

Defense Intelligence Management Document

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DIAM 50-8

DIA Personnel Security Program



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SECURITY

DIA PERSONNEL SECURITY PROGRAM

Summary

This manual establishes DIA personnel security policy and is intended for the use of DIA management and staff when personnel security matters arise. It is organized into five topical chapters: policy and responsibilities; security eligibility; processing requirements; adjudications and appeals; and miscellaneous actions, as indicated in the index.

1. Purpose:

a. To prescribe policy, standards and procedures relating to:

- (1) The responsibilities for the management and conduct of personnel security activities within DIA.
- (2) Personnel security standards as they relate to the employment/assignment/retention of civilian and military personnel in DIA.
- (3) The initiation, conduct and evaluation of personnel security investigations on DIA personnel.
- (4) The criteria used by DIA for determining access eligibility to Sensitive Compartmented Information (SCI) and collateral clearance eligibility for classified defense information.

b. This manual implements Director of Central Intelligence Directive (DCID) 1/4, "Personnel Security Standards and Procedures Governing Eligibility for Access to Sensitive Compartmented Information", applicable portions of Department of Defense (DoD) Regulation 5200.2-R, "DoD Personnel Security Program", and DoD Directive 5105.21, "Defense Intelligence Agency", which pertains to the Director, DIA's (DR's) responsibilities as a Senior Official of the Intelligence Community (SOIC).

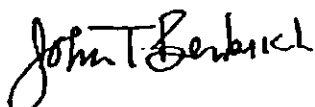
2. References: See Enclosure 1.

3. **Applicability And Scope:** This manual is the basic DIA regulatory document on personnel security and states DIA personnel security policies, explains procedures and assigns responsibilities for SCI access and collateral clearance processing, investigations and determinations. It is applicable to:

- a. All civilian and military personnel employed by, assigned to, or considered for employment by or assignment to DIA.
- b. All contractor or consultant personnel, under contract to DIA, nominated for SCI access.

4. **Supersession:** This manual supersedes DIAR 50-8, "Personnel Security Program," 2 October 1975. Because changes are extensive, they are not so indicated.

5. **Definitions:** A glossary of definitions is provided as Enclosure 2.



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Chief of Staff

8 Enclosures

1. *References*
2. *Glossary*
3. *Acceptable Documentary Evidence of U.S. Citizenship*
4. *Personnel Security Reporting Requirements*
5. *DIS Median SBI/SSBI Completion Times*
6. *Personnel Security Processing Requirements*
7. *SSBI-PR Memorandum*
8. *Supervisors Security Review*

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Chapter 1

POLICY AND RESPONSIBILITIES

1. Personnel Security Policy:

a. General:

(1) No person is entitled to knowledge of, possession of, or access to classified defense information solely by virtue of office, position, or security clearance. Such information may be entrusted only to those individuals whose official duties require such knowledge or possession (need-to-know) and who have been investigated and cleared for access in accordance with appropriate directives.

(2) SCI access or security clearances issued pursuant to this manual indicate that the persons concerned are *eligible* for access to the stated level of authorization, if their official duties so require.

(3) Clearance eligibility does not equate to a need-to-know, which is determined only by the possessor of the classified information and not by the prospective recipient. The need-to-know principle is the most important personnel security principle and must be strictly implemented within DIA.

b. Security Access/Clearance Standard:

(1) The standard against which all SCI access and security clearances are determined is whether, based on all available information, the individual's loyalty, stability, trustworthiness, reliability, character, judgment and discretion are such that the granting of SCI access or a security clearance is *clearly consistent with the interest of national security*.

(2) SCI access eligibility determinations further require that the protection of national security be paramount. *Any doubt* concerning personnel having access to SCI is to be resolved in favor of national security. This threshold is clearly less than that which is required to support a prosecution or disciplinary action. The goal of such a vigorous standard is to create, to the extent possible, a risk free environment in which to safeguard SCI.

(3) The sole adjudicative criteria for SCI access is contained in DCID 1/14. Collateral clearance requirements are contained in DoD Regulation 5200.2-R.

c. DIA Position Security Requirement: All DIA positions are designated "special sensitive" and thus require SCI eligibility.

(1) DIA's mission and organization require that all employed/assigned personnel be SCI eligible.

(2) DIA personnel will be cleared through use of DD Form 1557, "Certificate of Clearance/Access", only to the access/clearance level actually required to allow them to perform the responsibilities of their position at the time the DD Form 1557 is submitted.

2. Responsibilities:

a. Director (DR) : Under the provisions of DCID 1/14 and DoD 5200.2-R the DR, or his designee, is the Determination Authority on the determination of collateral clearance and SCI access eligibility and the final Review Authority on the appeal of any denial or revocation of clearance/SCI access action within DIA. The DR

has designated the Chief of Staff as the final Review Authority and the Director, Office of Security and Counterintelligence as the DIA Determination Authority.

b. Chief of Staff (CS):

(1) As the designated final Review Authority personally reviews appeal cases and exercises his/her discretion on the continuance or reversal of denial or revocation of security clearance and SCI access eligibility actions within DIA. These decisions are final and not subject to further review.

(2) Resolves any contested situations involving security limitations on overseas assignments.

c. Heads of Centers, Directorates and Special Offices are responsible for:

(1) Acting for the DR in determining whether a specific DIA civilian position must be filled on an emergency basis without awaiting completion of a favorable pre-appointment Single Scope Background Investigation (SSBI) in accordance with E.O. 10450. Such a determination must recognize and take into account the exceptional nature of the procedure and indicate an awareness of the risks inherent in hiring actions not preceded by a pre-appointment SSBI. (See Chapter 2 for detailed requirements).

