a PRP position and there must not have been a break in service or employment in excess of 1 year between completion of the investigation and initial assignment.

(b) In those cases in which the investigation was completed more than 5 years prior to initial assignment or in which there has been a break in service or employment in excess of 1 year subsequent to completion of the investigation, a reinvestigation is required.

(c) Subsequent to initial assignment to the PRP, reinvestigation is not required so long as the individual remains in the PRP.

(d) A medical evaluation of the individual as set forth in DoD Directive 5210.42 (AR 50-5) (reference (q)).

(e) Review of the individual's personnel file and other official records and information locally available concerning behavior or conduct which is relevant to PRP standards.

(f) A personal interview with the individual for the purpose of informing him of the significance of the assignment, or reliability standards and of the need for reliable performance, and of ascertaining his attitude with respect to the PRP.

3-505 North Atlantic Treaty Organization (NATO) Staff

a. A BI, scoped to cover the last 10 years of the individual's life, shall be favorably completed on United States military and civilian personnel within 5 years prior to assignment to the NATO staff if the duty position requires access to NATO COSMIC (TOP SECRET) information. Otherwise, assignment to NATO staff positions require only a NAC/ENTNAC completed within the past 5 years.

b. A security clearance is not required for access to NATO RESTRICTED information. AR 380-15 (ref (ss)) applies.

3-506 Other Special Access Programs

Special investigative requirements for Special Access programs not provided for in this paragraph may not be established without the written approval of the Deputy Under Secretary of Defense for Policy Review.

3-507 Automated Data Processing (ADP) Positions

A favorable ENTNAC, NAC, or NACL, as a minimum, is required for personnel in ADP positions. AR 380-380 (ref (uu)) applies.

Section 6

CERTAIN POSITIONS NOT NECESSARILY REQUIRING ACCESS TO CLASSIFIED INFORMATION

3-600 General

DoD Directive 5200.8 (AR 380-20) (reference (r)) outlines the authority of military commanders under

the Internal Security Act of 1950 to issue orders and regulations for the protection of property or places under their command. Essential to carrying out this re-

sponsibility is a commander's need to protect the command against the action of untrustworthy persons. Normally, the investigative requirements prescribed in this Regulation for access to classified information should suffice to enable a commander to determine the trustworthiness of individuals whose duties require access to classified information or appointment to positions that are sensitive for reasons not involving such access. However, there are certain categories of positions or duties which, although not requiring access to classified information, if performed by untrustworthy persons, could enable them to jeopardize the security of the command or otherwise critically endanger the national security. The investigative requirements for such positions or duties are detailed in this section.

3-601 Unescorted Entry of DoD Contractor Employees to Restricted Areas

a. Normally entry into restricted areas shall be limited either to persons who have undergone the appropriate security investigation or to other persons who are under the escort of appropriately cleared personnel. However, contractor employees requiring regular (at least weekly) access to restricted areas, whose duties do not otherwise require access to classified information, may be afforded such unescorted entry when the critical importance of a commander's mission to national security and its vulnerability to sabotage require a determination as to the trustworthiness of such persons. In those cases, at least a NAC shall be completed prior to permitting such unescorted entry.

b. Requests for investigation under the provisions of this paragraph should be kept to a minimum. In those instances considered to meet this limited criterion, the Component concerned shall request approval of the Deputy Under Secretary of Defense for Policy Review for authority to request NACs on those contractor employees requiring unescorted entry to a restricted area. A detailed justification shall accompany the request, clearly detailing the importance of the command's mission to national security, its susceptibility to sabotage, and the need for unescorted entry. **Requests will be submitted by the installation commander through command channels to HQDA(DAMI-CIS) WASH DC 20310.**

3-602 Nonappropriated Fund Employees

a. All Nonappropriated Fund Instrumentalities personnel employed by DoD, as part of the employment requirements of reference (s), shall have been the subject of a NAC favorably completed no longer than the 12 months prior to employment or a favorable prior investigation with no break in Federal service greater than 12 months.

b. **If a Nonappropriated Fund employee requires a security clearance, the commander of the host installation will request issuance of a personnel security clearance from CCF.**

3-603 Customs Inspectors

DoD employees appointed as customs inspectors, under waivers approved in accordance with DoD 5030.49-R (AR 190-41) (reference (t)), shall have undergone a NAC favorably completed within the past 5 years unless there has been a break in DoD employment greater than 1 year in which case a current NAC is required.

3-604 Red Cross/United Service Organizations (USO) Personnel

a. A NAC shall be favorably completed on Red Cross or United Service Organizations personnel as prerequisite for assignment with the Armed Forces overseas (DoD Directive 5210.25 (AR 380-49) (reference (u))).

b. **NACs on Red Cross or USO employees will be processed by the Defense Industrial Security Clearance Office UP DoD 5210.25 (AR 380-49) (ref (u)).**

c. **If a Red Cross or USO employee requires a security clearance, the commander of the host installation will request issuance of a personnel security clearance from CCF.**

d. **NAC provisions of a and b above do not apply to foreign nationals employed by the Red Cross or USO. Determinations for this category of employee will be governed by local hiring policies and procedures.**

3-605 Officials Authorized to Issue Security Clearances

Any person authorized to issue personnel security clearances shall have been the subject of a favorably complete BI.

3-605.1 Officials Authorized to Grant Access to SCI

Any person authorized to grant access to SCI will have been the subject of a favorably completed SBI.

3-606 Personnel Security Clearance Adjudication Officials

Any person selected to serve with a board, committee, or other group responsible for adjudicating personnel security cases shall have been the subject of a favorably completed BI.

3-607 Persons Requiring DoD Building Passes

Pursuant to DoD Directive 5210.46 (AR 380-4) (reference (v)), each person determined by the designated authorities of the Components concerned as having an official need for access to DoD buildings in the National Capitol Region shall be the subject of a favorable NAC prior to issuance of a DoD building pass.

3-608 Foreign National Employees Overseas Not Requiring Access to Classified Information

Foreign nationals employed by DoD organizations

overseas, whose duties do not require access to classified information, shall be the subject of the following record checks prior to employment:

a. Host government law enforcement and security agency checks at the city, state (province), and national level, and

b. DCII

3-609 Special Agent and Investigative Support Personnel

Special Agents and those noninvestigative personnel assigned to investigative agencies whose official duties require access to investigative files and material require an SBI.

3-610 Persons Requiring Access to Chemical Agents

Personnel whose duties involve access to or security of chemical agents shall be screened initially for suitability and reliability and shall be evaluated on a continuing basis at the supervisory level to ensure that they continue to meet the high standards required. At a minimum, all such personnel shall have had a favorable NAC/ENTNAC completed within the last 5 years prior to assignment in accordance with the provisions

of DoD Directive 5210.65 (AR 50-6) (reference (w)).

3-611 Education and Orientation Personnel

Any person selected for duties in connection with programs involving the education and orientation of military personnel shall have been the subject of a favorable NAC prior to such assignment. Investigations for military service or civilian employment with DA satisfy the investigation requirement.

3-612 Others

Requests for approval to conduct an investigation on other personnel, not provided for in paragraphs 3-601 through 3-611 above, considered to fall within the general provisions of paragraph 3-600 above, shall be submitted for approval to the Deputy Under Secretary of Defense for Policy Review detailing the justification therefore. **Requests will be submitted through command channels to HQDA(DAMI-CIS) WASH DC 20310.** Approval of such requests shall be contingent upon an assurance that appropriate review procedures exist and that adverse determinations will be made at no lower than major command level.

Section 7

REINVESTIGATION

3-700 General

DoD policy prohibits unauthorized, unwarranted, and unnecessary investigations. There are, however, certain situations and requirements that necessitate reinvestigation of an individual who has already been investigated under the provisions of this Regulation. It is the policy to limit reinvestigation of individuals to the minimum scope necessary to meet overall security requirements. Reinvestigation, generally, is authorized only as follows:

a. To prove or disprove an allegation relating to the criteria set forth in paragraph 2-200 of this Regulation with respect to an individual holding a security clearance or assigned to a position that requires a trustworthiness determination;

b. To meet the periodic reinvestigation requirements of various security programs in which DoD participates; and

c. Upon individual request, to assess the current eligibility of individuals who did not receive favorable adjudicative action after an initial investigation, if a potential clearance need exists and there are reasonable indications that the factors upon which the adverse determination was made no longer exist.

3-701 Allegations Related to Disqualification

Whenever questionable behavior patterns develop, derogatory information is discovered, or inconsistencies arise related to the disqualification criteria set forth in paragraph 2-200 of this Regulation that could

have an adverse impact on an individual's security status, a Special Investigative Inquiry may be requested to resolve all relevant issues in doubt.

3-702 Access to Sensitive Compartmented Information (SCI)

Each individual having current access to SCI shall be the subject of a PR conducted on a 5-year recurring basis scoped as set forth in Appendix B.

3-703 Critical-sensitive Positions

Each DoD Civilian employee occupying a critical sensitive position shall be the subject of a PR conducted on a 5-year recurring basis scoped as set forth in Appendix B.

3-704 Presidential Support Duties

Each individual assigned Presidential Support duties shall be the subject of a PR conducted on a 5-year recurring basis scoped as set forth in Appendix B.

3-705 NATO Staff

Each individual assigned to the NATO staff shall be the subject of a PR conducted on a 5-year recurring basis scoped as set forth in paragraph 4d, Appendix B. **If the basis for the security clearance was a NAC/ENTNAC, a new NAC will be conducted on a 5-year recurring basis.**

3-706 Extraordinarily Sensitive Duties

In extremely limited instances, extraordinary national security implications associated with certain SCI duties may require very special compartmentation

and other special security measures. In such instances, a Component Senior Intelligence Officer may, with the approval of the Deputy Under Secretary of Defense for Policy Review, request PRs at intervals of less than 5 years with greater scope of coverage than that set forth in Appendix B. Such requests shall include justification and a recommendation as to the frequency and scope. The frequency and scoping of such PRs shall be determined by the Deputy Under Secretary of Defense for Policy Review with due consideration for:

a. The potential damage that might result from the individual's defection or abduction.

b. The availability and probable effectiveness of means other than reinvestigation to evaluate factors concerning the individual's suitability for continued SCI access.

3-707 Foreign Nationals Employed by DoD Organizations Overseas

Foreign nationals employed by DoD organizations overseas who have been granted a "Limited Access Authorization" pursuant to paragraph 3-403 shall be the subject of a PR, on a 5-year basis scoped as set forth in Appendix B.

Section 8

AUTHORITY TO WAIVE INVESTIGATIVE REQUIREMENTS

3-800 Authorized Officials

Only an official designated in paragraph A, Appendix F, or designee, is empowered to waive the investigative requirements for access to classified information pending completion of the investigation required by this chapter. Such waiver shall be based upon certification in writing by an authorized official that such action is necessary to the national security. However, when all other information developed on an individual during the course of a prescribed investigation is favorable, a minor investigative element that has not been met should not preclude favorable adjudication—nor should this require a waiver.

3-801 Combat Operations

Under combat conditions, mobilization or similar military exigencies, authorities listed in appendix F, to protect national security, may waive such provisions of this regulation as are operationally necessary and warranted by the circumstances. In all such cases, the commander instituting the waiver will insure that the investigative or other prerequisites waived are complied with as soon as circumstances permit. Notification of interim clearances granted under this paragraph will be made to Commander, US Army Central Personnel Security Clearance Facility, ATTN: PCCF-PRR, Fort Meade, MD 20755.

CHAPTER IV

RECIPROCAL ACCEPTANCE OF PRIOR INVESTIGATIONS AND PERSONNEL SECURITY DETERMINATIONS

4-100 General

Previously conducted investigations and previously rendered personnel security determinations shall be accepted by responsible authorities of the Military Departments, Defense Agencies, and other Components of the Department of Defense in accordance with the policy set forth below.

4-101 Prior Investigations Conducted by DoD Investigative Organizations

As long as there is no break in military service/civilian employment greater than 12 months, any previous security investigation conducted by DoD investigative organizations that essentially is equivalent in scope to an investigation required by this Regulation will be accepted without requesting required additional investigation. There is no time limitation as to the acceptability of such investigations, subject to the provisions of paragraphs 2-305 and 4-102.b. of this Regulation.

4-102 Prior Personnel Security Determinations Made by DoD Authorities

a. Personnel security clearances and Special Access authorizations (including those pertaining to SCI) granted by designated DoD authorities will be mutually and reciprocally accepted by all DoD Components without requiring additional investigation, unless there has been a break in the individual's military service/civilian employment of greater than 12 months or unless derogatory information that occurred subsequent to the last prior security determination becomes known.

b. Whenever a valid DoD security clearance or Special Access authorization (including one pertaining to SCI) is on the record, Components shall not request DIS or other DoD investigative organizations to forward prior investigative files for review unless:

(1) Significant derogatory information, developed subsequent to the date of last clearance or Special Access authorization, is known to the requester; or

(2) The individual concerned is being considered for a higher level of clearance (e.g., Secret to Top Secret) or the individual does not have a Special Access authorization and is being considered for one; or

(3) There has been a break in the individual's military service/civilian employment of greater than 12 months subsequent to the issuance of a prior clearance.

c. Requests for prior investigative files authorized by this Regulation will be made in writing, shall cite the specific justification for the request (i.e., upgrade

of clearance, issue Special Access authorization, etc.), and will include the date, level, and issuing organization of the individual's current or most recent security clearance or Special Access authorization.

4-103 Investigations Conducted and Clearances Granted by Other Agencies of the Federal Government

a. Whenever a prior investigation or personnel security determination (including clearance for access to information classified under Executive Order 12065 (reference (h)) of another agency of the Federal Government meets the investigative scope and standards of this Regulation, such investigation or clearance may be accepted for the investigative or clearance purposes of this Regulation, provided that the employment with the Federal agency concerned has been continuous and there has been no break longer than 12 months since completion of the prior investigation, and further provided that inquiry with the agency discloses no reason why the clearance should not be accepted. If it is determined that the prior investigation does not meet the provisions of this paragraph, supplemental investigation shall be requested.

b. A NACI conducted by OPM shall be accepted and considered equivalent to a NAC for the purpose of this Regulation.

c. Department of Defense policy on reciprocal acceptance of clearance with the Nuclear Regulatory Commission and the Department of Energy is set forth in DoD Directive 5210.2 (reference (x)).

d. Whenever it becomes necessary for a DA organization to authorize access to classified information in its custody to a member of another service or agency that has not previously been cleared or is in need of a higher degree of clearance, the parent service or agency will be requested to grant the desired clearance.

e. Should it be determined that it would not be in the best interests of the national security to permit the person to have access to classified defense information in Army custody, or if the person has been denied the required security clearance, the commander will reassign the person to nonsensitive duties within his or her organization or, if appropriate, revoke the detail or assignment, and advise the parent service or agency of the reasons. The responsibility to initiate security proceedings and to deny or revoke a security clearance rests with the parent service or agency.

f. When DA personnel are assigned or detailed

for duty with another service or agency, it is a DA responsibility to advise the using service or agency of any adverse information that relates to the person's continued eligibility for access to classified information. If the using agency or service finds that the person cannot have access to classified defense information after receipt of the information from the DA or its own organization, the agency will assign the person to other duties within its own organization. If desired, the service or agency will revoke the detail or assignment and request MILPERCEN to furnish reassignment orders. If a decision is made to request reassignment instructions, the using service or agency will notify the Commander, US Army Central Personnel Security Clearance Facility, ATTN: PCCF-PR, Ft Meade, MD 20755 of this action, including the reasons. After receipt of the reassignment orders by the using service or agency, CCF (ATTN: PCCF-PR) will be furnished a copy of the orders. The responsibility to initiate security proceedings and to deny or revoke a security clearance pertaining to Army personnel rests with the DA.

g. The Commander, CCF, is responsible for granting, revoking or denying security clearances for Army personnel who are assigned or detailed to other services, DoD agencies, and unified and specified commands.

4-104 Security Clearances of Separated Department of the Army Personnel

a. Clearances granted under this regulation become invalid upon termination of the individual's service with the Army by reason of discharge, resignation or retirement.

b. Retired general officers may participate in classified conferences, or a particular activity or project, under the supervision and at the request of one of the officials designated in paragraph B, Appendix F, provided clearances in effect at the time of retirement would be adequate for the particular conference, activity, or project. Such clearances remain valid for this purpose unless terminated by the Assistant Chief of Staff for Intelligence, Department of the Army.

CHAPTER V

REQUESTING PERSONNEL SECURITY INVESTIGATIONS

5-100 General

Requests for personnel security investigations shall be submitted only by those requesters designated in 5-101 below. Those authorities are responsible for determining if persons under their jurisdiction require personnel security investigation. Proper planning must be affected to insure that investigative requests are submitted sufficiently in advance to allow completion of the investigation prior to the time it is needed to grant the required clearance or otherwise make the necessary personnel security determination. If no significant derogatory information is developed during the course of the investigation, it can be expected that a NAC/ENTNAC will take approximately 30 days to complete, an SBI or a BI approximately 90 days, and a PR 75 days (this is the time beginning with the receipt of the request by DIS to the mailing of the completed investigation by DIS to the requester).

5-101 Authorized Requesters

Requests for personnel security investigation shall be accepted only from the requesters designated below:

- a. Military Departments
 - (1) Army
 - (a) Central Clearance Facility.
 - (b) All activity commanders.
 - (c) Chiefs of recruiting stations.
 - (d) **State Adjutants General for Army National Guard.**
 - (2) Navy (including Marine Corps)
 - (a) Commanders and commanding officers of organizations listed on the Standard Navy Distribution List.
 - (b) Chiefs of recruiting stations.
 - (3) Air Force
 - (a) Chief, Personnel Security Division, HQ, USAF.
 - (b) Assistant Chief of Staff for Intelligence.
 - (c) All activity commanders.
 - (d) Chiefs of recruiting stations.
- b. Defense Agencies—Directors of Security and activity commanders.
- c. Organization of the Joint Chiefs of Staff—Chief, Security Division.
- d. Office of the Secretary of Defense—Director for Personnel and Security, Washington Headquarters Services.
- e. Commanders of Unified and Special Commands or their designees.
- f. Such other requesters approved by the Deputy Under Secretary of Defense for Policy Review.

5-102 Criteria for Requesting Investigations

Authorized requesters shall use the tables set forth in Appendix D to determine the types of investigation that shall be requested to meet the investigative requirement of the specific position or duty concerned.

5-103 Request Procedures

To insure efficient and effective completion of required investigations, all requests for personnel security investigations shall be prepared and forwarded in accordance with Appendix C hereto and the investigative jurisdictional policies set forth in Section 4, Chapter II of this Regulation.

5-104 Priority Requests

To insure that personnel security investigations are conducted in an orderly and efficient manner, requests for priority for individual investigations or categories of investigations shall be kept to a minimum. DIS shall not assign priority to any personnel security investigations or categories of investigations without written approval of the Deputy Under Secretary of Defense for Policy Review.

5-105 Personal Data Provided by the Subject of the Investigation

a. To conduct the required investigation, it is necessary that the investigative agency be provided certain relevant data concerning the subject of the investigation. The Privacy Act of 1974 (reference (k)) requires that, to the greatest extent practicable, personal information shall be obtained directly from the subject individual when the information may result in adverse determinations affecting an individual's rights, benefits, and privileges under Federal programs.

b. Accordingly, it is incumbent upon the subject of each personnel security investigation to provide the personal information required by this Regulation. At a minimum, the individual shall complete the appropriate investigative forms, provide fingerprints of a quality acceptable to the FBI, and execute a signed release (**DD Form 2221 (DoD Authority for Release of Information and Record)**), as necessary, authorizing custodians of police, credit, education, employment, and medical and similar records, to provide relevant record information to the investigative agency. When the FBI returns a fingerprint card indicating that the quality of the fingerprints is not acceptable, an additional set of fingerprints will be obtained from the subject. In the event the FBI indicates that the additional fingerprints are also unacceptable, no further attempt to obtain more fingerprints will be made; this aspect of the investigation will then be processed on the basis of the name check of the FBI

files. As an exception, a minimum of three attempts will be made (1) for all Presidential Support cases, (2) for SCI access nominations if the requester so indicates, and (3) in those cases in which more than minor derogatory information exists. Each subject of a personnel security investigation conducted under the provisions of this Regulation shall be furnished a Privacy Act Statement (Supplement to the DD Form 398, 26 September 1975) advising of (1) the authority for obtaining the personal data, (2) the principal purpose(s) for obtaining it, (3) the routine uses, (4) whether disclosure is mandatory or voluntary, and (5) the effect on the individual if it is not provided.

c. Refusal to provide or permit access to the relevant information required by this Regulation shall result in the termination of further administrative processing, and no requests for investigation shall be made.

5-106 Cancellation of Requests for Investigations and/or Clearances

a. Whenever a clearance or investigation is no longer required, requesters will immediately notify the Commander, CCF. Cancellations will include full identifying data, action requested, and the reason for the cancellation. CCF will notify the investigative agency involved.

b. If the cancellation is requested because the individual is transferred, include the effective data and new unit of assignment. If the individual has departed for a new assignment prior to the Security Officer being notified of the transfer, the losing command will advise the gaining command of the open investigation by letter or message.

c. If the individual is separated from active duty, indicate whether he/she was discharged or released from active duty, and the basis for the separation action.

CHAPTER VI ADJUDICATION

6-100 General

a. The standard which must be met for clearance or assignment to sensitive duties is that, based on all available information, the person's loyalty, reliability, and trustworthiness are such that entrusting the person with classified information or assigning the person to sensitive duties is clearly consistent with the interests of national security.

b. The principle objective of the DoD personnel security adjudicative function, consequently, is to assure selection of persons for sensitive positions who meet this standard. The adjudication process involves the effort to assess the probability of future behavior which could have an effect adverse to the national security. Since few, if any, situations allow for positive, conclusive evidence of certain future conduct, it is an attempt to judge whether the circumstances of a particular case, taking into consideration prior experience with similar cases, reasonably suggest a degree of probability of prejudicial behavior not consistent with the national security. It is invariably a subjective determination, considering the past but necessarily anticipating the future. Rarely is proof of trustworthiness and reliability or untrustworthiness and unreliability beyond all reasonable doubt.

c. Establishing relevancy is one of the key objectives of the personnel security adjudicative process in evaluating investigative material. It involves neither the judgement of criminal guilt nor the determination of general suitability for a given position; rather, it is the assessment of a person's trustworthiness and fitness for a responsibility which could, if abused, have unacceptable consequences for the national security.

d. While equity demands optimal uniformity in evaluating individual cases, assuring fair and consistent assessment of circumstances from one situation to the next, each case must be weighed on its own merits, taking into consideration all relevant facts, and prior experience in similar cases. All information of record, both favorable and unfavorable, must be considered and assessed in terms of accuracy, completeness, relevance, seriousness, and overall significance. In all adjudications the protection of the national security shall be the paramount determinant.

6-101 Central Adjudication

a. To assure uniform application of the requirements of this Regulation and to insure that DoD personnel security determinations are effected consistent with existing statutes and Executive Orders, the head of each DoD Component, to the extent practicable, shall establish a single Central Adjudication Facility for his/her Component. The function of such facility

shall be limited to evaluating personnel security investigations and cases and making personnel security determinations. The chief of each Central Adjudication Facility shall have the authority to act on behalf of the head of the Component concerned with respect to personnel security determinations. All information relevant to determining whether a person meets the appropriate personnel security standard prescribed by this Regulation shall be reviewed and evaluated by specialists specifically designated by the head of the Component concerned, or designee.

b. The US Army Central Personnel Security Clearance Facility is designated as the Central Adjudication Facility for DA.

6-102 Evaluating Personnel Security Information

a. The criteria to be used in applying this policy are set forth in paragraph 2-200 of this Regulation. The ultimate consideration in making a favorable personnel security determination is whether such determination is clearly consistent with the interests of national security and shall be an overall commonsense evaluation based on all available information. Such determination shall include consideration of the following factors:

- (1) The nature and seriousness of the conduct;
- (2) The circumstances surrounding the conduct;
- (3) The frequency and recency of the conduct;
- (4) The age of the individual;
- (5) The voluntariness of participation; and
- (6) The absence or presence of rehabilitation.

b. Guidelines to assist adjudicators in determining whether a person is eligible for access to classified information or assignment to sensitive duties are contained in appendix I.

c. **Allegations, charges, or other derogatory information against a person which meets the criteria of paragraph 2-200 will be forwarded to CCF for a security determination. CCF will evaluate the information to determine if retention, denial, or revocation of a personnel security clearance and/or SCI access is clearly consistent with the interests of national security. If a security clearance is not currently in effect, CCF will retain the information for review in any future security clearance request.**

6-103 Adjudicative Record

The rationale underlying each adverse adjudicative action shall be reduced to writing and is subject to the provisions of DoD Directive 5400.7 (AR 340-17) (reference (y)) and DoD Directive 5400.11 (AR 340-21) reference (z)). **The Commander, CCF, will maintain a record of each adjudicative action.**

6-104 Reporting Results of Security or Suitability Determinations For Civilian Employees

The results of a security or suitability determination, based on the results of an initial BI or SBI, will be sent OPM on SF 72 (Report of Action After Agency Full Field Investigation) by the em-

ploying activity. The report of action taken will be forwarded within 30 days after the final determination has been made. Reports should be sent to: Chief, Investigations Evaluation Branch, United States Office of Personnel Management, Washington, DC 20415.

CHAPTER VII

ISSUING CLEARANCE AND GRANTING ACCESS

7-100 General

a. The issuance of a personnel security clearance (as well as the function of determining that an individual is eligible for access to Special Access program information, or is suitable for assignment to sensitive duties or such other duties that require a trustworthiness determination) is a function distinct from that involving the granting of access to classified information.

b. Only the authorities designated in Appendix F are authorized to issue personnel security clearances or to grant Special Access Authorizations.

c. All commanders and heads of DoD organizations have the responsibility for determining those position functions in their jurisdiction that require access to classified information and the authority to grant access to incumbents of such positions who have been cleared under the provisions of this Regulation.

7-101 Issuing Clearance

a. Authorities designated in Appendix F shall record the issuance of a personnel security clearance. This record shall become a permanent part of either an individual's military personnel file or official personnel folder which shall be retained throughout the period of service or employment.

b. A personnel security clearance remains valid until (1) the individual is separated from the Armed Forces, (2) separated from DoD civilian employment, (3) has no further official relationship with DoD, or (4) official action has been taken to suspend or revoke the clearance. If an individual resumes the original status of (1), (2) or (3) above, and the break in the individual's relationship with DoD has been not longer than 12 months, clearance may be reissued provided no significant derogatory information is available.

c. The clearance of any individual, civilian or military, shall be issued only by the designated authorities of the parent Military Department or Defense agency. Issuance or reissuance of a personnel security clearance by a Military Department or Defense agency to personnel of another department or agency who have been detailed or assigned to a tour of duty with the receiving department or agency is not authorized. As an exception, commanders may issue interim clearances to personnel under their administrative jurisdiction, pending a final eligibility determination by the individual's parent department or agency. Whenever a receiving department, agency, or organization issues an interim clearance to an individual from another department or agency, written notice of the action shall be provided to the parent department or agency.

d. Interim clearance shall be recorded in the same manner as final clearance.

e. The ACSI and Commander, CCF, are designated as officials authorized to grant, revoke, or deny personnel security clearances (TOP SECRET, SECRET, and CONFIDENTIAL).

f. The Commander, CCF, will publish procedures, with the concurrence of HQDA(DAMI-CIS), for requesting final personnel security clearance, granting interim clearances and reporting derogatory information for all Army personnel. Authority to grant interim clearances will be delegated to field commanders by the Commander, CCF. The procedures are at Annex A to Appendix C.

g. Personnel security clearances will be recorded on DA Form 873 (Certificate of Clearance and/or Security Determination Under EO 10450). This form will be placed in the person's personnel records folder and will not be removed except to make a copy, correct an administrative error or by direction of CCF.

7-102 Granting Access

a. Access to classified information shall be granted to persons whose official duties require such access and who have the appropriate personnel security clearance. Access determinations (other than for Special Access Programs) are not an adjudicative function relating to an individual's suitability for such access. Rather they are decisions made by the commander that access is officially required.

b. In the absence of derogatory information on the individual concerned, DoD commanders and organizational managers shall accept a personnel security clearance determination, issued by the DoD authority authorized by this Regulation to issue personnel security clearances, as the basis for granting access, when access is required, without requesting additional investigation or investigative files.

c. **Commanders will insure that persons are familiar with the requirements for handling classified information before access is granted. AR 380-5 (ref (o)) and AR 381-12 (ref (vv)) apply.**

d. Once a person's security clearance has been granted by the Commander CCF, special access for NATO, SIOP-ESI, or other programs, will be granted by the commander responsible for their control under appropriate Army regulations. The Commander, CCF, will make all eligibility determinations for SCI access.

e. Access to classified information or material by persons of another service or agency may be granted after verification of—

(1) Person's security clearance and/or access eligibility.

(2) The commander's certification of "need to

know.”

f. A person whose access to classified information has been suspended under paragraph 8-102, may have access restored pending review by CCF. The following procedures apply to security clearance and SCI access:

(1) The local commander who initially suspended access—

(a) Strongly recommends reinstatement of access and is completely convinced the element of a risk no longer remains.

(b) Determines that the person has been cleared of all charges. Restoration of access will not normally occur in those cases where factors such as dismissal of charges, acquittal because of legal technicalities, plea bargaining, and absence of a speedy trial, are involved. These factors cannot be construed as a clearing of all charges.

(c) Determines that the alleged offense or derogatory information has been disproven or found groundless. The commander's investigation resulted in a finding that there is no basis for the charges or derogatory information.

(d) May grant interim security clearance in the name of the Commander, CCF.

(e) Will notify CCF of the above actions.

(2) In cases where the local commander is considering suspending or has suspended a person's access due to a suspected or actual psychological problem, he or she may elect to retain the person in status or reinstate access under the following conditions:

(a) A current medical evaluation indicates the condition was a one-time occurrence.

(b) The condition has no lasting effects on the person that would affect judgement.

(c) There is no requirement for further medical consultation relating to the condition.

(d) The examining physician recommends the person be returned to full duty status.

(e) The person exhibits no unacceptable behavior after the favorable medical evaluation.

(f) The local commander firmly believes the person does not pose a risk to the security of classified information.

(g) Only CCF may reinstate access where the person attempted suicide.

(3) If the local commander has any doubts about the person's current acceptability for access, even though the above provisions have been met, the case will be referred to CCF for a decision.

7-103 Administrative Withdrawal

As set forth in paragraph 7-101.b., personnel security clearances continue on a relatively permanent basis. Consequently, there is no need for administrative withdrawals unless a situation described in 7-101.b.(1), (2), or (3) occurs.

7-104 Security Clearance of Separated DA Personnel

a. Clearance granted under this Regulation becomes invalid upon termination of the individual's service with the Army.

b. Retired general officers may participate in classified conferences, or a particular activity or project, under the supervision and at the request of one of the officials designated in appendix F. This is true so long as clearances in effect at the time or retirement are adequate for the particular conference, activity, or project. These clearances remain valid for this purpose unless terminated by the ACSI, DA.

CHAPTER VIII ADVERSE ACTIONS

Section I REQUIREMENTS

8-100 General

For the purpose of this Regulation, an adverse action includes:

- a. Denial or revocation of clearance for access to classified information;
- b. Denial or revocation of access to classified information;
- c. Denial or revocation of a Special Access authorization (including access to SCI);
- d. Nonappointment to or nonselection for appointment to a sensitive position;
- e. Nonappointment to or nonselection for any other position requiring a trustworthiness determination under this regulation;
- f. Reassignment to a position of lesser sensitivity or to a nonsensitive position;
- g. Termination of employment; and
- h. Nonacceptance for or discharge from the Armed Forces, when any of the foregoing actions are taken as the result of a personnel security determination.

8-101 Referral for Action

a. Whenever derogatory information relating to the criteria set forth in paragraph 2-200 of this Regulation is developed or otherwise becomes available to any DoD element, it shall be referred by the most expeditious means to the commander or the security officer of the organization to which the individual is assigned for duty. The commander of the organization to which the subject of the information is assigned shall review the information in terms of its security significance and completeness. If further information is needed to confirm or disprove the allegations, additional investigation should be requested. The commander of the duty organization shall insure that the parent Component of the individual concerned is informed promptly concerning (1) the derogatory information developed and (2) any actions taken or anticipated with respect thereto.

b. Derogatory information on military and civilian personnel, to include contractors when SCI access is authorized, will be reported as follows:

(1) The Security Manager will forward the derogatory information to the person's commander for review.

(2) The Security Manager will provide CCF a copy of the derogatory information for review. If a security clearance or SCI access is in effect, or has been requested, CCF will review the derogatory information to determine if denial or revoca-

tion action is warranted.

c. Derogatory information on contractor employees will be forwarded to the Defense Industrial Security Clearance Office according to DoD 5220.22-R (AR 380-49)(ref a) for action. If access to SCI is involved, the derogatory information will be forwarded to CCF for review to determine if suspension or revocation of access eligibility is warranted.

d. Unfavorable information on military personnel, grade E-6 and above, will be referred to the DA Suitability Review Board. The Board will determine if the information will be included in the OMPF. AR 600-37 (ref (u)) applies.

8-102 Suspension

a. The commander of the duty organization shall determine whether, on the basis of all the facts available upon receipt of the initial derogatory information, it is in the interests of national security to continue subject's status unchanged or to take interim action to suspend subject's access to classified information or assignment to sensitive duties (or other duties requiring a trustworthiness determination) until a final determination is made by the appropriate authority designated in Appendix F.

b. Commander, CCF, will publish procedures, with the concurrence of HQDA(DAMI-CIS), to provide for suspension of access to classified information pending review of the derogatory information. The procedures are at Annex A to Appendix C.

c. In national security cases, a suspension action (a nonduty and nonpay status) is normally accomplished whenever a letter of charges is delivered to a civilian employee, if not in a suspended status already. A suspension action in national security cases will be for an indefinite period. If the letter of charges is not delivered to the employee within 30 days after suspension without pay (including the first full day of the suspension), the authority for continued suspension expires; it then becomes necessary to return the employee to duty. Leave without pay beyond the 30 day period would be equivalent to suspension without pay and is not authorized unless the employee consents in writing.

(1) The following remark will be entered in the "Remarks" section of SF 50: "Immediate suspension is deemed necessary and advisable in the

interest of national security pending adjudication of your case under AR 604-5." Two copies of the SF 50 will be immediately sent through command channels to the Secretary of the Army (SA). This will notify the SA of action in a national security case. A copy of the SF 50 will be furnished HQDA (DAMI-CIS).

(2) Suspension under authority of this Regulation will not be used as a disciplinary action.

(3) The local commander is authorized to terminate an emergency suspension from a non-duty and nonpay status authorized by him or her at any time before the letter of charges is issued when it is determined that return to duty would not be contrary to the interests of national security.

(4) After a letter of charges has been formally issued, only the SA may authorize a return to duty for the employee.

8-103 Final Adverse Actions

The authority to make personnel security determinations that will result in an adverse action is limited to those authorities designated in Appendix F, except that the authority to terminate a civilian employee of a military department is vested solely in the Secretary of the military department concerned and in such other statutory official as may be designated. Action to terminate civilian employees of the Office of

the Secretary of Defense and DoD Components other than those of the military departments shall be submitted to the Deputy Under Secretary of Defense for Policy Review for determination. DoD civilian employees or members of the Armed Forces shall not be removed from employment or separated from the Service under provisions of this Regulation if removal or separation can be effected under OPM regulations or administrative (nonsecurity) regulations of the military departments.

8-104 Reporting Adverse Actions

a. Each adverse action taken by any DoD Component based on a personnel security investigation conducted by DIS shall be reported to DIS. The Director, DIS, shall insure that each adverse action is recorded in the DCII. Further, the Director, DIS, will submit to the Deputy Under Secretary of Defense for Policy Review analyses of adverse action annually, 90 days after the completion of each fiscal year's operations.

b. CCF will report all adverse actions involving security clearances and/or SCI access to DIS by electronic means.

c. Local commanders will report all adverse actions to DIS on DA Form 5249-R (Report of Adverse or Unfavorable Action). DoD policy exempts this form from a Reports Control Symbol. A copy for reproduction purposes is located at the back of this regulation.

Section 2 PROCEDURES

8-200 General

No final personnel security determination shall be made on a member of the Armed Forces, an employee of the Department of Defense, a consultant to the Department of Defense, or any other person affiliated with the Department of Defense without granting the individual concerned the procedural benefits set forth in 8-201 below, when such determination results in an adverse action (see paragraph 8-100). As an exception, Red Cross/United Service Organization employees shall be afforded the procedures prescribed by DoD Directive 5210.25 (reference (u)).

