

## Security PERSONNEL SECURITY

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**Summary.** This regulation contains personnel security procedures and describes required forms, as well as the proper methods of preparing and submitting the forms.

**Applicability.** This regulation applies to Headquarters, U.S. Army Reserve Command (USARC), all Major U.S. Army Reserve Commands (MUSARCs), U.S. Army Reserve (USAR) units, and USARC security teams. This regulation impacts on unit readiness and mobilization. Local reproduction is authorized.

**Supplementation.** Supplementation of this regulation is prohibited without prior approval from Commander, USARC, ATTN: AFRC-IN, 3800 North Camp Creek Parkway SW, Atlanta, GA 30331-5099.

**Interim changes.** Interim changes to this regulation are not official unless authenticated by the Deputy Chief of Staff, Information Management (DCSIM). Users will destroy interim changes on their expiration date unless superseded or rescinded.

Distribution: A +, USARC DCSINT Security Teams

**Suggested improvements.** The proponent of this regulation is the Deputy Chief of Staff, Intelligence (DCSINT). Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) directly to the Commander, USARC, ATTN: AFRC-IN, 3800 North Camp Creek Parkway SW, Atlanta, GA 30331-5099.

FOR THE COMMANDER:

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### Glossary

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#### 1. Purpose

This regulation prescribes USAR responsibilities, policies, and procedures regarding personnel security. It is to be used as an aid in the proper preparation and submission of requests for personnel security investigations and clearances. This regulation must be used in conjunction with the required references listed in appendix A, as the situation dictates.

#### 2. References

Required and related publications and forms are listed in appendix A.

#### 3. Explanation of abbreviations and terms

Abbreviations and special terms used in this regulation are explained in the glossary.

#### 4. Responsibilities

a. Directors/Chiefs of USARC general and special staff agencies, and commanders at all levels will ensure that all persons who have access to classified information are properly cleared and have a need-to-know.

b. Regional security teams of the USARC Deputy Chief of Staff for Intelligence will:

(1) Process all security clearance actions submitted by USAR units within their respective geographical areas. Appendix B provides a listing of all USARC security teams, their addresses, and the states for which they are responsible.

(2) Train office/activity personnel in their security responsibilities.

(3) Review personnel security investigation (PSI) packages.

(4) Request additional investigations or information.

(5) Report derogatory information to the Central Clearance Facility (CCF).

(6) Grant interim clearances or suspend access when appropriate.

(7) Implement CCF actions/determinations.

(8) Conduct a continuous evaluation program.

c. Each MUSARC and unit commander will designate an individual to be the security manager for his/her activity.

d. Security managers at all levels will:

(1) Conduct initial processing of all security clearance actions for military and civilian personnel at USAR units.

(2) Provide required security briefings and debriefings.

(3) Report to the CCF, **through the appropriate USARC security team**, any derogatory information concerning cleared or uncleared personnel at his/her unit.

(4) Submit all PSI requests through the appropriate security team.

(5) Provide proper foreign travel briefings for the personnel of their units.

(6) Ensure that personnel receive an annual briefing on subversion and espionage directed against the U.S. Army (SAEDA).

#### 5. Requesting investigations

a. After determining the designation of position sensitivity, security managers must be able to identify the type of investigation necessary to accomplish the activity mission and ensure that the individual under their jurisdiction needs the investigation. Investigations for security clearance eligibility should be limited to those instances where an individual is to perform sensitive duties or has a clear need for access to classified information. Guidance and criteria for determining the appropriate type of investigation required for an individual are provided at appendix C.

b. In order for the PSI process to work effectively, the requesting activity must ensure that requests for initial

investigation are submitted sufficiently in advance of the time the security clearance is required to allow for the completion of the investigation and a security clearance determination. **Investigative requests are to be submitted from the unit security manager directly to the proper regional security team.** Security teams will send requests for additional information on PSI packets directly to units, with information copies to the proper MUSARC, if necessary.

#### 6. Civilian employees

a. Each civilian position within the DOD shall be categorized with respect to security sensitivity as NONSENSITIVE, NONCRITICAL-SENSITIVE, OR CRITICAL-SENSITIVE.

b. In accordance with the OPM Federal Personnel Manual, the Civilian Personnel Office (CPO) shall request a NACI not later than 3 working days after a person is appointed to a nonsensitive position.

c. Only civilians occupying sensitive positions listed on Civilian Personnel Position Sensitivity Rosters will be processed for security clearances. Requests for TOP SECRET clearances for civilian employees will be initiated by the security manager and forwarded directly to the regional security team. Security managers will initiate requests for final SECRET clearances for civilian employees by using DA Form 5247-R. Evidence of a favorably completed investigation conducted while a person served in the military is acceptable for appointment to a noncritical-sensitive or critical-sensitive position if: the person has had continuous federal service without a break exceeding 24 months since the last investigation, and the required investigation (NACI or SSBI) is initiated.

d. Civilians being newly hired, promoted, or appointed to sensitive positions are required to be the subject of a preappointment investigation required by AR 380-67. This investigation is part of the personnel suitability program, which is a process for assuring that the appointment and continued employment of each person in the competitive service of the Government will promote the efficiency of the service. The required preappointment suitability investigations are:

(1) For Noncritical-Sensitive positions (requires access to CONFIDENTIAL or SECRET information) -- a NACI shall be requested and NAC portion favorably completed before appointment.