(2) Requesting an exception to DCID 1/14 personnel security standards, as may be required, or investigative standards when a compelling need exists for an individual to be granted SCI access. (See Chapter 2 for detailed requirements).

(3) Justifying exceptions to security limitations on overseas assignments.

d. The Director, Office for Security and Counterintelligence (b)(2), (b)(3); 10 USC 424 is responsible for:

(1) Managing the general parameters of the DIA Personnel Security Program.

(2) Serving as the Determination Authority for the granting, denial and revocation of all security clearances and SCI accesses within DIA and supported activities as necessary.

(3) Acting as the initial appeal review authority for clearance/SCI access denial and revocation appeals.

(4) Approving DIA Personnel Security policy.

e. The Chief, Central Clearance Facility Division (b)(2), (b)(3); 10 USC 424 is responsible for:

(1) Planning, directing and controlling the operations of the DIA Personnel Security Program.

(2) Overseeing the preparation and implementation of DIA personnel security policy.

(3) Initiating, processing, monitoring, and evaluating personnel security investigations (PSI's) required for DIA applicants, military nominees (where necessary), current DIA members, to include foreign service nationals, and DIA contractors and consultants.

(4) Verifying U.S. citizenship of all civilian and consultant appointees where necessary using the documents specified in Enclosure 3. DIS verifies U.S. citizenship during the conduct of current background investigations. (b)(2), (b)(3) verification will normally occur only when a record of citizenship verification acceptable for security purposes does not exist.

(5) Determining SCI access and collateral clearance eligibility.

(6) Notifying (b)(2), (b)(3); 10 USC of the security eligibility of personnel nominated for employment/assignment with DIA.

(7) Notifying major element Special Security Contact Officers (SSCO's) of SCI access and clearance eligibility authorized, changed, suspended or revoked pertaining to personnel of their organizational elements.

(8) Exercising initial SCI access/clearance suspension authority.

f. The Director, Office for Human Resources (b)(2), (b)(3); 10 USC is responsible for:

(1) Administering the civilian and military personnel management policy portion of the DIA Personnel Security Program.

(2) Coordinating with (b)(2), (b)(3); 10 USC in the determination of civilian/military suitability for DIA employment, assignment or retention.

(3) Monitoring the adequacy of the DIA Personnel Security Program from the standpoint of effective civilian and military personnel administration.

(4) Coordinating the reassignment of military personnel returned to their parent service for security reasons.

(5) Coordinating with (b)(2), (b)(3); 10 USC in determining whether civilian removal action would be more appropriately taken on a suitability or security basis.

(6) Notifying (b)(2), (b)(3); 10 USC 424 of all civilian hiring actions (to include all full or part-time overseas hiring actions) and military assignment actions.

(7) Notifying (b)(2), (b)(3); 10 USC 424 of all supplemental employment notifications (DIA Form 780, "Off Duty Employment Record") received from DIA members.

g. Special Security Contact Officer (SSCO) : DIA Element SSCO's are responsible for initiating DD Forms 1557 for SCI access eligibility determinations, cancellations of nominations for SCI access, and for the initiation of debriefing of personnel when SCI access is no longer required. (Also see the section entitled SSCO Responsibilities contained in the SSCO Handbook, reference u, Enclosure 1, for a complete listing of duties).

h. Individual DIA Personnel: DIA personnel (to include DIA contractors and consultants) are responsible for the following:

(1) Reporting to responsible security officials the personal information outlined in Enclosure 4.

(2) Using discretion and good judgment in recognizing and avoiding situations and behavior that could result in their becoming ineligible for continued assignment to a position of trust and responsibility.

(3) Requesting security guidance from (b)(2), (b)(3); 10 USC when they have become involved in situations which they believe, or which common sense would indicate, might impact on their eligibility to maintain their SCI access or security clearance eligibility. (b)(2), (b)(3); 10 USC will provide guidance on possible courses of action available to the individual. Any doubt as to the necessity of seeking guidance should be resolved in favor of seeking such guidance.

(4) Reporting promptly to their security officer or (b)(2), (b)(3); 10 USC any information which they believe may have a bearing on another individual's loyalty and suitability for access to classified information.

(5) Enforcing a strict "need-to-know" policy in any exchange involving classified information.

Chapter 2

SECURITY ELIGIBILITY FOR EMPLOYMENT/ASSIGNMENT/RETENTION

1. Security Requirements for Consideration of Employment or Assignment with DIA:

a. Security Preconditions: These preconditions apply to all persons employed by, or assigned to, DIA (except for foreign service nationals employed overseas).

(1) The individual must be a U.S. citizen. The individual's immediate family shall also be citizens of the United States.

(2) Individuals holding dual citizenship, other than through birth abroad to U.S. citizen parents, and in particular those deriving benefits from such foreign citizenship, are generally ineligible for assignment or employment with DIA.

(3) The members of the individual's immediate family and persons 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, nor advocate the use of force or violence to overthrow the Government of the United States or the alteration of the form of the Government of the United States by unconstitutional means.

(4) The individual shall be stable, trustworthy, reliable, of excellent character, judgment and discretion, and of unquestioned loyalty to the United States.

(5) Personnel who possess SCI access as the result of an exception to personnel security standards granted by another SOIC are ineligible for assignment or employment with DIA unless DIA revalidates the exception.