8-201 Adverse Action Procedures

Except as provided for below, no adverse action shall be taken under the authority of this Regulation unless the person concerned has been given:

a. A written statement of the reasons why the adverse action is being taken. The statement shall be as comprehensive and detailed as the protection of sources afforded confidentiality under the provisions of the Privacy Act of 1974 (5 U.S.C. 552a) (reference (k)) and national security permit. Prior to issuing a statement of reasons to a civilian employee for suspension or removal action, the issuing authority must

comply with the provisions of Federal Personnel Manual, Chapter 732, Subchapter 1, paragraph 1-6b (reference (aa));

b. An opportunity to reply in writing to such authority as the head of the Component may designate;

c. A written response to any submission under subparagraph b. stating the final reasons therefor, which shall be as specific as privacy and national security considerations permit; and

d. An opportunity to appeal to a higher level of authority designated by the Component concerned.

e. The Commander, CCF, will publish procedures, with the concurrence of HQDA(DAMI-CIS) which allow persons to respond to proposed adverse actions involving the denial or revocation of personnel security clearances and/or access to SCI. The procedures are at Annex A to appendix C.

f. The ACSI, HQDA, is the Final Appeal Authority for DA for all appeals pertaining to personnel security clearances and/or SCI access. All appeals should be addressed to HQDA(DAMI-CIS), WASH, DC 20310. It is not mandatory to appeal a CCF denial or revocation action. An appeal is an option offered to the person. If the person elects to ap-

peal, the appeal must be submitted to OACSI within 60 days notification of the final CCF decision. The appeal may be sent directly to OACSI by the person or may be forwarded through command channels.

8-201.1 Adverse Action Procedures for DA Civilian Personnel in National Security Cases.

The procedures described in this paragraph are to be used when retention in DA may not be in the interests of national security. In those cases, the following procedures apply:

a. General.

(1) Authority to suspend and terminate employment of DA civilian personnel is vested in the SA under Section 7532, Title 5, United States Code.

(2) The use of the suspension and removal procedures authorized under Section 7532, Title 5, United States Code, will be limited to cases in which the interests of national security are involved. The criteria of paragraphs 2-200 a through f and m apply in national security cases.

(3) Nothing contained in this regulation will be deemed to limit or affect the responsibility of a commander to reassign persons to nonsensitive positions or duties when the interest of national security require the reassignment.

(4) No classified information, any other information which might compromise investigative sources or methods or the identity of confidential informants will be disclosed to any person not authorized to receive the information in these cases.

(5) Initial evaluations or derogatory information are the responsibility of the local commander. Evaluations will be based on derogatory information, the duties of the employee involved, and the mission and operations of the employing activity. Security Managers will provide assistance in evaluating the extent of risk involved and the advisability of recommending a removal action. Civilian personnel officers will provide an opinion as to whether action to remove an employee under OPM regulations would be appropriate.

(6) The local commander may detail an employee to a nonsensitive position or restrict the employee to nonsensitive duties without loss of pay in national security cases as long as the interests of national security are served. In these cases, the employee will be notified that he or she may be suspended without pay at any time before a final decision in the case.

b. Action at the employing activity.

(1) The derogatory information will be reviewed to decide if the information is of a suitability nature as defined in Chapter 732 of the FPM.

(2) If the information reflects only on the suitability of the person, the employing activity will decide if the employee may be retained in a position or that removal action is warranted under FPM Chapter 752 (Adverse Actions) as supplemented by AR 690-700, Chapter 752 (ref (m)).

(3) When the employing activity decides the information to be of a security nature, the retention of the employee is not in the interest of national security, and civil service removal procedures are neither applicable nor appropriate in the case, the case will be forwarded through command channels to CCF. Cases submitted to CCF should contain the following:

(a) The full name of the employee, social security number, grade, title, salary of the position, and copy of the job description.

(b) Whether the position is critical-sensitive or noncritical-sensitive and the basis for the determination.

(c) Whether nonsensitive positions exist at the employing activity or elsewhere to which the employee could be reassigned without reduction in pay.

(d) The steps taken by the employing activity to protect the national security.

(e) Whether the employee has served a probationary or trial period or when the period will end.

(f) Whether the employee is a US citizen or alien.

(g) Two copies of documents (such as SFs 61, 85, 86 or DD Form 398) whenever charges of falsification or deliberate noncompletion of these documents are involved with respect to any of the criteria of paragraphs 2-200 a through f and m.

(h) DA Form 873, if appropriate.

(i) The derogatory information or investigative report which was basis for initiating the action.

c. Action by HQDA.

(1) After receipt of a national security case, CCF will coordinate a review with OACSI, OTJAG, and the Office of the Deputy Chief of Staff for Personnel (ODCSPER). If the review indicates that there is no basis or insufficient basis for action under Section 7532, Title 5, United States Code, the case will be returned through command channels to the employing activity by CCF citing the findings. Any further action taken must be according to civilian personnel regulations.

(2) When the review indicates a basis for initiating action under Section 7532, Title 5, United States Code, OTJAG will prepare a letter of charges. The letter of charges will be forwarded through the Office of the Secretary of the Army

(OSA) to the Office of the General Counsel (OGC), DoD. The OGC, DoD will consult with representatives of the Department of Justice (DOJ) to assure that the procedural benefits of the employee are fully considered, determine if the proposed charges are fully supportable, and the extent to which confrontation and cross-examination of witnesses will be required. If DOJ determines the proposed charges are not supportable, the OGC, DoD, will notify OSA. The case will then be returned to the employing activity according to c(1) above. If the letter of charges is deemed to be legally sufficient, the OACSI will forward the letter to the employee via certified mail, receipt requested. A copy of the letter of charges will be given to each level of command and the employing activity involved. The specific content of the letter of charges is explained in paragraph 8-201.1f.

(3) If the employee fails to answer to the letter of charges, the case will be evaluated on the available information. The OACSI will coordinate a recommendation with the OTJAG. The OACSI will then forward the case and recommendation to the SA for a final determination.

(4) When the employee answers the letter of charges, a review will be conducted by ODCSPER, OACSI, and OTJAG. If the response is considered to negate, nullify, or refute the original charges, the case may be returned to the employing activity according to c(1) above.

(5) When the reply to the letter of charges is not considered sufficient to negate, nullify, or refute the original charges, the OACSI will coordinate a reply to the employee with ODCSPER and OTJAG. The reply will state the reasons for the determination and advise the employee that he or she may appeal the determination. The appeal may be either a written appeal directly to the SA or a hearing may be requested before a Security Hearing Board. The case and recommendation will then be forwarded by OACSI to the SA.

(6) If the employee fails to submit a written appeal or request a hearing, the SA will make a final determination based on the available information.

(7) When the employee submits an appeal to the SA, it will be considered and a final determination made. If the employee requests a hearing, the Board will hear the case and provide a recommendation to the SA for a final determination.

d. Security Hearing Boards. These boards are established by the SA to hear the testimony of employees and other witnesses in answer to letters of charges issued under this regulation. A Security Hearing Board is convened when an employee requests a board hearing on appeal to the SA on a

proposed removal action under Section 7532, Title 5, United States Code. These boards serve in an advisory capacity and are responsible to the SA.

(1) A Security Hearing Board will be composed of at least three members, a majority of whom will be civilians employed by DoD. Members will be selected by the MACOM commander from the highest ranking military and civilian personnel available in the area where the board will convene. It is preferable that members of the board be field grade officers or civilians in the grade of GS-12 or higher. Each member of the board must be the subject of a favorably completed BI. The MACOM commander will designate a chairperson and an alternate chairperson from the standing members of the board.

(2) The following information on each designated board member will be sent to the OPM regional office serving the area in which the board will meet:

- (a) Full name, grade or rank.
- (b) Position title.
- (c) Office in which employed.
- (d) Telephone number.
- (e) Name and address of employing activity.
- (f) A short, personal background statement giving age, education, civilian or military experience.
- (g) The type of personnel security investigation.
- (h) The commander's statement regarding the ability, character, discretion, integrity and that service on the Security Hearing Board would be clearly consistent with the interests of national security.

e. Hearing Procedures.

(1) A qualified attorney will be assigned to act as counsel for the hearing board. He or she will assist the hearing board to insure the record is as complete as practicable. He or she will question DoD witnesses and cross-examine witnesses produced by the hearing; the hearing board may also question any witness.

(2) To reduce the issues in controversy and to simplify the hearing, the hearing board counsel is authorized to consult directly with the employee or his or her counsel, as appropriate, for the purpose of reaching mutual agreement on such matters as—

- (a) The clarification of the issue.
- (b) The taking of depositions.
- (c) Stipulations with respect to testimony; such stipulation will be binding on the employee and DA for the purpose of these proceedings.
- (d) The contents of documents and other physical evidence.

(3) Hearings before Security Hearing Boards will be conducted expeditiously in an orderly manner with dignity and decorum. Should the conduct of the employee or his or her counsel be such that the orderly and prompt disposition of the matters before the Board are impaired, or rulings ignored or flouted deliberately, the chairperson is authorized in his or her discretion to recess the hearing. Further proceedings may be held only after satisfactory assurances are made to the chairperson by the offending party that he or she is prepared to abide by the rulings of the chairperson.

(4) Testimony before hearing boards will be given under oath or affirmation.

(5) The hearing board will take whatever action is necessary to insure the employee of full and fair consideration of his or her case. The employee will be informed by the chairperson of his or her rights under this regulation.

(6) After the hearing has been convened, the letter of charges will be read, as well as the statements and affidavits submitted by the employee in answer to the letter of charges, unless the reading is waived by mutual consent of the chairperson and the employee. In any event, this material will be incorporated as a part of the record of the hearing.

(7) The DA and the employee may introduce evidence responsive to the issues. Rules of evidence will not be binding on the Board. The chairperson may impose reasonable restrictions as to the relevance, competency, and materiality of matters considered, so that the hearings will not be unduly prolonged. Investigative information not made available to the employee whose removal is sought under Section 7532, Title 5, United States Code, will not be furnished the Board subject to the following exception: If the investigative information constitutes classified information the Board may receive and consider this information provided the employee is furnished as comprehensive and detailed an unclassified summary of the information as the national security permits.

(8) The employee will control the sequence of calling his or her witnesses. Reasonable cross-examination of witnesses by the employee will be permitted.

(9) The hearing board will give due consideration to documentary evidence developed by investigation, including but not limited to, such matters as membership cards, petitions bearing the employee's signature, personnel and security forms executed by the employee, and transcripts of relevant testimony before other duly constituted authorities. The fact that such evidence has been

considered will be made a part of the transcript of the hearing, together with a complete identification of the document in question, including date, place, and other designative information.

(10) The chairperson, in his or her discretion, may invite any person to appear at the hearing and testify, and may cross-examine the person. The employee may be called to testify. Where an employee's refusal to testify or to answer questions regarding the issues in his or her case prevents the Board from reaching a determination that his or her employment is clearly consistent with the interests of national security, the Board may adjourn the hearing and take action as provided in (16) below.

(11) The hearing board will conduct the hearing proceedings in such a manner as to protect information, the disclosure of which would adversely affect the national security, or tend to disclose or compromise investigative sources or methods.

(12) Hearings will be private. The following will be present at the hearing—

- (a) The members of the hearing board.
- (b) The hearing board counsel.
- (c) The stenographer or stenographers.
- (d) The employee.
- (e) His or her counsel.
- (f) DoD officials concerned.
- (g) Witnesses when actually testifying.

(13) Where the hearing board determines that further investigation is essential to arrive at a proper decision in the case, the Board will specify the particular areas to be investigated. This will be done on an expeditious basis through the Director, Civilian Employees Security Program, OSA.

(14) The hearing board, in making its recommendation, will take into consideration the fact that the employee may have been handicapped by the nondisclosure to him or her of classified defense information. The Board will also take into consideration the inability of the employee to attack the credibility and accuracy of any person furnishing information about the employee who fails to appear as a witness. Where persons are not confidential informants, their failure to appear, together with the reason for their absence, will be considered by the Board, as well as the fact that the Board cannot pay witness fees or reimburse them for their travel or other expenses. The Board will reach its conclusions and base its determination on the transcript of the hearing, together with such classified defense information as may be submitted to it. This classified information will be identified and included in the classified portion of the record for review by the SA, together with the information disclosed to the employee accord-

ing to (7) above. Where such information has not been shown to the employee, the reasons for the action will be stated.

(15) A complete verbatim stenographic transcript will be made of the hearing by qualified reporters. This will be made a permanent part of the record. The employee will be furnished a copy of the transcript without cost. The transcript will not include classified information submitted to the Board, but will include an unclassified summary if national security considerations permit.

(16) The hearing board will make findings of fact with respect to each charge in the letter of charges and a recommendation whether retention of the employee is clearly consistent with the interest of the national security. The report of the Board will be in writing. It will also be signed by all members of the Board. If a determination is not unanimous, a signed minority report will be submitted.

(17) The record of the case, including the findings and the recommendation of the hearing board, will be forwarded to the SA for review and final determination.

f. Procedural benefits for employees. A US citizen employee of DA having a permanent or indefinite appointment, regardless of whether the employee has completed the probationary or trial period, whose removal from DA under Section 7532, Title 5, United States Code, is proposed will be granted the following procedural benefits:

(1) The employee will be given a letter of charges which may be subject to amendment within 30 days thereafter, stating the reasons for the proposed removal from employment with DA under Section 7532, Title 5, United States Code. The letter will be as specific as national security considerations permit. Each specific charge will be directly related to one or more of the criteria of paragraphs 2-100 a through f and m. The letter will advise the employee to reply to each of the charges and specifically admit, deny, or disclaim any knowledge, as appropriate, of all of the charges. The employee will be given 30 calendar days to answer the letter plus an additional 30 days if the letter of charges has been amended. If the employee does not reply to the letter, a decision will be made by the SA based on the available information.

(2) In cases where the employee does reply to the letter of charges and the review by HQDA determines that the continued employment is not in the interests of national security, the employee will be notified, in writing, of the reasons for the determination. The notification will include the provision that the employee may appeal the deter-

mination. The appeal may be either a written appeal directly to the SA or a request for a hearing before a Security Hearing Board.

(3) An appeal submitted to the SA by the employee will be considered and a final decision rendered.

(4) When the employee elects a board hearing on the appeal, he or she will be informed of the following provisions of a Security Hearing Board action. The employee—

(a) May be represented by legal counsel of choice.

(b) May testify on own behalf.

(c) May present witnesses and offer evidence under oath or affirmation.

(d) May cross-examine any witness offered in support of the charges.

(e) Will be deemed to have relinquished the option to appeal in the case, should he or she fail to submit a written appeal to the SA or request a board hearing within 30 calendar days. In those cases, the SA will make a final decision based on the available information. Additionally, if the employee does not appear before a scheduled hearing, without explanation acceptable to the board chairperson, the board will consider the case on the available information and make a recommendation to the SA for a final decision.

g. Personnel actions.

(1) Resignations. Resignations will be accepted even though the employee's case may be in process. A resignation will automatically terminate processing of the case under this regulation if the employee—

(a) Resigns after he or she has been suspended or has received the letter of charges proposing removal under Section 7532, Title 5, United States Code. SF 50 will be annotated as follows, "Resigned while action pending to separate for security reasons under Section 7532, Title 5, United States Code." The employee will be informed of this annotation.

(b) Resigns before suspension or receipt of a letter of charges proposing removal under Section 7532, Title 5, United States Code. SF 50 will contain only standard data with no reference to the security case.

(2) Separations.

(a) As long as the employee is not under suspension, reduction-in-force (RIF) or removals under civil service rules and regulations, separation action should be carried to normal completion. After an employee is suspended and letter of charges issued, all types of separation actions which are under the control of the employing installation should be held in abeyance, if possible,

until final adjudication under this regulation is made. However, removals ordered by the OPM should be effected and notification supplied to the SA through the channels used in processing the case. After separation for any reason, investigative files supplied by the OPM or the FBI will be disposed of under AR 381-45 (ref(xx)).

(b) If an employee is reached by a RIF during a period of suspension under this regulation, all necessary processing with the reduction-in-force will be accomplished except that SF 50 will not be issued. The final separation by RIF will be held in abeyance until the final determination by the SA is received. When removal on security grounds is ordered, no further action on the RIF is necessary. If restoration on security grounds is ordered it will be accomplished and the RIF then made effective if still applicable.

(3) Change in status while a case is in process. When a case is in process, reassignments and all types of separations must be reported immediately to the SA directly and also to the OACSI, through channels followed in processing a case under this regulation, so that the case can be closed promptly without unnecessary action. All separations from the rolls of the DA will automatically stop proceedings under this regulation.

(4) Notice requirements. Pursuant to EO 10450, as amended, and to assist the OPM in discharging its responsibilities under that Order, the employing activities of the DA will notify the OPM of the action taken as soon as possible after the receipt of the final investigative report on a civilian employee. In case of a completely favorable investigation, notification will be made within 30 days. In the case of an unfavorable investigation, notifi-

cation will be made within 90 days. In both situations, if special circumstances have precluded accomplishing the reports to the OPM within the time limits, continuing reports will be made every 30 days until accomplished. The notice will conform to the requirements of the OPM stipulated in chapter 736, appendix B-1, FPM. The SF 72 will be used for this purpose and forwarded to OPM at the address shown in paragraph 6-104.

h. Record of action taken. A record of all actions taken in a national security case, to include Security Hearing Board transcripts, will be made and included in the investigative dossier retained in the US Army Investigative Records Repository (USAIRR) pertaining to the person.

8-202 Exceptions to Policy

a. Notwithstanding paragraph 8-101 above or any other provision of this Regulation, nothing in this Regulation shall be deemed to limit or affect the responsibility and powers of the Secretary of Defense to find that a person is not suitable for entrance or retention in the Armed Forces, or is ineligible for a security clearance or assignment to sensitive duties, if the national security so requires. Such authority may not be delegated and may be exercised only when it is determined that the procedures prescribed in paragraph 8-101 above are not appropriate. Such determination shall be conclusive.

b. Notification of adverse action need not be given to—

(1) Military personnel who have been dropped from the rolls of their organization for absence without authority.

(2) To persons who have been convicted of a criminal offense by a civilian court or court martial and are incarcerated.

Section 3

REINSTATEMENT OF CIVILIAN EMPLOYEES

8-300 General

Any person whose civilian employment in the Department of Defense is terminated under the provision of this Regulation shall not be reinstated or restored to duty or employed in the Department of Defense unless the secretary of Defense, or the head of a DoD Component, finds that such reinstatement, restoration, or re-employment is clearly consistent with the interests of national security, which finding shall be made a part of the personnel security record. **Requests for acceptance of persons for employment with DA, whose previous Federal employment was terminated under Section 7532, Title 5, United States Code, will**

be sent to HQDA(DAMI-CIS), WASH, DC 20310 for review. OACSI will coordinate the review with OTJAG AND ODCSPER and provide a recommendation to the SA for final determination.

8-301 Reinstatement Benefits

A DoD Civilian employee whose employment has been suspended or terminated under the provisions of this Regulation and who is reinstated or restored to duty under the provisions of Section 3571 of Title 5, U.S. Code (reference (bb)) is entitled to benefits as provided for by Section 3 of Public Law 89-380 (reference (cc)).

CHAPTER IX CONTINUING SECURITY RESPONSIBILITIES

Section 1

EVALUATING CONTINUED SECURITY ELIGIBILITY

9-100 General

A personnel security determination is an effort to assess the future trustworthiness of an individual in terms of the likelihood of the individual preserving the national security. Obviously it is not possible at a given point to establish with certainty that any human being will remain trustworthy. Accordingly, the issuance of a personnel security clearance or the determination that a person is suitable for assignment to sensitive duties cannot be considered as a final personnel security action. Rather, there is the clear need to assure that, after the personnel security determination is reached, the individual's trustworthiness is a matter of continuing assessment. The responsibility for such assessment must be shared by the organizational commander or manager, the individual's supervisor and, to a larger degree, the individual himself. Accordingly, the heads of DoD Components shall establish and maintain a program designed to evaluate on a continuing basis the status of personnel under their jurisdiction with respect to security eligibility. This program should insure close coordination between security authorities and personnel, medical, legal and supervisory personnel to assure that all pertinent information available within a command is considered in the personnel security process.

9-101 Command Responsibility

Commanders shall insure that personnel assigned to sensitive duties (or other duties requiring a trustworthiness determination under the provisions of this Regulation) are initially indoctrinated and periodically instructed thereafter on the national security implication of their duties and on their individual responsibilities.

Procedures shall be established, and special counseling made available, to encourage individuals cleared under this Regulation to seek appropriate guidance and assistance on any personal problem or situation that may have a bearing on their eligibility to remain in a position of trust.

9-102 Supervisory Responsibility

Security programs shall be established to insure that supervisory personnel are familiarized with their special responsibilities in matters pertaining to personnel security with respect to personnel under their supervision. Such programs shall provide practical guidance as to indicators that may signal matters of personnel security concern. Specific instructions should be disseminated by **Security Managers** concerning reporting procedures to enable the appropriate authority to take timely corrective action to protect the interests of national security as well as to provide any necessary help to the individual concerned to correct any personal problem which may have a bearing upon the individual's continued eligibility or access.

9-103 Individual Responsibility

Individuals must familiarize themselves with pertinent security regulations that pertain to their assigned duties. Further, individuals must be aware of the standards of conduct required of persons holding positions of trust. In this connection, individuals must recognize and avoid the kind of personal behavior that would result in rendering one ineligible for continued assignment in a position of trust. In the final analysis, the ultimate responsibility for maintaining continued eligibility for a position of trust rests with the individual.

Section 2

SECURITY EDUCATION

9-200 General

The effectiveness of an individual in meeting security responsibilities is proportional to the degree to which the individual understands them. Thus, an integral part of the DoD security program is the indoctrination of individuals on their security responsibilities. Moreover, such indoctrination is essential to the efficient functioning of the DoD personnel security program. Accordingly, heads of DoD Components shall establish procedures in accordance with this chapter whereby persons requiring access to classified information, or being assigned to positions that require the

occupants to be determined trustworthy are periodically briefed as to their security responsibilities.

9-201 Indoctrination Briefing

All persons cleared for access to classified information or assigned to duties requiring a trustworthiness determination under this Regulation shall be given an initial security indoctrination. **This indoctrination will be made a matter of record.** The indoctrination shall consist of the following elements, as appropriate:

- a. The need for protecting classified information and the adverse effects to the national security resulting from compromise.

b. The principles, criteria, and procedures for classification, downgrading, declassification, including marking, of information as prescribed in Chapters I through IV of DoD Regulation 5200.1-R (AR 380-5) (reference (o)), and the strict prohibitions on improper use of the classification and declassification systems.

c. The specific security requirements of their particular job.

d. The techniques employed by foreign intelligence activities in attempting to obtain classified information and their responsibility for reporting such attempts. AR 381-12 (ref (vv)) applies.

e. The prohibition against disclosing classified information, by any means, to unauthorized persons or discussing or handling classified information in a manner that would make it accessible to unauthorized persons.

f. The penalties that may be imposed for security violations.

g. **Paragraph 10-101, AR 380-5 (ref (o)) applies.**
9-202 Refresher Briefings

A program shall be established to provide periodic security briefings for personnel having continued access to classified information or assigned to sensitive duties. Paragraph 10-102, AR 380-5 (ref (o)) applies.

9-203 Foreign Travel Briefings

Personnel who have had access to classified information shall be given a Foreign Travel Briefing as a defensive measure prior to travel to alert them of their possible exploitation under the following conditions:

a. Travel to or through Communist-controlled countries for any purpose (see app H).

b. Attendance at international, scientific, technical, engineering, or other professional meetings in the United States or in any country outside the United States where it can be anticipated that representatives of Communist-controlled countries will participate or be in attendance. **Paragraph 10-103, AR 380-5 (ref (o)) applies.**

9-204 Debriefings

a. Upon termination of employment or contemplated absence from duty or employment for 60 days or more, military members and civilian employees shall, regardless of rank or grade, be debriefed, return all classified material, and execute a Security Termination

Statement. **DA Form 2962 (Security Termination Statement) will be used for this purpose. Paragraph 10-104, AR 380-5 (ref (o)) applies.** This statement shall include:

(1) An acknowledgement that the individual has read the appropriate provisions of the Espionage Act, other criminal statutes, DoD Regulations applicable to the level of classified information to which the individual has had access, and understands the implications thereof;

(2) A declaration that the individual no longer has any documents or material containing classified information in his possession;

(3) An acknowledgement that the individual will not communicate or transmit classified information to any unauthorized person or agency; and

(4) An acknowledgement that the individual will report without delay to the FBI or the DoD Component concerned any attempt by any unauthorized person to solicit classified information.

b. When an individual refuses to execute a debriefing statement, that fact shall be reported immediately to the security office of the cognizant organization concerned.

c. The Security Termination Statement shall be retained by the DoD Component that authorized the individual access to classified information for the period specified in the Component's records retention schedules, but for a minimum of 2 years after the individual is debriefed.

d. In addition to the provisions of subparagraphs a., b., and c. above, DoD Components shall establish a central authority to be responsible for ensuring that debriefing statements are executed by senior personnel (general officers, flag officers and GS-16s and above). Failure on the part of such personnel to execute a Security Termination Statement shall be reported immediately to the Deputy Under Secretary of Defense for Policy Review. **Senior civilian employees, GS-16 and above, will execute the DA Form 2962 at the employing activity at time of separation. The General Officer Management Office, ODCSPER, is designated the control office authorized to execute DA Forms 2962 for separating general officers.**

names and addresses should be written in English and the Oriental characters (ideographs) or the Arabic script if known.

b. If a relative, who is residing overseas, is a US citizen with no indicated connection with the US Government, explain in item 20.

Item 12. (Foreign travel). List all periods of foreign travel not under auspices of the US Government. Include the duration of the visit for each country visited, and the purpose of the travel. Travel in cities of countries divided into free world and Communist-oriented parts will indicate in which part the travel was performed.

Item 13. (Employment). List each period of employment, self-employment, and/or unemployment during the 15-year period immediately preceding the date of this DD Form 398 or from the date of the 18th birthday, whichever is the shorter period. If under age 21, list each period of employment, self-employment, and/or unemployment during the last 3-year period, unless the subject is an immigrant alien, in which case employment should be reflected for the preceding 5 years. Information in this item must be listed in order beginning with the present period of employment, self-employment or unemployment and working back. The month and the year of beginning and ending of each period must be shown.

a. If self-employed during any period, list in item 20 or on an attached sheet the complete name and address of the business and names and addresses of two persons who can verify such period(s) of self-employment.

b. List part-time employment during school vacations to include position held (for example, clerk, accountant, laborer, electrician, etc.) and the department and supervisor's name. List all part-time employments while on active duty with the military service, and identify as such.

c. When employment has occurred overseas, except under the sponsorship of the US Government, list in item 20 the names and addresses of two persons, preferably US citizens, who can verify the period(s) of employment through personal knowledge.

d. Include complete name(s), street, address, city, and state for each period of employment, self-employment, or unemployment.

e. Foreign names and addresses should be in English and in the Oriental characters (ideographs) or the Arabic script, if known.

f. If any period of employment was in a large metropolitan area (for example, New York, Chicago, Los Angeles), indicate the borough or suburb. If employed by a large manufacturing concern (for example, Chrysler or General Motors Corporation

in Detroit, Michigan), give the specific name and location of the plant where actually employed. If presently employed in a civilian capacity with the US Government, give current working location, to include room and building number, if on a base or installation.

g. If any period of employment was for a temporary help supplier, list only the temporary help supplier as the employer, even though work may have been performed at different locations with the client companies using the temporary help supplier's service.

h. If employed through a union hiring hall, list firm by which employed. Do not list the union as an employer unless the salary was paid by the union.

i. If summer activities or similar periods are not reflected under employment, education, military service, enter the term "Unemployed" at the appropriate chronological place within item 13 and give the names and addresses of two persons who can verify the periods of unemployment.

j. Relatives should not be listed as persons to verify periods of self-employment. However, if relatives are listed a complete explanation must be included in item 20.

k. Insure that all three questions are answered at the bottom of item 13 and that the social security number is typed in the appropriate block. If any of the three questions is answered "Yes," explain fully in item 20.

l. For periods of military service, enter each assignment and inclusive dates, including current period if applicable.

m. Do not list any education in this item.

Item 14. (Credit and Character References). Give three credit and five character references. Identify persons by first name, middle initial, and last name. (Do not list relatives or persons under 18 years of age. Members of the same family are not acceptable as separate character references.) Prefix the name with Mr., Mrs., Miss or other appropriate title.

a. Each character reference should be residing in the US and should be a person with whom a close and continuing association exists or has existed. Such an association is defined as one which permits the character reference to have personal knowledge of the subject's activities and traits of character.

b. List the inclusive periods of association with each reference by years (for example, 54-62). When possible, indicate month within the years listed.

(1) The combined period of time that the five character references have associated with the

subject should cover the last 15 years or since the subject's 18th birthday, whichever is the shortest period.

(2) If the subject is under 21 years of age, the period of time that the character references associated with the subject must cover the last 3 years of the subject's life.

(3) If the subject has had a prior BI or SBI, the combined period of time that the character references associated with the subject must cover the period since the last DD Form 398 was submitted with request for investigation. Do not list character references who were listed on any prior personal history form.

c. Do not give hometown references unless they fall within the above definition. A complete explanation must be provided in item 20 if a character reference is listed with whom a close and continuing relationship has not existed.

d. Give current, complete addresses of each reference. If available, list the home and business addresses and both telephone numbers. Give such complete instructions with the address that a stranger could find the location. That is, in the case of a business address, give the name of the firm where the reference is employed, plus the exact address. If any reference is located in a large metropolitan area (for example, New York, Chicago, or Los Angeles), indicate the borough or suburb and ZIP code. If the address is a small town or on a rural or star route, give complete instructions from the post office or nearest town. In the case of rural route address (for example, Star Route, Dickson Country, 5 miles south of White Bluff, Tennessee, on Highway 191 turn left on Turner Road, proceed ½ miles to third white house on right side of road). If space is insufficient, show the additional information in item 20 or on an attached sheet. Schematic or free drawn map is also helpful.

e. Do not list military references unless their present military grade, military organization, and address are known.

f. If bona fide credit references cannot be furnished, list a school where tuition was paid, or any store, gasoline station, automobile dealer, repair shop, life insurance company, landlord, doctor, or lawyer, where cash was paid for services or goods and who has knowledge or records of the financial transaction. Include account numbers when applicable.

Item 15. (Residence).

a. List all places of residence (not employment or education) during the last 15 years or since the subject's 18th birthday, whichever is the shorter period, in order beginning with the current ad-

dress and working back. It is not necessary to list all residences from 1 January 1937. For those persons under the age of 21, list residences for the past 3 years, unless the subject is an immigrant alien, in which case addresses should be reflected for the preceding 5 years. Give the beginning and ending month and year for each period of residence. Do not list a permanent mailing address of family residence in this item unless the subject actually resided at the address during the period(s) listed.

b. Furnish residence addresses in local community or on base or installation while in military service (not the permanent home of record address). List the actual place of residence while attending school. Do not list merely the name of the school or "On Campus" as a place of residence. If a metropolitan address is given, list the borough or suburb in which it is located. For a rural address, include complete instructions for locating the residence as explained in item 14d above.

c. If the residence was on a military installation, include the military organization to which assigned in addition to the complete on base residence address to include barracks or house number.

g. If residence was in a foreign country, foreign names and addresses should be in English and the Oriental characters (ideographs) or the Arabic script, if known.

e. When residence was overseas, except under auspices of the US Government, list in item 20 the names and addresses of two persons, preferably US citizens, who can verify the period of foreign residence through personal knowledge. The same references listed to verify education or employment in overseas area may be listed to verify residences overseas.

Item 16. (Organizational Membership). Give pertinent information including complete names and locations of each organization of which the subject is or has been a member, and indicate any office held. Avoid abbreviations. Show name and address of national organizations from which local organizations are derived or with which they are affiliated.

Item 17. Each question requires either a "Yes" or "No" answer. If "Yes" has been checked in answer to any question, either a complete and detailed explanation in the space provided or in item 20 (or on attached sheets, if necessary).

Item 18. (Arrest Record). The question at the beginning of this item must be checked either "Yes" or "No."

a. If "Yes" is checked, identify the appropriate police agency in addition to the date and court

CHAPTER X

SAFEGUARDING PERSONNEL SECURITY INVESTIGATIVE RECORDS

10-100 General

In recognition of the sensitivity of personnel security reports and records, particularly with regard to individual privacy, it is Department of Defense policy that such personal information shall be handled with the highest degree of discretion. Access to such information shall be afforded only for the purpose cited herein and to persons whose official duties require such information. Personnel security investigative reports may be used only for the purposes of determining eligibility of DoD military and civilian personnel, contractor employees, and other persons affiliated with the Department of Defense, for access to classified information, assignment or retention in sensitive duties or other specifically designated duties requiring such investigation, or for law enforcement and counterintelligence investigations. Other uses are subject to the specific written authorization of the Deputy Under Secretary of Defense for Policy Review.

10-101 Responsibilities

DoD authorities responsible for administering the DoD personnel security program and all DoD personnel authorized access to personnel security reports and records shall insure that the use of such information is limited to that authorized by this Regulation and that such reports and records are safeguarded as prescribed herein. The heads of DoD Components and Deputy Under Secretary of Defense for Policy Review for the Office of the Secretary of Defense shall establish internal controls to insure adequate safeguarding and limited access to and use of personnel security reports and records as required by paragraph 10-102 and 10-103 below.

10-102 Access Restrictions

Access to personnel security investigative reports and personnel security clearance determination information shall be authorized only in accordance with DoD Directive 5400.7 (AR 340-17) and 5400.11 (AR 340-21) (references (y) and (z)) and with the following:

a. DoD personnel security investigative reports shall be released outside of the DoD only with the specific approval of the investigative agency having authority over the control and disposition of the reports.

b. Within DoD, access to personnel security investigative reports shall be limited to those designated DoD officials who require access in connection with specifically assigned personnel security duties, or other activities specifically identified under the provisions of paragraph 10-100.

c. Access by subjects of personnel security investi-

gative reports shall be afforded in accordance with DoD Directive 5400.11 (AR 340-21) (reference (z)).

d. Access to personnel security clearance determination information shall be made available, other than provided for in c. above, through security channels, only to DoD or other officials of the Federal Government who have an official need for such information.

10-103 Safeguarding Procedures

Personnel security investigative reports and personnel security determination information shall be safeguarded as follows:

a. Authorized requesters shall control and maintain accountability of all reports of investigation received.

b. Reproduction, in whole or in part, of personnel security investigative reports by requesters shall be restricted to the minimum number of copies required for the performance of assigned duties.

c. Personnel security investigative reports shall be stored in a vault, safe, or steel file cabinet having at least a lockbar and an approved three-position dial-type combination padlock or in a similarly protected area/container.

d. Reports of personnel security investigations shall be sealed in double envelopes or covers when transmitted by mail or when carried by persons not authorized access to such information. The inner cover shall bear a notation substantially as follows:

TO BE OPENED ONLY BY OFFICIALS DESIGNATED TO RECEIVE REPORTS OF PERSONNEL SECURITY INVESTIGATIONS

e. An individual's status with respect to a personnel security clearance or a Special Access authorization is to be protected as provided for in paragraph VI.C.6., DoD Directive 5400.7 (AR 340-17) (reference (y)).

10-104 Records Disposition

a. Personnel security investigative reports may be retained by DoD recipient organization if **considered necessary by the head of the component to fulfill the requirements of paragraph 9-100 of this regulation**. Such reports are considered to be the property of the investigating organization and are on loan to the recipient organization for the purpose for which requested. All copies of such reports shall be destroyed within **60 days after the person has been separated from the recipient organization**. Reports that are required for longer periods may be retained only with the specific written approval of the investigating organization.

b. DoD record repositories authorized to file personnel security investigative reports shall destroy PSI reports of a favorable or of a minor derogatory nature 15

years after the date of the last action. That is, after the completion date of the investigation or the date on which the record was last released to an authorized user—whichever is later. Personnel security investigative reports resulting in an adverse personnel action or court-martial or other investigation of a significant nature due to information contained in the investigation shall be destroyed 25 years after the date of the last action. Files in this latter category that are determined to be of possible historical value and those of widespread public or congressional interest may be offered to the National Archives after 15 years. **AR 381-45 (ref (xx)) applies.**

c. Personnel security investigative reports on persons who are considered for affiliation with DoD will be destroyed after 1 year if the affiliation is not completed.

10-105 Foreign Source Information

Information that is classified by a foreign government is exempt from public disclosure under the Freedom of Information and Privacy Acts. Further, information provided by foreign governments requesting an express promise of confidentiality shall be released only in a manner that will not identify or allow unauthorized persons to identify the foreign agency concerned.