(2) For Critical-Sensitive positions (requires access to TOP SECRET information) -- an SSBI shall be favorably completed prior to appointment. Inasmuch as an SSBI is of greater scope, a NACI will not be requested from OPM if an SSBI for employment in a critical-sensitive position is requested from DIS, or if a valid SSBI (BI/SBI previous to December 1991) exists.

e. Individuals being appointed to nonsensitive positions will have their investigative paperwork completed as part of their inprocessing. The security manager and supervisor will coordinate with the appropriate civilian personnel office to determine eligibility for employment.

f. Security managers should review SF 85 and SF 86 to ensure accuracy of forms, request the required investigation in accordance with the sensitivity roster, and monitor the investigation and clearance processes. (This is usually done at the MUSARC level.)

g. AR 380-67, chapter 3, outlines the provisions whereby the preappointment investigative requirement may be waived in certain cases. Signature authority to approve exceptions for appointment to noncritical-sensitive and critical-sensitive positions is vested in the Deputy Chief of Staff for Intelligence, and is delegated to the chief of the appropriate security team.

h. Requests for waiver of preappointment investigative requirements for appointment to noncritical-sensitive and critical-sensitive positions must be submitted over the signature of the unit commander or agency head to the appropriate regional security team.

## 7. Clearance/investigation processing

a. Review of records. Once the security manager determines that an individual requires access to classified information, he/she must conduct a records review.

(1) Personnel file.

(a) Does the individual have an SF 312 or SF 189 in the file? If not, have that individual fill out an SF 312.

(b) Does the individual have a valid computer-generated DA Form 873 from CCF? If the DA Form 873 on file is not computer generated by CCF, it is invalid, but an outdated Form 873 can serve as proof of an investigation. Does that DA Form 873 show a clearance/investigation adequate to the requirements of the position to which the individual is being assigned? If no DA Form 873 is in the record, look for evidence of the completion or initiation of an investigation (DIS Form 1, or copy of DD Form 1879/398/398-2).

(c) If an invalid 873 is on file in the personnel file, attach the original (invalid) 873 to a completed DA Form 5247-R and forward to your regional security team.

(2) Medical file. After the personnel file has been checked, if it contains no unfavorable information, the medical record screen must be requested. If any unfavorable information is found, appropriate action must be taken. A complete local records check, to include screening of medical records, must be accomplished prior to requesting a final or interim security clearance.

(3) Other records. Check criminal records of base security, provost marshall, and/or local police.

b. DA Form 5247-R. (**Submit DA Form 5247-R before submitting any request for security investigation!**)

(1) If there is no DA Form 873 in the personnel file, submit DA Form 5247-R through your USARC Regional Security Team to the CCF to determine whether the individual has a clearance or a previously completed investigation upon which a clearance may be granted. When requesting a DA Form 873 from CCF, submit proof of prior investigation, if such proof can be found in the individual's personnel file, along with the DA Form 5247-R. The unit security manager will put the

appropriate security team's address in block 1 and the team's UIC in block 3 (see app B for addresses and UICs). The unit address should be given in the Remarks section (block 14). Do not submit a request for investigation until you receive a response to your DA Form 5247-R.

(2) Common errors/omissions in completing the DA Form 5247 are:

(a) Item 10: You must list the document examined to verify U.S. citizenship; the only documents authorized to verify citizenship are those listed in AR 380-67, appendix B, paragraph B-4d.

(b) Item 12: Failure to list Federal Service Date or listing an incorrect date. Please refer to paragraph 1-306.1, AR 380-67, for information regarding federal service. This item must be completed; CCF will not process your request if this information is omitted. Ensure that you enter the correct date.

## 8. Actions by CCF

a. The CCF will respond to requests received on DA Form 5247-R in approximately 45-60 days. Security managers will receive either a DA Form 873 or a PCCF-O Fm 1 (a form used by CCF for communicating with security managers, and commonly referred to as a "green mailer").

(1) DA Form 873.

(a) A computer-generated DA Form 873 issued by CCF is the only valid 873, with the exception of one issued by a regional security team for an interim clearance.

(b) Copies of DA Form 873 will not be provided to the subject or released to anyone outside your organization. A xeroxed copy of a DA Form 873 is not proof of clearance for any other agency; it may be used only as a local access roster, or when communicating with CCF or a regional security team.

(2) Green Mailer (PCCF-O Fm 1).