(6) An individual whose security clearance/access is under suspension by other clearance authorities is ineligible for assignment or employment with DIA pending resolution of the suspension action.

b. Investigative Requirements:

(1) A current SSBI must have been completed and favorably adjudicated before anyone can commence duty with DIA. Investigations will be maintained in a current status during the individual's service with DIA. If a security acceptance determination was made on the basis of a prior 5 year scope BI, an SSBI must be initiated on the individual as soon as practical.

(a) A current, existing security clearance/SCI access issued by another DoD component will be accepted without requesting additional investigation or investigative files in the absence of derogatory information for individuals nominated for DIA employment, assignment, or security access under a DIA contract. Defense Clearance and Investigations Index (DCII) checks will be used to confirm the existing security clearance/SCI access. DCII entries which are interim security determinations or those which are qualified in any respect will not be used as the basis for making assignment, employment or contractual security determinations. Individual files will be reviewed in these instances.

(b) A current, existing security clearance/SCI access issued by a non-DoD Federal Agency may be accepted by DIA provided that:

There has been no break in Federal employment greater than 24 months since the investigations completion date; and,

Inquiry with the non-DoD Federal Agency reveals no reason why the clearance should not be accepted; and,

A review of the pertinent investigation determines that the investigation meets DoD collateral or Director of Central Intelligence (DCI) SCI investigative requirements as the case may be. Supplemental investigation will be requested when necessary to meet such requirements.

(c) The above processes are in addition to transfer-in-status procedures conducted through SSO's.

(d) A current personnel security history document (Personnel Security Questionnaire - PSQ) is required before a final DIA security determination can be completed. This may consist of a pen-and-ink update of a prior PSQ or similar such document or a constructive update of such a PSQ by use of a pre-printed form or a memorandum.

(e) If a current background investigation does not exist or if more than a 2 year break in Federal Service has occurred since completion of the investigation a new, pre-appointment investigation will be initiated for non-military personnel while the nominating military service will be requested to initiate an SSBI.

(2) Waiver of Pre-appointment SSBI or BI: Civilian applicants who are not the subject of a favorable, completed, current SSBI or BI may not be appointed to a DIA position pending completion of an SSBI in accordance with E.O. 10450, unless a Head of Special Office or higher ranking individual has made a determination that a delay in appointment would be harmful to the national interest. Such a determination, forwarded through the Office for Human Resources (b)(2), (b)(3); 10 USC 424 must be based on the national interest; for example, cite regulatory requirements, mission essential functions or responsibilities that cannot be met, together with the indication that other personnel are not available to complete these requirements. This determination must recognize the inherent risks of hiring actions not preceded by a pre-appointment SSBI. (This action cannot concurrently include a request for an exception of DCID 1/14 personnel security standards). In such instances the position may be filled upon the favorable completion of the following investigative checks:

(a) A review of individual's current PSQ.

(b) A personal interview of the individual conducted by an DIA Special Agent.

(c) Current National Agency Check (NAC) completed of all necessary agencies, if the individual has had a break in Federal Service exceeding 24 months or has not had a NAC completed during the preceding 5 years.

(d) Review of DIA Form 319, "Employment Interview Record."

(e) For current or former Federal civilian employees, a check of security office records at the individual's current or most recent federal employment or as otherwise determined by (b)(2), (b)(3); 10 USC 424

(f) DIS currently verifies U.S. citizenship during the conduct of SSBI's. If the individual's U.S. citizenship has not been verified and documented in available files the individual will be required to present acceptable documentary evidence of U.S. citizenship (Enclosure 3).

c. Employment/Assignment Security Acceptance: An offer of civilian employment or final acceptance of a military nominee will not be made until an affirmative, written security acceptance by (b)(2), (b)(3); 10 USC 424 has been made to the appropriate DIA personnel office. An affirmative security acceptance document is valid for 2 years from the date of preparation.

2. Exceptions to SCI Eligibility Standards:

a. General: Requests for an exception to DCID 1/14 personnel security standards or investigative standards may be made when a compelling need (see Enclosure 2 for definition) exists for an individual to be granted SCI access.

An exception to the loyalty and character standards cannot be made. Requests for exception to standards will be submitted to (b)(2), (b)(3), 10 USC.

(1) SCI access granted as the result of an exception to investigative standards will be strictly controlled pending completion and favorable review of the required investigation.

(2) Requests for exceptions to SCI personnel security standards or investigative standards for DIA personnel will be kept to the absolute minimum consistent with DIA mission requirements and good personnel security practice.

(3) Requests for exception to the DCID 1/14 U.S. citizenship requirements for immediate family members are no longer required prior to the initial (b)(2), (b)(3), 10 USC review of the individual's personnel security file.

(a) (b)(2), (b)(3), 10 USC will review the nominated individual's personnel security file and make a determination, based on the information contained in the file, as to whether a risk to security would appear to exist by virtue of granting SCI access. If no risk is apparent, SCI access will be issued on a waiver basis with no further action required on the part of the requesting element.

(b) If (b)(2), (b)(3), 10 USC determines that an apparent risk to security exists, the requesting activity will be informed of this determination and requested to submit a "compelling need letter" providing full justification for the case to be considered further.

(c) If the exception to citizenship standards involves a spouse then the information outlined in paragraphs 3d(1) (b), (c), (d), and (e), Chapter 5 is to be submitted with the request.

b. Request Documentation: All requests for exceptions to standards must be submitted in writing to (b)(2), (b)(3), 10 USC 424 signed by a Head of Special Office or higher ranking individual and must document the following:

(1) The complete identity of the individual in question.

(2) A justification for the element's compelling need and any unique qualifications possessed by the individual concerned.

(3) An explanation as to why another properly cleared individual cannot be used to perform the SCI related duties required, pending resolution of the condition requiring the waiver.