CHAPTER XI PROGRAM MANAGEMENT

11-100 General

To insure uniform implementation of the DoD personnel security program throughout the Department, program responsibility shall be centralized to the extent practicable.

11-101 Responsibilities

a. The Deputy Under Secretary of Defense for Policy Review shall have primary responsibility for providing guidance, oversight, and approval for policy and procedures governing personnel security program matters within the Department.

b. The General Counsel shall insure that the program is administered in a manner consistent with the laws; that all proceedings are promptly initiated and expeditiously completed; and that the rights of individuals involved are protected, consistent with the interest of national security. The General Counsel shall also insure that all relevant decisions of the courts and legislative initiatives of the Congress are obtained on a continuing basis and that analysis of the foregoing is accomplished and disseminated to DoD personnel security program management authorities.

c. The heads of the Components shall insure that:

(1) The DoD personnel security program is administered within their area of responsibility in a manner consistent with this Regulation.

(2) A single authority within the office of the head of the component is assigned responsibility for administering the program within the component. **The ACSI, DA, is responsible for administration of the Army Personnel Security Program.**

(3) Information and recommendations are provided the Deputy Under Secretary of Defense for Policy Review and the General Counsel, at their request, concerning any aspect of the program.

(4) Data will be maintained that will identify annually:

(a) Number of personnel involved, part-time and full-time, adjudicating personnel security cases;

(b) Number of man years expended in adjudicating personnel security cases;

(c) Number of personnel security clearances and special access authorizations issued, by level of clearances and category of access;

(d) Number of positions designated sensitive, by designation criteria;

(e) Number of waivers of investigative requirements, by level of clearance and/or access category; and

(f) Number of adverse personnel security determinations by level of clearance and/or access category.

(5) **Records of sensitive and nonsensitive positions will be maintained by the servicing civilian personnel office. Those individuals authorized to designate sensitive positions will inform the servicing civilian personnel office of any change in position sensitivity.**

11-102 Inspections

The heads of DoD Components shall assure that personnel security program matters are included in their administrative inspection programs.

APPENDIX A

REFERENCES, Continued

- (d) Public Law 86-36, "National Security Agency—Officers and Employees"
- (e) Executive Order 10450, "Security Requirements for Government Employment," dated April 27, 1953
- (f) Executive Order 12036, "United States Intelligence Activities," dated January 24, 1978
- (g) DoD Directive 5210.45, "Personnel Security in the National Security Agency," May 9, 1964
- (h) Executive Order 12065, "National Security Information," dated June 28, 1978
- (i) Executive Order 11935, "Citizenship Requirements for Federal Employment," dated September 2, 1976
- (j) Director of Central Intelligence Directive (DCID) No. 1/14, "Minimum Personnel Security Standards and Practices Governing Access to Sensitive Compartmented Information," dated May 13, 1976
- (k) Privacy Act of 1974, Title 5-552A, United States Code.
- (l) DoD Directive 5100.23, "Administrative Arrangements for the National Security Agency," dated May 17, 1967.
- (m) Agreement Governing the Conduct of Defense Department Counterintelligence Activities in Conjunction with the Federal Bureau of Investigation, dated April 5, 1979
- (n) DoD Directive 5210.48, "The Conduct of Polygraph Examinations and the Selection, Training and Supervision of DoD Polygraph Examiners," dated October 6, 1975. **AR 195-6 (Department of the Army Polygraph Activities)**
- (o) DoD 5200.1-R, "Information Security Program Regulation, dated December 1978. **AR 380-5 (Department of the Army Information Security Program Regulation)**
- (p) DoD Directive 5210.55, "Selection of DoD Military and Civilian Personnel and Contractor Employees for Assignment to Presidential Support Activities," dated July 6, 1977. **AR 614-3 (Selection of US Army and Civilian Personnel and Contractor Employees for Assignment to Presidential Support Activities)**
- (q) DoD Directive 5210.42, "Nuclear Weapon Personnel Reliability Program", dated April 26, 1978. **AR 50-5 (Nuclear Surety)**
- (r) DoD Directive 5200.8, "Authority of Military Commanders Under the Internal Security Act of 1950 to Issue Security Orders and Regulations for the Protection of Property or Places under Their Command," dated August 20, 1954. **AR 380-20 (Restricted Areas)**
- (s) DoD Personnel Policy Manual for Non-Appropriated Fund Instrumentalities, dated September 6, 1974. **AR 230-2 (Personnel Policies and Procedures)**
- (t) DoD 5030.49-R, "Customs Inspection Regulation," dated September 23, 1975. **AR 190-41 (Customs Law Enforcement)**
- (u) DoD Directive 5210.25, "Assignment of American National Red Cross and United Service Organizations (USO) Employees to Duty with the Armed Forces," dated November 21, 1977. **AR 380-49 (Industrial Security)**
- (v) DoD Directive 5210.46, "Department of Defense Building Security for the National Capital Region," dated September 23, 1975. **AR 380-4 (Department of Defense Building Security for the National Capitol Region)**
- (w) DoD Directive 5210.65, "Chemical Agent Security Program," dated February 9, 1979. **AR 50-6 (Chemical Surety)**
- (x) DoD Directive 5210.2 (Access to and Dissemination of Restricted Data," dated January 12, 1978. **AR 380-150, (Access to and Dissemination of Restricted Data)**
- (y) DoD Directive 5400.7, "Availability to the Public of Department of Defense Information," dated February 14, 1975. **AR 340-17 (Release of Information and Records from Army files)**
- (z) DoD Directive 5400.11, "Personal Privacy and Rights of Individuals Regarding Their Personal Records," dated August 4, 1975. **AR 340-21 (The Army Privacy Program)**
- (aa) Federal Personnel Manual, Chapter 732, Subchapter 1, paragraph 1-6b and Chapters 731 and 736
- (bb) Section 3571, Title 5, United States Code
- (cc) Section 3, Public Law 89-380
- (dd) Executive Order 9835, "Prescribing Procedures for the Administration of an Employee Loyalty Program in the Executive Branch of the Government," issued 1947 (superseded by Executive Order 10450)
- (ee) Atomic Energy Act of 1954, as amended
- (ff) **AR 15-6 (Procedures for Investigating Officers and Boards of Officers Conducting Investigations)**
- (gg) **AR 135-100 (Appointment of Commissioned and Warrant Officers of the Army)**
- (hh) **AR 135-101 (Appointment as Reserve Commissioned Officers for Assignment to the Medical, Dental, Veterinary, and Medical Service Corps Branches of the Army Medical Department)**
- (ii) **AR 135-175 (Separation of Officers)**

(jj) AR 135-178 (Separation of Enlisted Personnel)

(kk) AR 135-210 (Order to Active Duty as Individuals During Peacetime, National Emergency, or Time of War)

(ll) AR 140-111 (Enlistment and Reenlistment)

(mm) AR 140-192 (Military Intelligence and Army Security Agency Units Organization, Training, and Assignment and Retention Criteria).

(nn) AR 145-1 (ROTC-Senior Division Organization, Administration and Training)

(oo) AR 190-54 (Nuclear Reactor Security Program)

(pp) AR 351-5 (Army Officer Candidate School)

(qq) (C) AR 380-10 (Department of the Army Policy for Disclosure of Military Information to Foreign Governments (U))

(rr) AR 380-13 (Acquisition and Storage of Information Concerning Nonaffiliated Persons and Organizations)

(ss) (C) AR 380-15 (Safeguarding Classified NATO Information (U))

(tt) AR 380-25 (Foreign Visitors and Accreditation)

(uu) AR 380-380 (Automated Systems Security)

(vv) AR 381-12 (Subversion and Espionage Directed Against US Army and Deliberate Security Violations)

(ww) AR 381-20 (US Army Counterintelli-

gence (CI) Activities)

(xx) AR 381-45 (Investigative Records Repository)

(yy) AR 600-31 (Suspension of Favorable Personnel Actions for Military Personnel in National Security Cases and other Investigations and Proceedings)

(zz) AR 600-37 (Unfavorable Information)

(aaa) AR 600-100 (Appointment of Commissioned and Warrant Officers in the Regular Army)

(bbb) AR 600-240 (Marriage in Overseas Commands)

(ccc) AR 601-210 (Regular Army Enlistment Program)

(ddd) AR 601-270 (Armed Forces Examining and Entrance Stations)

(eee) AR 635-100 (Officer Personnel)

(fff) AR 635-200 (Enlistment Personnel)

(ggg) NGR 600-100 (Commissioned Officers-Federal Recognition and Related Personnel Actions)*

(hhh) NGR 600-101 (Warrant Officers-Federal Recognition and Related Personnel Actions)*

(iii) NGR 600-200 (Enlisted Personnel Management)*

(jjj) NGR 604-10 (Military Personnel Security Program)*

(kkk) Uniform Code of Military Justice

(lll) (C) Technical Bulletin 380-35 (Security, Use, and Dissemination of Sensitive Compartmented Information (U))

(mmm) AR 690-700 (Adverse Actions)

*NGRs may be obtained from: National Guard Bureau, ATTN: DAP, WASH DC 20310.

APPENDIX B

INVESTIGATIVE SCOPE

This appendix prescribes the scope of the various types of personnel security investigations.

1. National Agency Check (NAC). Components of a NAC. At a minimum, the first three of the described agencies (DCII, FBI/HQ, and FBI/ID) below shall be included in each complete NAC; however, a NAC may also include a check of any or all of the other described agencies, if appropriate.

a. DCII records consist of an alphabetical index of personal names and impersonal titles that appear as subjects or incidentals in investigative documents held by the criminal, counterintelligence, fraud, and personnel security investigative activities of the three military departments. DCII records will be checked on all subjects of DoD investigations.

b. FBI/HQ has on file copies of investigations conducted by the FBI. The FBI/HQ check, included in every NAC, consists of a review of files for information of a security nature and that developed during applicant-type investigations.

c. An FBI/ID check, included in every NAC (but not ENTNAC), is based upon a technical fingerprint search that consists of a classification of the subject's fingerprints and comparison with fingerprint cards submitted by law enforcement activities. If the fingerprint card is not classifiable, a "name check only" of these files is automatically conducted.

d. OPM. The files of OPM contain the results of investigations conducted by OPM under Executive Orders 9835 and 10450 (references (dd) and (e)), those requested by the Nuclear Regulatory Commission (NRC), and the Department of Energy (DOE) (formerly the Energy Research and Development Administration (ERDA) and prior to that the Atomic Energy Commission (AEC)) and those requested since August 1952 to serve as a basis for "Q" clearances. Prior to that date, "Q" clearance investigations were conducted by the FBI. A "Q" clearance is granted to individuals who require access to AEC information. In order to receive a "Q" clearance, a full field investigation must be completed on the individual requiring access in accordance with the Atomic Energy Act of 1954 (reference (ee)). Also on file are the results of investigations on the operations on the Merit System, violations of the Veterans Preference Act, appeals of various types, fraud and collusion in Civil Service examinations and related matters, data on all Federal employment, and an index of all BIs on civilian employees or applicants completed by agencies of the Executive Branch of the U.S. Government. The OPM files may also contain information relative to U.S. citizens who are, or who were, em-

ployed by a United Nations organization or other public international organization such as the Organization of American States. OPM records are checked on all persons who are, or who have been, civilian employees of the U.S. Government; or U.S. citizens who are, or who have been, employed by a United Nations organization or other public international organization; and those who have been granted security clearances by the NRC, DOE, ERDA, or AEC.

e. Immigration and Naturalization Service (I&NS). The files of I&NS contain (or show where filed) naturalization certificates of derivative citizenship, all military certificates of naturalization, repatriation files, petitions for naturalization and declaration of intention, visitors' visas, and records of aliens (including government officials and representatives of international organizations) admitted temporarily into the U.S. I&NS records are checked when the subject is:

- (1) An alien in the U.S., or
- (2) A naturalized citizen whose naturalization has not been verified in a prior investigation, or
- (3) An immigrant alien, or
- (4) A U.S. citizen who receives derivative citizenship through the naturalization of one or both parents, provided that such citizenship has not been verified in a prior investigation.

f. State Department. The State Department maintains the following records:

(1) Security Division (S/D) files contain information pertinent to matters of security, violations of security, personnel investigations pertinent to that agency, and correspondence files from 1950 to date. These files are checked on all former State Department employees.

(2) Passport Division (P/D) files contain records of U.S. citizens who have applied for passports for travel outside the U.S. except U.S. Government service, or on occasional short business or pleasure trips in the Western Hemisphere where no passport is required. These files do not reflect whether or not the travel was actually performed. These files shall be checked under the following guidelines:

Investigation	Criteria for P/D Checks
NAC or ENTNAC	Residence anywhere outside of the U.S. for a year or more since age 18 except under the auspices of the U.S. Government; and travel, education, residence, or employment since age 18 in any Sino-Soviet Bloc country.
BI	Same as NAC and ENTNAC requirements plus travel, residence, employment, and education outside the U.S. for more than a continuous 3-month period during the past 5

Investigation	Criteria for P/D Checks
	years, or since age 18, except when under the auspices of the Government.
SBI	Same as BI requirements except the period of the investigation will cover the past 15 years, or since age 18. Also when subject's employment, education or residence has occurred or residence has occurred overseas for a period of more than 5 years under the auspices of the U.S. Government, such checks will be made.

These files shall also be checked if subject indicates U.S. citizenship due to birth in a foreign country of American parents. This is a check of State Department Embassy files to determine if subject's birth was registered at the U.S. Embassy in the country where he was born. Verification of this registration is verification of citizenship.

g. Central Intelligence Agency (CIA). The files of CIA contain information on present and former employees including members of the Office of Strategic Services (OSS), applicants for employment, foreign nationals, including immigrant aliens in the U.S., and U.S. citizens traveling outside the U.S. after July 1, 1946. These files shall be checked under the following guidelines:

Investigation	Criteria for CIA Checks
NAC or ENTNAC	Residence anywhere outside of the U.S. for 1 year or more since age 18 except when under the auspices of the U.S. Government and, travel, education, residence, or employment since age 18 in any Sino-Soviet Bloc country.
BI	Same as NAC and ENTNAC requirements, plus travel, residence, employment, and education outside of the U.S. for more than a continuous 3-month period during the past 5 years, or since age 18, except when under the auspices of the U.S. Government.
SBI	Same as BI requirements except the period of the investigation will cover the past 15 years, or since age 18. Also, when the subject's employment, education, or residence has occurred overseas for a period of more than 5 years, under the auspices of the U.S. Government, such checks will be made.

These files shall also be checked if subject has been an employee of CIA, a member of OSS, or when other sources indicate that CIA may have pertinent information.

h. Military Personnel Record Center files are maintained by separate departments of the Armed Forces, General Services Administration and the Reserve Records Centers. They consist of the Master Personnel Records of retired, separated, reserve, and active duty members of the Armed Force. These records shall be checked when the requester provides required identifying data indicating service during the last 15 years.

i. Treasury Department. The files of Treasury Department agencies (Secret Service, Internal Revenue Service, and Bureau of Customs) will be checked only when available information indicates that an agency of the Treasury Department may be reasonably expected to have pertinent information.

j. The files of other agencies such as the National Guard Bureau, the Defense Industrial Security Clearance Office (DISCO), etc., will be checked when pertinent to the purpose for which the investigation is being conducted.

2. BI. The time period that a BI covers is limited to the most recent 5 years, or since the 18th birthday, whichever is shorter, provided that the investigation covers at least the last 2 full years of subject's life, although it may be extended to the period necessary to resolve any questionable or derogatory information. No investigation will be conducted prior to an individual's 16th birthday.

a. Components of a BI. A NAC and the elements set forth in b. through o. below are integral components of each complete BI. A prior NAC or investigative equivalent completed within the 12-month period immediately prior to initiation of the BI is considered to meet the requirement of a current NAC provided that it covers all pertinent elements set forth in paragraph 1 of this appendix. Emphasis shall be placed on peer coverage whenever interviews are held with personal sources in making educational, employment, and reference (including developed) contact.

b. Birth. Verify subject's date and place of birth (DPOB) through education, and/or other records. Verify through Bureau of Vital Statistics (BVS) records if not otherwise verified under c. below or if a variance is developed.

c. Citizenship. Subject's citizenship status must be verified in all cases. U.S. citizens who are subjects of investigation will be required to produce documentation that will confirm their citizenship. Normally such documentation should be presented to the DoD Component concerned prior to the initiation of the request for investigation. When such documentation is not readily available, investigative action may be initiated with the understanding that the designated authority in the DoD Component will be provided with documentation prior to the issuance of a clearance. DIS will not check the BVS for native-born U.S. citizens, except as indicated in b. above. In the case of foreign born citizens, DIS will check I&NS records. The documents listed below are acceptable for proof of U.S. citizenship for personnel security determination purposes:

(1) A birth certificate must be presented if the individual was born in the United States. To be acceptable the certificate must show that the birth record was filed shortly after birth and must be certified with the

registrar's signature and the raised, impressed, or multi-colored seal of his office. Uncertified copies of birth certificates are not acceptable.

(a) A delayed birth certificate (a record filed more than one year after the date of birth) is acceptable provided that it shows that the report of birth was supported by acceptable secondary evidence of birth as described in (b) below.

(b) If such primary evidence is not obtainable, a notice from the registrar stating that no birth record exists should be submitted. The notice shall be accompanied by the best combination of secondary evidence obtainable. Such evidence may include a baptismal certificate, a certificate of circumcision, a hospital birth record, affidavits of persons having personal knowledge of the facts of the birth, or other documentary evidence such as early census, school, or family bible records, newspaper files and insurance papers. Secondary evidence should have been created as close to the time of birth as possible.

(c) All documents submitted as evidence of birth in the United States shall be original or certified documents. Uncertified copies are not acceptable.

(2) A Certificate of Naturalization shall be submitted if the individual claims citizenship by naturalization.

(3) A Certificate of citizenship issued by the I&NS shall be submitted if citizenship was acquired by birth abroad to a U.S. citizen parent or parents.

(4) A Report of Birth Abroad of a Citizen of the United States of America (Form FS-240), a Certification of Birth (Form FS-545 or DS-1350), or a certificate of citizenship is acceptable if citizenship was acquired by birth abroad to a U.S. citizen parent or parents.

(5) A passport or one in which the individual was included will be accepted as proof of citizenship.

(6) Immigrant alien status may be verified by reviewing the person's INS Form I-151 (Alien Registration Card) or INS Form 551 (Resident Alien Card).

(7) For members of the US Army, the following additional documents may be used to verify US citizenship or immigrant alien status:

(a) DD Form 4 (Enlistment/Reenlistment Document—Armed Forces of the United States) is acceptable provided it is an edition before 1975. (June 1975 and June 1978 editions do not qualify.)

(b) DA Form 61 (Application for Appointment) is acceptable provided it contains citizenship data in Item 14.

(c) DA Form 4037 (Officer Record Brief (ORB)) is acceptable when appropriate items concerning DPOB and country of citizenship (section IV) have been properly completed.

(d) DD Form 372 (Application for Verifica-

tion of Birth for Official US Armed Forces Use Only) if acceptable when properly completed by State officials;

(e) DA Form 873 (Certificate of Clearance and/or Security Determination) is acceptable when section II reflects a favorable BI, SBI, or BI/SBI-PR completed before 1 August 1979.

d. Education. Except as subsequently noted, all education shall be verified during the most recent 5-year period.

(1) Verify attendance at service military academies only if subject is a nongraduate.

(2) Courses in correspondence schools will not be verified.

(3) Education references will be interviewed only when there is unfavorable information to resolve or the education letter of inquiry provides insufficient information. A minimum of two education references should be interviewed.

(4) Part-time education shall not be verified.

e. Employment

(1) Non-Federal employment. Verify all employment within the period of investigation to include seasonal, holiday, Christmas, part-time, and temporary employment. Interview one supervisor and one coworker at subject's current place of employment. Make reasonable efforts to locate and interview one supervisor and one coworker at each prior place of employment within the period of investigation. The interview requirement for supervisors and coworkers does not apply to seasonal, holiday, Christmas, part-time, and temporary employment (4 months or less) unless there are unfavorable issues to resolve or the letter of inquiry provides insufficient information.

(2) Federal employment. All Federal employment will be verified within the period of investigation to include Christmas, seasonal temporary, summer hire, part-time, and holiday employment. Do not verify Federal employment through review of records if already verified by the requester. If Federal employment has not been verified by the requester, then subject's personnel file at his/her current place of employment will be reviewed. All previous Federal employment will be verified during this review. In the case of former Federal employees, records shall be examined at the Federal Records Center in St. Louis, Missouri. Interview one supervisor and one coworker at subject's current place of employment if so employed for 6 months or more.

(3) Military employment. Military service for the last 15 years shall be verified. The subject's duty station, for the purpose of interview coverage, is considered as a place of employment. One supervisor and one coworker shall be interviewed at subject's current duty station if subject has been stationed there for 6

months or more; otherwise, a supervisor and a coworker at subject's next prior duty station where assigned for 6 months or more shall be interviewed.

(4) Unemployment. Subject's activities during all periods of unemployment in excess of 30 consecutive days, within the period of investigation, that are not otherwise accounted for shall be verified.

f. References. Three developed character references who have sufficient knowledge of subject to comment on his background, suitability, and loyalty shall be interviewed personally. Efforts shall be made to interview developed references whose combined association with subject covers the full period of investigation. Employment, education, and neighborhood references, in addition to the required ones, may be used as developed references provided that they have personal knowledge concerning the individual's character, discretion, and loyalty. Listed character references will be interviewed only when developed references are not available or when it is necessary to identify and locate additional developed character references or when it is necessary to verify subject's activities (e.g., unemployment).

g. Neighborhood Investigation. Neighborhood investigations are not required in BIs. However, when appropriate, neighborhood investigations shall be conducted to develop additional references and/or to resolve unfavorable information.

h. Credit

(1) Conduct credit check in the 50 states, the District of Columbia, and Puerto Rico at all places where subject has resided (including duty stations and home ports), been employed, or attended school for 6 months or more during the last 5 years.

(2) When developed information reflects unfavorably upon subject's current credit reputation or financial responsibility, the investigation will be expanded.

i. Local Agency Check (LAC)

(1) LACs will be conducted on subject at all places of residence, to include duty stations and/or home ports, the 50 states, the District of Columbia, and Puerto Rico, of 6 months or more, on a cumulative basis, during the period of investigation. If subject's place of employment and/or education is serviced by a different law enforcement agency than that servicing the area of residence and subject was employed and attended school for 6 months or longer, on a cumulative basis, a LAC in this area should also be conducted. A check of each State central criminal history record repository will be conducted under the foregoing criteria.

(2) LACs will be conducted in overseas areas on alien/immigrant alien subjects and on other subjects who were in such areas in a private capacity.

(3) All arrests and/or involvement with law en-

forcement agencies listed on subject's Statement of Personnel History (SPH) or Personnel Security Questionnaire (PSQ) shall be verified when conducting LACs. A listed arrest that occurred in a location where subject has not resided, worked, or attended school for 6 months or more, on a cumulative basis, during the period of investigation shall be verified.

j. Foreign Travel. If subject has been employed or educated or has traveled or resided outside of the U.S. for more than 90 days during the period of investigation, except under the auspices of the U.S. Government, additional record checks during the NAC shall be made in accordance with paragraph l of this appendix.

k. Foreign Connections. All foreign connection (friends, relatives, and/or business connections) of subject and immediate family in the U.S. or abroad, except where such association was the direct result of subject's official duties with the U.S. Government, shall be ascertained. Investigation shall be directed toward ascertaining the significance of foreign connections on the part of subject and the immediate family, particularly where the association is or has been with persons whose origin was within a country whose national interests are inimical to those of the U.S. When subject or his spouse has close relatives residing in a Communist-controlled country, or subject has resided, visited, or traveled in such a country, not under U.S. Government auspices, the provisions of paragraph 2-306b. of this Regulation apply.

l. Organizations. Efforts will be made during reference interviews and record reviews to determine if subject and/or the immediate family has, or formally had, membership in, affiliation with, sympathetic association towards, or participated in any foreign or domestic organization, association, movement, group, or combination of persons of the type described in paragraphs 2-200 a through d of this Regulation.

m. Divorce. Divorces, annulments, and legal separations of subject shall be verified only when there is reason to believe that the grounds for the action could reflect on subject's suitability for a position of trust.

n. Military Service. All military service and types of discharge during the last 15 years shall be verified.

o. Medical Records. Medical records shall not be reviewed unless:

(1) The requester indicates that subject's medical records were unavailable for review prior to submitting the request for investigation, or

(2) The requester indicates that unfavorable information is contained in subject's medical records, or

(3) The subject lists one or more of the following on the SPH or PSQ:

(a) A history of mental or nervous disorders.

(b) That subject is now or has been addicted to

the use of habit-forming drugs such as narcotics or barbiturates or is now or has been a chronic user to excess of alcoholic beverages.

3. Special Background Investigation (SBI)

a. Components of an SBI. The SBI consists of all the components of a BI plus certain additional investigative requirements outlined in b through o below. The period of investigation for an SBI is the last 15 years or since the 18th birthday, whichever is the shorter period, provided that the investigation covers at least the last 2 full years of the subject's life. No investigation will be conducted for the period prior to an individual's 16th birthday.

b. NAC. In addition to conducting a NAC on the subject of the investigation, the following additional requirements apply.

(1) A DCII and FBI/HQ check shall be conducted on subject's current spouse. In addition, such other national agency checks as deemed appropriate based on information on the subject's SPH or PSQ shall be conducted.

(2) A check of FBI/HQ files on members of subject's immediate family who are aliens in the U.S. or immigrant aliens who are 18 years of age or older shall be conducted. As used throughout the Regulation, members of subject's immediate family include the following:

- (a) Current spouse.
- (b) Adult children, 18 years of age or older, by birth, adoption, or marriage.
- (c) Natural, adopted, foster, or stepparents.
- (d) Guardians.
- (e) Brothers and sisters either by birth, adoption, or remarriage of either parent.

(3) The files of CIA shall be reviewed on alien members of subject's immediate family who are 18 years of age or older, regardless of whether or not these persons reside in the U.S.

(4) I&NS files on members of subject's immediate family 18 years of age or older shall be reviewed when they are:

- (a) Aliens in the U.S., or
- (b) Naturalized U.S. citizens whose naturalization has not been verified in a prior investigation, or
- (c) Immigrant aliens, or
- (d) U.S. citizens born in a foreign country of American parent(s) or U.S. citizens who received derivative citizenship through the naturalization of one or both parents, provided that such citizenship has not been verified in a prior investigation.

c. Citizenship. In addition to the citizenship requirements for the subject covered in paragraph 2.c. of this appendix, the citizenship status of all foreign-born members of subject's immediate family shall be verified. Additionally, when the investigation indicates

that a member of subject's immediate family has not obtained U.S. citizenship after having been eligible for a considerable period of time, an attempt should be made to determine the reason.

d. Education

(1) All secondary education for the last 15 years and at institutions of higher learning will be verified.

(2) In addition to verifying subject's education through a review of school records, attempt to interview two educational references, if available, for all attendance at educational institutions (secondary and higher) that occurred within the most recent 5 years of the period of investigation.

(3) Secondary school attendance may be verified through qualified collateral sources (i.e., transcripts held by college universities, etc.).

(4) There is no requirement to interview educational references when attendance occurred beyond the 5th year of investigative coverage unless unfavorable information relating to that period has been developed.

e. Employment. The investigative requirements set forth in paragraphs 2.e.(1) and (2) of this appendix apply to SBIs except that:

(1) All employment that occurred within the last 15 years will be verified, and

(2) One supervisor and one coworker at each place of employment during the last 10 years shall be interviewed.

f. References. The investigative requirements set forth in paragraph 2.f. apply to the interview of developed and listed references in SBIs. Efforts will be made to interview developed references whose combined association with subject covers the period of investigation (see para 3.a.) with particular emphasis on the last 5 years.

g. Neighborhood Investigations. Conduct a neighborhood investigation to verify each of subject's residences in the U.S. of a period of 6 months or more on a cumulative basis, during the past 5 years or during the period of investigation, whichever is shorter. During each neighborhood investigation, interview two neighbors who can verify subject's period of residence in that area and who were sufficiently acquainted to comment on subject's suitability for a position of trust. Neighborhood investigations will be expanded beyond this 5-year period only when there is unfavorable information to resolve in the investigation.

h. Credit. Conduct credit checks in the 50 States, the District of Columbia, and Puerto Rico at all places where subject has resided (including duty stations and home ports), been employed or attended school for 6 months or more, on a cumulative basis, during the last 5 years or during the period of the investigation, whichever is shorter. When coverage by a credit bu-

reau is not available, credit references located in that area will be interviewed. Financial responsibility, including unexplained affluence, will be stressed in all reference interviews.

i. Local Agency Checks (LACs). LACs including state central criminal history record repositories will be conducted on subject at all places of residence to include duty stations and/or home ports, in the 50 states, the District of Columbia, and Puerto Rico, where residence occurred during the past 15 years or during the period of investigation, whichever is shorter. If subject's place of employment and/or education is serviced by a different law enforcement agency than that servicing the area of residence, LACs shall be conducted also in these areas.

j. Foreign Travel. The investigative requirements set forth in paragraph 2.j. apply. In addition, the following requirements apply for SBIs.

(1) Foreign travel not under the auspices of the U.S. Government. When employment, education, or residence has occurred overseas for more than 90 days during the past 15 years or since age 18, which was not under the auspices of the U.S. Government, a check of records will be made at the Passport Office of the Department of State, the CIA, and other appropriate agencies. Efforts shall be made to develop sources, generally in the U.S., who knew the individual overseas to cover significant employment, education, or residence and to determine whether any lasting foreign contacts or connections were established during this period. If the individual has worked or lived outside of the U.S. continuously for over 5 years, the investigation will be expanded to cover fully this period through the use of such investigative assets and checks of record sources as may be available to the U.S. Government in the foreign country in which the individual resided.

(2) Foreign travel under the auspices of the U.S. Government. When employment, education, or residence has occurred overseas for a period of more than 5 years, under the auspices of the U.S. Government, a record check will be made at the Passport Office of the Department of State, the CIA and other appropriate agencies. Efforts shall be made to develop sources (generally in the U.S.) who knew the individual overseas to cover significant employment, education, or residence and to determine whether any lasting foreign contacts or connections were established during this period. Additionally, the investigation will be expanded to cover fully this period through the use of such investigative assets and checks of record sources as may be available to the U.S. Government in the Foreign country in which the individual resided.

k. Foreign connections. Same as BI, see paragraph 2.k.

l. Organizations. Same as BI, see paragraph 2.l.

m. Divorce. Same as BI, see paragraph 2.m.

n. Military Service. Same as BI, see paragraph 2.n.

o. Medical Records. Same as BI, see paragraph 2.o.

p. Updating a Previous Investigation to SBI Standards. If the previous investigation does not substantially meet the minimum standards of an SBI or if it is more than 5 years old, a current investigation is required but may be limited to that necessary to bring the individual's file up to date in accordance with the investigative requirements of an SBI. Should new information be developed during the current investigation that bears unfavorably upon the individual's activities covered by the previous investigation, the current inquiries shall be expanded as necessary to develop full details of this new information.

4. Periodic Reinvestigation (PR)

a. Scope of a PR for Critical-sensitive Positions.

Each DoD civilian in a critical-sensitive position shall, 5 years after his appointment, and once each succeeding 5 years, submit an updated Statement of Personal History to the appropriate Component security office and the head of the Component concerned shall provide for a review of the Statement of Personal History, together with personnel, security and medical records locally available in the individual's organization. No investigation will be required unless the foregoing review develops significant derogatory or adverse information; in this instance, a Special Investigative Inquiry will be requested to resolve that information.

b. Scope of a PR for Certain Designated Special Access Positions. Those persons occupying a Special Access program position designated in paragraphs 3-501 and 3-503 of this Regulation shall be the subject of a PR every 5 years scoped as follows:

(1) Review of the individual's updated Statement of Personal History; and

(2) Review of personnel, security, and medical records locally available in the individual's duty organization; and a

(3) Check of the FBI/HQ and ID files; and

(4) Checks of relevant law enforcement and credit agencies.

c. Scope of a PR on Foreign Nationals Granted a Limited Access Authorization Employed by DoD Organization Overseas. Each foreign national employed by a DoD organization overseas who has been granted a Limited Access Authorization shall be the subject of a PR every 5 years scoped as follows:

(1) Review of the individual's updated personal employment record; and

(2) Review of personnel, security, and medical rec-

ords locally available in the individual's duty organization; and

(3) Check of host government and security records at city, state (province), and national level; and a

(4) Review of investigative files disclosed as a result of a search of the DCII.

d. Scope of a PR for NATO Staff Positions. Each person occupying a NATO staff position with a NATO COSMIC, SECRET or CONFIDENTIAL

clearance will be the subject of a PR every 5 years scoped as follows:

(1) Review of person's updated personal history statement.

(2) Check of available local records (personnel, base/military police, medical and security).

(3) Check of host national records.

(4) Submission of a NAC request to DIS clearly marked "NATO-PR."

APPENDIX C REQUEST PROCEDURES

A. General

To conserve investigative resources and to insure that personnel security investigations are limited to those essential to current operations and are clearly authorized by DoD policies, organizations requesting investigations must assure that continuing command attention is given to the investigative request process.

In this connection, it is particularly important that the provision of Executive Order 12065 (reference (h)) requiring strict limitations on the dissemination of official information and material be closely adhered to and that investigations requested for issuing clearances are limited to those instances in which an individual has a clear need for access to classified information. Similarly, investigations required to determine eligibility for appointment or retention in DoD, in either a civilian or military capacity, must not be requested in frequency or scope exceeding that provided for in this Regulation.

In view of the foregoing, the following guidelines have been developed to simplify and facilitate the investigative request process:

1. Limit requests for investigation to those that are essential to current operations and clearly authorized by DoD policies and attempt to utilize individuals who under the provisions of this Regulation have already met the security standard;
2. Assure that military personnel on whom investigative requests are initiated will have sufficient time remaining in service after completion of the investigation to warrant conducting it;
3. Insure that request forms and prescribed documentation are properly executed in accordance with instructions;
4. Dispatch the request directly to the DIS Personnel Investigations Center;
5. Properly notify the DIS Personnel Investigations Center and CCF if the investigation is no longer needed (notify OPM if a NACI is no longer needed); and
6. Limit access through strict need-to-know, thereby requiring fewer investigations.

In summary, close observance of the above-cited guidelines will allow the DIS to operate more efficiently to permit more effective, timely, and responsive service in accomplishing investigations.

B. National Agency Check (NAC)

When only a NAC or ENTNAC is requested, an original only of the DD Form 1584 (National Agency Check Request) and a completed FD 258 (Applicant Fingerprint Card) (DD Form 369 for ENTNAC) shall be sent directly to:

Personnel Investigations Center
Defense Investigative Service
P.O. Box 1083
Baltimore, Maryland 21203

C. National Agency Check and Inquiry (NACI)

When a NACI is requested, an original and one copy of the SF 85 (Data for Nonsensitive or Noncritical-sensitive Position), an SF 171 (Personal Qualifications Statement), and an **original and current** SF 87 (U.S. Civil Service Commission Fingerprint Chart) (**2 copies**) shall be sent directly to:

Office of Personnel Management
Bureau of Personnel Investigations
NACI Center
Boyers, Pennsylvania 16018

The notation "ALL REFERENCES" shall be stamped immediately above the title at the top of the Standard Form 85.

D. Background Investigations (BI)

1. When requesting any type of personnel security investigation (except NAC, ENTNAC, or NACI), a DD Form 2221 (Authority for Release of Information and Records) shall be sent directly to the:

Personnel Investigations Center
Defense Investigative Service
P.O. Box 454
Baltimore, Maryland 21203

2. The type and number of documents necessary for each category of background investigation are prescribed in instructions on the DD Form 1879.

E. Periodic Reinvestigation (PR)

1. PRs shall be requested only in such cases as are authorized by paragraph 3-700 of this Regulation.

a. For an SBI-PR requested in accordance with paragraph 13 of DCID 1/14, the DD Form 1879 need be accompanied only by the following documents:

- (1) Original and four copies of DD Form 398.
- (2) Original and three copies of DD Form 1584.
- (3) One signed Form FD-258 (Fingerprint Card).

Paragraph 13 of the DCID 1/14 applies to individuals who have held positions requiring access to SCI continuously for 5 years. In all cases, the DD Form 1879 will contain the following remark in item 20: "SBI-PR required IAW DCID 1/14, para. 13."