(a) The green mailer will communicate one of several messages (e.g., the mailer might request additional information or forms which CCF requires before a clearance determination can be made, or the green mailer might indicate a "no record" and state that a request for investigation must be submitted.) The response "insufficient to grant the clearance required" indicates the investigation on record is outdated, incomplete, or of insufficient scope to grant the level of clearance you have requested. Each of these responses will require that security managers submit a complete packet (PSI forms and fingerprint cards) requesting the required investigation.

(b) The regional security team may request on the green mailer itself that security managers return the mailer with any resubmission you may make as a result of the instructions you receive from CCF.

## 9. Obtaining an interim clearance

An individual's commander can request an interim clearance (SECRET or TOP SECRET) on an emergency basis. The individual must have met the investigative requirements of AR 380-67, or a PSI request must already

have been submitted to DIS. A request for interim clearance will be forwarded by memorandum containing specific justification. If any derogatory information concerning the individual is known to his/her commander, that commander will not request an interim clearance.

**10. Periodic reinvestigations (PRs)**

Six months prior to the expiration of an individual's clearance, the unit security manager will inform that person of the need to fill out the paperwork for a PR. The expiration date of a TOP SECRET clearance is 5 years from the date of the investigation reflected on the DA Form 873. For a SECRET clearance, the expiration date is 15 years from the investigation date on the Form 873. The unit security manager will forward an individual's TOP SECRET PR paperwork no more than 3 months prior to the clearance expiration date. SECRET PR paperwork will be submitted no more than 1 month in advance. If a clearance is no longer required, or if an individual's clearance is to be downgraded from TOP SECRET to SECRET (or from SECRET to CONFIDENTIAL), the security manager will complete a DA Form 5247-R to that effect, and will forward it and the original DA Form 873 through the appropriate regional security team to the CCF. If an individual refuses to submit the required PR paperwork, that person's access will be suspended as of the clearance expiration date, and it is possible that the person will be removed from his/her position.

**11. Submission of PSI packets**

- a. The forms listed in table 1 must be submitted to the appropriate regional security team (see app B) for processing of the applicable PSI or PR.
- b. Each SSBI or SSBI-PR requested for SCI access must contain a prenomination interview conducted in accordance with AR 380-67, appendix G. If the interview disclosed no unfavorable information, an entry to that

effect will be made in Block 10 of the DD Form 1879. If any unfavorable information is disclosed, it will be fully explored during the interview and reported on the back of the DD Form 1879.

- c. Common errors in completing various PSI forms are listed in appendix C.

**12. Briefings**

The commander shall establish procedures whereby persons requiring access to classified information, or being assigned to positions which require the occupants to be determined trustworthy, are periodically briefed concerning their security responsibilities. The initial, refresher, foreign travel, and termination briefings provide security education on security responsibilities to persons requiring access to classified information or assigned to sensitive duties. See AR 380-67, Section 2.

**13. Mobilization**

Personnel security mobilization requirements for Reserve Components are contained in Forces Command Mobilization and Deployment Planning System (FORMDEPS), Volume III, Part 3 (Unit Commander's Handbook). During inspections, the personnel security requirements will be reviewed.

**14. Access roster**

- a. Security managers must maintain a current roster (manual or automated) of PSI and clearance information so they can easily verify the clearance status of each individual. Access authorization will be based on duty or position requirements, and may be lower than that reflected on the individual's DA Form 873. All personnel granted access will appear on the access roster. The roster can be in any form, but must contain the following information:

**Table 1. Required PSI forms by investigation type**

Form Required	NAC	SSBI	SECRET-PR
Request for Personnel Security Investigation (DD Form 1879)	-	Original +3 copies	-
Personnel Security Questionnaire (DD Form 398)	-	Original + 5 copies (single-sided)	-
National Agency Questionnaire (DD Form 398-2)	Original +1 copy	Original +1 copy * ----- (all copies single-sided) -----	Original +5 copies
Fingerprint Card (FD Form 258)	One	Two	One
DA Form 5247-R	One		One
* (For spouse, co-habitant, or foreign-born immediate family members - fill out only items 1-8, minus item 7.)			

- (1) Name (and for civilians only, position sensitivity).
- (2) Type of investigation conducted.
- (3) Date of latest investigation completed.
- (4) Level of security clearance.
- (5) Date clearance granted.
- (6) Highest level of access authorized in current position.

b. The roster is FOR OFFICIAL USE ONLY; do not make notations on SCI access, as that would make the document CONFIDENTIAL.