(4) An explanation of the impact on mission accomplishment if the exception to standards is not granted.

(5) Any other information which would assist in determining the risk to security involved in the requested exception to standards.

(6) For requests involving an exception to investigative standards, an indication whether the individual will voluntarily undergo a counterintelligence scope polygraph examination.

c. Special Situations:

(1) Requests for an exception to the U.S. citizenship standard involving a foreign cohabitant will generally not be considered.

(2) Requests involving both an exception to U.S. citizenship standards and to DCID 1/14 investigative standards will also generally not be considered.

(3) In cases where an individual has lived outside the U.S. for a substantial period of time, requests for exceptions to investigative standards will not be considered.

(4) Exceptions to standards granted by the Services for military personnel assigned to this Agency will be separately documented and evaluated by DIA.

3. Continued SCI Access Eligibility: Continued assignment/employment with DIA is predicated upon maintenance of SCI access eligibility.

a. **Foreign Connections:** Marriage to or cohabitation with a foreign national or other evidence of a close continuing relationship with a foreign national while an individual is assigned to or employed by DIA may be grounds for action to terminate any existing SCI eligibility.

b. **Other Personnel Security Standards:** Failure to maintain the other personnel security standards enumerated in DCID 1/14 may be grounds to revoke SCI access previously granted.

4. DIA Overseas Assignments:

a. **Security Limitations on Overseas Assignments:**

(1) Security concerns exist with long term or consecutive overseas assignments. U.S. military and civilian personnel assigned to activities overseas are a target of foreign intelligence and security services (FISS). FISS activities overseas, to include efforts in third party countries, are not subject to the same control measures existing in the United States. FISS activities may also be abetted by host country policies or indifference and, as a result, are more aggressive than similar activities in the United States. Local foreign nationals, particularly those upon whom U.S. personnel are frequently dependent because of language barriers or local area knowledge may actively participate in FISS assessment and recruitment efforts directed against U.S. personnel. Excessive overseas tour lengths allow FISS activities the benefit of extended periods of time in assessing any character flaw with the view to using such information to effect an intelligence recruitment.

(2) Personnel security investigations to update security clearances cannot be accomplished in most countries due to host country restrictions. This leads to unacceptable gaps in investigative coverage or the use of excessive resources to effect required or indirect coverage.

(3) DIA overseas personnel assignments will be limited to a maximum of 3 years in one post. Overseas assignments will not exceed six and one half-years in length from the commencement date of the initial overseas tour. Two years of service in the United States will generally be required prior to further overseas tours.

(4) To preclude potential conflicts of interest from arising and to avoid subjecting individuals to coercion or inducements from host country intelligence services, DIA personnel who are naturalized citizens or whose spouses are foreign born of non-U.S. citizen parents will not be assigned to their or their spouse's land of origin.

(5) Requests for exceptions to the above limitations must be fully justified and will be signed by a Head of Special Office or higher ranking individual. (b)(2), (b)(3), (b)(10) will make a determination to concur or non-concur in the request. Non-concurrences by (b)(2), (b)(3), (b)(10) may be appealed to the CS for resolution.

b. **Access to Classified Information by Spouses of Attaches:**

(1) U.S. citizen spouses of Defense Attache System (DAS) personnel may be granted access to classified information up to Secret on a strict need-to-know basis when such access is considered necessary in the interests of national security in the following situations and provided (b)(2), (b)(3), (b)(10) USC has issued an authorizing DD Form 1557 before the fact: 424

(a) Attendance at certain courses of instruction at the Joint Military Intelligence College (JMIC).

(b) On station, in situations and circumstances as determined by the Defense Attache (DATT) on a case-by-case basis.

(2) Attache spouses possessing dual nationality or alien spouses will not be granted access to classified information by DIA.

(3) Requests for spousal access will be made in the attache nomination request, or by letter request initiated by the (b)(2), (b)(3), (b)(7)(C) and shall include a current, complete (all items) DD Form 398, "Personnel Security Questionnaire (PSQ)" for the spouse covering the previous 10 years. Upon completion of a properly scoped NAC and review of the results, a certificate of access will be issued subject to restrictions that state that access to classified information is limited to the level indicated and is accorded solely for certain instruction at the JMIC or at the discretion of the (b)(2), (b)(3), (b)(7)(C) on a specific event (case-by-case) basis.

(4) *Cited access does not constitute a security clearance and cannot be certified as such to other Federal agencies or American Embassy offices.*

(5) Prior to being granted initial physical access to classified information the spouse will be briefed on why classified access was granted and why and how such classified information is to be protected. The spouse will then be required to complete one copy of SF 312, "Classified Information Nondisclosure Agreement." The original copy of the form will be retained by the briefing organization. A signed copy will be forwarded to (b)(2), (b)(3), (b)(7)(C) for filing. Upon transfer or a determination that access is no longer required the Security Debriefing Acknowledgment Section of the SF 312 will be executed and the original will be forwarded to (b)(2), (b)(3), (b)(7)(C).

5. Continuing Security Review Program: DIA is responsible under the provisions of DCID 1/14 for conducting a continuing review of the security backgrounds of all DIA SCI cleared/eligible personnel. This review process will begin upon nomination of an individual for assignment/employment to this Agency and will continue throughout the term of the individual's assignment or employment with DIA.