Note: March 1964 edition of DD Form 398 and December 1966 edition of DD Form 1584 will be phased out as stocks are exhausted. DD Forms 398 and 398-2, editions of March 1981, will replace the older forms. See appendixes L and M.

b. For any other type of PR, the DD Form 1879 will be accompanied by full documentation as prescribed in the detailed instructions on the DD Form 1879. In such cases the DD Form 1879 will contain the following remark in item 20: "SBI-PR (or BI-PR) authorized by _____." (Cite the approval for conducting the investigations as an exception to policy.)

c. In processing PRs, previous investigative reports will not be requested by the requesting organization, unless significant derogatory or adverse information, postdating the most recent favorable adjudication, is developed during the course of reviewing other locally available records. In the latter instance, request for previous investigative reports may only be made if it is determined by the requesting organization that the derogatory information is so significant that a review of previous investigative reports is necessary for current adjudicative determinations.

d. Requests for investigations under the provisions of paragraph 12 DCID 1/14 are not considered PRs. Accordingly, such requests will be fully documented as set forth in paragraph D. above. Such investigations are considered SBIs.

2. When an abbreviated version of DD Form 398 is submitted in connection with a PR, a copy of the previous complete Statement of Personal History form must be attached to each copy of the new personnel security questionnaire form. If a copy of the previous personnel security questionnaire is not available, a current DD Form 398 will be completed in its entirety.

3. Each US person who provides information to complete DD Form 398, DD Form 1584 and FD Form 258 will be provided a Privacy Act Statement, DA Form 4368-R. This requirement does not apply to foreign nationals.

F. Additional Investigation to Resolve Derogatory or Adverse Information

1. Request for additional investigations required to resolve derogatory or adverse information that has been developed through personnel security investigations (to include actions incident to PRs prescribed above) shall be submitted by DD Form 1879 (Request for Personnel Security Investigation) to the:

Defense Investigative Service
P.O. Box 454
Baltimore, Maryland 21203

Such requests shall set forth the basis for the additional investigation and describe the specific matter to be substantiated or disproved.

2. The request should be accompanied by the original of the appropriate DD Form 398 and a completed fingerprint card unless such documentation was submitted within the last 12 months to DIS as part of a NAC or other personnel security investigation. If pertinent, the results of a recently completed NAC,

NACI, or other related investigative reports available should also accompany the request. _____

G. Obtaining Results of Prior Investigations

1. Requesters (except U.S. Army) requiring verification of a specified type of personnel security investigation, and/or requiring copies of prior investigations conducted by the DIS shall submit requests by letter or message to:

Defense Investigative Service Investigative Files
Division
P.O. Box 1211
Baltimore, Maryland 21203
Message Address: DIS PIC BALTIMORE MD/
DO640

The request will include subject's name, grade, social security, date and place of birth, and DIS case control number if known.

2. U.S. Army requesters shall submit requests to the address reflected in paragraph 3.a. below.

3. Requesters requiring verification and/or copies of personnel security investigations that were conducted by the military investigative agencies prior to October 2, 1972, on those individuals who have not been subjects of subsequent personnel security investigations (see para 1. above for procedures for those individuals), shall submit requests directly to the agency that conducted the investigation, as indicated below:

a. U.S. Army

Commander, U.S. Army Central Personnel
Security Clearance Facility
ATTN: PCCF-PC
Ft. Meade, Maryland 20755

Note: These investigations are retained by the US Army Investigative Records Repository. See AR 381-45 (ref (xx)) for request procedures.

b. U.S. Navy

Director, Naval Investigative Service Headquarters

Hoffman Building
2461 Eisenhower Avenue
Alexandria, Virginia 22331

c. U.S. Air Force

Headquarters AFOSI/IMID
Forrestal Building
Washington, D.C. 20314

Request for information relating to prior investigations conducted by the Military Departments shall be submitted in accordance with the appropriate directive of the department concerned and paragraph 4-102.b. of this Regulation.

H. Requesting Postadjudication Cases

1. Personnel security investigations are centrally

controlled by DIS from the Personnel Investigations Center (PIC), Fort Holabird, Maryland. Accordingly, initial requests for investigation or requests pertaining to issues arising after adjudication of an investigation (postadjudication cases) shall be addressed to DIS on a DD Form 1879.

2. All requests for initial investigations will be submitted to PIC regardless of their urgency. If however, there is an urgent need for a post adjudication investigations or the mailing of a request to PIC for initiation of a postadjudication case would prejudice timely pursuit of investigative action, these DD Forms 1879 may be directed for initiation, in CONUS, to the nearest DIS Field Office, and in overseas locations, to the military investigative service element supporting the requester. The field element (either DIS or the military investigative agency) will subsequently forward the DD 1879 to PIC.

3. A fully executed DD Form 1879 and appropriate supporting documents may not be immediately available. Further, a case that is based on sensitive security issues may be compromised by a request that the subject submit a DD 398. A brief explanation should appear on DD Form 1879s that do not include complete supporting documentation.

I. Requests Involving Contractor Employees

To preclude duplicative investigative requests and double handling of contractor employee cases involving access to classified information, all requests for investigation of contractor personnel must be submitted, using authorized industrial security clearance forms, for processing through the Defense Industrial Security Clearance Office, except for programs in which specific approval of the Deputy Under Secretary of Defense for Policy Review to utilize other procedures has been obtained.

J. Responsibility for Proper Documentation of Requests

The official signing the request for investigation shall be responsible for insuring that all documentation is completed in accordance with these instructions and that the prescribed number and type of forms are included.

K. Requests Involving Red Cross and USO Employees

1. The Red Cross and USO will prepare the request for NAC on prospective employees. Five copies of DD Form 1584 and two copies of FD Form 258 will be forwarded to the Defense Industrial Security Clearance Office (DISCO) for processing.

2. DISCO will make a determination as to the acceptability of the prospective employee. If the determination is favorable, the Red Cross or USO will be notified. All unfavorable determinations

will be forwarded to the Director for Industrial Security Clearance Review Office of the Defense General Counsel for action. The applicant, Red Cross or USO, and the host commander will be advised of the final determination.

3. If derogatory information is received on a Red Cross or USO employee, the host commander or Red Cross or USO will forward the information for review to—

Defense Industrial Security Clearance Office
ATTN: DISCO-A
P.O. Box 2499
Columbus, OH 43216

4. DISCO will initiate any investigation necessary to resolve derogatory information.

5. In the event a Red Cross or USO employee requires a security clearance, the host commander will forward the request together with a copy of the DISCO acceptability determination, to the Commander, CCF, for action. All security clearances will be granted by the Commander, CCF, for Red Cross and/or USO employees on Army installations.

L. Instructions for Completing DD Form 1584 (National Agency Check Request)

1. General instructions. When requesting a BI or SBI, information to complete this form should be extracted from the subject's DD Form 398 or other personal history form. DIS requires that entries on the form be typewritten. When additional space is required, use item 18 or attach additional sheets of plain white paper. The heading of continuation sheet(s) must reflect the subject's full name, social security number, and an annotation that it is a continuation sheet for DD Form 1584.

a. All questions must be answered. If an item is not applicable indicate "NA."

b. Request date. The date that the request is submitted to the DIS will be shown in this block. Insure that the request for a NAC is submitted to arrive at DIS within 60 days of the request date.

c. Return result to. If the request is for a NAC or ENTNAC only, the clearance authority or the action agency to whom the results are to be returned should be shown in this block. If the NAC is for security clearance purposes, insert the words "US Army" above the mailing address in this block. For NAC portions of a BI or SBI, leave this block blank. In the upper right-hand corner of this block, enter the USAIRR Requester Account Control Number and the Unit Identification Code of the unit to which results of investigation or security clearance determination are to be sent. If the unit does not have a USAIRR account, enter the account number of the parent unit.

d. ZIP code. Enter ZIP codes for all addresses.

2. Preparation of DD Form 1584 on members of subject's immediate family as defined in paragraph 1c(1) in the instructions portion of the DD Form 1879.

a. In Item 18 identify the subject of the investigation by full name and state his or her relationship to the subject of the DD Form 1584 (for example, spouse of ROBERT JOSEPH BLACK, subject of investigation).

b. If the family member is an alien or immigrant alien, indicate the alien registration number and the date and port of entry into the US in item 18.

c. If the family member is a naturalized US citizen, list in item 18 the alien registration number and naturalization certificate number. Also, include the date, place, and court where the naturalization certificate was issued.

3. Additional instructions.

Item 1. (Name). List the subject's name to include the last, first, and middle (maiden name, if applicable), in that order.

Item 2. (Sex). Indicate if male or female.

Item 3. (Alias (es)). List all aliases, nicknames, or changes in name. If the subject is a female who is married, divorced, or widowed, insure that her maiden name and her married name are both reflected in this block. Example: NEE: BROWN, MARY ALICE: AKA: BLACK, ROBERT JOSEPH, Mrs. Continue the listing of alias(es) in item 18, if necessary.

Item 4. (Social Security Number). Show subject's social security number. If he or she does not have one, indicate "None."

Item 5. (Birth). Indicate the month, day, and year of birth. Spell out or abbreviate the month (for example, June 5, 1929; do not show 6-5-29).

Item 6. (Place of Birth). Show city, county, and state if born in the US. In case of foreign birth, list the city and the political division of the country which differentiates cities of the same name and country (for example, Oberursal or Taunus, Hesse, Germany).

Item 7. (Service Number). Show subject's former military service number, if applicable.

Item 8. (Security Program).

a. Indicate whether request is made under the military, civilian, or industrial security program. If military on active duty, include the subject's grade (0-1, E-2, etc.) besides the block check.

b. Show if local files concerning the subject were checked with favorable results. If files are not available or if results were unfavorable, explain in item 18 and leave this item blank.

c. If the request is for a NAC or ENTNAC,

show the unit initiating this request (the initiator normally will be the same as the unit shown in the "Return Results To" block). If the request is for a BI or SBI, leave this block blank.

Item 9. (Relatives). List full name of father, mother, and spouse to include the maiden names of females.

Item 10. (Date and Place of Birth). Complete this item on each family member using the same format as prescribed in Items 5 and 6 above.

Item 11. (Present Address). Give complete addresses, including street and house number of father, mother, and spouse. If deceased, indicate date of death.

Item 12. (Citizenship). Show citizenship status of father, mother, and spouse. Give alien registration number, or naturalization certificate number when applicable. Also, include the date, place and court where the naturalization certificate was issued.

Item 13. (Residence). List all places of residence from subject's 18th birthday or during the past 15 years, whichever is the shorter, beginning with the current address and working back. If under 21, list present and all addresses during the preceding 3 years unless the subject is an immigrant alien, in which case addresses should be reflected for the preceding 5 years. Give the beginning and ending month and year for all periods of residence, when possible.

Item 14. (Employment). List each period of employment from the subject's 18th birthday or during the past 15 years, whichever is shorter, beginning with the current employment and working back. If under 21, list all employment for the preceding 3 years unless the subject is an immigrant alien, in which case employment should be reflected for the preceding 5 years. Give employer's complete name, street address, city, and state. The month and year of beginning and ending of each period of employment must be shown. If the subject was unemployed and his or her activities were not covered by education, indicate each period of unemployment with the beginning and ending month of each period.

Item 15. (School). Show the last civilian school attended. Give the name and complete address of the school. Give month and year schooling began and ended.

Item 16. (Questions). Indicate "Yes" or "No" to all questions. When "Yes" answers are given, explain, in item 18. Also, explain any refusal to answer certain questions (see question f below) or the qualification of any answer on a personal history form. Following are instructions for explaining questions a through g:

a. Is subject an alien or a naturalized citizen of the US?

(1) If an alien, provide alien registration number, the date and port of entry into the US and the last Immigration and Naturalization Service Office with which registered. If stateless, so indicate.

(2) If a minor at the time of immigration, provide the alien registration numbers of parents and the date and port of entry into the US.

(3) If a naturalized citizen, provide the naturalization certificate number and the date, place, and court where the certificate was issued.

(4) If the citizenship was acquired through the naturalization of a parent, provide the name of the parent and the date, place and court where the parent was naturalized.

(5) If subject's name has been changed since application for citizenship, show full name under which application was made.

(6) If born abroad to US parents, indicate how and where birth and citizenship were recorded. If the required information is not readily available, obtain it from parents or other sources in possession of the information. State in Item 18 whether or not a certificate of citizenship or Department of State Form FS 240 was received. Enter the certificate or Form FS 240 number in Item 18.

b. Does subject have any foreign connections or relations, or has he or she had foreign employment or military service?

(1) Foreign connections. Identify all foreign organizations in the US or abroad with which subject has been connected.

(2) Foreign relatives, alien friends, and other persons with whom a close relationship existed or exists. List name, address, and type of relationship to each person who is residing either in a foreign country or in the US as an alien. Include former spouse(s) where applicable.

(3) Foreign Employment. Indicate name and location of the foreign firm or governmental agency with which employed and list the inclusive dates of employment. (If this information was provided in response to item 14, indicate "See item 14" in item 18).

(4) Foreign Military Service. If subject has ever served in the military service of a foreign country, list the country, branch of service, rank, service number, inclusive dates of service, and type of discharge.

c. Has subject traveled or resided abroad other than for the US Government? List each country traveled in or resided in other than under auspices of the US Government. Provide the inclu-

sive dates and the purpose of all such foreign travel.

d. Has subject had employment requiring a security clearance or investigation? Name the employer and indicate the type of security clearance issued and/or investigation conducted. If known, provide the name of the agency that completed the investigation, the date, and the file number.

e. Is subject now or has he or she ever been in the Federal Civil Service or Armed Forces?

(1) For civilian employment, state the employing federal agency or department and include the location and inclusive dates. If listed in item 14, indicate "See item 14" in item 18.

(2) For former military service, provide branch of service, rank or grade, all former service numbers to include letter prefixes and suffixes, inclusive dates of service and nature of discharge or separation. Include Coast Guard and Merchant Marine duty. Indicate each previous period of enlistment or extended active duty service from which a discharge certificate of service was received even though the subject enlisted or was ordered back to extended active duty the following day.

(3) If currently on active duty in the US Armed Forces, show branch of service, rank or grade, present and former service numbers, and date of present enlistment or the date entered on current active duty tour.

(4) If currently a member of a Reserve Component of the Armed Forces, show National Guard or Reserve, the branch of service, the unit designation and location, individual status, rank or grade, service number, and date of initial entry.

f. Has subject qualified DD Form 398 or similar security form? Qualification of security form refers to answers or remarks of a security significance entered on the form, such as membership in organizations referred to in item 17 of DD 398, (1964 edition) or the refusal to complete the security form in its entirety. (Attach a copy of the qualified form(s) to the NAC or ENTNAC request.)

g. Has subject ever been addicted to drugs? If ever addicted to the use of habit forming drugs, such as narcotics, alcohol, or barbiturates, explain in detail, providing dates and places where used.

Item 17. (Request Data).

a. Indicate the agency of the initiator of the request.

b. Indicate the reason for the request. If other than listed, explain in item 18.

Item 18. (Remarks).

a. In this section list any arrests which were listed on the personal history form. If personal history form is not required for the investigation,

provide details regarding arrest record (if any).

b. Certification that US Citizenship was verified will be included in item 18. A statement, such as, "US Citizenship verified from—" (indicate the document used to verify citizenship) may be used.

4. Agency check categories. To facilitate the checking of the records of national agencies and insure that the desired records are checked in consonance with the actual needs, authorized requesters will place one of the following abbreviated markings in large block letters, in the upper center of the DD Form 1584:

a. NAC. This marking indicates a search for derogatory information or other information required for the completion of a NAC to serve as the basis for granting a clearance.

b. ENTNAC. This marking indicates the subject is a first term enlistee and the requirement is for an NAC less an FBI detailed technical fingerprint search.

c. BI or SBI. This marking indicates that a BI or SBI has been requested on the person mentioned as the subject of the DD Form 1584. It requires a search for all information pertinent to the investigation.

d. SAC. This marking is reserved for those instances wherein information of interest is known or presumed to exist in the files of one or more specific national agencies or where a check is required on recently acquired spouses. Requests falling in this category will be marked "SAC" (Single Agency Check) to draw attention to special requirements in item 18. In such cases, the "Remarks" section will include a justification for the check(s).

M. Instructions for Completing DD Form 398 (Statement of Personal History)

1. General instructions. The Statement of Personal History is an important document and must be completed without misstatement or omission of important facts. All entries are subject to verification by investigation.

a. Forms should be typed using black carbon paper.

b. All copies must be legible. The original must not be part carbon copy. Copies may be reproduced and used instead of carbon copies.

c. If additional space is required for any item, use item 20. If space provided in item 20 is insufficient, use separate sheet(s) of plain white paper. The heading of continuation sheets must reflect the subject's full name, social security number, and an annotation that it is a continuation sheet for DD Form 398.

d. Enter ZIP codes with all addresses.

e. All questions must be answered. If an item

is not applicable, indicate "NA." Do not use the term "Unknown" for dates of schooling, employment, or residence. If this information is not known precisely, indicate by appropriate qualifying language (for example, "Do Not Recall," "Date Estimated").

f. When submission of a DD Form 398 is required on a person who has previously been the subject of a BI or SBI, the following applies:

(1) Complete items 1 through 6, 8, 14, and 16 through 21.

(2) For all other items, enter any changes or additions which have occurred since the date of the DD Form 398 used for conducting the prior investigation. However, items 13 and 15 must always include, as a minimum, the subject's current employment and current residence, respectively, even though no changes occurred. In each instance, enter the social security number in item 13. References with whom the subject has had recent association or credit dealings must be listed in item 14. Do not list character references who were previously listed on a personal history form. Enter "N/C" (No Change) in each item where no new entry is required. When submitting a "N/C" form, include a copy of the previous DD Form 398 on which the "N/C" is based.

g. Before the DD Form 398 is signed, insure that each item is checked against the detailed instructions given below and that the completed form is carefully proofread. Errors and incomplete items in the form could delay an assignment or employment in a sensitive position.

2. Additional instructions.

Item 1. (Name). List full name, to include first, middle (maiden name, if applicable), and last name, in that order. Names should agree with military or civilian employment records; if not, explain in item 20. If no middle name, use "(NMN)." If initial only, insert the appropriate initial followed by "(10)." Check appropriate block for Mr., Mrs., or Miss. Oriental or Arabic names written in English should also have Oriental characters (ideographs) or the Arabic script, if known.

Item 2. (Status). Complete only one status block. Civilian, including National Guard, Reserve personnel not on active duty, and applicants for enlistment or appointment, will check the civilian block.

Item 3. (Alias or Other Name). List all aliases, nicknames or changes in names. This means all names under which subject has been known to employers, associates, or others. If known by the middle name, list it also. If the name has changed, use additional space under item 20 to explain where, when, why (for example, name may have

been changed when adopted or naturalized). If not applicable, enter "NA".

a. Women who are married or were formerly married should list maiden name (for example, Mary Ann Jones) and names acquired through marriage (Mary Ann Smith, Mary Jones Smith, Mrs. Robert Louis Smith) unless listed in item 1.

b. If known by any last name other than which appears in item 1, give inclusive dates.

Item 4. (Permanent Mailing Address). List permanent mailing address and address at which the subject is known and can always be contacted by mail. Do not give military duty address. If this is a large metropolitan area (for example, New York, Chicago, Los Angeles) give the borough or suburb in which the address is located and always include the ZIP code.

Item 5. (Birth and Description). Spell out or abbreviate the month for example, 5 June 1929; do not show 5-6-29). Give complete birth data and physical description to include any distinguishing marks, scars, or tattoos. Physical description must correspond with that entered on the fingerprint card, when the card is required. Indicate the place where birth certificate is recorded.

Item 6. (Medical History). Check appropriate blocks. Insure that all three questions are answered.

a. If the answer to the first question is "Yes", include a complete explanation in item 20 with dates and places and the doctor and/or hospital if any treatment was involved. If treatment was received from the Veterans Administration, show the VA case number and type of treatment in item 20.

b. The second question concerns habit-forming drugs which are being taken or have been taken without a doctor's prescription. If the answer is "Yes", fully explain in item 20 and attach medical release form (DIS Form 16).

c. The third question concerns use of alcoholic beverages which requires, or has required medical attention or has caused difficulty with employers or law enforcement agencies. If the answer to this question is "Yes," include the name(s) of the doctor and/or hospital if treatment was involved. Include a complete explanation in item 20 with dates and places. If treatment was received from the Veterans Administration, show the VA case number and type of treatment in item 20.

Item 7. (Citizenship Status). Citizenship status as reflected in this item must be completed or annotated "N/A," as appropriate unless native born.

a. If a naturalized citizen, list the naturaliza-

tion certificate number, date, place, and court where naturalized.

b. If citizenship was derived, list the naturalization certificate number(s) of parent(s) and the date, place and court where naturalized.

c. If subject's name has been changed since application for citizenship, show full name under which application was made.

d. If not an immigrant alien and not a US citizen, explain status in item 20.

e. If born abroad to US parents, indicate how and where birth and citizenship was recorded. If the required information is not readily available, obtain it from parents or other sources in possession of the information. State in item 20 whether or not a certificate of citizenship or Department of State Form FS 240 was received. Enter the certificate or Form FS 240 number in item 20.

f. If an alien, list the alien registration number, and the date and port of entry into the US, and the last Immigration and Naturalization Service office with which registered. If stateless, so indicate as an additional remark in the "Native Country" block.

g. If a minor at the time of immigration, provide the alien registration number of parent and the date and port of entry into the US.

Item 8. (Military Service). Indicate current status. Include all requested data pertaining to military service.

a. Under "Date Current Active Service Started," indicate the date of present enlistment or the date entered on current active duty, if applicable.

b. Under the "Previous Tours" block, indicate each previous period of enlistment or extended active duty service from which a discharge certificate of service was received, even if the subject was ordered back to extended active duty the following day. "Country" refers to the country in whose Armed Forces you served. "Service" refers to the branch, "Army, Navy, or Air Force." "Component" refers to duty status, for example, regular, reserve, national guard, etc. Show the grade and all present and former service numbers pertinent to each entry. "FROM," and "TO" dates will show day, month, and year, and must agree with military records.

c. Officers with prior enlisted or warrant officer service, or who have been integrated into regular status, will include the applicable information under the "Previous Tours" block. Show the grade and all service numbers pertinent to each entry.

d. Under organization and station, give current working location to include room and build-

ing if on a base or installation. If assignment at present organization and station has been for a period of less than 6 months, list in item 20 the last previous organization and station and working location there, to include room and building if on a base or installation.

e. Reserve and National Guard Service will be listed in this block.

Item 9. (Education). List in order beginning with the last school attended and working back. Give calendar month and year schooling began and ended. Include service academies, but do not include inservice professional courses or schools. Grammar schools will be listed only if the grammar school was the last school attended. Indicate whether or not graduated from each school and indicate diploma(s) or degree(s) received, if any.

a. Location of school must be shown; if located in a large metropolitan area (for example, New York, Chicago, Los Angeles), borough or suburb must be shown. Location of schools shown in this item should agree with residences in item 15; if not, explain the difference in locations in item 20.

b. Names of schools attended in foreign countries must be shown in both English and the language of that country.

c. The specific school, course, or college at all universities attended must be shown. (This is particularly important when a college or university was attended outside the US.)

d. When education occurred overseas, except under auspices of the US Government, list in item 20 the names and addresses of two persons, preferably US citizens residing in the US, who can verify the period of foreign education through personal knowledge.

Item 10. (Family).

a. List full names and aliases of spouse, former spouse(s), and each close relative including parents, guardians, stepparents, foster parents, parents-in-law, children, stepchildren, adopted children, brother, sister, stepbrother, and stepsisters and any other persons you resided with or with whom a close relationship existed or exists even if these persons are deceased.

(1) Precede each name with the relationship (such as, brother, sister, daughter, or former spouse.).

(2) For each female relative, give both maiden and married names in full. (Example: Alice May Jones, nee: Smith, also known as (AKA) Mrs. James Robert Jones.)

b. Give day, month, and year of birth. Indicate place of birth by city (or county) and state, if born in the US. Give complete addresses including street, house number, city, state, and ZIP code. In-

clude country if other than the US.

c. For each person listed as born outside the US and its territories, use item 20 to show: date and port of entry into the US; alien registration number; date of naturalization; place of naturalization; name under which naturalized; name and location of court of jurisdiction; naturalization certificate number, when applicable. For persons born as US citizens outside of US and its territories, provide basis for citizenship (for example, parents are native born US citizens).

d. If not married, indicate "None" in spouse" block. If married or formerly married, list in item 20 the date and place of marriage(s) and place where the marriage(s) is recorded.

e. If divorced or legally separated, list the last known address(es) of the spouse(s). Indicate in item 20 the date of divorce or separation to include name and location of the court where such legal action is recorded.

f. Indicate date of death of deceased relatives and former spouse(s).

g. Show current citizenship status of all non-US citizen relatives.

h. If born in any country or city now divided into free world and Communist-oriented parts, specify in which part the individual was born. For example, East or West Germany, East or West Berlin, North or South Korea.

Item 11. (Other Relative and Alien Friends Living in Foreign Countries). Give complete identifying data for each relative including grandparents, aunts, uncles, cousins, brothers- and sisters-in-law, and other persons with whom a close relationship existed or exists.

a. If any relative, or alien friend, of subject or spouse is currently residing in any of the following countries, indicate the method (mail, personal visits, etc.), regularity, and recency of contact, if any, with such individuals in item 20, or on a separate sheet: Albania, Bulgaria, Cambodia, People's Republic of China (Communist China, including Tibet), Cuba, Czechoslovakia, Democratic People's Republic of Korea (North Korea), Democratic Republic of Vietnam (including area formerly known as South Vietnam), German Democratic Republic (GDR-East Germany, including the Soviet sector of Berlin), Hungary, Kurile Island and South Sakhalin (Karafuto), Mongolian People's Republic (Outer Mongolia), Poland, Rumania, Union of Soviet Socialist Republics (USSR, including Estonia, Latvia, Lithuania, and all other constituent republics), and Yugoslavia. If a country is geo-politically divided (for example, East or West Germany, Taiwan or Mainland China), the specific area of the country must be provided. Oriental or Arabic

where any trial took place. Include information if detained, held, arrested, or summoned into court (either the US or in a foreign country) even though it resulted in an acquittal or the charges were dropped. Any action which resulted in the placement of the subject's name on a police blotter or court record (give docket number or indictment number, if known) must be listed, including any act committed while still a juvenile or if the person was considered a "Juvenile Offender." Exclude minor traffic violations for which a fine or forfeiture of \$100.00 or less was imposed, not including court costs and fees. List all courts-martial giving date, charges, and disposition. List all Articles 15, UCMJ, or Captain's Mast if they resulted in fines, restrictions, or demotions. Use item 20 or a separate sheet to explain the circumstances for all incidents listed.

b. When in doubt as to the necessity for listing information in this item, it is recommended that incidents be listed to preclude future questions regarding omissions from the form.

Item 19. (Explanatory Remarks). Give details of any situation or incident which might require some explanation.

Item 20. (General Remarks). Use this space for continuation of other items where insufficient space was provided. If necessary, attach additional sheet and indicate "See Attached Sheet(s)" at the end of the space. On continuation sheets, include the item number to which the information pertains.

a. The witnessing official must read the certification statement to the subject and must assure him or herself that the subject understands the statements. The subject must understand that the information provided must be accurate in every detail, and further understand the implications of certifying false statements. Thereafter, the subject and the witnessing official must sign and date the forms and the attached sheet(s), if any, in the presence of each other. The original and all copies require original signatures. The information must be current as of the date the form is signed. The form must be completed, signed, and dated within 60 days before the date the request for investigation is received by DIS.

b. When the DD Form 398 is executed to cover only the period since the date of submission of a previous form, enter the following certificate under this item: I HEREBY CERTIFY THAT THE ABOVE ENTRIES ARE COMPLETE AND CORRECT TO THE BEST OF MY KNOWLEDGE AND INDICATE ANY AND ALL CHANGES THAT HAVE OCCURRED SINCE (date of previous per-

sonal history form submitted with request for investigation).

Item 21. Under this item, the authority requesting the investigation must provide a brief description of the duty assignment, if known, and the degree of classified information to which the subject will require access.

N. Instructions for Completing DD Form 1879 (Request for Personnel Security Investigation).

1. General. Instructions for completing DD Form 1879 are printed on the reverse of the form; "Return results to" block, items 5, 6 and 19 are hereby amended. Instructions for completion of these items are set forth below.

2. Additional instructions.

a. Return Results To Block. Insert "US Army" in capital letters centered above the specific mailing address to which results of investigation or clearance is to be sent. In the upper right-hand corner of this block, enter the USAIRR Request Account Control Number and the Unit Identification Code of the unit to which results are to be sent. When a request for SBI is being sent to DIS for SCI access, the supporting Special Security Office (SSO) will also be indicated in this block (Supporting SSO _____).

b. Item 5. (Type of investigation).

(1) The purpose of this item is to identify the type of investigation being requested. No investigation will be conducted that is not clearly authorized.

(2) The five types of PSI's listed in this item are the only ones authorized by DOD policy. Check one block. Request for investigation other than one of these types must be based on specific exception to policy granted by the Secretary or Under Secretary of the Army and approved by the Deputy Under Secretary of Defense (Policy). When an investigative request is based upon such an exception, the block "Other" will be checked, and the specific exception explained in item 20. Limited Inquiry will be checked only when the requester requires expansion of a NAC or other limited investigation needed to resolve specific derogatory or adverse information developed through other means. In each instance, the reason for the Limited Inquiry must be explained in item 20.

c. Item 6. (Reason for Investigation).

(1) The purpose of this item is to establish the basis or justification for conducting the type of investigation being requested. DOD policy directives state that the type of investigation required and authorized will be according either to the category of the subject's position sensitivity or need for access to classified information. Accord-

ingly, the reason for the investigation requested must be one of the types of investigation prescribed by DOD policy, or approved exceptions.

(2) If the reason for the investigation is to grant access to classified information, the first block in this item must be checked, and the highest level of access indicated by lining out the others. When the requested investigation is for access to CONFIDENTIAL or SECRET information one of the subsequent blocks in this item must be checked as additional justification for conducting the investigation. For example, a BI for access to CONFIDENTIAL or SECRET information is conducted for certain nuclear weapon positions, and also when there is an immigrant alien access requirement.

(3) If there are additional reasons for requesting an investigation for access to TOP SECRET information, then the appropriate blocks in this item must be checked. For example, if subject is to be given access to SCI, SIOP-ESI, or will be engaged in Presidential Support activities, the block of this item will be checked with the words CONFIDENTIAL and SECRET lined out, and each appropriate block will also be checked.

(4) The first six reasons listed in item 6 are not all-inclusive. For example, other reasons for which investigations are authorized by DOD directives are critical-sensitive position, NATO staff etc., even though a subject in a given category might not require access to classified information. Such reasons must be identified by checking the block "Other" and indicate the reason that applies under the block. Provide explanatory comments in item 20 justifying the reasons for the investigation authorized by an exception which has been approved by the Deputy Under Secretary of Defense (Policy). Type "Critical-Sensitive Position" in item 20 for all those positions designated critical-sensitive which do not require access to TOP SECRET information if neither the "Sensitive Compartmented Information" nor the "Presidential Support" block applies.

(5) Provide the unclassified project or program title, or other special program authorization in item 20 for all SBI requests which are not based on SCI or Presidential Support requirements.

(6) For investigation of civilian personnel, other than those in the Federal Competitive, Ex-

cepted Service or Industrial Security Program, (such as, consultant, congressional staff, nonappropriated fund, etc.) cite the nature of employment in item 20 remarks, such as, "Congressional Staff," "Consultant," etc.

(7) If the reason for a PR is to meet the requirements of:

(a) Paragraph 13, DCID 1/14 (Persons who have continuously held positions requiring access to SCI for 5 years up to and including the date of the investigative request), type: "SBI-PR required IAW DCID 1/14, paragraph 13" in item 20.

(b) DOD Directive 5210.55, type: "SBI-PR required IAW DOD Directive 5210.55" in item 20.

(c) DOD Instruction C-5210.21, type: "SBI-PR required IAW DOD Instruction 5210.21" in item 20.

(d) Paragraph 7a, United States Communications Security Board Policy 12-13, type: "Paragraph 7a, USCOMSEC Board Policy 12-13" in item 20.

d. Item 19. (Prior Investigation). Enter information as to types of any previous investigations, dates, file numbers, and agencies conducting the investigations, when the information is locally available. If unknown, so state. Moreover, if the requester is aware of any previous investigation meeting the requirements for the type of investigation currently required, confirmation of that previous investigation should be obtained rather than requesting a new investigation. DOD stresses the reciprocal acceptance of previous investigations and clearances conducted or issued when the prior investigation by an investigative agency of the Government meets the standards prescribed.

Item 20.

(1) For all categories of White House support positions, type or stamp "YANKEE WHITE" in this item.

(2) Certification that US citizenship was verified will be included. A statement such as, "US citizenship verified from _____" (indicate the document used to verify citizenship) may be used.

O. US Army Central Personnel Security Clearance Facility (CCF)

Detailed procedures concerning the processing of security clearance requests with CCF are contained in Annex A of this appendix.

Annex A

US ARMY CENTRAL PERSONNEL SECURITY CLEARANCE FACILITY (CCF) PROCEDURES

1. Purpose. These instructions prescribe the policy and establish the procedures to grant, deny, revoke security clearances, and access to SCI; the suspension of access to classified information; and the processing of national security cases.

2. Applicability. This annex is applicable to DA personnel including the following:

a. Army members assigned or detailed to other services, the Joint Chiefs of Staff, the Office of the Secretary of Defense, and other Department of Defense agencies.

b. Members and employees of the Army National Guard.

c. US Army Reserve personnel.

d. Persons employed by, hired on an individual basis, or serving in an advisory capacity to the DA whether on a permanent, temporary, or part-time basis and whether or not they are compensated for their services from appropriated or nonappropriated funds.

e. Members of the Reserve Officers Training Corps (ROTC).

f. SCI access determinations for contractor personnel (contractor security clearances are processed by the Defense Industrial Security Clearance Office).

g. US citizens, US nationals, and aliens in the United States with or without immigration visas for permanent residence.

3. Definitions. As applicable to this annex, see section 3, Chapter I.

4. Policy.

a. An existing DA Form 873 (Certificate of clearance and/or Security Determination), as well as clearance certificates issued by other DOD components, will be honored provided:

(1) There has been no break in Federal Service exceeding 12 months since the investigative date shown on the DA Form 873;

(2) A check of local records discloses no unfavorable information. A check of the Defense Central Index of Investigations (DCII) will be conducted for possible subsequent derogatory information when accepting a clearance granted by another DOD component. However, immediate access to classified information will not be delayed pending completion of the records check or DCII check. Access will be granted and continued if the checks are favorable. DA Form 873 will not be removed from the Military Personnel Records

Jacket (MPRJ) or Official Personnel Folder (OPF) while a local records check is being conducted. A security clearance will not be requested from CCF if the person's personnel records already contain a valid clearance certificate for the level of access required. If the existing clearance requires upgrading see paragraph 6, below.

b. Security clearances will not be downgraded or removed from a person's MPRJ or OPF solely because there is a current access requirement. A valid DA Form 873 will not be removed from a person's MPRJ or OPF except under one of the following circumstances:

(1) Access to classified information is suspended (para 9, below).

(2) Security clearance is revoked by the Commander, CCF (para 9, below).

(3) A new DA Form 873 is issued from CCF.

(4) Temporary removal by the G-2, S-2, or Security Manager for the purpose of reproduction is authorized.

c. CCF will normally grant the highest level of clearance authorized by the scope of the PSI on record. Exceptions to this policy are—

(1) Immigrant aliens will be granted only the level of clearance required to perform their duties, not to exceed SECRET;

(2) New clearances granted to restore access after suspension action will not normally exceed the original level of clearance;

(3) Clearances granted after proposed denial will not normally exceed the level originally requested.

d. The degree of access to classified defense information is determined by the commander within the limits of the clearance granted. The method of recording the degree of access authorized will be determined by the commander.

e. Clearances previously granted under less stringent investigative requirements will remain valid. If the degree of clearance requires upgrading, the investigative requirements of this regulation will apply.

f. When a person requires a clearance and the following conditions exist, commanders will submit a request for security clearance to CCF, or a request for investigation to DIS, as appropriate:

(1) Significant derogatory information developed after the date of the last clearance is known to the commander.

(2) The person is being considered for a higher level of clearance or access authorization.

(3) There has been a break in Federal Service greater than 1 year.

(4) No record of clearance is available in a person's personnel file.

g. A commander will issue DA Forms 873 for clearances to personnel assigned to or employed by his or her command only for interim clearances specified in paragraph 6, below.

h. Commanders may appoint a person to act for them in the execution of clearance certificates for personnel within their respective commands, agencies, or activities. The person authorized to grant an interim clearance must be eligible for a TOP SECRET clearance.

i. Nonimmigrant aliens and foreign nationals are not eligible for security clearances. LAAs may be granted to these persons by MACOM's under paragraph 3-403.

j. Immigrant aliens may be granted CONFIDENTIAL or SECRET security clearances based on a favorably completed BI only if it is determined that the special expertise standards outlined in paragraph 2-100 apply. All requests for BIs for immigrant aliens will be forwarded to CCF, ATTN: PCCF-OSA for certification of the validity of the request to DIS. Immigrant aliens are not eligible for TOP SECRET clearances, but may be granted an LAA for access to TOP SECRET information provided that the Secretary of the Army determines:

(1) The access is essential.