### 15. Derogatory information

a. The DA Form 5248-R is initiated on a subject when the commander refers the subject for adverse action, informally suspends the subject's access to classified information, removes the subject from assignment to sensitive duties, or becomes aware of any information such as that listed in appendix E of AR 380-67 pertaining to the subject.

b. If the commander is suspending access, remove the DA Form 873 from the personnel file, attach it to the DA Form 5248-R, and forward it through the regional security team to CCF. If the person is indoctrinated for SCI access, the security manager will ensure that the servicing Special Security Office (SSO) is notified. A DA Form 5248-R must be submitted as a final report, even when a subject does not hold a clearance, in case a clearance determination is requested at a later date. The USAR unit commander will provide an information copy of any adverse information to the MUSARC security manager.

c. Upon CCF's receipt of such adverse information, whether denial or revocation of a security clearance and/or SCI access eligibility is considered appropriate, CCF will issue a Letter of Intent (LOI) through the regional security team. The security team endorses CCF's correspondence and forwards it to the unit security manager, who will inform the unit commander. The security team will provide the MUSARC security manager with a copy of the LOI packet. Anyone else in the chain of command who must be informed of the adverse action will be provided with a copy of the cover letter, not the entire LOI packet.

d. The subject's commander will ensure that the subject acknowledges receipt of the LOI, that the subject is counseled about the seriousness of CCF's contemplated action, and offer advice and assistance needed in formulating a reply.

e. The individual must reply to CCF's LOI through his/her unit security manager and through the appropriate security team. The security manager will provide a copy of the subject's response to the MUSARC security manager. The individual's prompt response, along with the commander's recommendation about whether the subject's

clearance should be denied, revoked, or restored, will be addressed through the security team to CCF. The CCF makes the final decision about the LOI response.

f. If the subject disagrees with the final decision, he/she can request reconsideration. See AR 380-67, chapter 8, for detailed instructions.

g. If the subject has been reassigned or discharged, return the action to the regional security team, along with a copy of the reassignment or discharge orders. The only exceptions to this will be on a case-by-case basis, involving extremely sensitive matters which must be addressed through command channels.

## Appendix A References

### Section I Required publications

- |            |  |
|------------|--|
| AR 380-67  | (Personnel Security Program) w/FORSCOM Suppl 1. Cited in paragraphs 6d,e; 7b(2)(a),(b); 9b; 10; 12; 14a,f; appendix D. |
| AR 611-201 | (Enlisted Career Management and Military Occupational Specialties) Cited in appendix C.                                |

### Section II Related publications

- |                     |   |
|---------------------|---|
| AR 380-5            | (Information Security Program) w/FORSCOM Suppl 1                            |
| AR 380-19           | (Automation Security)   |
| AR 380-28           | (Army Special Security Officer and Office System)                           |
| AR 601-210          | (Regular Army and Army Reserve Enlistment Program)                          |
| AR 611-101          | (Commissioned Officer Classification System)                                |
| AR 611-112          | (Manual of Warrant Officer Military Occupational Specialties)               |
| DA PAM 600-3        | (Commissioned Officer Professional Development and Utilization)             |
| DOD PAM 5200.1 PH-1 | (Classified Information Nondisclosure Agreement (SF 312) Briefing Pamphlet) |

Personnel Security Updates published periodically by CCF

**Section III  
Security Forms**

- DA Form 873 (Certificate of Clearance and/or Security Determination)  
DA Form 5247-R (Request for Security Determination)  
DA Form 5248-R (Report of Unfavorable Information for Security Determination)
- DD Form 398 (Personnel Security Questionnaire)  
DD Form 398-2 (National Agency Questionnaire)  
DD Form 1879 (Request for Personnel Security Investigation)
- DIS Form 1 (Department of Defense, Defense Investigative Service Standard System Document)
- FD Form 258 (Applicant Fingerprint Card)
- PCCF-O Fm 1 (Green Mailer)
- SF 85 (Data for Nonsensitive Position)  
SF 86 (Questionnaire for Sensitive Positions (for National Security))  
SF 189 (Classified Information Nondisclosure Agreement)  
SF 312 (Classified Information Nondisclosure Agreement)

**Appendix B  
USARC Security Teams and  
Geographic Areas of Responsibility**

**B-1. Listed by regional security team**

**NORTHEAST SECURITY TEAM (UIC: W47AA1)**

Chief, USARC Northeast Security Team  
ATTN: AFRC-INS-NE  
Fort George G. Meade, MD 20755-7930

**RESPONSIBLE FOR**

Connecticut  
Delaware  
Maine  
Maryland  
Massachusetts  
New Hampshire  
New Jersey  
New York  
Pennsylvania  
Rhode Island  
Vermont  
Virginia  
West Virginia

**SOUTHEAST SECURITY TEAM (UIC: W47AA2)**

Chief, USARC Southeast Security Team  
ATTN: AFRC-INS-SE  
Building 101, Fort Gillem  
Forest Park, GA 30050-5000

**RESPONSIBLE FOR**

Alabama  
Florida  
Georgia  
Kentucky  
Mississippi  
North Carolina  
Puerto Rico  
South Carolina  
Tennessee  
Virgin Islands

**MIDWEST SECURITY TEAM (UIC: W47AA4)**

Chief, USARC Midwest Security Team  
ATTN: AFRC-INS-MW  
Building 108  
Fort Sheridan, IL 60037-5000