Chapter 3

PERSONNEL SECURITY PROCESSING REQUIREMENTS

1. Personnel Security File Processing Policy:

a. Personnel security file processing will be accomplished on a first-in, first-out basis. This processing priority ensures that delays in processing any individual security file are minimized. Requests to expedite particular cases can disrupt the efficiency of the case processing cycle and extend overall case processing times for all requesters. Expedite requests will be honored only when justified in writing (ATTN: Chief, (b)(2), (b)(3), (b)(7)(C), (b)(7)(D)) and signed by a Head of Special Office or higher ranking official. Verbal requests will be accepted under emergency conditions.

b. The total time required for security processing is a function of both accurate and complete preparation and prompt submission of security forms within DIA, and of file acquisition time or investigative turnaround times which are generally beyond the control of DIA. (Historical DIS median SBI/SSBI completion times are reflected in the attached enclosure (Enclosure 5) and can be generally correlated to resources allocated).

c. The requesting DIA element (and individual) submitting the security forms is responsible for ensuring that security documentation is accurate, complete, legible, and logically organized. Incomplete, illegible, or poorly organized security forms will be returned without action to the individual/element concerned for reprocessing.

2. Personnel Security Processing Requirements: Specific processing requirements are contained in Enclosure 6.

Chapter 4

ADJUDICATIONS AND APPEALS

1. Adjudication Policy:

The adjudication of personnel security investigations for the purpose of security determinations is a common sense evaluation, on a case-by-case basis, of all available information to ensure that the granting of an access or clearance is clearly consistent with the interest of national security. An affirmative security adjudicative determination is a judgmental finding that the individual is not now, nor is likely to become at a later date, an unacceptable security risk. Applicable adjudicative criteria are outlined in DCID 1/14 and DoD 5200.2-R for SCI access and collateral clearances respectively.

2. Adjudication Process:

a. Security cases which meet time and scope requirements and are devoid of significant derogatory information are reviewed by the adjudicator of record who is authorized to render a clearance or access eligibility determination not subject to further review.

b. If significant security issue information is involved, the case is given a sequential, multi-step review by succeeding levels of authority. Consecutive agreement by any two succeeding levels of the review process is sufficient for a determination of an individual's eligibility for the requested clearance or access. Sustained recommendations to deny or revoke a clearance/SCI access will be referred to the (b)(2), (b)(3) 10 USC 424 acting as the DIA Determination Authority for a determinative decision.

c. The succeeding levels of authority are as follows:

(1) Adjudicator of Record

Team Chief

(2) Chief, Adjudications Branch (DAG-3B)

(3) Chief, Personnel Security Branch

(3) Chief, Central Clearance Facility Division

(4) Director, Office for Security and Counterintelligence

3. Suspension of Security Clearance and/or Access:

a. A suspension of clearance and/or access is warranted when based upon credible evidence there is reason to believe that a serious question exists as to the individual's ability or intent to protect classified information. A suspension of clearance and/or access is an interim measure taken to protect national security while the facts of the matter are resolved, generally through further investigation. A suspension is not an adverse security action and is not appealable. A written notification briefly outlining the reason(s) for the suspension will be furnished the individual.

b. The Chief, (b)(2), (b)(3) 10 USC 424 may suspend security clearances and/or SCI accesses for DIA personnel.

c. Within the DAS, the DATT may exercise the authority to suspend the clearance and/or SCI access for personnel within the (b)(2), (b)(3) 10 USC subject to his jurisdiction. (b)(2), (b)(3) 10 USC will be notified by message in each such instance. The notification message will contain full justification for the suspension action and the DATT's recommendations

concerning further action. The DATT will also prepare a notification of clearance/SCI access suspension letter briefly outlining the reasons for the suspension and present the notification to the individual.

d. Every effort will be made to resolve a suspension as expeditiously as possible. A suspension of clearance and/or access will not exceed 90 days without the personal review of (b)(2), (b)(3): 10 USC 424

4. Denial or Revocation of Clearance/Access:

a. Denial or revocation of clearance or access will be accomplished only after approval by the DIA Determination Authority. Administrative due process is afforded civilian permanent staff personnel and military assignees and contractor personnel.

b. Upon (b)(2), (b)(3): 10 USC 424 approval of a denial or revocation of clearance/SCI access a notification of such action, including a statement of reasons forming the basis of such action, will be sent to the individual concerned. The letter will advise the individual concerned of his/her right to appeal the determination.

5. Appeals:

a. Appeals must be submitted within 45 days from the date of receipt of the statement of reasons. The appeal should be addressed to the Director, Office for Security and Counter-intelligence (b)(2), (b)(3): 10 USC 424

b. When appealing an adverse security determination, the individual should fully develop any facts which would explain or refute the information on which the adverse action is based. Any extenuating or mitigating circumstances which are to be considered by the appeal authority must be included in the written request. Requests for extensions to the stated time limits must be made in writing citing the necessary reasons.

c. Upon review of an appeal the individual will be notified of the decision by (b)(2), (b)(3): 10 USC 424. If the original decision to deny or revoke access is confirmed, the individual may, within 30 days of the receipt of the notice of confirmation, request a final review of the case by the Chief of Staff, the designated DIA Review Authority. This appeal should be addressed to the Chief of Staff, DIA, thru the Director, Office of Security and Counterintelligence (ATTN: (b)(2), (b)(3): 10 USC 424

d. The CS will review the case and will inform the individual of the decision. The decision of the CS, acting for the Director, DIA, is final and not subject to further review.