(2) The person has been determined to be reliable and trustworthy.

(3) A BI has been favorably completed (para 3-403).

k. US citizens who are subjects of investigation as candidates for security clearances, will be required to present documentation that will verify their citizenship. Persons serving in or employed by the US Army who presently have security clearances will not be required to present evidence of citizenship. Uncleared members or employees being considered for first-time clearances or for assignment to White House support duties will be required to provide proof of citizenship.

l. Do not request a security clearance if information obtained from the person's DD Form 398, medical record, or other source indicates the existence, current or past, of any mental or nervous disorder, or emotional instability. In these cases, interim or final clearances will not be granted and requests for PSIs will not be submitted unless competent medical authority (US military, US Government employed or contract psychiatrist

(M.D.) certifies that the disorder or instability has been overcome or is of such a nature that it will not cause a defect in the person's judgment or reliability. If CCF requests a psychiatric evaluation before a final adjudication can be made, the evaluation must be from a certified Government or contract psychiatrist (M.D.) unless a prior waiver has been obtained from CCF.

m. Requests for PSIs for security clearances will not be submitted on immigrant aliens who indicate their intent not to become a US citizen or who have not taken action to file for US citizenship within 12 months of eligibility. An exception to this policy is when—

(1) It is in the national interest.

(2) The person possesses a special expertise or skill.

(3) The person's reason for not obtaining US citizenship is clearly consistent with national security (for example, circumstances beyond the person's control have prevented filing for US citizenship). See paragraph 3-402. Justification for submission of the request for investigation or request for security clearance will be placed on DD Form 1879 or DA Form 5247-R (Request for Security Determination), as appropriate.

n. Security clearances will be requested on DA Form 5247-R or message format described in paragraph 6a.

5. Interim security clearance authority delegated by Commander, CCF.

a. TOP SECRET (Military) US citizen.

(1) Commanders may grant an interim TOP SECRET clearance for 60 days in the name of the Commander, CCF, if—

(a) A DA Form 873 or a clearance certificate issued by another DOD component or other Federal Agency (para 4-103) for other than TOP SECRET exists in a person's MPRJ that indicates the favorable completion of a Full Field Investigation (FFI), CID Character Investigation (CIDCI), BI or SBI.

(b) There has been no break in Federal Service exceeding 12 months since completion of the investigation.

(c) Local records checks are favorable.

(d) A request for final TOP SECRET clearance has been submitted to CCF noting that an interim clearance was granted and including verification of citizenship, if required under para 8a.

(2) Commanders may grant an interim TOP SECRET clearance for 225 days in the name of the Commander, CCF, if—

(a) A DA Form 873 or a clearance certificate issued by another DOD component or other Federal Agency (para 4-103) exists in a person's

MPRJ that indicates a clearance was granted based on a NACI, NAC, ENTNAC, or a DD Form 1584, DA Form 2784 exists in a person's MPRJ indicating a completely favorable NACI, NAC or ENTNAC has been completed.

(b) There has been no break in Federal Service exceeding 12 months since completion of the investigation.

(c) Local record checks are favorable.

(d) A request for BI or SBI has been submitted to DIS.

b. TOP SECRET (Civilian) US Citizen.

(1) Commanders may grant an interim TOP SECRET clearance in the name of the Commander, CCF, for 60 days, if—

(a) The Official Personnel File (OPF) contains a DA Form 873 (for other than TOP SECRET) or, a clearance certificate issued by another DOD component or other Federal Agency (para 4-103) or a SF 75 is received from the losing command indicating a clearance based on an SBI, BI, CIDCI, or FFI.

(b) There has been no break in Federal Service exceeding 12 months since completion of the investigation.

(c) Local records checks are favorable.

(d) A request for final TOP SECRET clearance has been submitted to CCF noting that an interim clearance was granted and including verification of citizenship, if required, under paragraph 8a.

(2) Under emergency conditions, when a delay would be harmful to the national interest, authorities specified in appendix F may issue an interim TOP SECRET clearance for 225 days in the name of the Commander, CCF, provided:

(a) A DA Form 873 or clearance certificate issued by another DOD component or other Federal Agency (para 4-103) exists in a person's OPF which indicated a security clearance was granted based on an ENTNAC, NAC, NACI, or an SF 171 is present which is annotated "Processed under Section 3(a), Executive Order (EO) 10450."

(Note: During the period 30 March 1980 to 1 April 1981, the annotation placed on the SF 171 by OPM made no distinction between favorable and unfavorable results.) CSC Form 715 (Report of Clearly Favorable Results in a DOD NACI case) exists in the OPF, or a SF 75 certification has been received from the losing command indicating that a favorable NACI has been completed by the OPM (formerly the Civil Service Commission (CSC)).

(b) There has been no break in Federal Service exceeding 12 months since the completion of investigation.

(c) Local records checks are favorable.

(d) A request for a BI or SBI has been submitted to DIS.

(e) Written justification for emergency access has been made a matter of record by including the original copy, signed by the requesting official, in the OPF.

c. SECRET (Military) US Citizen.

(1) Commanders may grant an interim SECRET clearance for 60 days in the name of the Commander, CCF, if—

(a) A DA Form 873 or a clearance certificate issued by another DOD component or other Federal Agency (para 4-103) at the CONFIDENTIAL level, DD Form 1584, DA Form 2784, or DIS Form 1 exists in a person's personnel records indicating a favorably completed BI, SBI, FFI, CIDCI, NACI, NAC, or ENTNAC.

(b) There has been no break in Federal Service exceeding 12 months since completion of the investigation.

(c) Local records checks are favorable.

(d) A request for final SECRET clearance has been submitted to CCF noting that an interim clearance was granted and including verification of citizenship, if required, under paragraph 8a.

(2) Commanders may grant an interim SECRET clearance for 180 days in the name of the Commander, CCF, provided the conditions exist in paragraph 3-401b(1)(b). A "No Record" DCII check may be considered favorable for the purpose of granting an interim clearance provided a NAC or ENTNAC (first-term enlistee) has been submitted to DIS.

d. SECRET (Civilian) US Citizen.

(1) Commanders may grant an interim SECRET clearance in the name of the Commander, CCF, for 60 days, if—

(a) A DA Form 873 or clearance certificate issued by another DOD component or other Federal Agency (para 4-103) at the CONFIDENTIAL level has been granted on the basis of an SBI, BI, FFI, CIDCI, NACI, ENTNAC, NAC, a SF 171 annotated "Processed under Section 3(a), Executive Order (EO) 10450," a CSC Form 715 (Report of Clearly Favorable Results in a DOD NACI case) exists in the OPF or a SF 75 has been received from the losing command indicating that the OPF contains a clearance based on or evidence of a favorably completed investigation indicated above.

(b) There has been no break in the Federal Service exceeding 12 months since the completion of investigation.

(c) Local records checks are favorable.

(d) A request for final SECRET clearance has been submitted to CCF noting that an interim clearance was granted including verification of citizenship, if required, under paragraph 8a. If an

interim clearance is based on a NAC or ENTNAC, a NACI request must have been initiated.

(2) Under emergency conditions, an interim SECRET clearance may be granted for a period of 180 days, in the name of the Commander, CCF, provided the conditions exist in paragraph 3-401b(2)(a).

e. CONFIDENTIAL (Military) US Citizen. The provisions of paragraph 3-401c(2)(b) apply. A "No Record" DCII check may be considered favorable for the purpose of granting an interim clearance provided a request for NAC or ENTNAC has been submitted to DIS.

f. CONFIDENTIAL (Civilian) US Citizen. The provisions of paragraph 3-401c(2)(a) apply.

g. Issuance of Interim Clearances. Whenever an interim clearance is granted, a DA Form 873 will be issued reflecting the interim clearance. Part III of the form will indicate the appropriate expiration date and be annotated "Granted by authority of Commander, CCF."

h. Red Cross Employees (US Citizen). Employees of the American Red Cross who are assigned to duty with DA may be granted a SECRET or CONFIDENTIAL clearance by Commander, CCF, based on a favorable NAC. Commanders may grant an interim clearance in the name of the Commander, CCF, for 60 days if a favorable security acceptability determination is on file in the person's records and US citizenship has been verified. A copy of that determination will be forwarded to CCF with the request for final clearance.

i. Immigrant Aliens. Neither TOP SECRET nor interim SECRET clearance is authorized for immigrant aliens. Under emergency conditions, commanders may grant an interim CONFIDENTIAL clearance for 225 days under paragraph 3-402a(1).

j. Interim Clearance Extensions. If an interim clearance is about to expire because a final clearance has not been received, commanders may extend the interim for a period equal to the original length of the interim clearance. Commanders must immediately notify CCF that an extension has been granted because the final clearance has not been received. This notification must include the subject's full name, SSN, date and place of birth, and clearance requested so CCF can determine reasons for delay. Additionally, all previous correspondence pertaining to the subject should be referenced in this notification. If DA Form 5247-R was originally submitted, a copy of this original request will be attached to the notification.

6. Request for Final Security Clearances.

a. When a final clearance is requested on a person, the commander will submit a request for clearance (DA Form 5247-R) to CCF according to the instructions in Table A-1 of this annex. When information reflecting existence of a PSI (DD Form 1584, DD Form 1879, DA Form 2784 or DIS Form 1) is contained in a person's records, a copy will be forwarded to CCF with the request for clearance. If the request for clearance is in message format, the message will identify the form, certify that investigation was favorable and cite investigative data. On civilians, whenever a SF 75 certification from the losing command, a SF 171 (annotated "processed under Section 3(a), E.O. 10450"), or a DA Form 873 exists, a legible copy will be forwarded to CCF with the request for clearance. For favorably completed NACIs, only certification of the favorably completed investigation should be entered in Item 11 (Remarks) section of DA Form 5247-R. A copy of the NACI is not required. Information should be stated as "Completely favorable NACI by OPM, completed (date), file No. _____."

Security managers must certify that they have personally reviewed the NACI and found it to be favorable.

b. When there is no evidence of an investigation in the person's records or in the DCII which meets the investigative requirements for the clearance necessary, a request for investigation should be submitted to the appropriate investigative agency according to appendix B.

c. When the commander forwards results of an ENTNAC containing derogatory information to CCF for security clearance determination, the request should certify that appropriate waivers were granted for enlistment or that determination has been made that the individual is eligible for retention in military service. Supporting documents, if available, will be attached as inclosures to the request. On civilians, when a commander forwards results of a NACI containing derogatory information to CCF for security clearance determination, the request should indicate that the information was reviewed with civilian personnel officials and a favorable employment determination was made under CPR's. If SF 171 bears the notation "Results of Investigation under Section 3a, E.O. 10450 furnished requesting agency" or "Investigation under E.O. 10450," but the Security Manager does not have the results of the NACI, attach a copy of the SF 171 (and the SF 85, if available) to DA Form 5247-R (RFSD) and indicate in item 11 (Remarks) that results of NACI are not available locally. CCF will then request the in-

vestigation from OPM and adjudicate for security clearance eligibility.

d. Requests for investigation (DD Form 1879 or DD Form 1584) will be submitted directly to DIS according to appendix B. No other request for clearance or notification to CCF is required. DIS will forward the completed investigation to CCF, who will make a clearance determination and inform the requestor.

e. Certificates of clearance, DA Form 873, will be forwarded to the command whose Unit Identification Code (UIC) is on the DA Form 5247-R (RFSD), DD Form 1879, or DD Form 1584.

7. Upgrading Security Clearances. Requests for upgrading security clearances will be submitted in the same manner as stated in paragraph 6, above.

8. Verification of Citizenship/Immigrant Alien Status.

a. The request for clearance or investigation (DA Form 5247-R (RFSD), DD Form 1584, or DD Form 1879) must identify the document which was reviewed to verify US citizenship or immigrant alien status and the person who examined the document. Certification that the proof has been examined will be entered in item 10a of DA Form 5247-R (RFSD), Item 20 of DD Form 1879, Item 18 of DD Form 1584, Item 21 of Standard Form 85, or Item 28 of Standard Form 86. If the form containing the certification is not signed by a certifying official authorized below, the verification statement must be signed by an official identified with typed name and title. Certifying officials may be commissioned or warrant officers, non-commissioned officers in grades E6-E9, civilian security specialists, hiring officials, or persons administering the oath of office to new employees. See appendix B for samples of certificates for verification of US citizenship and/or immigrant alien status.

b. Interim clearances may be granted under paragraph 5a above, to persons who appear to be US citizens pending receipt of verification of citizenship; however, DA Form 5247-R, requesting final security clearance will then include certification that citizenship has been verified. (Exceptions: Certificate verifying citizenship may be omitted for naturalized US citizens if there is evidence of an investigation completed after naturalization because the investigative scope requires an INS check to verify naturalization. Certificate verifying citizenship may also be omitted if there is evidence of a BI or SBI completed before 1 August 1979 because verification of birth or naturalization was within the scope of a BI or SBI.)

c. Acceptable documents to verify citizenship

and immigrant alien status are described in paragraph 2c, appendix B. DD Form 1966 and DA Forms 2 and 2-1 may not be used to verify naturalized citizenship.

d. For civilian employee, the appointment of "new hires" for critical-sensitive or noncritical-sensitive positions which specify a need for security clearance must include citizenship verification as specified in FPM Chapter 338, Subchapter 1, that is, a review of the appropriate citizenship document described in paragraph 2c, appendix B. The provisions of FPM Supplement 296-31, which permit acceptance of an applicant's certification on SF 61-B, will apply only to the appointment of applicants to nonsensitive positions or those sensitive positions not requiring a security clearance.

9. TOP SECRET LAA for Immigrant Alien. All requests for BI's for TOP SECRET LAA's for immigrant aliens will omit the term "US Army" from the "Return Results to" block of DD Form 1879 to allow results to be returned directly to the requester. Requester will forward the completed BI, description of material to be accessed and complete justification to HQDA (DAMI-CIS) for coordination with OSA.

10. Requests for Clearance. Request for Clearance will be submitted on DA Form 5247-R (RFSD) or by comparable message. Units may not submit DA Form 5247-R (RFSD) in any format other than as prescribed by this annex. Request for clearance submitted to CCF will be identified as "Initial" or "Tracer" and must contain full identifying data as indicated on DA Form 5247-R. DA Form 5247-R (RFSD) will be submitted in one copy to:

Commander

US Army Central Personnel Security Clearance Facility

ATTN: PCCF-OAS

Fort George G. Meade, Maryland 20755

If an immediate response is required, commanders may submit a request for clearance by message in DA Form 5247-R (RFSD) format to: CDR CCF FT MEADE MD//PCCF-OAS//.

a. Initial.

(1) Requests will be submitted on DA Form 5247-R or comparable message format.

(2) If a request for a PSI has been submitted to DIS and a length of time (180 days for BI or SBI, 60 days for NAC) has passed, submit a request (initial) to CCF on DA Form 5247-R (RFSD) or in comparable message format. If status of pending investigation is required earlier, follow the procedures outlined in paragraph 10c, below.

b. Tracer. Tracer actions may be submitted on:

(1) A new DA Form 5247-R (RFSD) with

"Tracer" written out in Block 8.

(2) A legible copy of the original DA Form 5247-R with "Tracer" marked diagonally across the face. This may be used in place of preparing a new form.

(3) A comparable message with "Tracer" indicated in Item 8. All information furnished in the original request or previous "Tracer" requests must be included in the "Tracer" message or a complete reference to the initial message must be given.

c. Status Checks: CCF personnel will answer status checks concerning clearance action on file, investigations on file, or pending investigations. These checks may be submitted in message or letter format. CCF will respond with the type of clearance and/or investigation shown in the DCII. These requests must clearly indicate they are checks. They must include, as a minimum, full name, and aliases or former names, date and place of birth, and SSN of the person. CCF will neither begin adjudicative action nor request dossier for security clearance purposes on a person solely on the basis of a status check.

11. Telephone/Terminal System. CCF's telephone/terminal system provides immediate access to the DCII to all authorized requesters (AUTOVON 923-7075). The DCII contains a complete record of a person's investigative case history and the status of investigations currently in progress at DIS. It also shows clearance actions currently pending at CCF and clearances granted by CCF. The following rules apply to the use of this system:

a. Limit calls to—

- (1) Cases of vital interest.
- (2) Cases where a written or message request to CCF would excessively delay an action by the requester.
- (3) Cases where the DCII could reasonably be expected to contain information necessary to finalize an action.

b. Normally, only two names may be checked immediately. More names may be checked, but the requestor may have to call back for these results.

c. Be prepared to provide information in this sequence:

- (1) Social security number.
- (2) Last name, first name, middle initial.
- (3) Date of birth with year (first), month (second) and day (last).

d. If the DCII shows no record and the requester has the results of a favorable NACI, be prepared to provide the NACI date, the individual's full name and state in which born.

e. Call during the hours of 0600 to 1800 Eastern

Standard Time, Monday through Friday, except holidays.

f. CCF will not send a message or letter confirming any information provided unless specifically requested. Derogatory information will not be provided during telephonic inquiries.

12. Request for Investigation.

a. NAC for security clearance only will be submitted to DIS on DD Form 1584 or DD Form 398-2 according to instructions in appendix C and appendix M. Requestors will complete the "Return Results To" block by inserting in capital letters, "US Army," centered at the top of the block followed by their specific mailing addresses or the address of the gaining command, when appropriate. Requestors will attach a copy of all unfavorable information and will enter in the upper righthand corner of the "Return Results To" block, the USAIRR Requester Account Control Number and UIC of the unit to which the clearance certificate should be sent. Verification of US citizenship or immigrant alien status should be included as stated in paragraph 8, above.

b. With the exception of immigrant aliens, a BI will be submitted to DIS on DD Form 1879 according to the instructions provided in appendix C. Requestors will complete the "Return Results To" block by inserting in capital letters, "US Army," centered at the top of the block followed by their specific mailing addresses or the address of the gaining command, when appropriate. Requestors will attach a copy of all unfavorable information and will enter in the upper righthand corner of the "Return Results To" block, the UIC of their unit or parent unit. Verification of US citizenship or immigrant alien status should be included as stated in paragraph 8, above.

(1) All requests for BI for immigrant aliens will be sent to CCF, ATTN: PCCF-OSA. DIS will not conduct the investigation unless CCF has certified its validity and a statement of special expertise is reflected in the "Remarks" section of DD Form 1879. The statement of special expertise must include justification for the request and certification of special expertise that demonstrates that the individual possesses some skill or training which makes him/her the logical person to do the job and that a U.S. citizen with equivalent expertise is not available to do the job.

(2) Initial BIs or SBIs received from DIS on DA civilians will be forwarded to the employing command with the security clearance determination to allow review for determination as to employment and/or appointment.

(3) Forwarding of SF 72 (in DA civilian cases) will be accomplished by the employing activity.

c. SBIs requested for SCI access will be processed according to paragraph 20 through 22 of this annex. SBIs for other than SCI access will be processed in the same manner as BIs described above. The specific reason for the investigation must be indicated.

d. Special Investigative Inquiries for a security clearance determination will be requested from DIS. Item 7, DD Form 1879, will contain the requester's address, omitting "US Army." After the investigation is completed by DIS, the file will be returned to the requester for review and command action. Afterwards, the completed investigation packet, documentation of command action, and recommendation regarding the individual's security clearance will be forwarded to CCF, under the cover of DA Form 5247-R (RSFD) for final clearances and/or access determination.

e. A NACI, required on a civilian employee or applicant, will be submitted to the OPM according to CPRs. Item 20 of the SF 85 will show the address of the employing agency's Security Manager. Eligibility for employment or appointment should be determined through coordination with the appropriate civilian personnel office before requesting a security clearance determination. When forwarding results of a NACI to CCF for clearance determination, the original SF 85 and SF 171 will be retained in the OPF. If the NACI is completely favorable, a statement attesting to that fact and the date the NACI was completed will be entered in the "Remarks" block of DA Form 5247-R (RSFD). If the NACI contains derogatory information, a copy of the entire NACI will be submitted to CCF. The original NACI may be retained by the Security Manager as long as the person is employed and may be transferred within DOD.

f. Investigations requested primarily for USAR or RA appointment, Federal recognition, or for other personnel actions when no security clearance is immediately required, should not contain the notation "US Army" in the "Return Results To" block of the DD Form 1879, DD Form 1584, or DD Form 398-2. This will allow the results to be returned directly to the requester. If favorable determination is made regarding the personnel action, and a security clearance is required, a request will be submitted to CCF under paragraph 6a, above.

g. Allegations reflecting on a person's loyalty to the US and or hostage situations stated in paragraphs 2-200 a. through f. and m. will be forwarded to Commander, CCF, for action. CCF will request appropriate investigation and advise of the determination.

13. Cancellation of Requests for Investigations and/or Clearances.

a. Whenever a clearance or investigation is no longer required, the requester will notify DIS and CCF, ATTN: PCCF-OSA. Cancellation will include—

- (1) Full identifying data.
- (2) Action requested.
- (3) The agency to whom the action was addressed.
- (4) The reason for cancellation.

b. If the cancellation is requested because the person is transferred, include the effective date and new unit of assignment. If a BI or SBI is still in progress when the person is transferred, the losing commander will notify the gaining command that a BI or SBI is in progress. The gaining commander can then forward DA Form 5247-R (RSFD) to CCF requesting a clearance or requesting cancellation of the investigation. If the person is "separated" from active service, indicate whether he or she was discharged or released from active duty. If the person has departed for a new assignment before the Security Manager is notified of the transfer, the losing command will advise the gaining command of the pending action by letter or message.

14. Suspension of Access and Reporting Derogatory Information.

a. Commander's Options. When the commander becomes aware of credible derogatory information on a person that falls within the scope of paragraph 2-200 and who has a security clearance, he or she will do one of the following:

(1) Suspend the person's access to classified information, conduct an inquiry or request investigation from the proper investigative agency as appropriate, complete DA Form 5248-R (Report of Unfavorable Information for Security Determination) and forward to CCF with DA Form 873 attached. DA Form 5248-R will be reproduced locally on 8½ x 11 inch paper. A copy for reproduction purposes is located at the back of this regulation.

(2) Suspend individual's access and forward all derogatory information to CCF on DA Form 5248-R with commander's recommendation and DA Form 873 attached. Item 11 of DA Form 5248-R will indicate that information forwarded is considered sufficient for determination and that no further inquiry or investigation is pending or contemplated.

(3) In cases where information available to the Commander is insufficient to warrant suspension of access, or in borderline cases in which propriety of suspension action is questionable, for-

ward the derogatory information to CCF on DA Form 5248-R. Indicate access has not been suspended pending final determination by CCF.

(4) If the person is currently indoctrinated for SCI access, suspension action will be processed according to paragraph 21.

b. Procedures for Reporting Derogatory Information.

(1) DA Form 5248-R. This form is used to report credible derogatory information, whether a person has clearance or not, when surfaced at the local level. Message in DA Form 5248-R format may also be used. All reports of derogatory information will include full identifying data on the person. Instructions for completing DA Form 5248-R are contained in Table A-2.

(2) Initial Reports. Reports of access suspension will include a summary of the information which caused the suspension. It will indicate what action the commander or appropriate authorities are taking (for example, conducting an inquiry or investigation) to resolve the incident.

(3) Follow-Up Reports. Reports will be submitted at 60-day intervals if the commander has not taken final action or, as an example, the subject is still pending action by civil court. A summary is all that is needed by CCF until the final action is taken by the commander.

(4) Final Reports. At the conclusion of command action, a final report will be forwarded to CCF indicating the action taken. The final report should contain recommendations of the command concerning restoration of the person's access or revocation of the security clearance. Include documentation of the derogatory information, for example, MP reports or blotter entries, AR 15-6 investigations, commander's inquiries, results of limited investigations, copies of courts-martial or Article 15's, medical reports or psychiatric examinations. CCF does not consider it to be a final report if the person is pending discharge under AR 635-200. If the person is discharged, a copy of the discharge order will be forwarded to CCF as an inclosure to DA Form 5248-R. If the person is retained in service or released to the USAR, advise CCF by forwarding a final DA Form 5248-R. This will allow CCF to resume security clearance action.

c. Restoration of Access. The Commander, CCF, is the only person designated to restore access when suspended by the local commander, unless the provisions of paragraph 7-102f apply. Restoration of access will be accomplished by CCF executing a new DA Form 873.

d. Elimination from Military Service Prior to Security Determination. When revocation action

is recommended and the person is also being considered or being processed for elimination from the US Army, the commander will monitor the person's elimination. The Commander will take all appropriate measures to expedite the resolution of the proposed revocation before elimination. If the person is eliminated from military service before a final security determination by CCF, the following actions will be completed:

(1) CCF will be notified that the person has been discharged. Notification will include full identifying data and will reference the report of access suspension. A copy of the order authorizing discharge will be forwarded as an inclosure to DA Form 5248-R.

(2) If the DA Form 873 was not previously forwarded to CCF, it will be withdrawn from the person's MPRJ, the "Remarks" block annotated "Eliminated from the US Army for cause—(date)", and forwarded to CCF.

e. Derogatory information on persons not having a security clearance. When commanders become aware of derogatory information falling within the criteria of paragraph 2-200 pertaining to persons who do not possess or require a security clearance, it will be reported to CCF on DA Form 5248-R. Reports of derogatory information pertaining to these persons should be limited to that significant information which could have an impact on any future request for clearance and to that which is not retrievable from files of investigative agencies (for example, DIS or CRC). Only final reports will be submitted on persons who do not possess a security clearance.

15. Denial and/or Revocation of Security Clearances:

a. Commander, CCF, is the DA authority for denial and/or revocation of security clearances under paragraph 1-400d.

b. When credible derogatory information is received at CCF and an adverse security clearance is considered, CCF will forward a Letter of Intent (LOI) to deny or revoke a security clearance to the person, through the commander, under paragraph 8-201. This LOI will furnish the reason why the adverse action is being considered and offer the person an opportunity to reply in writing with an explanation or reflection of the issues outlined in the LOI. A period of 60 days from date of receipt will be allowed for the reply to the LOI to reach CCF.

c. The commander will insure that the person acknowledges receipt of the LOI by signing and dating the form letter enclosed with the LOI. The person will indicate his or her intention regarding submission of a rebuttal. The form letter acknowl-

edging receipt of the LOI will be immediately forwarded to CCF by the official who presents the letter to the person.

d. All replies to LOI will be indorsed to the Commander, CCF, by the person's immediate commander through channels. Indorsements should address the issues outlined in the LOI and include commander's recommendation(s) whether the person should or should not retain a security clearance. Commander's comments should not be restricted to an evaluation of the person's duty performance. Comments include the following:

(1) Include a length of time a commander has known the person.

(2) Indicate whether the person has or has not taken any steps to change his or her conduct or behavior.

(3) Personal knowledge of the person's character traits.

(4) Any other information which tends to show whether the person is or is not a security risk.

e. The additional time required to forward the person's response through channels must be considered in the 60 days allowed for return of the LOI to CCF. Commanders will give the person a realistic suspense date in which to reply to the LOI to allow adequate mailing time through channels. If unusual circumstances will prevent the person's reply from reaching CCF within 60 days from the date of receipt of the LOI, an extension must be requested before the 60 day suspense explaining the reason for the delay and indicating the date that the reply may be expected.

f. When CCF receives the response to the LOI, it will be considered and then a final determination will be made. The final determination will be furnished to the commander who will advise the person.

g. Whenever a LOI or final letter of revocation or denial is received concerning a person who is no longer assigned to the command, one of the following actions will be taken:

(1) If the person is transferred, indorse the LOI or revocation or denial to the gaining command to complete the action and forward an information copy of the indorsement to the Commander, CCF.

(2) If the person has been released from active duty and has a reserve obligation, forward the LOI or denial or revocation to the US Army Reserve Components and Administration Center, ATTN: AGUZ-SOC, St. Louis, Missouri 63132. Forward an information copy of the indorsement to the Commander, CCF.

(3) If the person has been discharged from mil-

itary service with no reserve obligation, advise CCF and furnish a copy of the orders.

h. When a person is incarcerated by military or civilian authorities as a result of a conviction of a criminal offense, or when a person is dropped from the rolls as a deserter, the commander will immediately take the following actions:

(1) Withdraw the DA Form 873 from the person's MPRJ or OPF and stamp or print across the face, "Revoked by authority of Commander, CCF, Deserted—(date)" or "Revoked by authority of Commander, CCF, Incarcerated as a result of Civil Conviction or Court Martial—(Date)", as appropriate for military and civilian personnel.

(2) Forward the DA Form 873 with a DA Form 5248-R explaining circumstances to the commander, CCF.

i. Under paragraph 5-6, AR 600-37, CCF is required to provide unfavorable information developed during the conduct of the PSI to both the DA Suitability Evaluation Board (DASEB) and the appropriate MILPERCEN, Army Reserve or NGB personnel management office (PMO) on all senior enlisted, commissioned or warrant officer personnel. Specifically included is any information which results in denial or revocation of a security clearance. However, the regulation does not exclude providing other significant unfavorable information which does not result in an adverse security clearance action. The responsibility for determining which information is to be retained in a person's OMPF remains with the DASEB. CCF will notify those persons through command channels on whom information and/or files are being forwarded to either the DASEB or the PMO.

16. Civilian Applicant for Noncritical-Sensitive and Critical-sensitive positions.

a. Under emergency conditions, a waiver of investigative requirements for appointment to a sensitive position may be authorized only by one of the authorities specified in paragraph G, appendix F. The emergency finding will become a matter of record in the OPF, including a statement of justification as to why inherent delay in appointment pending completion of the required investigation will be harmful to the national interest. See paragraph 3-204.

b. Interim security clearance granted for civilian applicants appointed under emergency conditions to sensitive positions will be processed according to paragraphs 5c(2) and 5d(1), above (see para 3-800.)

17. Foreign National Personnel. Upon request, CCF conducts a check of the DCII and requests that the investigative agency forward any existing investigative file to the requester. Request for

checks may be submitted by message, letter, or DA Form 2784-R, and will clearly indicate "Foreign National" in the "Remarks" block. Notification of a DCII "No Record" is forwarded to requester, if appropriate.

18. Special Access. Once a person's clearance has been granted by CCF, special accesses such as NATO, CENTO, CNWDI, SIOP-ESI, etc., will be issued by the commander responsible for controlling these accesses, according to appropriate Army regulations. However, authority to grant access eligibility to SCI is retained by the Commander, CCF.

19. Surety Programs. Security clearance determinations for surety position nominees under AR 50-5, AR 50-6, and AR 380-380 will be made by CCF. Personnel reliability/surety program determinations remain the responsibility of the unit commander.

a. Nuclear Surety Program (AR 50-5).

(1) All clearance requests will be submitted to CCF on DA Form 5247-R or in comparable message format under paragraph 6b, above. The request will indicate "AR 50-5 (Nuclear Surety) applies" and specify the position as "Critical" or "Controlled" in item 11.

(2) Request for investigation submitted to DIS will indicate "Nuclear Weapons Position" in item 6b of DD Form 1879. Requesters will conspicuously annotate the "Remarks" Block of DD Form 1584, DD Form 398-2, or DD Form 1879 with "Nuclear Surety (Controlled)" or "Nuclear Surety (Critical)", as appropriate.

b. Chemical Surety Program (AR 50-6).

(1) All clearance requests will be submitted to CCF on DA Form 5247-R or in comparable message format under paragraph 6b above, and will indicate "AR 50-6 (Chemical Surety) applies" in item 11.

(2) Request for investigation submitted to DIS will indicate the degree of access required and "Other" in item 6b of DD Form 1879. Requesters will conspicuously annotate the "Remarks" Block of DD Form 1584, DD Form 398-2, or DD Form 1879 with "Chemical Surety."

c. Automated Systems Security (ADP) (AR 380-380).

(1) All clearance requests will be submitted to CCF on DA Form 5247-R or in comparable message format under paragraph 6b, above, and will indicate "AR 380-380 (ADP Surety) applies" in item 13.

(2) Request for investigation submitted to DIS will indicate "Automated Systems Surety" in the "Remarks" block of DD Form 1584, DD Form 398-2, or DD Form 1879. Item 6 of DD Form 1879

will indicate the degree of access required and "Other."

d. Surety Program Determination. Currently, CCF is routinely reviewing all cases for PRP/Surety consideration. Therefore, if the investigative file contains no disqualifying information, the following comment will appear in the remarks section of the DA Form 873: "PRP/SURETY CONSIDERED." If the clearance request processed at CCF after 1 August 1981 indicates that the person is being considered for a PRP/Surety position and the comment "PRP/SURETY CONSIDERED" is not annotated in the remarks section of the DA Form 873 issued by CCF, the file will automatically be forwarded to the local commander under separate cover for his or her PRP/Surety determination. The comment "PRP/SURETY CONSIDERED" means that as of the date of this security clearance no disqualifying information was known by CCF. If a substantial period of time has elapsed between the date of the clearance and the date the person is being considered for a PRP/Surety position, recommend that a DA Form 5247-R or message in DA Form 5247-R format be submitted. If no subsequent disqualifying information has been developed, CCF will issue a current DA Form 873. As PRP Surety was not always routinely considered by CCF, the absence of this comment on a DA Form 873 granted before 1 August 1981 does not automatically indicate that the investigative file contains information which must be considered by the commander. Copies of completed investigations will be forwarded to the requester by CCF—

(1) When clearance is granted. However, the investigation contains information which may be of a disqualifying nature as indicated in one of the above PRP/surety programs.

(2) When the investigation on which the clearance is granted does not meet the 5 year time requirement for assignment to surety duties and the information in the previous investigation may be of a disqualifying nature. This will allow the commander to consider the prior derogatory information which may preclude the assignment and eliminate requests for investigations.

20. Nomination and Eligibility Determination Procedures for SCI.

a. Nomination Procedures. A person requiring SCI access should be nominated to CCF as soon as he/she is identified. This will permit a timely eligibility determination. These procedures apply to routine nominations, requests for one time SCI access, and SCI access formerly referred to as "Compelling Need." Paragraph 1103a of DOD Directive S-5200.17(M2) requires annotation or coding of

requisitions for military personnel who will require access to SCI. Submission of a nomination before the person's arrival in the command, even though complete personnel data may not be available, will save time in many instances. However, the social security number and full name are needed as a minimum. Nominations will be submitted by either the losing or gaining SSO as soon as it becomes apparent the person will require SCI access at his or her new assignment. DA Form 5247-R or message in DA Form 5247-R format will be used to submit nominations.

(1) Time remaining in a command or position is not a bar to submitting a nomination. As a guideline, persons should not be nominated for access unless there is reasonable assurance that they will be retained in an authorized billet. This should be at least a year from the date of indoctrination in a long tour area and 6 months in short tour area.

(2) Every attempt will be made to submit nominations in an unclassified format. Compartmented information will be included only when absolutely essential and classified accordingly.

(3) Nominees for SCI access will be personally interviewed under appendix G whenever possible to eliminate requests for SBIs for potentially unqualified persons.

(a) When it is not feasible to conduct the required personal interview before requesting the SBI, the DD Form 1879 will be annotated in item 20 citing the reason. When the interview is conducted, Item 20 of the DD Form 1879 will include the statement, "Personal interview conducted by" (cite the name and title of the designated official and his or her duty assignment).

(b) The personal interview will be conducted to determine if any of the criteria listed in paragraph 2-200 exists. The guidelines in appendix G apply.

(c) Unfavorable or questionable information developed through the personal interview will be detailed on DD Form 1879 under Item 20 in all instances in which an SBI is requested.

(4) Before submitting a request for an SBI, the following guidelines will be used to determine the propriety of requesting an SBI for SCI access:

(a) The person must not be under flagging action under AR 600-31.

(b) The person must not be currently under psychiatric care or participating in any drug and alcohol rehabilitation program.

(c) The person must not have any adverse action pending under paragraph 8-201.

(d) The person must not have any civil litigation pending.

(e) The person and spouse, parents, brother, sister, children, or other persons with whom he or she is bound by affection or obligation must be US citizens. Requests for waiver of this criterion based on a compelling operational requirement will be forwarded to CCF through SSO channels. CCF must approve the request before submission of the SBI to DIS. The waiver authority will be cited in Item 20 of the DD Form 1879 upon submission to DIS. See paragraph 22 below for specific guidelines concerning foreign national affiliations.