**RESPONSIBLE FOR**

Illinois  
Indiana  
Iowa  
Michigan  
Minnesota  
Ohio  
Wisconsin

**SOUTHWEST SECURITY TEAM (UIC: W47AA5)**

Chief, USARC Southwest Security Team  
ATTN: AFRC-INS-SW  
Fort Sam Houston, TX 78234-7000

**RESPONSIBLE FOR**

Arkansas  
Kansas  
Louisiana  
Missouri  
Nebraska  
New Mexico  
Oklahoma  
Texas

**WEST SECURITY TEAM (UIC: W47AA6)**

Chief, USARC West Security Team  
ATTN: AFRC-INS-W  
Building 39  
Presidio of San Francisco, CA 94129-7000

**RESPONSIBLE FOR**

Arizona  
California  
Colorado  
Idaho  
Montana  
Nevada  
North Dakota  
Oregon  
South Dakota  
Utah  
Washington  
Wyoming

**B-2. Listed by state.**

<u>STATE</u>	<u>SECURITY TEAM</u>
Alabama.....	Southeast Region
Arizona .....	West Region
Arkansas .....	Southwest Region
California.....	West Region
Colorado .....	West Region
Connecticut .....	Northeast Region
Delaware.....	Northeast Region
Florida .....	Southeast Region
Georgia .....	Southeast Region
Idaho.....	West Region
Illinois.....	Midwest Region
Indiana.....	Midwest Region
Iowa.....	Midwest Region
Kansas .....	Southwest Region
Kentucky.....	Southeast Region
Louisiana .....	Southwest Region
Maine.....	Northeast Region
Maryland.....	Northeast Region
Massachusetts.....	Northeast Region
Michigan.....	Midwest Region
Minnesota .....	Midwest Region
Mississippi .....	Southeast Region
Missouri .....	Southwest Region
Montana.....	West Region
Nebraska .....	Southwest Region
Nevada .....	West Region
New Hampshire.....	Northeast Region
New Jersey .....	Northeast Region
New Mexico .....	Southwest Region
New York.....	Northeast Region
North Carolina .....	Southeast Region
North Dakota.....	West Region
Ohio.....	Midwest Region
Oklahoma.....	Southwest Region
Oregon .....	West Region
Pennsylvania .....	Northeast Region
Puerto Rico.....	Southeast Region
Rhode Island .....	Northeast Region
South Carolina .....	Southeast Region
South Dakota.....	West Region
Tennessee.....	Southeast Region
Texas .....	Southwest Region
Utah .....	West Region
Vermont.....	Northeast Region
Virgin Islands .....	Southeast Region
Virginia.....	Northeast Region
Washington .....	West Region
West Virginia.....	Northeast Region
Wisconsin .....	Midwest Region
Wyoming .....	West Region

**Appendix C  
Investigation/Clearance Requirements**

The following criteria should be used as a guide in determining the type of investigation and/or clearance required by an individual to perform his/her job.

**TYPE OF INVESTIGATION    REQUIREMENT**

<b>NATIONAL AGENCY CHECK (NAC)</b>	<ol style="list-style-type: none"> <li>1. Required as a minimum investigation for all newly-appointed officer personnel.</li> <li>2. Required by all individuals holding positions as Unit Armorer or Automated Information System operator, and by enlisted personnel specified in AR 611-201.</li> </ol>
<b>SINGLE SCOPE BACKGROUND INVESTIGATION (SSBI)</b> <i>(Note: Replaces BI and SSBI)</i>	<ol style="list-style-type: none"> <li>1. Required investigation for individuals requiring access to TOP SECRET.</li> <li>2. Required for all personnel requiring access to SCI material.</li> <li>3. Minimum investigation for all officer personnel and most enlisted personnel in Military Intelligence duty positions or MOSs.</li> <li>4. Required for any person occupying an ADP-I critical-sensitive position.</li> </ol>
<b>NATIONAL AGENCY CHECK WITH INQUIRIES (NACI)</b>	<ol style="list-style-type: none"> <li>1. All civilians must have a NACI initiated when hired.</li> <li>2. Civilians require a NACI for awarding of a SECRET clearance.</li> </ol>
<b>PERIODIC REINVESTIGATION (PR)</b>	<ol style="list-style-type: none"> <li>1. SECRET-PR required by all personnel whose investigation is 15 years old, and who still require SECRET clearance.</li> <li>2. SSBI-PR required by personnel whose BI/SBI/SSBI is within 3 to 6 months of being 5 years old, and who still require a TOP SECRET clearance.</li> </ol>
<b><u>TYPE OF CLEARANCE</u></b>	<b><u>BASIS FOR GRANTING CLEARANCE</u></b>
CONFIDENTIAL	Clearance may be granted based on ENTNAC, NAC, or NACI.
SECRET	Clearance may be granted based on ENTNAC, NAC, NACI, or SSBI (or BI prior to Dec 91).
TOP SECRET	Clearance may be granted based on SSBI (or BI/SBI prior to Dec 91) completed within the past 5 years.