Chapter 5

OTHER PERSONNEL SECURITY MATTERS

1. Periodic Reinvestigations:

a. **Initiation Date:** Processing for Periodic Reinvestigations (PR's) will be initiated on the fifth anniversary date of the most recent security investigation for all DIA personnel. Each DIA member will be advised by memorandum as to the necessary actions to take (Enclosure 7). PSQ's will not be abbreviated or annotated with "no change" entries but will be completed *in toto* for the period of time since the date of the last PSQ.

b. **Supervisor's Review:** At the time updated security forms are requested for a PR, the individual's supervisor will be solicited for security related information required by DoD policy (Enclosure 8).

c. **Forms Submission:** Security forms are to be completed and returned within 45 days of the date of tasking. Failure to promptly complete and return the forms necessitates follow-up action by security processing personnel and adversely impacts the overall system processing times for all DIA clearances. In the event the security forms are not completed within the 45 days suspense date or an extension has not been granted the requirement will be tasked through the Automatic Tasking System (ATS). Failure to comply with the suspense date specified by the ATS will be the basis for initiation of suspension of the individuals clearance/SCI access by DIA personnel are authorized duty time to complete the necessary security forms.

(b)(2), (b)(3)
10 USC
424

2. Security Files:

a. **General:** No person is entitled to review or will be permitted access to his/her own security file except as provided for under the Privacy Act of 1974. All DIA security files will be handled and stored in such a fashion so that no DIA employee will have access to his/her own file or to files of friends, co-workers, or supervisors.

b. **Storage:** Files will be stored, when not in use, in an approved vault or safe equipped with a built-in three position, dial type, combination lock.

c. **Authorized Access:** Personnel security files within DIA are subject to review only upon approval of and will remain at all times in personnel security channels. Files transmitted via personnel security channels will be physically and administratively protected to preclude unauthorized access.

(b)(2), (b)(3)-1
10 USC
424

3. Non-Official Foreign Contacts:

a. **General:** Guidance on certain foreign contacts and reporting requirements is contained in DIAR 50-17. That guidance should be read in conjunction with the following requirements.

b. **Background:** Non-official contacts between U.S. personnel, cleared for access to classified defense information, and foreign nationals are a matter of security concern. Such contacts have been used in the past by FISS worldwide to develop bonds of affection and obligation in an attempt to induce individuals to commit espionage against the U.S. Recent events have underscored the validity of the traditional security concerns regarding such contacts.

c. Reportable Situations:

(1) The security implications which can be involved in close and continuing contacts or the establishment of bonds of affection or obligation between DIA (including members of the DAS) and foreign personnel requires prompt reporting and evaluation to determine whether a security threat to U.S. interests exists. The following situations are required to be reported by the DIA persons involved and by DIA supervisors as soon as they become aware of an existing situation involving a DIA member:

- (a) Intent to marry a foreign national.
- (b) Cohabitation with a foreign national.
- (c) Continuing intimate relationship with a foreign national.
- (d) Establishment of bonds of affection or obligation with foreign nationals.

(2) If the DIA member is located in the U.S. the supervisor should report his/her knowledge of the facts in question to (b)(2), (b)(3): 10 USC 424 Security Investigation Branch, will coordinate with the DIA member directly to obtain the necessary information. If the DIA member is located overseas, the DIA supervisor will have the individual involved complete the necessary documentation listed below as soon as the supervisor becomes aware of the situation. Concurrently, the overseas supervisor should request the local State Department Regional Security Officer (RSO) to immediately conduct relevant checks of Embassy records and host country police and security files, to the extent possible, concerning both the foreign national and the DIA member. The DIA member will furnish the required documents to the supervisor for review and transmission to (b)(2), (b)(3): 10 USC 424 together with the results of the RSO checks. (The DIA member will not be permitted access to the results of the RSO checks). The supervisor should present his/her assessment of the situation together with any pertinent recommendations in the transmittal document. Timely reporting is critical.

d. Intent to Marry a Foreign National: DIA members who intend to marry a foreign national must provide written notification of that fact at least 120 days prior to the expected date of marriage to (b)(2), (b)(3): 10 USC 424 with an information copy to (b)(2), (b)(3): 10 USC 424.

(1) The following documentation is required:

(a) A current PSQ completed by the DIA member which covers the period of time from the date of his/her last submission of a PSQ to the current date. The date and place of any previous divorce must be recorded.

(b) A PSQ completed (in English) by the intended spouse from the date of his/her birth to the current date. All requested information must be completed and all periods of time accounted for.

(c) A tabulated addendum to the intended spouse's PSQ listing the full name of all living first degree relatives (to include those listed on page 1 of the PSQ), relationship, date of birth, place of birth, residential address, occupation, identity and address of employer. Also required is a listing of the same information concerning any friends or second degree relatives who are employed by any foreign government. (First degree relatives are immediate family members; second degree relatives are relatives such as uncles, aunts, nephews, nieces, and cousins).

(d) A copy of the intended spouse's birth certificate (or other evidence of current citizenship) together with a certified English translation of the document.

(e) A signed and dated statement of the prospective spouse's intention towards future U.S. citizenship.

(f) A letter completed by the DIA member which addresses the following outline:

The detailed circumstances under which the individual met his/her intended spouse.

The inclusive periods of association and the nature of their association prior to the decision to marry. The projected date of marriage.

A listing of relatives of the intended spouse who have been met and the frequency and nature of contacts with them, together with a statement of the DIA member's feelings of affection or obligation to members of his intended spouse's immediate family.

If the intended spouse and/or members of his/her immediate family are involved in political activities in their native land, a description of the nature of their activity and political affiliation. If they are not politically involved so indicate.

Whether the intended spouse or any of the spouse's relatives have shown any interest in or have questioned the DIA member covering his/her duties or any classified information he/she may have access to.

An acknowledgement by the DIA member that marriage to a foreign national may adversely affect the member's current assignment and/or security clearance/access.