(f) Unresolved derogatory information should not normally be used to disqualify a person without a complete investigation. Information of this type will be adjudicated by CCF after completion of the investigation. If the commander feels the derogatory information furnished by the person or developed during the local records check clearly warrants denial of SCI access, the nomination derogatory information will be forwarded to CCF with the SBI packet attached.

b. Eligibility Determination Procedures. A person must be the subject of a favorably completed SBI or SBI-PR within the past 5 years to be declared eligible for SCI access except as noted in b(3) and d below. After receipt of a nomination, CCF will review all files available and determine the person's SCI access eligibility.

(1) If a favorable determination is made, SCI access will be granted concurrently with a TOP SECRET clearance. Notification to this effect will be sent to the nominating SSO or other appropriate authorities, followed by a DA Form 873 to the UIC listed in the nomination.

(2) If the person lacks the investigative basis for granting SCI access, the requestor will be notified to submit a request for an SBI to DIS. However, if it is reasonably certain the person has no SBI or the SBI is no longer valid (14b(3)), the supported command will submit a request for SBI to DIS and nominate the person to CCF no earlier than 30 days after the submission of the SBI request to DIS.

(3) When the SBI is 4 years, 9 months old, an SBI-PR would normally be submitted to DIS.

(4) If the person is determined to be ineligible for SCI access, the case will be processed under paragraph 8-201. The requestor will be notified of the person's SCI access and clearance determination.

(5) If the person is determined to be eligible for SCI access, then elects not to execute the SCI Nondisclosure Agreement (NDA), the indoctrination process will be terminated. The person will be notified that SCI access will not be authorized

based on the lack of consent to sign an NDA. CCF will be notified of the refusal to execute the NDA.

c. **Nomination for One Time SCI Access.** In most cases, an approved billet will exist before the incumbent is nominated for SCI access. Exceptions are nominations for one time access to attend a conference, briefing or other situations in which temporary SCI access appears warranted, but establishment of a permanent billet is not.

(1) For one time SCI access, a nomination message will be forwarded to SSO DA//IASSG-OS-M//with an information copy to SSO MEADE//PCCF-PR//. Use DA Form 5247-R format requesting the person be granted one time SCI access. The subject of the message will be changed to read "Nomination for One Time SCI Access" and will include justification and date(s) needed. If the justification for one time access is approved by CDR, USASSG, the requesting SSO will be notified.

(2) Normal SCI investigative standards (favorable SBI completed within the past 5 years) apply in cases involving one time SCI access. CCF will make eligibility determination and notify the requesting SSO. Before indoctrination, the nominating SSO will insure that he or she has received the approval from both CDR, USASSG, and CCF.

(3) If there is an exceptional requirement for SCI access before completion of the investigation, the provisions of paragraph 20d below, apply.

d. **Interim SCI Access.**

(1) Interim SCI access may be granted when the need for access to SCI is of such urgency that the benefits to be gained by indoctrination would far outweigh the security risk involved. This term is not to be confused with the "need to know" criterion which establishes the billet.

(2) All requests for exceptions to personnel security or investigative standards must clearly state and describe the compelling need. Requests must show how denial of access will impact on the ability of the organization to accomplish its assigned mission. To minimize the need for the use of interim SCI access requests, command or organization personnel management procedures will insure that SCI coded personnel requisitions are used for all persons who will require SCI access. Only a person in the grade of 0-5 (civilian equivalent) or above acting in the capacity of commander, organization chief, senior intelligence official, or other senior/command officers can request exceptions to the personnel security or investigative standards for interim SCI access.

(3) When nominating a person and interim SCI access is required, the following actions will be taken:

(a) Send a nomination message through SSO channels to CCF using DA Form 5247-R format. Change the subject of the message to read, "Nomination for Interim SCI Access."

(b) Include in the Remarks Section of DA Form 5247-R the results of the personal interview conducted under paragraph a(3) above. If unfavorable information is surfaced during the personal interview or the local files checks, the nomination will not be submitted as an interim SCI access request. However, the follow-up SBI by DIS may be submitted to resolve any questions except as indicated in a(4) above.

(c) SSO will provide an evaluation and recommendation.

(d) If an SBI is pending at DIS and later determined that interim SCI access is required, nominations for interim SCI access should not be submitted to CCF until the SBI has been opened at DIS for a minimum of 45 days.

Note: The reason for this time restriction is that it takes DIS 30-45 days to acquire all pertinent files for review.

(e) If SCI access will be required for a person, and an SBI has not been submitted to DIS, a nomination for interim SCI access will be submitted to CCF for an initial determination before submitting the SBI request to DIS. After receipt of a favorable interim SCI access determination, and before indoctrination, the SBI request will be submitted to DIS.

(f) The nomination must indicate the person (if military) has been or will be granted, as a minimum, an interim TOP SECRET clearance, under paragraph 5a. If the person is a DA civilian, he or she must, as a minimum, have an interim TOP SECRET clearance granted before the nomination under paragraph 5b. If the person is a contractor, he or she must have, as a minimum, an interim TOP SECRET clearance granted by DISCO.

21. **Suspension and Termination of SCI Access.** Paragraph 16, DCID 1/14, requires that security programs be tailored in such a way that "no issue will escape notice or be left unresolved which brings into question a person's loyalty and integrity or suggests the possibility of his being subject to undue influence or duress through foreign relations or exploitable conduct." In that regard, both Security managers and SSOs have the responsibility to establish and maintain close and continuous coordination in order to administer an effective and mutually supporting security program.

a. When a commander or SSO becomes aware of adverse or derogatory information falling within the scope of paragraph 2-200 pertaining to an indoctrinated person, prompt consideration will be given by the SSO to suspending SCI access. SSOs

will not debrief a person under these conditions without prior authority from CCF. Whether or not the person's access is suspended, the adverse information will be reported to CCF on DA Form 5248-R or message in DA Form 5248-R format. The supported command's Security Manager will determine whether the person's access to classified information should also be suspended under paragraph 14.

b. In addition to the criteria outlined in paragraph 2-200, the engagement, marriage or close associations with a foreign national may be cause for suspension of access. See paragraph 22 for details.

c. Concurrent with suspension action, an investigation or commander's inquiry is normally initiated or requested to permit a complete and timely adjudication at CCF.

d. After completion of an investigation or inquiry, DA Form 5248-R will be forwarded to the Commander, CCF. This will contain the commander's evaluation and recommendations concerning eligibility for SCI access and security clearance. Any other pertinent documentation or information which would aid in the adjudication of the case will be included.

e. After receipt of the final DA Form 5248-R and all pertinent investigative files, CCF will make a determination on the person's continued eligibility for SCI access and security clearance. The SSO and other appropriate authorities will be notified of both the SCI access and security clearance determination. The Commander, CCF, is the sole authority for reinstatement of SCI access once a suspension action has been taken except under conditions described in paragraph 7-102f.

f. SCI indoctrinated personnel who seek professional guidance from psychiatrists, psychologists, other mental health practitioners, or alcohol and drug abuse personnel will report these requests for assistance to their Security Manager and local SSO.

(1) After notification of an indoctrinated person's participation in one of the above programs, SCI access may be suspended by the SSO depending on the circumstances. Regardless of whether suspension action is taken, participation and the reason(s) will be reported to CCF as outlined in paragraph a above to the local Security Manager of the supported command.

(2) After completion of the rehabilitation program, the person's Security Manager will report all the details, to include written professional evaluations of the rehabilitation, to CCF by DA Form 5248-R. Include recommendations to continue or withdraw SCI access. CCF will make a final

determination in the same manner shown in e, above.

(3) In all cases where an indoctrinated person obtains professional counselling from a mental health practitioner, the Security Manager will obtain a current evaluation by a qualified psychiatrist (M.D.). The psychiatrist must be US Government employed or contracted.

g. While SSOs have the authority to suspend SCI access after receipt of adverse information, they do not have the authority to debrief the person for cause. Formal debriefing for cause will be taken only after CCF approval or for other reasons cited in TB 380-35.

22. Foreign National Affiliation.

a. Paragraph 5b, DCID 1/14, requires that both the subject and members of his or her immediate family be US citizens. Immediate family is defined as the person's spouse, parents, brothers, sisters, and children. The members of the person's immediate family and any person to whom he or she is bound by affection or obligation should neither be subject to physical, mental or other forms of duress by a foreign power. Neither should they advocate the use of force or violence to overthrow the Government of the US or the alteration of the form of Government of the US by unconstitutional means.

b. If the subject is foreign born:

(1) Established criteria may be waived if subject was—

(a) Born in a non-communist country and is now a US citizen. Subject maintains no close foreign ties and has not had extensive residence in or near his or her native country since his or her original entry into the US, except as a result of directed Federal service. Voluntary foreign service may not necessarily be considered directed Federal service when the foreign service was requested by subject or directed according to the subject's preference for residence in a foreign country.

(b) Born in what is now a Communist Bloc Country (CBC) but has not resided under a communist regime, is a US citizen and maintains no ties in a CBC.

(2) Established criteria normally may not be waived if—

(a) Subject was born in a CBC, has resided under a communist regime, and has relatives or associates residing in a CBC with whom he or she maintains close ties.

(b) Subject maintains close ties in a CBC, regardless of country of birth or residence.

(c) Subject is not a US citizen.

(d) Subject is a US citizen (native or naturalized) but has had extensive residence in or near his

or her native country or country of ancestral origin that was not a result of directed Federal service. Voluntary foreign service may not necessarily be directed Federal service when the foreign service was requested by subject or directed accordingly to the subject's preference for residence in a foreign country.

c. If a nominee for SCI access has a foreign national spouse, he or she is normally not eligible for SCI access. The prenomination interview required by paragraph 20a(3) should reveal the presence of a foreign national spouse and will normally preclude further processing of the SBI paperwork to DIS. This is particularly true in cases requiring a compelling need when the nominee is identified by the losing command as requiring SCI access for a projected assignment. The losing command cannot determine the existence of a compelling need situation at the gaining command. When this situation arises, MILPERCEN should be immediately notified and further SCI processing should be suspended pending notification by MILPERCEN.

(1) The DCID 1/14 criteria may be waived for nominees with foreign born spouses only if the following factors apply:

(a) Spouse was born in and is a citizen of a CANUKUS (Canada, Australia, New Zealand, United Kingdom and United States) country.

(b) Spouse was born in a non-communist country other than CANUKUS and is a US citizen.

(c) Spouse was born in what is now a CBC, but has not resided under a communist regime, maintains no ties with anyone in a CBC, and is a US citizen.

(d) Spouse was born in a non-communist country other than CANUKUS, has demonstrated by observable action an allegiance to the United States, and has declared an intent to become a US citizen. The supported command must also validate a compelling need for the nominee to have SCI access and there must be no evidence of anti-American feelings demonstrated by the spouse. The above applies if the spouse was born in what is now a communist country, but has never resided under a communist regime, and maintains no CBC ties.

(2) Established criteria normally may not be waived if—

(a) Spouse was born a citizen of a CBC, has resided under a communist regime and/or maintains ties with person(s) residing in a CBC. Spouse's obtaining US citizenship does not alter the circumstances.

(b) Spouse is not a US citizen nor a citizen of a CANUKUS country, has not demonstrated by observable action an allegiance to the US, and de-

clared the intent not to become a citizen.

d. If a nominee for SCI access has parents, brothers, sisters or children who are not US citizens, he or she is not eligible for SCI access.

(1) The DCID 1/14 criteria may be waived, provided there is no evidence of anti-American feeling, and the parents, brothers, and sisters or children were—

(a) Born in CANUKUS country.

(b) Born in a non-communist country, other than CANUKUS, and residing in the US.

(c) Born in a non-communist country, other than CANUKUS, and residing in that country. The nominee must not be subject to coercion or pressure through these family members and contact must not be excessive.

(2) DCID 1/14 criteria may also be waived, provided that the supported command validated a compelling need according to this paragraph and the nominee's parents, brothers and sisters, or children were—

(a) Born in CBC, but reside in the US.

(b) Born in what is now a CBC, but have not resided under a communist regime, maintain no communist bloc country ties, or reside in other than the US or their native country.

(3) Established DCID 1/14 criteria will not normally be waived, even with a valid compelling need, if parents, brothers and sisters or children of the nominees are citizens and residents of a CBC, regardless of the degree of contact with the nominee.

e. SCI indoctrinated personnel who marry a foreign national may be permitted continued SCI access upon approval of a waiver of the DCID 1/14 criteria by CCF. This will be accomplished after a compelling need for their services has been declared by the supported command and the security risk is determined to be negligible. Waivers may only be requested by—

(1) Officers on indefinite status.

(2) Enlisted personnel on second or subsequent enlistments.

(3) Enlisted personnel in CMF 33 or 98.

(4) Career civilian employees.

(5) Contractors.

(6) Other personnel determined by the command to be absolutely essential to the command's mission.

(7) Personnel who have had extensive prior SCI access and who are now married to foreign nationals and fall into one of the aforementioned categories.

f. Requests for waiver for personnel in CMF 33 or 98 need not be accompanied by a compelling need statement since possession of either CMF has

been defined as "de factor" compelling need.

g. The following measures apply to persons having SCI access and who plan to marry a non-U.S. citizen:

(1) Immediately after declaration of intent to marry a foreign national whether or not a waiver will be requested, the SCI indoctrinated person will receive a command interview. The results will be sent to CCF under a command indorsement indicating whether or not a waiver is requested. If the command interview is favorable and the person declines to request a waiver, he or she may remain indoctrinated until marriage takes place at which time he or she will be debriefed. The command interview will attempt to determine the following:

(a) Full name, date and place of birth, occupation, and citizenship of spouse and members of his or her immediate family.

(b) Whether the proposed spouse has had any connections with a hostile intelligence service or any friends, relatives, or contacts residing in a communist controlled country.

(c) If the spouse or member of his or her immediate family were born in what is now a communist or CBC, the dates, method, and circumstances of their departure from that country will be determined. Also the nature and extent of any and all ties remaining in the communist or CBC will be fully determined.

(d) Whether the spouse or any member of his or her immediate family have expressed any unusual interest in the person's assignments and/or duty position.

(e) The person has been counselled and acknowledges his or her understanding of his or her obligations to report any situation which is of potential SAEDA interest under AR 381-12.

(2) If the person desires to submit a waiver, it will be submitted by unclassified letter through command channels to CCF. The supported command must ensure the person initiates the request for waiver at least 6 months before the marriage. This will normally allow sufficient lead time to permit continuous and uninterrupted access provided the waiver is granted.

(3) The request for waiver initiated by the person will include the following information:

(a) The person's full name, grade, SSN, date and place of birth, estimated rotation date, PMOS/SSI and/or current position title.

(b) A statement by the person that he or she understands that should the waiver be granted, his or her SCI access may be withdrawn if—

1. In a foreign country, he or she extends his or her foreign service tour.

2. His or her spouse has not obtained US citizenship within 5 years.

3. He or she is reassigned to a position where a compelling need does not exist.

(c) A statement from the spouse that he or she will apply for US citizenship as soon as possible. If already in CONUS, his or her date and port of entry into the US and alien registration number will be included. The intended spouse will also state whether—

1. He or she has ever resided under a communist regime;

2. Contact is maintained by him or her or by his or her family with persons in a communist controlled country.

(d) A current DD Form 398 or its dual language equivalent on the prospective spouse.

(4) Command indorsement of the waiver through channels to CCF. It will include—

(a) Certification that a compelling need exists (or a statement that the person is in CMF 33 or 98).

(b) A statement concerning the availability of a suitable replacement for the person from local or DA sources. The person's estimated date of rotation out of the command will be considered when making this determination.

(c) A statement which includes an indication of any special skills the person may possess which distinguished him or her from others of the same grade and MOS.

(d) Recommendations pertaining to the person's character, efficiency, reliability, demonstrated skill, and degree of compartmented access required (in unclassified terms).

(e) Results of the command interview conducted under the provisions of paragraph 20a(3).

(f) Certification by the US Embassy/Consulate that the prospective spouse meets US immigration requirements and if appropriate, host country certification that the prospective spouse meets emigration requirements.

(5) If the person is assigned to an overseas command, the command indorsement of the waiver request will include a copy of the investigation completed on the spouse under paragraph 6, AR 608-61, and paragraph 4, AR 600-240. These premarital investigations will essentially equate as a minimum to a foreign country NAC which includes investigative checks of national level and local security and law enforcement agencies as well as other appropriate civil authorities where the prospective spouse has resided since age 16.

(6) If the person is assigned to a CONUS command, the command indorsement of the waiver request will include a complete DD Form 398 and

DD Form 1584 or DD Form 398-2 on the person's prospective spouse. These will be used by CCF to obtain appropriate CIA, INS and FBI checks on the prospective spouse and will be the only investigation required unless adverse information is developed during the processing and/or investigation.

(7) The person need not be debriefed from SCI access upon marriage to a foreign national provided:

(a) A waiver has been submitted by the person and has received command indorsement.

(b) The command interview of the person, spouse's DD Form 398 or equivalent, and premarital investigation have been completed and favorably reviewed by the command before submission to CCF. If command interview, review of premarital investigation on spouse, or review of the DD Form 398 reveals derogatory information indicating a hostage situation, a SAEDA attempt, or possible hostile intelligence service connections, the person's access will be suspended pending final determination by CCF and action under AR 381-12.

(c) There are no apparent hostile intelligence service connections of spouse, relatives, friends, or associates residing in a communist country.

(8) A person who is granted a waiver by CCF may not extend his or her foreign service tour and retain SCI access. In very exceptional circumstances involving critical operational deficiencies extensions up to 12 months may be considered.

(9) If, before the naturalization of the person's spouse, the command which indorsed the person's request for waiver or subsequent command which has certified a compelling need determines that the person no longer meets the compelling need requirements, this determination should be reported to the SSO and the person should be debriefed. The SSO will notify CCF the individual has been debriefed due to no longer meeting the compelling need requirement. CCF will then process the case under paragraph 8-201.

f. When a spouse obtains US citizenship, proof of citizenship must be presented to an officer,

warrant officer, enlisted E-6 and above, or civilian security specialist of the supporting SSO. The SSO will furnish CCF certification of:

- (1) Spouse's full identifying data.
- (2) Naturalization certificate number.
- (3) Date, court and place of naturalization.
- (4) Complete personal identifying data of the indoctrinated person.

g. Persons who establish a close and continuous contact with a foreign national will have their SCI access suspended if there is a reason to believe that the foreign national—

- (1) Is involved with hostile intelligence.
- (2) Has communist bloc connections.
- (3) Is working for a foreign government in some capacity which may present a security threat.

In the absence of those conditions, suspension action may not be appropriate. The person should be—

- (1) Given a SAEDA briefing.
- (2) Counseled on his or her security responsibilities.

(3) Advised that his or her access to SCI will be reviewed. A report of the command's action will be sent to CCF.

h. Additionally, CCF will be promptly notified if any of the conditions listed below become known or a matter of record.

- (1) Adverse information reported or developed concerning the person or spouse.
- (2) Spouse's refusal to apply, procrastination, or any other action which delays obtaining US citizenship.

(3) Spouse has or is suspected of having committed, on behalf of a foreign power, any act which is contrary to the best interests of the US. The details of the situation will be immediately reported to CCF and will include the person's degree of access to include identification of any compartmented operation or project. No further action will be taken pending receipt of instructions from CCF unless the security of SCI is endangered.

Table A-1. Instructions for completing DA Form 5247-R

Item	Instructions
1. Return Results to	Enter proper mailing address, including an attention line.
2. Supporting SSO (SCI Only)	Self-explanatory
3. UIC	Enter the Unit Identification Code (UIC). The UIC will be that of current command/unit or the individual's new command/unit to which clearance results will be sent. Without a proper UIC a clearance determination will not be sent and the DA Form 5247-R (RFSD) will be returned to requester to annotate the UIC and resubmit.
4. SSN	Enter Social Security Number.
5a. Name	<p>Last name of the person will be entered in CAPITAL letters, followed by first name, for example: SMITH, John James. If no middle name, initial only or no middle initial indicate:</p> <ul style="list-style-type: none"> a. (NMN)—No middle name. b. (10)—Initial only. c. (NMI)—No middle initial. <p>On all Hispanic, hyphenated, or longer names, so state (for example, RIVERA-RIVERA, Juan (NMN) Also, with Hispanic names, if the individual is referred only by one of the hyphenated names, enter that name in block and then enter the entire hyphenated names as reflected on the birth certificate in the Aliases section.</p>
5b. Aliases	Indicate all former names, maiden names, nicknames that are either derived from the first or last names changed by court order, and other names which the person is or has been known by. If none, so state.
6a. DOB	Date of birth, for example, 600707.
6b. POB	<p>Place of birth (POB). If born in the United States, enter state of birth, for example, Indiana. If born outside the United States, enter country of birth and in Block #14 annotate country of citizenship, alien registration number and date and port of entry. If a naturalized US citizen by derivation or US citizenship by birth of US citizen(s), enter status and explain. This will include:</p> <ul style="list-style-type: none"> a. Date and port of entry into US. b. Date and place of naturalization. c. Naturalization certificate number. d. Explanation of derived US citizenship or circumstances of citizenship acquired by birth abroad to US citizen parent(s). Include a statement identifying the document examined to verify citizenship or immigrant alien status (see paragraph 8, this annex).
7a. Rank	List individual's present rank, for example, SP5 or GS05.
7b. Status	<p>For the Status enter one of the following:</p> <ul style="list-style-type: none"> a. A—AAFES b. C—DA Civilian (DAC) c. E—Active Enlisted/OCS d. F—NAF e. G—Active General Officer f. I—Inactive USAR g. J—DAC and Active USAR h. K—DAC and Inactive USAR i. L—DAC and ARNG j. M—DAC and DOD affiliation

Table A-1. Instructions for completing DA Form 5247-R—Continued

Item	Instructions
	<ul style="list-style-type: none"> k. N—ARNG l. O—Active Officer m. R—Active USAR n. S—Summer Hire o. T—Civilian Contractor p. W—Active Warrant Officer q. X—Red Cross r. Z—ROTC Cadet
8. Reason for Request and Special Programs	Check appropriate block(s). If a clearance requires a special program with it, indicate which program in this block using the instructions in paragraph 19, this annex. If none, leave blank. If tracer action is required annotate an "X" in the "Other" block and state "TRACER" beside it.
9. Prior Investigation/Clearance/SCI access	If request is for a higher level clearance, indicate the degree of clearance presently held, for example, SECRET or CONFIDENTIAL. If a DD Form 873 is in the individual's file, send a copy for proof of prior investigation/clearance. If the person has no security clearance or 873 on file, indicate "None".
10. Citizenship	Must be verified under procedures outlined in appendix B, paragraph 2c.
11. Local Files Checks	<p>If no unfavorable information is found, no action is needed. If unfavorable information or, if unable to obtain a copy of the information, summarize all the facts discovered.</p> <ul style="list-style-type: none"> a. Personnel records will be screened for records of punishments, reductions in grade, letters of indebtedness, absence without leave, or other unfavorable information. When unfavorable information is listed on a DD Form 1966 or DD Form 398 in the MPRJ, attach a copy of the form. If information concerning date, place or disposition of a listed arrest is incomplete, obtain the information from the subject. b. Medical records will be screened for indications of mental or emotional instability, drug or alcohol abuse or any other factors which a US Medical Officer determines may make the person unsuitable to hold a security clearance under this regulation. If information in medical records indicates prior or current mental disorder or emotional instability, obtain a current psychiatric evaluation and furnish the report with the request for investigation or clearance. c. Military Police and local intelligence files will be screened if the person has been in the geographic area for more than 30 days. Records will be screened for mention of criminal and/or illegal conduct of any kind of information included in paragraph 2-200. d. If a local file check cannot be accomplished, for example, records lost, explain in Block 11.
12. Federal Service	Person has been in continuous Federal Service without a break exceeding 12 months since: Indicate date entered Federal Service (active duty, ARNG or USAR, civilian employment, defined in paragraph 6d(1), Federal contractor employment, or combination of). If this block merely reflects the date of last enlistment or last employment, rather than earliest date of continuous Federal Service without a 12-month break, requesters may receive unnecessary instructions to

Table A-1. Instructions for completing DA Form 5247-R—Continued

Item	Instructions
	initiate a new investigation because of the apparent break in service. ROTC cadets will indicate date entered ROTC.
13. Inclosures	Self-explanatory.
14. Remarks	Use as required to explain or elaborate on other information provided. If additional space is required, indicate "See Reverse" and continue on reverse side of DA Form 5247-R.
15. Date	Self-explanatory.
16. Name, Grade, etc	If the person signing DA Form 5247-R does not meet the requirements of the certifying official as defined in paragraph 6d(1), this annex, the citizenship statement in Block 10 must include the signature and identification of the certifying official; otherwise, a separate statement must be attached.
17. Signature	Self-explanatory
18. Status Codes	See Item 7b.

Table A-2. Instructions for completing DA Form 5248-R

Item	Instructions
1. Reporting Commander	Proper mailing address, including attention line, zip code and/or APO will be entered.
2. Supporting SSO (SCI Only)	Enter the SSO's message address if the person is indoctrinated for SCI.
3. UIC	Enter the Unit Identification Code (UIC). The UIC will be that of the current command/unit, or the individual's new command unit to which clearance results will be sent.
4. SSN	Enter Social Security Number
5a. Name	<p>Last name of the person will be entered in CAPITAL letters, followed by first name and middle name, for example: SMITH, John James. If no middle name, initial only or no middle initial indicate:</p> <ul style="list-style-type: none"> a. (NMN)—No middle name b. (10)—Initial Only c. (NMI)—No middle initial <p>On all Hispanic, hyphenated, or longer names, so state, for example RIVER-RIVERA, Juan (NMN). Also, with Hispanic names, if the individual is referred to by only one of the hyphenated names, enter that name in name block and then enter the entire hyphenated name as reflected on the birth certificate in the Aliases section.</p>
5b. Aliases	Indicate all former names, maiden names, nicknames that are either derived from the first or last name, names changed by court order, and other names which the person is or has been known by. If none, so state.
6a. DOB	Date of Birth (DOB). Enter year, month and day of birth, for example, 600707.
6b. POB	Place of birth (POB). Self-explanatory.
7a. Rank	List individual's rank, for example, SP5 or GS05.
7b. Status	<p>For the Status enter one of the following:</p> <ul style="list-style-type: none"> a. A—AAFES b. C—DA Civilian (DAC) c. E—Active Enlisted/OCS d. F—NAF e. G—Active General Officer f. I—Inactive USAR g. J—DAC and Active USAR h. K—DAC and Inactive USAR i. L—DAC and ARNG j. M—DAC and DOD affiliation k. N—ARNG l. O—Active Officer m. R—Active USAR n. S—Summer Hire o. T—Civilian Contractor p. W—Active Warrant Officer q. X—Red Cross r. Z—ROTC Cadet
8a. Current Clearance	Enter level of security clearance appearing on DA Form 873.
8b. SCI	If the person is in an SCI billet, put a check in "SCI access".

Table A-2. Instructions for completing DA Form 5248-R—Continued

Item	Instructions
8c. Date Granted	Self-Explanatory.
8d. Date/Type of Investigation	Self-Explanatory
9. Type of Report	Enter either "Initial", "Follow-up" or "Final." (Note: if individual has no clearance, submit only "Final" report)
10. Unit Action Taken	If subject's clearance/access is suspended pending final report and CCF's adjudicative determination, so annotate and attach the original DA Form 873. If a clearance/access is revoked due to the person being incarcerated or dropped from the rolls, write "revoked" in item 11b and attach the original DA Form 873.
11. Basis of Report	<p>Explain in detail the circumstances surrounding the basis for the report. Provide all amplifying information to enable an adjudicator to make a thorough and comprehensive security evaluation. As an example, the following questions should be answered in drug, marijuana or alcohol related reports:</p> <ul style="list-style-type: none"> a. What was the prohibited substance possessed or used by the subject? b. How was subject's possession or use detected? c. Did the subject ever possess or use the prohibited substance prior to this incident. If so, when and how frequently? d. What amount of prohibited substance is involved? e. What was or is subject's frequency of use? (Specify in numbers). f. Attempt to determine subject's future intent concerning the use of prohibited substances. g. Provide list of other offense(s) to include punishment(s). h. Provide commander's recommendation on all final reports.
12. Inclosures	Indicate and attach a copy of all investigations and/or inquiries, or final actions, for example, AR 15-6, orders, court-martial results, etc.
13. Date	Self-explanatory
14. Typed Name/Grade/Title/AUTOVON #	Self-explanatory
15. Signature of Scty Mgr/Auth Ofl	Signature of the person authorized to sign.

APPENDIX D

TABLES FOR REQUESTING INVESTIGATIONS

Table D-1

RULE	GUIDE FOR REQUESTING BACKGROUND INVESTIGATIONS (BI)		
	A	B	C
	If the individual is a	and duties require	then a BI is required before
1	U.S. national military member or civilian employee	Top Secret Clearance	granting final clearance
2	U.S. national civilian employee	assignment to a "Critical-sensitive position"	assignment to the position
3	U.S. national military member or civilian employee	occupying a "critical" position in the Personnel Reliability Program (PRP)	occupying a "critical" position
4	U.S. national military member or civilian employee	granting, denying clearances	performing clearance functions
5	U.S. national military member or civilian employee	membership on security screening, hearing, or review board	appointment to the board
6	immigrant alien	Secret or Confidential clearance	granting clearance
7	non-U.S. national employee excluding immigrant alien	limited access to Secret or Confidential classified information	authorizing limited access
8	U.S. national military member or civilian employee	assignment to a category two Presidential Support position	assignment

Table D-2

GUIDE FOR REQUESTING SPECIAL BACKGROUND INVESTIGATIONS (SBI)			
RULE	A	B	C
	If the individual is a	and duties require	then a SBI is required before
1	U.S. national military member or civilian employee	access to SCI	granting access ¹
2		assignment to a category one Presidential Support position	assignment
3		access to SIOP-ESI	granting access ¹
4		assignment to the National Security Agency	assignment ¹
5		access to any other Special Access programs	granting access ¹
6		assignment to personnel security, counterintelligence, or criminal investigation support duties	assignment ¹

¹ Do not request SBI if previous SBI is less than 5 years old, there has been no break in military service or DoD employment greater than 1 year, and there is no record of significant derogatory information since completion of the previous SBI.

Table D-3

RULE	GUIDE FOR REQUESTING PERIODIC REINVESTIGATIONS (PR)		
	A	B	C
1	If the individual is U.S. national military member or civilian employee	and duties involve access to SCI	then a PR is required to be submitted 4 years 9 months after date of last SBI or SBI/PR while assigned to an SCI position
2		assignment to Presidential Support activities	4 years 9 months after date of last BI/SBI ¹ or PR, while as- signed to position
3		assignment to a critical posi- tion in the PRP	before assignment to position, if prior investigation is 5 years old
4		assignment to a controlled position in the PRP	before assignment to position if prior ENTNAC/NAC/NACI is over 5 years old
5	U.S. national civilian employee	assignment to a Critical-sensi- tive position	at 5-year intervals after initial assignment
6	Non-U.S. national employee	current limited access to Secret or Confidential classified infor- mation	at 5-year intervals after having access

¹ According to whether subject is in category one or two position.

Table D-4

GUIDE FOR REQUESTING NATIONAL AGENCY CHECKS (NAC)			
RULE	A	B	C
	If the individual is a	and duties require	then a NAC is required
1	U.S. national military member or civilian employee	Secret clearance	before granting clearance (note 1)
2		Interim Top Secret	before granting interim clearance (note 2)
3		retention in the Armed Forces (including National Guard and Reserve)	to be initiated NLT three work days after entry (note 3)
4	reentering after break in military service or Federal employment exceeding 1 year		to be initiated NLT three work days after reentry
5	applicant for appointment as a commissioned officer	commission in the Armed Forces	before appointment (after appointment for health professionals, chaplains, and attorneys, under conditions authorized by paragraph 3-303 of this Regulation)
6	Naval Academy Midshipman, Military Academy Cadet, or Air Force Academy Cadet	enrollment	to be initiated 90 days after entry
7	Reserve Officer Training Corps Cadet or Midshipman	entry to advance course or College Scholarship Program	to be initiated 90 days after entry
8	nominee for military education and orientation program	education and orientation of military personnel	before performing duties
9	U.S. national military member or civilian employee	unescorted entry to areas defined in paragraph 2-501.a.	before authorizing entry
10	U.S. national military or civilian employee	occupying a controlled position in Nuclear Weapon PRP (reference (q))	before assignment
11	immigrant alien	interim Confidential clearance	before granting clearance
12	nonappropriated fund instrumentality (NAFI) employee (reference (s))	appointment as NAFI custodian	before appointment
13		accountability for nonappropriated funds	before completion of probationary period
14		fiscal responsibility as determined by NAFI custodian	
15	U.S. national civilian employee nominee for customs inspections	waiver under provisions of reference (t)	before appointment (note 4)
16	U.S. national Red Cross/United Service Organization personnel	assignment with the Armed Forces overseas	before assignment

- Notes: 1. NAC not required if individual has current ENTNAC.
 2. New NAC not required if prior NAC less than 12 months old.
 3. Request ENTNAC only.
 4. A NAC not over 5 years old suffices unless there has been a break in employment over 12 months. Then a current NAC is required.

Table D-4—Continued

GUIDE FOR REQUESTING NATIONAL AGENCY CHECKS (NAC)			
RULE	A	B	C
	If the individual is a	and duties require	then a NAC is required
17	U.S. national	DoD building pass	prior to issuance
18	Foreign national employed overseas	no access to classified information	prior to employment (note 5)

NOTES: 5. In such cases, the NAC shall consist of: (a) Host government law enforcement and security agency record checks at the city, state, (province), and national level, and (b) DCII.

APPENDIX E

REPORTING OF NONDEROGATORY CASES

BIs shall be reported as devoid of significant adverse information unless they contain information listed below:

1. Incidents, infractions, offenses, charges, citations, arrests, suspicion or allegations of illegal use or abuse of drugs or alcohol, theft or dishonesty, unreliability, irresponsibility, immaturity, instability or recklessness, the use of force, violence or weapons or actions that indicate disregard for the law due to multiplicity of minor infractions.

2. All indications of moral turpitude, homosexuality, heterosexual promiscuity, aberrant, deviate, or bizarre sexual conduct or behavior, tranvestitism, transsexualism, indecent exposure, rape, contributing to the delinquency of a minor, child molestation, wife-swapping, window peeping, and similar situations from whatever source. Unlisted full-time employment or education; full-time education or employment that cannot be verified by any reference or record source or that contains indications of falsified education or employment experience. Record or testimony of employment, education, or military service where the individual was involved in serious offenses or incidents that would reflect adversely on the honesty, reliability, trustworthiness, or stability of the individual.

3. Foreign travel, education, visits, correspondance, relatives, or contact with persons from or living in Communist-dominated countries or areas designated as terrorist-oriented only.

4. Mental, nervous, emotional, psychological, psychiatric, or character disorders/behavior or treatment reported or alleged from any source.

5. Excessive indebtedness, bad checks, financial difficulties or irresponsibility, unexplained affluence, bankruptcy, or evidence of living beyond the individual's means.

6. Any other significant information relating to the criteria included in a. through p. of paragraphs 2-200 of this Regulation.

APPENDIX F

PERSONNEL SECURITY DETERMINATION AUTHORITIES

A. Officials authorized to issue personnel security clearance (Top Secret, Secret, and Confidential):

1. Secretary of Defense and/or designees
2. Secretary of Army and/or designees
3. Secretary of Navy and/or designees
4. Secretary of Air Force and/or designees
5. Chairman, Joint Chiefs of Staff and/or designees
6. Directors of the Defense Agencies and/or designees
7. Commanders of the Unified and Specified Commands and/or designees
8. **Assistant Chief of Staff for Intelligence, HQDA and/or designees**
9. **Commander, US Army Central Personnel Security Clearance Facility and/or designees**

B. Officials authorized to grant Limited Access Authorizations:

1. Top Secret
 - a. Secretaries of the Military Departments
 - b. Deputy Under Secretary of Defense for Policy Review for OSD
 - c. Chairman, JCS for OJCS and Unified and Specified Commands
 - d. Directors of the Defense Agencies
2. Secret
 - a. Heads of Components and commanders of major commands designated by them
 - b. Commanders, Component centralized clearance facilities
 - c. **Assistant Chief of Staff for Intelligence, HQDA**
 - d. **Commander-in-Chief, US Army Europe and Seventh Army**
 - e. **Commander, Eighth United States Army**
 - f. **Commander, United States Army Japan**
 - g. **Commander, US Army Western Command**
 - h. **Commander, US Army Material Development and Readiness Command**
 - i. **Commander, US Army Communications Command**
 - j. **Commander, US Army Criminal Investigations Command**
 - k. **Commander, US Army Intelligence and Security Command**
 - l. **Commander, US Army Health Services Command**
 - m. **Commander, US Army Training and Doctrine Command**
 - n. **Commander, US Army Forces Command**
 - o. **Commander, US Army Military District of Washington**
 - p. **Commander, US Army Finance and Accounting Center**
 - q. **Commander, US Army Computer Systems Command**
 - r. **Commander, US Army Recruiting Command**
 - s. **Commander, Military Traffic Management Command**
 - t. **Commander, US Army Southern Command**
 - u. **Chief of Engineers, US Army**
 - v. **Chief, National Guard Bureau**
3. Confidential—Any of the officials authorized to issue Limited Access Authorization under 1. and 2. above.