## Appendix D Common Errors/Problem Areas on PSI Forms

### D-1. General

This appendix identifies those parts of PSI forms that need particular attention or further explanation. They are consistently completed with erroneous/incorrect information or not completed at all. This appendix should be used as a checklist for all PSI forms prior to submission to ensure they are prepared correctly.

### D-2. DD Form 1879 (Request for Personnel Security Investigation)

**Item 9/U.S. Citizenship Verification:** (*Error: Failure to complete this item.*) Each time you submit a request for investigation, you must verify U.S. citizenship. You must also list the document reviewed to verify citizenship in block 9c. **NOTE:** The only documents authorized for verification of U.S. citizenship are those listed in AR 380-67, appendix B, paragraph B-4d. You may not cite "DA Form 873" or "previous BI/SBI" (or other investigations) as verification of citizenship.

**Item 10a-c:** (*Error: Failure to complete this item.*) Local Files Checks (LFC) must be conducted and results noted.

**Item 10a(5):** Pre-screening interview must be conducted when SCI (Sensitive Compartmented Information) access is required, and results must be noted. (See paragraph 2-308 and appendix G, AR 380-67 for more information.)

**Item 11a:** List investigation date, rather than date of clearance.

**Item 14:** Must be completed.

**Item 15:** If "b" or "c" is marked, you must explain in remarks.

**Item 20:** (*Error: Failure to complete this item.*) This item must be completed by subject's immediate military supervisor.

*PLEASE MODIFY THE INSTRUCTIONS WHICH ACCOMPANY THE FORM AS FOLLOWS:*

**Items 1, 4a, 4b, and 19:** LEAVE BLANK; regional security team will complete these items.

**Item 17:** Please list unit of assignment and address.

**Item 18:** The unit security manager will sign the DA Form 1879.

**Item 20:** Be sure that the employee's immediate supervisor fills out this item.

### D-3. DD Form 398-2 (National Agency Questionnaire)

**Item "B":** If request is for a SECRET-PR, mark "(2) Other", and specify "SECRET-PR".

**Items "C" and "F":** (*Error: Failure to complete this item.*) These items must be completed by the unit security manager. LFCs and citizenship verification must be completed at the unit level.

**Item 2:** (*Error: Failure to fully explain other names used.*) Provide all information required by the detailed instructions. If no other names have been used, please indicate "none"; do not leave blank.

**Item 9:** (*Error: Failure to complete this item.*) Individual must complete this item. Reserve or National Guard service, as well as active duty, will be shown. "Not Applicable" may be used only by contractors.

**Item 10:** (*Error: Failure to list consecutive dates of residences and to provide information for the complete period of time required (5 years).*) Account for the entire period with no gaps; list month as well as year. List addresses where you were actually residing; do not list permanent mailing addresses or post office boxes. If rural route address is listed, provide a strip map or directions for locating the residence.

**Item 11a:** Must be answered; this item is often overlooked. This question is also often misinterpreted. The question refers to Federal Civil Service ... not military service. If the answer is "yes", subject must explain; see detailed instructions for the form.

**Item 11b-e:** (*Error: Failure to list consecutive dates of employment and to provide information for the complete required period of time (5 years).*) You must list full-time employment, part-time employment, and all periods of unemployment. If any employment listed is part-time, please indicate as such. List full-time school attendance, if applicable. You must also list Reserve units to which you have been assigned (during the last 5 years); this is part-time employment. Give complete employer addresses; list complete street addresses, city, state, and zip. If Active Duty at any time during the last 5 years, list the specific unit or organization to which assigned. List dates as year and month.

**Item 12a-e:** (*Error: Failure to complete these items.*) These items must be completed. If an individual is deceased, indicate "deceased" in block 12b; however, provide all other information requested. "Not Applicable" may be used only by contractors.

**Items 13, 18-22:** (*Error: Failure to explain "yes" answers.*) All information outlined in the detailed instructions must be provided.



**Item 21a:** DO NOT COMPLETE THIS ITEM!

**Item 21c:** DO NOT COMPLETE THIS ITEM!

**Item 22b:** This question is often overlooked. It must be answered; if "yes", fully explain.

**General:** (*Error: Failure to sign and date forms in all required places.*) Signatures/date signed on all forms must be no more than 120 days old when received at DIS.

**NOTE:** Page 2, "Authority for Release of Information and Records," must be completed and submitted along with the remainder of the DD Form 398-2. The DIS cannot conduct the investigation without this form.

#### **D-4. DD Form 398 (Personnel Security Questionnaire)**

**Item 2:** Do not leave blank; if none, indicate "none." If other names are listed, you must provide all information required by the detailed instructions.