(g) One copy of any pre-marital investigation completed by the DIA military member's parent service or RSO, to include the status of any action taken in accordance with the Joint Regulation, "Marriage in Overseas Commands," reference j, Enclosure 1. (Reporting should not be delayed while awaiting the results of this type investigation. It should be forwarded separately if it has not been completed as of the reporting date).

(h) A complete "compelling need" justification, if appropriate, for the retention of the DIA member on station and/or in SCI status should be prepared in anticipation of the possible marriage to a non-US citizen. Such compelling need "exception to standards" requests are to be submitted by the appropriate (b)(2), (b)(3), (b)(10) Head of Special Office or higher ranking individual in accordance with paragraph 2, Chapter 2.

(2) Notification of the military member's intent to marry a foreign national will be made by (b)(2), (b)(3), (b)(10) to the parent service adjudication authorities. This does not relieve a DIA military member of making any required reports to his/her parent service.

(3) (b)(2), (b)(3), (b)(10) USC will make a security determination on continued SCI access, if applicable, and/or continued retention of the DIA member on station effective as of the date of marriage.

e. Cohabitation/Continuing Intimate Relationship with a Foreign National:

DIA members cohabiting or engaging in a continuing intimate relationship with a foreign national will furnish the documents indicated in paragraphs 3d (1) (a), (b), (c) and (d) above. In addition, a transmittal memorandum addressed through the (b)(2), (b)(3), (b)(10) Head of Special Office or higher level official outlining the following will also be submitted:

- (1) The detailed circumstances under which the DIA member met the foreign national.
- (2) The inclusive period of association, frequency of contact and the conditions under which contact has been accomplished.
- (3) The exact nature of the association.
- (4) The nature of and extent of any feelings of affection or obligation to the individual.
- (5) Whether the foreign national has ever shown interest in or requested any information of a classified or sensitive nature to include the specific nature of the DIA members duties.

f. Other Bonds of Affection or Obligation with a Foreign National:

DIA members who have established other bonds of affection or obligation with a foreign national will complete a PSQ on the foreign national to the extent that he/she is knowledgeable of the individual's background without soliciting further information from the foreign national in question and prepare a transmittal memorandum as outlined in paragraph 3e above.

g. Acknowledgement of Reports: (b)(2), (b)(3); 10 USC 424 will acknowledge reports submitted in paragraphs 3d, 3e, and 3f above. If an acknowledgement is not received within 30 days resubmit the report.

4. Limited Access Authorizations:

a. Foreign nationals employed by DIA are not eligible for U.S. security clearances. When compelling reasons exist that require foreign nationals to handle or process certain types of U.S. classified information, a Limited Access Authorization (LAA) is issued. LAA's are limited to the SECRET and CONFIDENTIAL levels only. (b)(2), (b)(3); 10 USC 424 is the sole authority within DIA to issue LAA's.

b. Within DIA the need for foreign nationals to handle U.S. classified information will usually be found only in the Defense Liaison Offices (DL's) and the Defense Attache Offices (DAO's) overseas, where agreements exist for the exchange of certain defined classified information with a host government. In these limited instances DIA foreign national employees have been used to process or translate the exchanged material. Such individuals, as a result, require a host country clearance for the level of host country material handled and an LAA for the level of U.S. classified material handled.

c. LAA's will be granted only for access to U.S. classified information specifically designated as releasable to the host country. *All other U.S. classified information will be handled and processed exclusively by properly cleared U.S. citizens.* An LAA requires that a 10 year scope background investigation (BI) be favorably completed and that the individual agree to undergo a U.S. administered counterintelligence scope polygraph examination prior to the issuance of an LAA. Periodic reinvestigations at five year intervals are required to maintain the LAA current.

d. LAA processing procedures are detailed in DIAM 100-1, reference t, Enclosure 1.

REFERENCES

- a. Executive Order 10450, "Security Requirements for Government Employees."
- b. DCID 1/14, "Personnel Security Standards and Procedures Governing Eligibility for Access to Sensitive Compartmented Information."
- c. Defense Management Review Decision (DMRD) No. 986, 11 December 1992, subject: Consolidation of Personnel Security Adjudication in DoD.
- d. DoD Directive 5105.21, "Defense Intelligence Agency."
- e. DoD Directive 5200.2, "DoD Personnel Security Program."
- f. DoD Directive 5220.22, "DoD Industrial Security Program."
- g. DoD S-5105.21-M-1, "DoD Sensitive Compartmented Information Security Manual-Administrative Security."
- h. DoD 5200.2-R, "DoD Personnel Security Program."
- i. DoD 5220.22-M, "National Industrial Security Program Operating Manual (NISPOM)."
- j. Joint Regulation AR 600-240/BUPERSINST 1752.1/AFR 211-18/MCO 1752.1, "Marriage in Overseas Commands."
- k. DIAR 12-12, "Implementation of the Privacy Act of 1974."
- l. DIAR 20-9, "Standards of Conduct."
- m. DIAR 50-11, "Foreign Travel."
- n. DIAR 50-17, "Foreign Contact."
- o. DIAR 50-36, "Reporting of Counterintelligence and Criminal Violations."
- p. DIAR 50-40, "Improper Use of Drugs."
- q. DIAR 54-2, "Foreign Intelligence Collection Efforts, Foreign Contacts and Counterintelligence Awareness Program."
- r. DIAM 50-1, "Sensitive Compartmented Information Security Management."
- s. DIAM 50-5, Vol I, "Sensitive Compartmented Information Contractor Administrative Security Volume I."
- t. DIAM 100-1, "Defense Attache Manual for Administration."
- u. DIA publication, "Handbook for Special Security Contact Officers," October 1992.
- v. U.S. Army Field Manual (FM) 34-60, "Counterintelligence."
- w. OSD memorandum I-90/10534, 11 September 1990, subject: Federal Personnel Manual (FPM) Chapters 731, 732, 736 and 754, Office of Personnel Management (OPM) Basic Installment 347.
- x. (b)(2), (b)(3)
10 USC 424 memorandum U-6,692, 19 December 1993, subject: Delegation of Authority.