C. Officials authorized to grant access to SCI:

Director, NSA—for NSA

Director, DIA—for OSD, OJCS, and Defense Agencies

Senior Intelligence Officers of the Army (**Assistant Chief of Staff for Intelligence, HQDA**), Navy, and Air Force and/or designees—for their respective Military Departments.

D. Officials authorized to certify personnel under their jurisdiction for access to

Restricted Data (to include Critical Nuclear Weapon Design Information): see enclosure to DoD Directive 5210.2 (AR 380-150)(reference (x)).

E. Officials authorized to approve personnel for assignment to Presidential Support activities: The Special Assistant to the Secretary and Deputy Secretary of Defense or designee.

F. Officials authorized to grant access to SIOP-ESI:

1. Director of Strategic Target Planning
2. Director, Joint Staff, OJCS
3. Chief of Staff, U.S. Army
4. Chief of Naval Operations
5. Chief of Staff, U.S. Air Force
6. Commandment of the Marine Corps
7. Commanders of Unified and Specified Commands
8. The authority to grant access delegated above may be further delegated in writing by the above officials to the appropriate subordinates.

G. Officials authorized to designate sensitive positions:

1. Heads of DoD components or their designees for critical-sensitive position:
 - a. **Under Secretary of the Army**
 - b. **Assistant Secretaries of the Army**
 - c. **Deputy Assistant Secretaries of the Army**
 - d. **Chief of Staff**
 - e. **Heads of DA Staff Agencies**
 - f. **Commander-in-Chief, US Army Europe and Seventh Army**
 - g. **Commander, Eighth United States Army**
 - h. **Commander, United States Army Japan**
 - i. **Commander, US Army Western Command**
 - j. **Commander, US Army Materiel Development and Readiness Command**
 - k. **Commander, US Army Communications Command**
 - l. **Commander, US Army Criminal Investigations Command**
 - m. **Commander, US Army Intelligence and Security Command**
 - n. **Commander, US Army Health Service Command**
 - o. **Commander, US Army Forces Command**
 - p. **Commander, US Army Training and Doctrine Command**
 - q. **Commander, US Army Military District of Washington**
 - r. **Commander, US Army Finance and Accounting Center**
 - s. **Commander, US Army Computer Systems Command**
 - t. **Commander, US Army Recruiting Command**
 - u. **Commander, Military Traffic Management Command**
 - v. **Commander, US Army Southern Command**
 - w. **Chief of Engineers, US Army**
 - x. **Chief, National Guard Bureau**

Note: These officials may redelegate this authority to subordinate commanders as deemed necessary.

2. **Organizational commanders for noncritical-sensitive positions.**

APPENDIX G

GUIDELINES FOR CONDUCTING PRENOMINATION PERSONAL INTERVIEWS

A. Purpose. The purpose of the personal interview is to assist in determining the acceptability of an individual for nomination and further processing for a position requiring access to SCI prior to requesting an SBI.

B. Scope. Questions asked during the course of a personal interview must have a relevance to a security determination. Care must be taken not to inject improper matters into the personal interview. For example, religious beliefs and affiliations, beliefs and opinions regarding racial matters, political beliefs and affiliations of a nonsubversive nature, opinions regarding the constitutionality of legislative policies, and affiliations with labor unions and fraternal organizations are not proper subjects for inquiry. Department of Defense representatives conducting personal interviews should always be prepared to explain the relevance of their inquiries. Adverse inferences shall not be drawn from the refusal of a person to answer questions the relevance of which has not been established.

C. The Interviewer. Except as prescribed in B. above, persons conducting personal interviews normally will have broad latitude in performing this essential and important function and, therefore, a high premium must necessarily be placed upon the exercise of good judgment and common sense. To insure that personal interviews are conducted in a manner that does not violate lawful civil and private rights or discourage lawful political activity in any of its forms, or intimidate free expression, it is necessary that interviewers have a keen and well-developed awareness of and respect for the rights of interviewees. Interviewers shall never offer an opinion as to the relevance or significance of information provided by the interviewee to eligibility for access to SCI. If explanation in this regard is required, the interviewer will indicate that the sole function of the interview is to obtain information and that the determination of relevance or significant to the individual's eligibility will be made by other designated officials. **The interview will be conducted by the commander of the nominating command/organization or by an official designated in writing (Deputy Commander, Executive Officer, Security Officer, Personnel Security Specialist, investigative personnel organic to the command, or US Army INSCOM personnel).** Unfavorable and/or questionable information developed through the personal interview will be detailed on DD Form 1879 in Item 20.

D. Interview Procedures

1. The Component concerned shall establish uni-

form procedures for conducting the interview that are designed to elicit information relevant to making a determination of whether the interviewee, on the basis of the interview and other locally available information (DD Form 398, Personnel Security Investigation Questionnaire, personnel records, security file, etc.), is considered acceptable for nomination and further processing, including the completion of an SBI for duties requiring access to SCI.

2. Such procedures shall be structured to insure the interviewee his full rights under the Constitution of the United States, the Privacy Act of 1974 (reference (k)), and other applicable statutes and regulations.

3. **Standard subject interview guidance is at Annex A of this appendix.**

4. **Types of questions considered improper or irrelevant during interviews are at Annex B of this appendix.**

E. Protection of Interview Results. All information developed during the course of the interview shall be maintained in personnel security channels and made available only to those authorities who have a need-to-know in connection with the processing of an individual's nomination for duties requiring access to SCI or those who need access to information either to conduct the required SBI or to adjudicate the matter of the interviewee's eligibility for access to SCI, or as otherwise authorized by Executive order or statute.

F. Acceptability Determination

1. The determination of the interviewee's acceptability for nomination for duties requiring sensitive information shall be made by the commander, or designee, of the DoD organization that is considering nominating the interviewee for such duties.

2. Criteria guidelines upon which the acceptability for nomination determination is to be based shall be provided to commanders of DoD organizations who may nominate individuals for access to SCI and shall be consistent with those established by the Senior Intelligence Officer of the Component concerned with respect to acceptability for nomination to duties requiring access to SCI.

3. **The following are situations in which the interviewee temporarily should not be nominated for duties requiring access to SCI:**

- (a) **The interviewee is currently enrolled in an Alcohol and/or Drug Abuse Prevention Program.**

- (b) **The interviewee is currently undergoing mental health evaluation, counseling, treatment or therapy.**

(c) The interviewee is currently in AWOL or deserter status, incarcerated, pending criminal charges or under any form of civil restraint.

4. If the interviewee is married to a foreign na-

tional, he or she is not normally eligible for nomination. Exceptions to this policy must be obtained from CCF before initiation of the SBI to DIS.

Annex A
STANDARD SUBJECT INTERVIEW GUIDANCE

Guidance for conducting the interview is furnished below. The interviewee will be advised that the interview is a necessary part of an investigation which has been requested in connection with his or her nomination for access to SCI. The following outline illustrates the basic questions which are directed at the interviewee during the course of a routine interview. It is impossible to provide a series of questions which would cover every situation. However, the basis for all questions is the interviewee's Statement of Personal History (DD Form 398), and order of the questions should follow those of the DD Form 398 in most instances. Questions concerning items of the DD Form 398 which are not specifically addressed below should center on completeness and accuracy of the information provided by the interviewee.

Items 1, 3, and 4 ("Name, Alias, and Address"). Explore the possibility of the use of an alias, nickname, or other use of a name other than subject's name as listed in Item 1. Any changes of name by court action or otherwise? —if so, obtain details. Any use of a professional or stage name? Has subject always been known by the name he or she listed in Item 1? Determine whether address is current or different from SPH (Item 4).

Item 5 (Date, Place of Birth, Place Certificate Recorded, Physical Appearance). Insure that there is no question as to subject's date and place of birth. Does subject have any scars, physical defects, or distinguishing marks? Determine origin of any scars if pertinent (for example, wrist scars—suicide attempt, other scars—fights).

Item 6 (Nervous Disorders, Drugs, Alcohol)
a. Mental, nervous, or emotional problems. Any consultations with psychiatrists, psychologists, or psychoanalysts? Any of the above by any member of subject's immediate family? If subject responds positively to the above, obtain details if the problem concerns subject himself or herself. The following should be covered under this heading: time frame of the illness, medication, extent of the treatment, complete identity of doctors or counselors, subject's symptoms, subject's explanation for the cause of the symptoms, subject's current mental and physical health. Also note:

(1) Any consultations with, treatment or analysis by a psychiatrist (military or civilian doctors, if subject is military).

(2) Any physical disorders predicated on mental, emotional, or nervous problems.

(3) Any member of family having history of such disorders.

(4) Any attempt at suicide (discretely, if indicated by answers to other questions).

b. Drugs. Any experimentation, use, or addiction to any narcotics, barbiturates, marijuana, LSD, or any dangerous or illegal drugs? Any use on the part of immediate members of subject's family? Has subject ever been present while someone was using the above drugs? If yes, determine the circumstances. If it appears more than an experimental use on subject's part, then terminate the interview for handling by appropriate authorities. If only experimental, determine drugs used, circumstances, possibility of other use, effect on subject, reason for subject's use, extent of knowledge as to the legality of use, and future intent regarding use. Any involvement on subject's part with the police because of the above? Obtain address of anyone who can substantiate subject's story. Illicit use on part of family and friends (follow up questions regarding use by friends only if indications that subject is susceptible to undue influence, or that subject's reputation might suffer as a result of such association).

c. Alcohol. Have subject describe his/her alcohol drinking habits and any problems associated with personal consumption of alcohol (for example, involvement with police, embarrassing situations, fights, marital difficulties). Any alcohol problems in subject's immediate family? If subject appears to have a problem with the use of alcohol, obtain details on the rate of consumption, behavior patterns, as well as unfavorable information associated with his or her drinking.

Item 8 (Military Service) Insure that all periods of active duty, to include discharge for reenlistment, are covered. If discharged other than honorably, obtain details. Also:

a. Verify dates and type(s) of discharge.

b. For enlisted personnel, enter in Item 8a the date of commencement of current tour. Each previous enlistment and/or tour of duty is listed consecutively in Item 8c, even though immediate reenlistment occurred after each tour.

c. Punishment under Article 15, UCMJ.

d. Subject is required to list all courts-martial in Item 18 regardless of length of time and changes in military law. If subject was acquitted by court martial, he or she still must list it.

e. Any unfavorable involvement with military law enforcement authority.

f. Has interviewee ever been the subject of investigations by military criminal or counterintel-

ligence agencies, except for routine security clearance investigations?

g. Any difficulties with military or civilian supervisors.

h. Any unfavorable action, such as written reprimands or unsatisfactory efficiency reports, which might be developed through review of permanent personnel records.

Item 11 (Relatives and Alien Friends in Foreign Countries). Does subject or spouse have any foreign relatives either living in the US or elsewhere? Be especially concerned if subject's or spouse's parents were born in a foreign country. Has subject ever heard that he or she has any foreign relatives? Has he or she ever written to any foreign relatives or met them? Does subject's spouse have any foreign friends? Be sure that subject understands what a friend is, and that he or she does not confuse this with an acquaintance or a coworker with whom there is no close friendship. Obtain identifying data to include full name, occupation, age, address, and citizenship of the person, extent of contact, and correspondence with the person. Obtain details particularly for any Communist-block national under this heading.

Item 12 (Foreign Travel). Insure that subject includes all foreign travel to include Mexico and Canada. Obtain full details regarding any travel within block (Communist controlled) countries; date, place, and method of entry and exit; contact with bloc nationals, before, during, and after travel; black market or other illegal activities; problems with police, customs, or passport officials; illnesses while in country; purpose for visits; or embarrassing, compromising, or questionable activities, while in the country. Has subject had any unfavorable involvement with police officers or passport authorities in any country? If married, obtain same details on spouse's activities.

Item 13 (Employment). Insure that subject lists all employers, particularly since leaving high school. Insure this includes part-time employment while in school or in the military. All periods of unemployment since high school should be indicated. Has subject had any difficulties with any employment, with employers, supervisors, or coworkers? Has subject been fired or asked to resign? Has subject ever applied for employment with another Federal agency or received any security processing? Has subject ever left an employment knowing he/she was going to be terminated for cause? Has subject owned any foreign property, bonds, stocks, foreign land and does subject have any foreign business connections? Has subject ever worked for any foreign government, company, organization, or person?

Item 14 (Credit and Character Reference). Has subject ever had any credit difficulties, to include bad checks, collections, repossessions, delinquent accounts, suits, judgments, bankruptcies or liens? Does subject pay his obligations on time? Does subject anticipate financial difficulties in the future? If subject's financial system requires it, obtain a complete and current financial status, to include income and expenses, with a listing to each creditor.

Item 15 (Residences). Insure that subject lists the actual place of residence during the last 15 years; in particular, insure that the actual residences while in the military are listed. Has subject ever experienced any difficulties with neighbors, landlords, roommates or members of the military with whom he or she has resided? Pay particular attention to single military personnel. Organization assigned to on post must be listed (for example, Hq and Hq Co. 100th Infantry Div., on post Ft. George). Ask if anyone would attempt to discredit subject in the course of a background investigation.

Item 16 (Membership in Organizations). Verify all organizations (one of the most neglected items on SPH: care must be taken). Disregard, however, routine religious affiliated activities or school athletic organizations. Insure that all organizations of which subject is, or has been a member are listed on SPH. In particular, question subject regarding any membership in foreign organizations. Insure that any apparently questionable organizations are discussed in detail with subject, and any connection or involvement with organizations which resort to illegal means to further their goals.

Item 17 (Communist, Fascist or Other Organizations). Has subject or any member of his/her family ever been a member of Communist, Fascist, or subversive organizations? Has subject ever knowingly associated with anyone whom, to the subject's knowledge, is a member of the above organizations? Has subject attended meetings of the above organizations, subscribed to their publications, or contributed to them? Has subject ever participated in any demonstration, either illegal or against the US Government? Check—

a. Membership in above or sympathetic association with.

b. Any type of involvement with any group, movement or combination or persons that advocate:

- (1) Violent overthrow of the US Government, or
- (2) Its unconstitutional altering.

c. Any contributions of time, money, or talent to any such organization.

d. Any actions in official capacity, such as agent, officer, or organizer.

e. Any participation in activities, such as meetings, rallies, distribution of handbills or leaflets, picketing, marches, and demonstrations.

f. Any past or present association with any persons, to include relatives, whom the subject has reason to believe may be engaged in some subversive activity.

g. Any incident or circumstances that could possibly reflect adversely on subject's loyalty to the US.

h. Any actions taken to hinder or prevent persons from exercising their rights under the US Constitution.

Item 18 (Criminal Proceeding/Law Enforcement Agencies). Has subject ever been arrested, detained, questioned, interrogated, held, or taken into custody by any law enforcement agency? Has subject ever appeared in court for any reason? Has subject ever been sued by anyone? Has subject ever received a traffic violation in which the total cost to him or her exceeded \$100? Insure that all unfavorable involvement of subject with law enforcement agencies as an adult or juvenile is covered. Insure that all Articles 15, Captain Mast, and Courts-Martial during any period of subject's military service are covered.

a. Check:

(1) Civilian Personnel

—arrested, detained, held, etc.

—defendant in civil or criminal court.

—traffic citations (although not required to list under \$100, subject may have numerous ci-

tations that show irresponsibility and disregard for the law.

—any reason why subject's name might appear in any police files.

(2) Military Personnel

—Same as above, plus the requirement to list in this section any military offenses developed from Item 8.

b. Ask subject to explain any incident or circumstances in his or her life that could—

(1) Make him or her vulnerable to coercion or blackmail.

(2) Place him or her in an embarrassing position where pressure could be brought to bear on him or her.

Item 19 (Incidents). Solicit information on any incident, condition, or other fact which might negatively impact on the subject's character, reliability, suitability, trustworthiness or loyalty. Examples are: homosexuality, bankruptcies, bad debts, omission of any material facts, dishonest conduct, etc.

Note: Before accomplishing the above, it is suggested that subject be given a short explanation of the scope and thoroughness of the SBI, and be made aware of the opportunity to explain any unfavorable incidents that, if found during the course of the SBI, could adversely affect final clearance action.

REGARDING ALL OF THE FOREGOING

a. If you receive a positive reaction to a question, explore it to the extent that you are satisfied that no additional information exists that could further enhance an understanding of the incident.

b. Remember to use and answer the six basic interrogatives: Who, What, When, Why, Where, and How, particularly in exploring difficult and important items.

Annex B
TYPES OF QUESTIONS REGARDED AS IMPROPER OR IRRELEVANT IN
SECURITY INVESTIGATIONS UNLESS RELEVANCY TO THE INVESTIGATION
IS ESTABLISHED

1. Religious Matters.
 - a. Do you believe in God?
 - b. What is your religious preference or affiliation?
 - c. Are you anti-Semitic, anti-Catholic or anti-Protestant?
 - d. Are you an atheist or an agnostic?
 - e. Do you believe in the doctrine of separation of church and state?
2. Racial Matters.
 - a. What are your views on racial matters, such as desegregation of public schools, hotels, or eating places?
 - b. Do you entertain members of other races in your home?
 - c. What are your views on racial intermarriage?
 - d. Do you believe one race is superior to another?
3. Personal and Domestic Matters.
 - a. How much income tax do you pay?
 - b. What is the source and size of your income?
 - c. What is your net worth?
 - d. What contributions do you make to political, charitable, religious, or civic organizations?
 - e. Describe any physical ailments or diseases you may have.
 - f. Do you have any serious marital or domestic problems?
 - g. Are you or have you been a member of a trade union?
 - h. Is there anything in your past life that you would not want your spouse to know?
 - i. Have you ever written letters to Senators or Congressmen expressing dissatisfaction with the military establishment?
 - j. Do you feel that you are a person that could be easily persuaded into doing things?
4. Political Matters.
 - a. In political matters do you consider yourself to be a liberal or a conservative?
 - b. Are you registered to vote in primary election?
 - c. Did you vote in the last national, state, or municipal election?
 - d. Are you a member of a political club or party?
 - e. Have you ever signed a political petition? Explain.
 - f. Do you write your Congressman or Senator about issues in which you are interested, or to obtain assistance?
 - g. What are your views regarding the decisions of the United States Supreme Court (for example, prayer in public schools, desegregation and Communist Party cases)?
 - h. What are your views on the constitutionality of proposed or existing legislation?
 - i. Do you favor one of the two major political parties in the United States?
 - j. Do you believe that the present system of Government in the United States is the ideal system for the American people?
 - k. What are your views on the possibility of disarmament in this day and age?
 - l. Do you believe that there is a possibility all countries could disband their Armed Forces?

APPENDIX H
COUNTRIES OFFICIALLY DESIGNATED AS
COMMUNIST-CONTROLLED

Albania

Cambodia

Bulgaria

Chinese People's Republic, including Tibet

Cuba

Czechoslovakia

German Democratic Republic

Berlin (East)

Hungary

Laos

North Korea

Outer Mongolia

Poland

Rumania

Soviet Union, including Estonia, Latvia, Lithuania, and all other constituent republics, Kurile Islands and South Sakhalin

Vietnam

Yugoslavia

APPENDIX I

ADJUDICATION GUIDELINES

INTRODUCTION

The attached guidelines have been developed to assist DoD personnel security adjudicators in making determinations with respect to an individual's eligibility for employment or retention in sensitive duties or access to classified information. While equity demands reasonable consistency in evaluating individual cases, the nature and complexities of human behavior preclude the development of a single formula that is equally applicable in every personnel security case. Accordingly, the guidelines are not intended nor should they be interpreted as being hard and inflexible rules of procedure. On the contrary, the guidelines are intentionally broad and general, demanding continued dependence on the adjudicator's sound judgement, mature thinking and careful analysis. Each case must be weighed on its own merits, taking into considerations all relevant factors, and prior experience in similar cases. Each adjudication is to be an overall commonsense determination based upon considerations and assessment of all available information, both favorable and unfavorable, with particular emphasis being placed on the seriousness, recency, and motivation for the individual's conduct; the extent to which conduct was voluntary and undertaken with knowledge of the circumstances involved; and, to the extent it can be estimated, the probability that conduct will or will not continue in the future. In all adjudications the protection of the national security shall be the paramount determinant. In the last analysis the final decision in each case must be arrived at by applying the standard that the issuance of the clearance or assignment to the sensitive position is "clearly consistent with the interests of national security."

Financial Irresponsibility

Basis: Failure to meet just and avoidable financial obligations voluntarily incurred.

Factors Which May be Considered in Determining Whether to Deny or Revoke Clearances:

1. History of bad debts and unmanageable indebtedness.
2. Recent bankruptcy with continuing financial problems.
3. Indebtedness aggravated or caused by gambling, alcohol, drug abuse, or mental or emotional defects.
4. A history or pattern of writing checks not covered by sufficient funds.
5. Unfavorable judgments, liens, or repossessions.
6. Deceit or deception, embezzlement, or change of address without advising creditors.
7. Applicant's indifference to financial obligations in the future.
8. Financial mismanagement or irresponsible expenditures that exceed income or other assets.

Mitigating Factors:

1. Systematic efforts to satisfy creditors.
2. Favorable change in financial habits.
3. Stable employment record and favorable references.
4. Circumstances beyond the individual's control contributing to indebtedness; e.g., major illness, debilitation, decrease or cutoff of income, and indebtedness due to court order.
5. Business-related bankruptcy.

Criminal Conduct

Basis: Any criminal violation of a federal, state, or local law.

Factors Which May be Considered in Determining Whether to Deny or Revoke Clearance:

1. Criminal conduct involving:
 - a. Force, coercion, or intimidation.
 - b. Firearms or explosives.
 - c. Dishonesty or false statements.
 - d. Obstruction or corruption of government functions.
 - e. Deprivation of civil rights.
 - f. Violence against persons or property.
2. Criminal conduct punishable by confinement for 1 year or more.
3. An established pattern of criminal conduct.
4. Failure to complete a rehabilitation program resulting from disposition of a criminal proceeding.
5. Criminal conduct that is so recent in time as to preclude a determination that recurrence is unlikely.
6. Close and continuing association with persons known to be involved in criminal activities.
7. Criminal conduct indicative of a serious mental aberration, lack of remorse, or insufficient probability of rehabilitative success.
8. Disposition
 - a. Conviction.
 - b. Disposition on a legal issue not going to the merits of the crime.
 - c. Arrest or indictment pending trial.
9. Arrest record. In evaluating an arrest record, information that indicates that the individual was acquitted, that the charges were dropped or the subject of a stet or nolle prosequi, that the record was expunged, or that the case was dismissed due to error not going to the merit does not necessarily negate the security significance of the indictment. Personnel security determinations are to be made on the basis of all available information concerning a person's conduct and actions rather than the legal outcome of a criminal proceeding.

Mitigating Factors:

1. Immaturity of the individual at the time of offense.
2. Extenuating circumstances of the offense.
3. Circumstances indicating that the actual offense was less serious than the offense charged.
4. Isolated nature of the conduct.
5. Conduct occurring in the distant past (such as, more than 5 years in the past) in the absence of subsequent criminal conduct.
6. Transitory condition contributing to the conduct (such as, divorce action, death in the family) in the absence of subsequent criminal conduct.

Sexual Misconduct

Basis: Sexual behavior that makes applicable the guidance for criminal misconduct or mental or emotional illness, or which indicates that the applicant may be subjected to coercion, pressure, or influence to act contrary to the interests of the United States or which suggests recklessness, irresponsibility, or poor judgement.

Factors Which May be Considered in Determining Whether to Deny or Revoke Clearance:

1. The misconduct has been recent or frequent.
2. The applicant indicated explicitly or implicitly an intention to repeat the misconduct.

- 3. The applicant appears to be susceptible to blackmail.
- 5. The misconduct involves:
 - a. Open or public behavior;
 - b. A person under the age of 18;
 - c. Inducement or coercion by force or intimidation of another person;
 - d. Prostitution;
 - e. Sexual harrassment.

Mitigating Factors:

- 1. Sexual misconduct on a limited number of occasions during or preceding adolescence, with no evidence of subsequent misconduct, and clear indication that the individual has no intention of participating in sexual misconduct in the future.
- 2. Activity occurred more than 3 years ago.
- 3. Subject does not appear to be susceptible to blackmail.
- 4. The applicant was a minor involved in an incestuous relationship.

Mental or Emotional Illness

Basis: An abnormal mental condition that may cause a significant defect in the judgment or reliability of the individual concerned.

Factors Which May be Considered in Determining Whether to Deny or Revoke

Clearances:

- 1. Conduct reflecting abnormal behavior indicative of mental illness even though there is no confirming medical history.
- 2. Refusal by the individual concerned to furnish medical information or to allow medical information to be obtained for the purpose of determining the significance of bizarre behavior or conduct.
- 3. Documented spouse or child abuse.
- 4. Diagnosis by competent medical authority that an earlier incapacitating medical illness is of a type that has a high incidence of recurrence even though the individual concerned currently manifests no symptoms of mental or emotional illness.

Mitigating Factors:

- 1. No evidence of a psychotic condition for the past 20 years, a serious or disabling neurotic disorder for the past 10 years, or serious character or personality disorder for the past 10 years.
- 2. Medical records and physicians interview reflect that the person's illness or condition has not caused a significant defect in judgement or reliability.
- 3. The factor(s) causing the mental conditions have been rectified.
- 4. Testimony of medical authority that continued maintenance of prescribed medication is likely to preclude recurrence of a condition effecting a significant defect in judgment or reliability.

Hostage and Foreign Countries

Basis: An applicant who has immediate family members or other persons to whom he or she is bonded by affection or obligation residing in a communist country or other countries currently hostile to the United States. These countries are of two categories:

Category I. Countries which, based on current assessment of the U.S. Intelligence Community, possess an intelligence organization with a demonstrated capability of recruiting and exploiting U.S. personnel for intelligence purposes.

Category II. Countries which, although having national intelligence objectives inimical to the United States do not have the capability of exploiting U.S. personnel for intelligence purposes or have not undertaken to target U.S. personnel for such purposes.

Factors Which May be Considered in Determining Whether to Deny or Revoke Clearance:

1. Residence of a member of immediate family or a person to whom the individual is bound by affection or obligation in a Category I country.
2. Travel, correspondence, or financial aid to Category I and II countries on a regular basis without satisfactory explanation.
3. Dating or cohabiting with a foreign national from Category I country.

Mitigating Factors:

1. Individual has a member of his or her immediate family or person to whom they are bound by affection or obligation in a Category II country.
2. Individual's personal or financial interest in the U.S. appears sufficient to counter any potential pressure that might be brought to bear, such as home owner with strong civic and community ties.

Subversive Activity

Basis: Unlawfully advocating or practicing the commission of acts of force or violence to either prevent others from exercising their rights under the Constitution or laws of the United States, or to overthrow or alter the form of Government of the United States by unconstitutional means. Knowing membership with the specific intent of furthering the aims of, or adherence to and active participation in, any foreign or domestic organization, movement, group, or combination of persons that support the above-cited activities.

Factors Which May be Considered in Determining Whether to Deny or Revoke Clearance:

1. Organization is one which has been characterized by the Department of Justice as one which meets the above-cited criteria.
2. Participation in acts that involve force or violence to prevent others from exercising their rights under the Constitution or to overthrow or alter the form of government of the United States.
3. Monetary contributions, service, or other support of the organization with the intent of furthering the unlawful objectives of the organization.
4. Deliberate misrepresentation of association with the organization.
5. Evidence of continuing sympathy with the unlawful aims and objectives of the organization.
6. Holding a position of major doctrinal or managerial influence in the organization.

Mitigating Factors:

1. Lack of understanding of the unlawful aims or objectives of the organization.
2. Staleness of affiliation or activity.
3. Temporary affiliation out of curiosity or academic interest.
4. Sympathy or support limited to the stated, lawful objectives of the organization.
5. Immaturity at the time of conduct.

Alcohol Abuse

Basis: The consumption of alcohol on an episodic or recurring basis that results in impairment of the individual's ability to perform assigned duties or to adequately safeguard classified information.

Factors Which May be Considered in Determining Whether to Deny or Revoke Clearance:

1. Use of alcohol which results in behavior that adversely affects a person's judgement, reliability or discretion.

2. Repeated alcohol-related incidents.
3. Alcohol consumption resulting in the deterioration of the individual's physical health, as determined by competent medical authority.

Mitigating Factors:

1. Successfully undergoing recognized treatment program or completion of such a program.
2. Individual has discontinued alcohol abuse for at least 2 years.

Drug Abuse

Basis: The illegal or improper use of any psychoactive substance to include any narcotic,¹ dangerous drug² or Cannabis³.

Factors Which May be Considered in Determining Whether to Deny or Revoke Clearance:

1. Experimental abuse⁴ of any narcotic or dangerous drug within the past 12 months.
2. Occasional abuse⁵ of any narcotic or dangerous drug within the last 3 years.
3. Regular abuse⁶ or addiction⁷ to any narcotic or dangerous drug within the last 5 years.
4. Regular abuse of Cannabis within the last 12 months.
5. Illegal trafficking, cultivation, processing, manufacturing, sale, distribution or purchase of any narcotic, dangerous drug, or Cannabis whether or not the individual was arrested for such activity.
6. Information that the individual intends to continue to use (regardless of frequency) any narcotic, dangerous drug, or Cannabis.

Mitigating Factors:

1. Individual has abstained from the illegal or improper use of any narcotic or dangerous drug for the least 3 years and:
 - a. Appears to have a stable lifestyle, including a satisfactory employment record; and
 - b. States that he or she will not use narcotics or dangerous drugs in the future.
2. Experimental abuse of narcotics or dangerous drugs occurred more than 12 months ago, there is no subsequent indication of drug abuse, and the individual has stated intention not to abuse such drugs in the future.
3. Abuse of Cannabis occurred more than 12 months ago and the individual has indicated intention not to use or possess Cannabis in the future.
4. Experimental or occasional abuse of Cannabis within the past 12 months provided the individual has:
 - a. Not evidenced any indications of physical¹ or psychological dependence²;

¹ Narcotic. Opium and opium derivatives or synthetic substitutes.

² Dangerous Drugs. Any of the nonnarcotic drugs which are habit forming or have a potential for abuse because of their stimulant, depressant, or hallucinogenic effect.

³ Cannabis. The intoxicating products of the hemp plant, Cannabis Sativa, including but not limited to marihuana, hashish and hashish oil.

⁴ Experimental Abuse. Abuse occurring not more than a few times for reasons of curiosity, peer pressure, or other similar reasons.

⁵ Occasional Abuse. Recurrent but infrequent abuse of drugs; no consistent pattern of drug abuse.

⁶ Regular Abuse. Drug abuse on a frequent recurrent basis to the point of habituation.

⁷ Addiction. Psychological or physical dependency to the point of compulsive use.

¹ Psychological Dependency. The craving for the pleasurable mental or emotional effects of a psychoactive substance and the desire for this drug-induced state in preference to the normal state such that repeated use is seen as necessary for well-being.

² Physical Dependence. The adaptive alteration in the body produced by the prolonged use of a psychoactive substance, which results in withdrawal symptoms when the substance's use is stopped.

- b. Has had not more than one drug-related arrest within the past 2 years;
and
c. Has a stable lifestyle, including a satisfactory employment record.

Security Violations

Basis: Failure to comply with policies and procedures established for the purpose of safeguarding classified information.

Factors Which May be Considered in Determining Whether to Deny or Revoke

Clearance:

1. Intentional disclosure of classified information to unauthorized persons.
2. Deliberate disregard of security regulations which results in the compromise of classified information.
3. Recent deliberate violations of security regulations, such as taking classified information home or carrying classified while in travel status without proper authorization.
4. Nondeliberate security violations which indicate a pattern of negligence or carelessness.

Mitigating Factors:

1. Violation of security procedures was caused or contributed to by an improper or inadequate security briefing.
2. Individual is personally responsible for a large volume of classified information and the violation was administrative in nature, such as inaccurate entry on document log or certificate of destruction.

APPENDIX J
(TO BE PUBLISHED)

APPENDIX K

DEFENSE SECURITY BRIEFING PROVIDED US GOVERNMENT EMPLOYEES TRAVELING TO COMMUNIST-CONTROLLED COUNTRIES

INTRODUCTION

All U.S. Government employees, regardless of position or assignment, are likely to be of interest to intelligence services of Communist-controlled countries. Hostile Intelligence networks make it their business to learn the identities of Americans, and frequently attempt to target them for intelligence approaches when they travel abroad. The approach may be direct or indirect, highly sophisticated, or crudely obvious. In any case, U.S. personnel traveling to Communist-controlled countries should be constantly alert to the problems that can befall them. The purpose of this briefing is to make employees aware of the pitfalls associated with such travel, and to advise them on defensive measures against hostile intelligence exploitation.

PRIOR TO DEPARTURE

1. The Bureau of Consular Affairs, U.S. Department of State, frequently publishes advisory material on current travel conditions in Communist-controlled countries. This material should be available through your agency and you should carefully review any such information covering the country(s) you will be visiting. It is especially important that you are aware of the items which may or may not be taken into the country(s) to be visited.

2. Visa applications are routinely scrutinized by intelligence services of Communist countries. In order to avoid possible difficulties in this area, it is important that you complete the forms truthfully and accurately. It is especially important that you name any relatives that you intend to visit in the host country.

3. When obtaining visas, travelers should ask the appropriate Consular officer how much foreign currency (United States and other) and what valuables may be taken into and out of the Communist country(s) to be visited. Make sure you have enough money for the trip, and strictly follow the approved itinerary. You may not import local currency into the country(s) to be visited.

4. If you are a naturalized American citizen of East European origin, note carefully: There have been instances in which an East European country has not recognized the U.S. citizenship of former nationals, and has taken the position that such persons retain their original nationality and are therefore subject to treatment as citizens of that country upon reentry into its jurisdiction. If you have a problem for this reason, consult first with the U.S. Department of State for advice and clarification of your status.

5. You may wish to carry with you gifts for friends or relatives. Items to be carried as gifts should be neither controversial nor prohibited. Do not bring pornography, narcotics, or political material. Communist pornography laws are far stricter than those in the United States, and you should avoid taking with you magazines or other materials that might be considered pornographic. Any patent medicines or prescription drugs should be clearly for your own use and in reasonable quantities to convince authorities that they are for your personal consumption.

6. Do not carry with you, on behalf of a third party, any letters, messages, or packages for private individuals in Communist countries. You may be deemed guilty of circumventing normal channels of communication, or you may be regarded as a courier for illegal or subversive purposes.

7. Carry only essential forms of identification. Leave Government badges, building passes, etc., at home. Write down your passport number and keep it separate from your passport. Do the same with the address and telephone number of the American Embassy.

8. **DO NOT TAKE THIS DOCUMENT WITH YOU!** Study it; think about it; and remember its warnings during your visit. But leave the document at home.

UPON ARRIVAL

1. Rules governing declarations of valuables and currency and those relating to transactions are strictly enforced. An accurate declaration should be made at entry of all money and valuables, including travelers checks. Some countries give the traveler a copy of the declaration which must be surrendered upon leaving. It is important to keep receipts of all money changes, as these are frequently requested upon departure. Undeclared sums of U.S. or other currency is likely to cause difficulty with authorities and may be confiscated upon departure.

2. You will generally be permitted to take in such items as cameras, transistor radios, etc. It is wise to declare such items as you enter, however, to preclude possible explanations, customs charges, or confiscations when you leave. Baggage inspections may be extremely thorough or only perfunctory. On occasion, your baggage may not even be opened at entry.

3. As soon as possible after arrival, it is recommended that you contact the American Embassy or Consulate, either by telephone or in person, and provide your local address and the probable length of your visit.

4. It is unwise for you to drive yourself in a Communist country. Try to use public transportation or hire a driver, as local traffic regulations may be confusing. There have been incidents where traffic accidents were deliberately provoked to incriminate or embarrass a visitor.

ACTIVITIES WHILE IN COMMUNIST COUNTRIES

1. Assume that your hotel room is equipped with devices to overhear or record your conversations. There may be devices installed through which you can be physically observed, even while your room is in darkness. In addition to the usual microphones, telephone tapes, miniature recording devices, etc., intelligence operatives today use infrared cameras, infrared "snooper-scopes" and optical lenses, closed circuit TV, and other highly advanced equipment. Do not search for such devices, and do not make an issue of it if you should by chance find one. The presence of such equipment may not necessarily be significant as concerns you. The device may or may not be monitored during your visit, or it may be monitored only on a spot-check basis. Do not try to neutralize such devices by running tap water, playing your radio, etc. Some modern devices are so sophisticated that they cannot be neutralized. Overt efforts on your part to combat such penetration will only make you more suspicious to the intelligence service. The best defense against such devices is the abstinence from other than light, uninformative discussions.