**Item 9a:** (*Error: Failure to complete this item.*)

**Item 9b:** Reserve and National Guard service, as well as Active Duty, will be shown in this item.

**Item 10:** (*Error: Failure to list consecutive dates of residence and to provide information for the complete period of time required (10 years for initial SSBI/5 years for PR).*) Account for the entire period, with no gaps; list month as well as year. List addresses where you were actually residing; do not list permanent mailing addresses or post office boxes. If rural route address is listed, provide a strip map or directions for locating the residence.

**Item 10a:** This item is often overlooked. Ensure that it is completed.

**Item 11a:** This item must be answered; it is often overlooked or misinterpreted. The question refers to Federal Civil Service... not military service. If the answer is "yes," subject must explain; see detailed instructions for the form.

**Item 11b-e:** (*Error: Failure to list consecutive dates of employment and to provide information for the complete required period of time (10 years for initial SSBI or back to the age of 18, whichever is the shorter period; or if the individual is under the age of 21, the last 3 years or since his/her 16th birthday, whichever is the shorter period; 5 years for the PR).*) You must list full-time employment, part-time employment, and all periods of unemployment. If any employment listed is part-time, please indicate as such. List full-time school attendance, if applicable. You must also list Reserve units to which

assigned; this is part-time employment. Give complete employer addresses; list complete street addresses, city, state, and zip. If Active Duty at any time during the required timeframe, list the specific units/organizations to which assigned. List dates as year and month.

**Items 14 and 20-24:** (*Error: Failure to fully explain "yes" answers.*) Individual must provide all information specified by the detailed instructions. If request is for a PR, subject must provide explanation, even though information was provided during previous investigation.

**Item 23a:** DO NOT COMPLETE THIS ITEM!

**Item 23c:** DO NOT COMPLETE THIS ITEM!

**Item 24b:** This question is often overlooked. It must be answered. If the answer is "yes", fully explain in accordance with the detailed instructions.

**General:** (*Error: Failure to sign and date the forms.*) Ensure that the individual has signed and dated the forms in Items 19c/d, 25c/d, and blocks "g" and "h" on the "Authority for Release of Information and Records." The "Authority for Release of Information and Records" is an integral part of the form, and must be completed and submitted with the investigative packet. The DIS cannot conduct the investigation without it. Signatures/date signed on all forms must be no more than 120 days old when received at DIS.

## **Glossary**

### **Section I Abbreviations**

BI ..... Background Investigation  
CCF..... Central Clearance Facility  
DCII ..... Defense Central Index of Investigations  
DCSINT ..... Deputy Chief of Staff, Intelligence  
DIS ..... Defense Investigative Service  
ENTNAC..... Entrance National Agency Check  
LAC ..... Local Agency Check  
LOI..... Letter of Intent  
MUSARC ..... Major U.S. Army Reserve Command  
NAC..... National Agency Check  
NACI..... National Agency Check with inquiries  
OPM..... Office of Personnel Management  
PR ..... periodic reinvestigation  
PSI..... personnel security investigation  
PSP..... Personnel Security Program  
SBI ..... Special Background Investigation  
SCI ..... sensitive compartmented information  
SSBI..... Single Scope Background Investigation  
UIC..... unit identification code  
USAR..... U.S. Army Reserves  
USARC..... U.S. Army Reserve Command

## **Section II**

### **Terms**

#### **access**

The ability and opportunity to obtain knowledge of classified information.

#### **Background Investigation (BI)**

THE BI AND THE SBI HAVE BEEN REPLACED BY THE SINGLE SCOPE BACKGROUND INVESTIGATION.

#### **Central Clearance Facility (CCF)**

The adjudicative body of the U.S. Army which grants, denies, or revokes security clearances for military and civilian personnel, based on investigations by the Defense Investigative Service and the Office of Personnel Management.

#### **citizenship**

- NATIVE BORN: a person born in one of the 50 States, Puerto Rico, Guam, American Samoa, Northern Mariana Islands, or U.S. Virgin Islands (or Panama Canal Zone if mother or father (or both) was or is a citizen of the U.S.).
- DERIVATIVE: a person born outside the U.S. who acquires U.S. citizenship at birth because one or both of his/her parents are U.S. citizens at the time of the person's birth.
- DERIVATIVE NATURALIZATION: a person who acquires U.S. citizenship through naturalization of one or both parents.
- NATURALIZED: a person born outside of the U.S. who has completed naturalization procedures and has been given U.S. citizenship by a duly constituted authority.

#### **classified information**

Official information or material which requires protection in the interest of national security, and which is classified for such purpose by appropriate classifying authority IAW the provisions of Executive Order 12356.

#### **Defense Central Index of Investigations (DCII)**

An alphabetical index of persons who have been investigated by the DIS. DCII records will be checked on all subjects of DoD investigations.

#### **Defense Investigative Service (DIS)**

The investigative organization of the U.S. Department of Defense which conducts SSBIs and NACs for all branches of the military.

#### **Entrance National Agency Check (ENTNAC)**

An investigation conducted on an individual upon his/her entry into the Armed Forces, consisting of review of records at national agencies such as the FBI or State Department.

#### **Green Mailer**

Green mailer (PCCF-O Fm 1) correspondence transmits CCF case status responses. The CCF may use the green mailer to ask for additional information, specify corrective action which must be taken before adjudication is completed, or advise that the DCII has no record of a subject. A green mailer can request follow-up information, proof of citizenship, new fingerprint cards, etc., and is also used to transmit eligibility for SCI (valid for only 180 days).

#### **interim security clearance**

Applying for an interim clearance is an option available to the command pending a final determination by CCF. There is no requirement for the USARC Security Team to grant an interim clearance. It is granted on a temporary basis, after the completion of minimum investigative requirements and pending completion of the full investigative requirements. To grant an interim clearance, the USARC Security Team must receive a formal request from subject's commander with justification as to its necessity. Denial of an interim clearance does not require due process; such due process is required only to make a final determination to deny or revoke a clearance, to make a determination regarding access, or to declare a person ineligible to perform sensitive duties.

#### **Local Agency Check (LAC)**

An investigative check of local police departments, courts, etc., to determine whether the subject of an investigation has committed any crime.

#### **Letter of Intent (LOI)**

A letter from CCF to the subject of an investigation, notifying him/her of CCF's intent to deny/revoke his/her security clearance/eligibility, and the reasons for the proposed action.

#### **National Agency Check (NAC)**

An investigation consisting of review of records at national agencies such as the FBI or State Department. The ENTNAC and the NACI are variations of the NAC.

#### **National Agency Check (NACI)**

A personnel security investigation conducted by the Office of Personnel Management, combining a NAC with written inquiries to law enforcement agencies, former employers and supervisors, references, and schools. Conducted on civilian employees and initiated by the local Civilian Personnel Office.

#### **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, knowledge of, 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 of, possession of, or access to classified information shall not be afforded to any individual solely by virtue of the individual's office, position, or security clearance.

#### **Office of Personnel Management**

The Government agency responsible for all aspects of civilian personnel actions, including the conducting of the National Agency Check With Inquiries (NACI), required for entry into federal civil service, and for a Secret clearance for U.S. Army civilian employees.

#### **Periodic Reinvestigation (PR)**

An investigation, almost identical to an SSBI or NAC, but conducted to update the clearances on those persons who have a continuing need for a clearance and who have had a valid SSBI completed on them within the last 5 years (BI/SBI prior to December 1991), or a NAC/ENTNAC/NACI within the last 15 years.

#### **Personnel Security Investigation (PSI)**

Any investigation required for the purpose of determining the eligibility of Department of Defense (DOD) military and civilian personnel, contractor employees, consultants, and other persons affiliated with the DOD, for access to classified information, acceptance or retention in the Armed Forces, assignment to or retention in sensitive duties, or other designated duties requiring such investigation.

#### **Personnel Security Program (PSP)**

The DOD program established to ensure that only loyal, reliable, and trustworthy persons are granted access to classified information or allowed to perform sensitive duties. The PSP consists of: initial screening and evaluation; selection and retention criteria; appropriate Personnel Security Investigation (PSI) and resultant security clearance commensurate with the individual's assignment and duties; security briefing; observation and assessment for continued eligibility; security debriefing upon relief or reassignment.

#### **SECRET PR**

An investigation similar to a NAC, conducted on anyone having a SECRET clearance whose last investigation was conducted more than 15 years ago, or who needs a periodic update of a SECRET clearance for a Special Access Program (SAP).

#### **Sensitive Compartmented Information (SCI)**

Classified information concerning or derived from intelligence sources, methods, or analytical processes that must be handled exclusively within formal access control systems established by the Director of Central Intelligence (DCI).

#### **sensitive position**

Any position so designated within the DOD, the occupant of which could bring about, by virtue of the nature of the position, a materially adverse effect on national security. EACH CIVILIAN POSITION WITHIN THE DOD SHALL BE CATEGORIZED, WITH RESPECT TO SECURITY SENSITIVITY, AS NONSENSITIVE, NONCRITICAL-SENSITIVE, OR CRITICAL-SENSITIVE.

#### **Single Scope Background Investigation (SSBI)**

A personnel security investigation consisting of: checks of national agencies on subject and spouse/cohabitant; a credit check; field investigation by DIS agents; and a subject interview. It is the most comprehensive PSI, covering the most recent 10 years of an individual's life. The SSBI is the basis for appointment to critical-sensitive/special sensitive positions and other positions which previously required a BI or SBI.

#### **Special Background Investigation (SBI)**

THE SBI AND THE BI HAVE BEEN REPLACED BY THE SINGLE SCOPE BACKGROUND INVESTIGATION.

#### **suspension of access**

A temporary measure taken to protect national security when doubts are raised about a person's loyalty, trustworthiness, or reliability. Due process is not required to temporarily suspend access pending final determination by CCF. Suspension of access will not be used as a punitive action.