IMPORTANT: Should you discover any device of the above kind, take no overt action against it. Continue your normal conversation giving no indication you have discovered it, and report your findings to the U.S. Embassy, Consulate or to your security officer upon your return.

2. Beyond your hotel room, you should assume that conversations in vehicles (including embassy vehicles), train compartments, restaurants, conference rooms and other public places, may be monitored. Miniature microphones with transmitters or recorders can easily be secreted on the

person of an individual in your group. It is even technically possible to record your conversations in open, outdoor areas; however, those areas are normally more secure than indoor locations.

3. Avoid unnecessary discussions concerning your job, your work place and other official matters. Also avoid discussing other U.S. employees' habits, character, or other matters which reveal weaknesses or idiosyncrasies.

4. Assume that your personal luggage will be searched at some time in your hotel room. If you discover evidence of this, do not make a big issue of it. Positive evidence of such activity however, should be reported to the U.S. Embassy and your security officer upon your return. It is just as well not to bother locking your luggage, as most locks will be readily picked. This will only increase the curiosity of the intelligence agent and the lock may be broken. Never leave your luggage unattended containing valuable papers or documents you do not wish anyone else to read. If you surprise someone searching your possessions, don't take any violent or physical action, but report the incident to local and U.S. authorities.

5. You may receive a "wrong number" or otherwise mysterious telephone calls in the hotel room at any hour of the day or in the middle of the night. Do not let this unduly upset you. It may be a crude but effective method of determining whether or not you are in your room. It may be only a result of poor telephone service.

6. Do not rely on hotel employees for protection service. In these countries, you should assume that chamber maids, elevator operators and hotel employees, as well as waiters or the maitre d' in restaurants are in the employ of the intelligence services. Be particularly circumspect in your relations with guides, interpreters, and Communist travel agency personnel as these people are invariably used by intelligence agencies.

7. You may be placed under physical surveillance as to travel either on foot or vehicle. You may suspect you are being observed when actually you are not. In either event, the best tactic is to ignore it. Communist intelligence agents at various times observe visitors on a spot-check basis for no apparent reason. On the other hand, they may be collecting detailed data concerning your activities in preparation for a more direct intelligence approach. Do not attempt to lose the surveillance. If you are actually being followed for intelligence objectives, you will be covered by a team of several agents, and your evasion attempts will make you more suspicious.

8. You will be permitted to take photographs with your personal camera, but be careful not to photograph restricted areas. Travelers should refrain from taking photographs from aircraft, photographing military and police installations and personnel, industrial structures, harbor, rail and airport facilities, and border areas. Communist countries also resent your photographing items which put them in a bad light, such as slum areas, public drunks, scenes of civil disorder or other public disturbances. If you do take such photographs, your film may be confiscated.

9. Be particularly circumspect in approaches which may be made offering social companionship, especially of a sexual nature. Many of these persons are "plants" of Communist intelligence agencies and will offer themselves attractively for the purpose of getting you in a compromising situation which will be followed by a blackmail threat to force your cooperation in intelligence activities. Under no circumstances should you seek or accept this kind of social companionship in a Communist country. The intelligence services are fully aware of the possibilities inherent in human frailties, and will capitalize immediately upon any indication of immoral or indiscreet behavior of American travelers. Even when failing to detect a vulnerability, Communist agents have attempted entrapment of innocent travelers. For this reason, you should maintain the highest level of personal behavior

at all times, avoid long walks at night alone, and endeavor to always be in the company of someone you can trust. Be especially careful to stay well within your capacity for alcohol so as not to weaken your defense or lose your self-control.

10. Do not accept from anyone (including friends, relatives or professional contacts) letters, photographs, packages or any other material to be smuggled out of the country or carried in your effects when you depart. Be firm in your denials in these matters, as such requests may be acts of intelligence provocation to entrap you.

11. Bear in mind that there are many political, cultural and legal differences between the U.S. and Communist countries. Actions which are innocent or, at worst, carry wrist-slapping penalties in the U.S., are often considered serious offenses against the law in Communist-dominated societies. Persons violating the law, even unknowingly, run the risk of arrest or expulsion. Do not, for instance, take souvenirs from hotels or institutions, however insignificant in value they may appear.

12. Do not engage in any private currency transactions with individual citizens. Do not try to sell or trade any personal item, including clothing, which you have brought into the country, or purchase bargains from street peddlers or questionable vendors. Do not engage in blackmarket activities. Many Communist countries have laws governing exportation of art work and historic relics. Be familiar with these laws if you intend to purchase such items, and make these purchases only at official establishments.

13. Should you be detained or arrested for any reason by police or other officials of these countries, be cooperative, but insist promptly, politely, and repeatedly, if necessary, that the U.S. Embassy or Consulate be notified. Do not make any statements or sign any documents you do not fully understand, until you have had an opportunity to confer with an embassy representative. You may possibly be accused of having some connection with an American intelligence service, or of having accepted an assignment by such service to be carried out in the host country. You should make no admission whatever indicating you have even had any dealings, under any circumstances, with any U.S. intelligence agency.

14. Mail which you receive or transmit is subject to censorship in a Communist country. In all mail you write prior to, during, or after your visit to a Communist country, make no reference to classified information nor reveal information of possible value to a hostile intelligence service. Be careful in writing to or about relatives or friends in these countries, as they may become targets for investigation or exploitation.

15. There have been several incidents in Communist countries wherein speech-inducing drugs, medicines, etc., have been used for the purpose of aiding in interrogation. In nonemergency situations, every effort should be made to avoid Communist hospitals or medical facilities without first having notified the U.S. Embassy or Consulate.

16. Report immediately any action which might form the basis of pressure or compromise, or any attempt to pressure or compromise you, to the American Embassy (security officer) in the country being visited, and also to your Security Manager immediately upon your return to your job. Also report any unusual subsequent contacts with Communist country nationals.

We have discussed above many, but not necessarily all, pitfalls which may befall an American traveler. New espionage techniques and tactics are constantly being developed, and the highest degree of alertness is necessary at all times. While the techniques employed by Communist countries' intelligence services seem far-fetched, illicit, or taken from "spy novels", they are in fact used in day-to-day activities and operations. Although these techniques are revolting to an American, one must nevertheless recognize them

as a part of the Communist system, in order that he or she may successfully counter such practices.

Well, so much for the dark side of the picture. All of these things had to be said so you could be forewarned of the possibilities. Now for the probabilities: You probably will not be entrapped by Communist intelligence services, and you probably will not have any problems if you respect local laws and customs, be honest in your dealings and behave discreetly. You can expect friendly treatment from most of the citizens with whom you come in contact, and you will find that they are very interested in all aspects of American life. You can therefore serve as a valuable goodwill ambassador for the U.S., while you enjoy the interesting and innocent features of the country(s) you visit. Be open to this experience, have a good trip and come home safely.

APPENDIX L
DETAILED INSTRUCTIONS FOR COMPLETING
DD FORM 398
PERSONNEL SECURITY QUESTIONNAIRE
(BI/SBI)

(These instructions apply to the new DD Form 398 (Mar 81). Previous DD Form 398 may be used until the supply is exhausted. Instructions for the previous DD Form 398 are at paragraph M, appendix C.)

SPECIAL INSTRUCTIONS FOR PERIODIC REINVESTIGATION (BI OR SBI). If you have previously been the subject of a Background Investigation (BI) or Special Background Investigation (SBI), you may, if you have a copy of the previously submitted DD Form 398 that can be forwarded along with this form, complete the form as follows:

Complete items 1. a. and 3.

For all items, enter only changes or additions that have occurred since the date of completion of the DD Form 398 used for conducting the prior investigation.

Enter "N/C" (No Change) in each item where no new entry is required. In item 18, "Remarks," enter the following certificate: I HEREBY CERTIFY THAT THE ABOVE ENTRIES ARE COMPLETE AND CORRECT TO THE BEST OF MY KNOWLEDGE AND INDICATE ANY AND ALL CHANGES THAT HAVE OCCURRED SINCE (DATE OF PREVIOUS 398 SUBMITTED WITH REQUEST FOR INVESTIGATION).

If you do not have a copy of the previously completed DD Form 398, then current form must be completed in accordance with the following detailed Instructions.

Item	Detailed Instructions
1. Name*	<p>List you name in the following order:</p> <p>a. Last name, first name, and middle name. Names should agree with military or civilian employment records; if not, explain in Item 18 (Remarks).</p> <p>(1) If no middle name, enter "NMN."</p> <p>(2) If name consists of initial(s) only, enter the appropriate initial(s) followed by "IO."</p> <p>Include additional designations such as Jr., Sr., II, (2nd), III, (3rd) when applicable.</p> <p>b. List maiden names (if applicable).</p>
2. Aliases	<p>List any other names by which you are or have been known. Include former names, changes in name, nicknames, or variant spellings used. If the name has changed, explain why, when, and where the change took place in Item 18 (Remarks). Also include the inclusive dates any other name was used.</p>
3. Social Security Number*	<p>Self-explanatory.</p>

*Indicates standard data elements registered in the DOD Data Elements Program under DOD 5000.12-M.

Item	Detailed Instructions
4. Date of Birth*	Give the year, month, day of your birth using the last two digits of the year, a two digit number for the month, and a two digit number for the day (for example, 1 August 1944 would be entered as 44-08-01).
5. Place of Birth*	List your place of birth in the following order: <ol style="list-style-type: none"> a. City. (Do not abbreviate.) b. County. (Do not abbreviate.) c. State. (Use two-letter abbreviation for the State.) d. Country (if other than U.S.). (Do not abbreviate.)
6. Civilian or Military Status*	Check either.
a. Civilian, or	If civilian and employed by the Federal Government, enter appropriate grade. If civilian and not employed by the Federal Government, enter "N/A." If military, enter appropriate pay grade.
b. Military.	
c. Grade.*	
d. Branch of Service.*	
7. Identifying Data	
a. Sex.*	Enter "Male" or "Female."
b. Race.	Red (American Indian) Yellow (Asian/Mongoloid) Black (Negroid or African) White (Caucasoid) Other Unknown
c. Height.	Enter height in feet and inches.
d. Weight.	Enter weight in pounds.
e. Color of Hair.	Complete as appropriate.
f. Color of Eyes.	Complete as appropriate.
8. Citizenship Status	
a. U.S. citizen, or	Check either.
b. Alien.	
If U.S. citizen:	
c. Native	Check either "yes" or "no."
d. Naturalization Certificate Number.	If naturalized, provide Naturalization Certificate number.
e. Derived Citizenship.	If citizenship is derived, list the certificate number(s) of parent(s), from whom citizenship is derived.
f. Date.	List date naturalization or derived citizenship certificate was issued.

*Indicates standard data elements registered in the DOD Data Elements Program under DOD 5000.12-M.

Item	Detailed Instructions
8. Citizenship Status— Continued	
g. Place.	List city and state where naturalization or derived citizenship certificate is recorded.
h. Court.	List the name of the court where naturalization or derived citizenship certificate is recorded.
i. Registration Number.	List alien registration number.
j. Current Citizenship.	List the country of which you are currently a citizen.
k. Date of Entry.	List date you entered the United States.
l. Port of Entry.	List the city and state where you entered the United States.
m. Form I-151 Number	If admitted into the United States for permanent residence, list Form I-151 number.
9. Former Military Service	Indicate each period of enlistment or extended active duty from which a discharge certificate of service was received even though you may have been ordered back to active duty the next day. If service was with foreign armed forces, identify the foreign country in Item 18 (Remarks). Officers who have had prior enlisted or warrant service or who have been integrated into regular status will include the applicable information in this item. Reserve or National Guard service will be shown in this item.
a. From.*	Enter date service began.
b. To.*	Enter date service ended. (If currently on active duty, enter "Present" for the latest entry and appropriate ending dates for all other periods of service.)
c. Branch.*	List the branch of service.
d. Rank.*	List the rank as of the date of discharge from each period of service.
e. Service Number(s).*	If you entered the U.S. Armed Forces after January 1970, the service number is the same as the Social Security Number. If you entered the U.S. Armed Forces before January 1970, but did not receive your discharge until after January 1970, enter both your Social Security Number and your original service number.
f. Type of Discharge.	Self-explanatory.
10. Family/Associates	List father, mother, spouse, and children. Also list guardians, stepparents, foster parents, brothers and sisters, stepbrothers and stepsisters, and other relatives or friends to whom you are bound by affec-

*Indicates standard data elements registered in the DOD Data Elements Program under DOD 5000.12-M.

Item	Detailed Instructions
10. Family/Associates— Continued	
a. Relationship and Name.*	tion or obligation, if such persons are residing in or are citizens of any foreign country.
b. Date of Birth.*	Enter the person's relationship to you on the top line, if not already provided on the form. On the second line, enter the person's name. Include maiden name of mother and spouse (if applicable).
c. Place of Birth.*	Provide date of birth for all persons listed in terms of year, month, and day using the last two digits of the year, a two digit number for the month and a two digit number for the day (for example, 1 August 1944 would be entered as 44-08-01).
d. Address.*	List city and state or country (if other than the U.S.).
e. Citizenship.*	Provide the current address of each person listed (If person listed is deceased, enter "Deceased.")
11. Residences	Enter citizenship of each person listed.
For BI.	List all places of residence during the last 5 years in chronological order beginning with the current address.
For SBI	List all places of residence during the last 15 years in chronological order beginning with the current address. If any period of residence was overseas, provide in Item 18 (Remarks), the names and addresses of two persons (preferably currently living in the U.S.) who can verify the period of overseas residence through personal knowledge.
For BI or SBI	If you are under 21, list residences for the past 3 years or since your 16th birthday, which ever is the shorter period.
a. Dates.*	Give the inclusive dates for each period of residence.
b. Number and Street.*	DO NOT list a permanent mailing address or family residence in this item unless you actually resided at the address during the period listed. Furnish residence address in local community or on base/installation while in military service. If the residence was on a military installation, include the complete on-base address, to include barracks or house number. List the actual place of residence while attending school. DO NOT list merely the name of the school or "On Campus" as a place of residence. If you give a metropolitan address, list the borough or suburb.

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Item	Detailed Instructions
11. Residence—Continued	
c. City.*	Do not abbreviate.
d. State.*	Use two-letter abbreviation for the state.
e. Country.*	Do not abbreviate.
f. Zip Code.*	Self-explanatory.
12. Duty or Employment Organization For BI.	List in chronological order beginning with the present, each period of employment (to include part-time employment and unemployment) during the last 5 years.
For SBI	List in chronological order beginning with the present, each period of employment (to include part-time employment) during the last 15 years. If any period of employment was overseas, list in Item 18 (Remarks), the names and addresses of two persons (preferably currently living in the U.S.) who can verify the period of overseas employment through personal knowledge. Persons listed in Item 11 to verify residences may also be used to verify employment.
For BI or SBI.	If unemployed and not attending school full time during any period, list the name and current address of a person who can verify your activities during the unemployment period in Item 18 (Remarks).
a. Dates.*	Provide the inclusive dates for each period of employment, part-time employment, and unemployment.
b. Name* of Employer.	Military personnel should identify each unit, organization, or station to which assigned during the required reporting period (last 5 years for BI and last 15 years for SBI). If self-employed during any period, list the name and address of the business. If any period of employment was for a temporary help supplier, list only the temporary help supplier as the employer, even though work may have been performed at different locations with client companies using the temporary help supplier's service. If employed through a union hiring hall, list firms by which employed. DO NOT list the union as an employer unless the salary was, in fact, paid by the union.
c. Address.*	Provide the address for each employment listed. If any period of employment was in a large metropolitan area (for example, New York, Chicago, or Los Angeles), include the borough or suburb. If employed

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Item	Detailed Instructions
12. Duty or Employment Organization— Continued	by a large manufacturing concern (for example, Chrysler or General Motors Corporation in Detroit, Michigan), give the specific name and address of the plant where employed.
d. Name* of Immediate Supervisor	List last name, first name, and middle name.
13. Federal Service-Foreign Travel-Foreign Connections	
a. Federal Service.	List in Item 18 (Remarks) the inclusive dates of service, name, and address of last organization. If already listed in Item 12, indicate "See Item 12."
b. Foreign Travel. For BI.	List in Item 18 (Remarks), all periods of foreign travel in the last 5 years.
For SBI.	List in Item 18 (Remarks), all periods of foreign travel in the last 15 years.
For BI or SBI.	Travel connected with the U.S. Government should be identified as such. List inclusive dates of travel for each country visited and the purpose of the travel. Travel in cities or countries divided into free world and Communist-oriented parts will indicate in which part the travel was performed.
c. Foreign Connections.	In Item 18 (Remarks), explain the nature and extent of foreign business connections and property interest. If employed by or acted as a consultant, identify the foreign government, firm, or agency, and describe the nature of employment or relationship.
14. Marital Status	
a.	Check appropriate block.
b. Name(s) of Former spouses.	Check appropriate block. If divorced, list name of any and all former spouses.
c. Date(s)* of Prior Marriage(s).	Self-explanatory
d. Place*	List the city and state where married.
e. Date* of Divorce	Self-explanatory.
f. Court.	Provide the identity of the court where divorce was granted.
g. Location.*	List the city and state where divorce was granted.
15. Education For BI.	List in chronological order, beginning with the last school attended, all full-time at-

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Item	Detailed Instructions
15. Education—Continued	<p>tendance at colleges, universities and/or service academies during the last 5 years. High school need not be listed unless it was the last school attended in the last 5 years.</p> <p>For SBI. List in chronological order, beginning with the last school attended, all full-time attendance at colleges, universities, and/or service academies during the last 15 years. High school need not be listed unless it was the last school attended in the last 15 years. When education occurred overseas, except under the auspices of the U.S. Government, list the names and addresses of two persons preferably residing in the U.S., who can verify the period of foreign education through personal knowledge. The same references listed to verify residence (Item 11) or employment (Item 12) may be listed to verify education.</p> <p>a. Dates.* List the inclusive dates for each period of education</p> <p>b. Name of School Self-explanatory.</p> <p>c. Address.* Provide number and street, city, and state or country. If located in a large metropolitan area (for example, New York, Chicago, or Los Angeles), indicate borough or suburb.</p> <p>d. Major. Self-explanatory.</p> <p>e. Degree Use appropriate abbreviation (for example, B.A., B.S., etc.) when applicable.</p>
16. Credit References	<p>List three persons and/or firms that have extended credit to you during the past 5 years. DO NOT include relatives, former employers, or persons living outside the United States. If bona fide credit references cannot be furnished, list a school where tuition was paid, or any store, gasoline station, automobile dealer, repair shop, life insurance company, doctor, lawyer, etc., where cash was paid for services or goods and who has knowledge or records of the financial transaction.</p> <p>a. Name.* Self-explanatory.</p> <p>b. Account number. If listing company, business, credit card, etc., provide account number.</p> <p>c. Number and Street.* When listing a mail order company, list billing address.</p> <p>d. City.* Self-explanatory.</p> <p>e. State.* Use two-letter abbreviation for the state.</p> <p>f. Zip Code.* Self-explanatory.</p>

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Item	Detailed Instructions
17. Character References	
For BI	List 5 good friends, co-workers, colleagues, classmates, etc., whose total association with you covers the last 5 years of your life or the period since your 16th birthday, whichever is the shorter period.
For SBI.	List 5 good friends, co-workers, colleagues, classmates, etc., whose total association with you covers the last 15 years of your life or the period since your 16th birthday, whichever is the shorter period.
For BI or SBI.	Each person listed must be some one who knows you well. DO NOT include relatives, former employers, or persons residing outside the United States.
a. Name.*	List last name, first name, and middle initial of each reference.
b. From.	List the inclusive periods of association with each reference by years (for example. From: 77 To: 79) Give current complete address of each reference as follows. If available, list both the home address and business address and telephone numbers for each. If any reference is located in a large metropolitan area (for example, New York, Chicago, or Los Angeles), indicate the borough or suburb. For a rural or Star Route address, give complete instructions for locating the address from the nearest town or post office (for example, Star Route, Jackson County, 5 miles south of Grass Lake, Michigan, on Highway 31, turn left on Parma Road, proceed 1½ miles to third white house on right side of the road).
d. Number and Street.*	Self-explanatory.
e. City.	Do not abbreviate.
f. State.	Use two-letter abbreviation for the State.
g. Zip code.	Self-explanatory.
	Note: Military references may be listed if their present military grade, organization, and address are known.
18. Remarks	Use this space for the continuation of those items where insufficient space was provided. If necessary, attach additional sheets for a full detailed statement.
19. Organizations	List all organizations, except those referred to in b, below, in which you hold or have held membership.
a. i. Name*	Provide the full name of the organization (do not use initials or abbreviations).
ii. Address*	List number and street, city, and state or country, if other than the U.S.

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Item	Detailed Instructions
19. Organizations— Continued	
iii. Type	Identify the type of organization, e.g., social, fraternal, etc.
iv. From	Provide the inclusive dates of membership in terms of year and month using the last two digits of the year and a two digit number for the month, e.g., October 1979 would be entered as 79-10.
v. To	
b.	Check either "Yes" or "No" for each question. If "Yes" is checked, list in Item 18 (Remarks) the full name of the organization (do not use initials or abbreviations) and describe the association. If necessary, attached additional sheets for a full detailed statement. Include dates, places and offices, positions, or credentials now or formerly held. If associations have been with individuals who are members of the described organizations, then list the individuals and the organization with which they were or are affiliated.
20.a. and b. Drug Abuse.	Attached is a list of those drugs which have been designated as controlled substances (Annex A, app L). If you illegally used, purchased, possessed, or sold any of these drugs, your response should be affirmative and should identify the particular substance used and/or trafficked.
20.c. and d. Medical.	Response regarding medical matters must identify the primary physicians, therapists, and counsellors who treated you and state if the treatment is continuing or when it was completed. Response should also identify dates, places, and names of institutions or agencies involved.
20.e. Bankruptcy	In the case of bankruptcy, give the date and court where judgment was made.
21. Arrests	Check either "Yes" or "No" for each question in this item. If "Yes" is checked, provide the following clarifying information: Self-explanatory.
a. Date.*	
b. Nature of Offense.	Any action that resulted in the placement of your name on a police or court record (give docket number or indictment number, if known) must be listed including any action committed while still a juvenile or if you were considered a "Juvenile Offender." List all Article 15, UCMJ, or Captains Mast if they resulted in fines, restrictions, demotions, etc.

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Item	Detailed Instructions
21. —Continued	
c. Name and Address of Court	List the name of the court on the top line and its address (city or county, and state), on the second line.
d. Penalty Imposed or other Disposition in each case	Self explanatory. When in doubt as to the necessity for listing information in this item, it is recommended that incidents be listed to preclude future questions regarding omissions from the form.

ANNEX A
LISTING OF DRUGS DESIGNATED AS CONTROLLED
SUBSTANCES

DRUGS	OFTEN PRESCRIBED BRAND NAMES
NARCOTICS	
Opium	Dover's Powder, Paregoric
Morphine	Morphine
Codeine	Codeine
Heroin	None
Heperidine (Pethidine)	Demerol, Pethadol
Methadon	Dolophine, Methadone, Methadose
Other Narcotics	Dilaudid, Leritine Numorphan, Percodan
DEPRESSANTS	
Chloral Hydrate	Noctec, Somnos
Barbiturates	Amytal, Butisol, Nembutal, Phenobarbital, Seconal, Tuinal
Glutethimide	Doriden
Methaqualone	Optimil, Parest, Quaalude, Somnafac Sopor
Tranquilizers	Equanil, Librium, Miltown, Serax, Tran- xene, Valium
OTHER DEPRESSANTS	
	Clonopin, Dalmane, Dormate, Noludar, Placydil, Valmid
STIMULANTS	
Cocaine	Cocaine
Amphetamines	Benzedine, Biphedamine, Desoxyn, Dexedrine
Phenemetrazine	Preludin
Methylphenidate	Ritalin
Other Stimulants	Barcarate, Cylert, Didrex, Ionamin, Plegine, Pondimin, Pre-State, Sanorex, Voranil
HALLUCINOGENS	
LSD	None
Mecaline	None
Psilocybin-Psilocyn	None
MDA	None
PCP	Sernylan
Other Hallucinogens	None
CANNABIS	
Marijuana	None
Hashish	None
Hashish Oil	None

APPENDIX M
DETAILED INSTRUCTIONS FOR COMPLETION OF
DD FORM 398-2
PERSONNEL SECURITY QUESTIONNAIRE
(NATIONAL AGENCY CHECK)

(This form replaces DD Form 1584. Supplies of DD Form 1584 may be used until exhausted. Instructions for completing DD Form 1584 are at paragraph L, app C.)

Item	Detailed Instructions
1. Name*	<p>List your name in the following order:</p> <p>a. Last name, first name, and middle name. Names should agree with military or civilian employment records, if not, explain in an attached sheet of plain white paper.</p> <p>b. If no middle name, enter "NMN."</p> <p>c. If name consists of initial(s) only, enter the appropriate initial(s) only. Enter the appropriate initial(s) followed by "(10)." Include additional designations such as Jr., Sr., II, (2nd), III, (3rd, when applicable.</p> <p>d. List maiden name (if applicable).</p>
2. Aliases	<p>List any other names by which you are or have been known. Include former names, changes in names, nicknames, or variant spellings used. If the name has changed, explain why, when, and where the change took place in an attached sheet of white paper. Also provide the inclusive dates any other name was used.</p>
3. Sex*	<p>Enter "Male" or "Female."</p>
4. Social Security Number*	<p>Self-explanatory.</p>
5. Date of Birth*	<p>Give the year, month, and day of your birth using the last two digits of the year, a two digit number for the month, and a two digit number for the day (for example, 1 August 1944 would be entered as 44-08-01.</p>
6. Place of Birth*	<p>List your place of birth in the following order:</p> <p>a. City. Do not abbreviate.</p> <p>b. County. Do not abbreviate.</p> <p>c. State. Use two-letter abbreviation for the state.</p> <p>d. Country (if other than the US). Do not abbreviate.</p>

* Indicates standard data elements registered in the DoD Data Element Program under DoD 5000.12-M.

Item	Detailed Instructions
7. Civilian or Military Status	Check either:
a. Civilian, or	
b. Military.	
c. Grade.*	If civilian and employed by the Federal Government, enter appropriate grade. If civilian and not employed by the Federal Government, enter "N/A." If military, enter appropriate pay grade.
d. Branch of Service.*	If military, place an "X" by the appropriate branch of service.
8. Citizenship Status	Check either:
a. U.S. citizen, or	
b. Alien.	
If U.S. citizen:	
c. Native.	Check either "yes" or "no."
d. Naturalization Certificate Number.	If naturalized, provide naturalization certificate number.
e. Derived Citizenship.	If citizenship is derived, list the certificate number(s) of parent(s) from whom citizenship is derived.
f. Date.	List date naturalization or derived citizenship certificate was issued.
g. Place.	List city and state where naturalization or derived citizenship is recorded.
h. Court.	List the name of the court where naturalization or derived citizenship is recorded.
i. Registration Number.	List alien registration number.
j. Current Citizenship.	List the country of which you are currently a citizen.
k. Date of Entry.	List date you entered the United States.
l. Port of Entry.	List the city and state where you entered the United States.
m. Form I-151 Number.	If admitted into the United States for permanent residence, list Form I-151 number.
9. Former Military Service	Indicate each period of enlistment or extended active duty from which a discharge certificate of service was received even though you may have been ordered back to active duty the next day. If service was with foreign armed forces, identify the foreign country in an attached sheet of plain white paper. Officers who have had prior enlisted or warrant service or who have been integrated into regular status will include the applicable information in this item. Reserve or National Guard service will be shown in this item.
a. From.*	Enter date service began.
b. To.*	Enter date service ended. (If currently on active duty, enter "Present" for the latest

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Item	Detailed Instructions
	entry and appropriate ending dates for all other periods of service.)
c. Branch.*	List the branch of service.
d. Rank.*	List rank as of the date of discharge from each period of service.
e. Service Numbers(s).*	If you entered the U.S. Armed Forces after January 1970, the service number is the same as the Social Security Number. If you entered the U.S. Armed Forces before 1970, but did not receive your discharge until after January 1970, enter both your Social Security Number and your original service number.
f. Type of Discharge.	Self-explanatory.
10. Family/Associates	List father, mother, spouse, and children. Also list guardians, stepparents, foster parents, brother and sisters, stepbrothers and stepsisters, and other relatives or friends to whom you are bound by affection or obligation, if such persons are residing in or are citizens of any foreign country.
a. Relationship and name.*	Enter the person's relationship to you if not already provided on the form. Enter the person's name. Include maiden name of mother and spouse (if applicable).
b. Date of Birth.*	Provide date of birth for all persons listed in terms of year, month, and day using the last two digits of the year, a two digit number for the month and a two digit number for the day (for example, 1 August 1944 would be entered as 44-08-01).
c. Place of Birth.*	List city and state or country (if other than the U.S.).
d. Address.*	Provide current address of each person listed. (If the person listed is deceased, enter "Deceased")
e. Citizenship.*	Enter citizenship of each person listed.
11. Residences	List all places of residence during the last 5 years in chronological order beginning with the current address. If you are under 21, list residences for the past 3 years or since your 16th birthday, whichever is the shorter period.
a. Dates.*	Give the inclusive dates for each period of residence.
b. Number and Street.*	Do Not list a permanent mailing address or family residence in this item unless you actually resided at the address during the period listed. Furnish residence address in local community or on base/installation

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Item	Detailed Instructions
	while in military service. If the residence was on a military installation include barracks or house number. List the actual place of residence while attending school. Do Not list merely the name of the school or "On Campus" as a place of residence. If you give a metropolitan address, list the borough or suburb.
c. City.*	Do not abbreviate.
d. State.*	Use two-letter abbreviation for the state.
e. Country.*	Do not abbreviate.
f. Zip code.*	Self-explanatory.
12. Duty or Employment Organization	List in chronological order beginning with the present, each period of employment (to include part-time employment and unemployment) during the last 5 years. If under 21, list each period for the last 3 years or since your 16th birthday, whichever is the shorter period. If unemployed and not attending school full-time during any period, list the name and current address of a person who can verify your activities during the unemployment period on an attached sheet of plain white paper.
a. Dates.*	Provide the inclusive dates for each period of employment, part-time employment, and unemployment.
b. Name* of Employer.	Military personnel should identify each unit, organization, or station to which assigned during the most recent 5-year period. If self-employed during any period, list the name and address of the business. If any period of employment was for a temporary help supplier, list only the temporary help supplier as the employer, even though work may have been performed at different locations with client companies using the temporary help supplier's services. If employed through a union hiring hall, list firms by which employed. Do Not list union as an employer unless the salary was, in fact, paid by the union.
c. Address.*	Provide the address for each employment listed. If any period of employment was in a large metropolitan area (for example, New York, Chicago, or Los Angeles), include the borough or suburb. If employed by a large manufacturing concern (for example, Chrysler or General Motors Corporation in Detroit, Michigan), give the specific name and address of the plant where employed.

* Indicates standard data elements registered in the DoD Data Element Program under DoD 5000.12-M.

Item	Detailed Instructions
d. Name* of Immediate Supervisor.	List last name, first name, and middle initial.
13. Federal Service- Foreign Travel- Foreign Connections	
a. Federal Service.	List on an attached sheet of plain white paper, the inclusive dates of service, name and address of last organization. If already listed in item 12, indicate "See Item 12."
b. Foreign Travel.	List on an attached sheet of plain white paper, all periods of foreign travel in the last 5 years. Travel connected with the U.S. Government should be identified as such. List inclusive dates of travel for each country visited and the purpose of the travel. Travel in cities or countries divided into free world and Communist-oriented parts will indicate in which part the travel was performed.
c. Foreign Connections.	On an attached sheet of plain white paper, explain the nature and extent of foreign interests. If employed by or acted as a consultant, identify the foreign government, firm, or agency, and describe the nature of employment or relationship. If this information has already been provided in response to Item 12, indicate "See Item 12."
14. Arrests	
a. Date.*	Check either "Yes" or "No" for each question in this term. If "Yes" is checked, provide the following clarifying information: Self-explanatory.
b. Nature of Offenses.	Any action that resulted in the placement of your name on a police or court record (give docket number, if known) must be listed including any act committed while still a juvenile or if you were considered a "Juvenile Offender." List all Article 15, UCMJ, or Captains Mast if they resulted in fines, restrictions, demotions, etc.
c. Name and Address of Police Agency.	List of the name of the police agency on the top line and its address (city or county and state), on the second line.
d. Name and Address of Court	List the name of the court on the top line and its address (city or county and state), on the second line.
e. Penalty Imposed or Other Disposition in each case	Self-explanatory. When in doubt as to the necessity for listing information in this item, it is recommended that incidents be listed to preclude future questions regarding omissions from the form.

* Indicates standard data elements registered in the DoD Data Element Program under DoD 5000.12-M.

Item	Detailed Instructions
15. Medical/Financial	If "Yes" is answered to any of the questions, describe the circumstances in an attached piece of plain white paper. Provide a full detailed statement.
a. and b. Drug Abuse.	Attached is a listing of those drugs which have been designated as controlled substances. If you illegally used, purchased, possessed, or sold any of these drugs, your response should be affirmative and should identify the particular substance used and/or trafficked.
c. and d. Medical.	Response regarding medical matters must identify the primary physicians, therapists, and counsellors who treated you and state if the treatment is continuing or when it was completed. Response should also include dates, places, and names of institutions or agencies involved.
e. Bankruptcy.	In the case of bankruptcy, give the date and court where judgement was made.
16. Organizations	
a. List all organizations, except those referred to in b below, in which you hold or have held membership.	
i. Name.*	Provide the full name of the organization. DO NOT use initials or abbreviations.
ii. Address.*	List number and street, city, and state or country, if other than the U.S.
iii.	Identify the type of organization (for example, social, fraternal, etc.).
iv. From.	Provide the inclusive dates of membership in terms of year and month using the last two digits of the year and a two digit number for the month (for example, October 1979 would be entered as 79-01).
	b. Check either "Yes" or "No" for each question. If "Yes" is checked, list on an attached sheet of paper the full name of the organization (Do not use initials or abbreviations) and describe the circumstances of your membership or association. Provide a full detailed statement to include dates, places, and offices, positions or credentials now or formerly held. If associations have been with individuals who are members of the described organizations, then list the individuals and the organizations with which they were or are affiliated.

The proponent of this regulation is the Office of the Assistant Chief of Staff for Intelligence. Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to publications and Blank Forms) directly to HQDA (DAMI-CIS), WASH DC 20310.

By Order of the Secretary of the Army:

Official:

ROBERT M. JOYCE
Major General, United States Army
The Adjutant General

JOHN A. WICKHAM, JR.
General, United States Army
Chief of Staff

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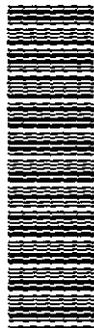
USAR—A



Annex A
LISTING OF DRUGS DESIGNATED AS CONTROLLED
SUBSTANCES

DRUGS	OFTEN PRESCRIBED BRAND NAMES
NARCOTICS	
Opium	Dover's Powder, Paregoric
Morphine	Morphine
Codeine	Codeine
Heroin	None
Heperidine (Pethidine)	Demerol, Pethadol
Methadone	Dolophine, Methadone, Methadose
Other Narcotics	Dilaudid, Leritine Numorphan, Perodan
DEPRESSANTS	
Chloral Hydrate	Noctec, Somnos
Barbiturates	Amytal, Butisol, Nembutal, Phenobarbital, Seconal, Tuinal
Glutethimide	Doriden
Methaqualone	Optimil, Parest, Quaalude, Somnafac Sopor
Tranquilizers	Equanil, Librium, Miltown, Serax, Tran- xene, Valium
OTHER DEPRESSANTS	Clonopin, Dalmane, Dormate, Noludar, Placydil, Valmid
STIMULANTS	
Cocaine	Cocaine
Amphetamines	Benzedine, Biphetamine, Desoxyn, Dexe- drine
Phenemetrazine	Preludin
Methylphenidate	Ritalin
Other Stimulants	Barcarate, Cylert, Didrex, Ionamin, Plegine, Pondimin, Pre-State, Sanorex, Voranil
HALLUCINOGENS	
LSD	None
Mecaline	None
Psilocybin-Psilocyn	None
MDA	None
PCP	Sernylan
Other Hallucinogens	None
CANNABIS	
Marijuana	None
Hashish	None
Hashish Oil	None

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