GLOSSARY

Access:

a. 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. (DoD 5200.2-R).

b. The term used to denote the authorization which permits the individual to be exposed to Sensitive Compartmented Information. (b)(2), (b)(3); 10 USC 424

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. (DoD 5200.2-R)

Compelling Need:

The need of an organization to prevent failure or serious impairment of missions or operations that are in the best interest of national security. (DoD S-5105.21-M-1)

Current Personnel Security Document:

A personnel security form completed within 12 months of the current date. (b)(2), (b)(3); 10 USC 424

Current Personnel Security Investigation:

A personnel security investigation completed within five years of the current date. A break in Federal Service for more than 24 months during the five year period will invalidate the currency of the investigation and require a new or updated investigation. (b)(2), (b)(3); 10 USC 424

Determination Authority:

The individual designated by the Director DIA to make security clearance and SCI access determinations; to grant, deny and revoke. Within DIA this is (b)(2), (b)(3); 10 USC 424 memorandum 6.692, dated 19 December 1993).

Immediate Family:

Immediate family includes the individual's spouse, parents, brothers, sisters, and children. Immediate family members also include step and foster parents (in loco parentis); half, step and foster siblings; and adopted, step and foster children, provided that a close relationship existed or exists as evidenced by a substantial period of common residence. Cohabitants, with whom an intimate relationship is maintained, are also considered to be immediate family members for the purposes of this regulation. (b)(2), (b)(3); 10 USC 424

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. (DoD 5200.2-R)

There has been no break in Federal employment greater than 24 months since the investigations completion date; and,

Inquiry with the non-DoD Federal Agency reveals no reason why the clearance should not be accepted; and,

A review of the pertinent investigation determines that the investigation meets DoD collateral or Director of Central Intelligence (DCI) SCI investigative requirements as the case may be. Supplemental investigation will be requested when necessary to meet such requirements.

(c) The above processes are in addition to transfer-in-status procedures conducted through SSO's.

(d) A current personnel security history document (Personnel Security Questionnaire - PSQ) is required before a final DIA security determination can be completed. This may consist of a pen-and-ink update of a prior PSQ or similar such document or a constructive update of such a PSQ by use of a pre-printed form or a memorandum.

(e) If a current background investigation does not exist or if more than a 2 year break in Federal Service has occurred since completion of the investigation a new, pre-appointment investigation will be initiated for non-military personnel while the nominating military service will be requested to initiate an SSBI.

(2) Waiver of Pre-appointment SSBI or BI: Civilian applicants who are not the subject of a favorable, completed, current SSBI or BI may not be appointed to a DIA position pending completion of an SSBI in accordance with E.O. 10450, unless a Head of Special Office or higher ranking individual has made a determination that a delay in appointment would be harmful to the national interest. Such a determination, forwarded through the Office for Human Resources (b)(2), (b)(7)(C), (b)(2), (b)(3), (b)(7)(C) to (b)(2), (b)(3), (b)(7)(C) must be based on the national interest; for example, cite regulatory requirements, mission essential functions or responsibilities that cannot be met, together with the indication that other personnel are not available to complete these requirements. This determination must recognize the inherent risks of hiring actions not preceded by a pre-appointment SSBI. (This action cannot concurrently include a request for an exception of DCID 1/14 personnel security standards). In such instances the position may be filled upon the favorable completion of the following investigative checks:

(a) A review of individual's current PSQ.

(b) A personal interview of the individual conducted by an DIA Special Agent.

(c) Current National Agency Check (NAC) completed of all necessary agencies, if the individual has had a break in Federal Service exceeding 24 months or has not had a NAC completed during the preceding 5 years.

(d) Review of DIA Form 319, "Employment Interview Record."

(e) For current or former Federal civilian employees, a check of security office records at the individual's current or most recent federal employment or as otherwise determined by (b)(2), (b)(3), (b)(7)(C) to (b)(2), (b)(3), (b)(7)(C)

(f) DIS currently verifies U.S. citizenship during the conduct of SSBI's. If the individual's U.S. citizenship has not been verified and documented in available files the individual will be required to present acceptable documentary evidence of U.S. citizenship (Enclosure 3).

c. Employment/Assignment Security Acceptance: An offer of civilian employment or final acceptance of a military nominee will not be made until an affirmative, written security acceptance by (b)(2), (b)(3), (b)(7)(C) has been made to the appropriate DIA personnel office. An affirmative security acceptance document is valid for 2 years from the date of preparation.

2. Exceptions to SCI Eligibility Standards:

a. General: Requests for an exception to DCID 1/14 personnel security standards or investigative standards may be made when a compelling need (see Enclosure 2 for definition) exists for an individual to be granted SCI access.

Review Authority:

The individual designated by the Director, DIA to conduct final reviews for appeals of denial or revocation of security clearance/SCI access eligibility. Within DIA this is CS (b)(2), (b)(3) 1 memorandum 6,692, dated 19 December 1993).
DoD USC 424

Scope:

The time period to be covered and the sources of information to be contacted during the prescribed course of a PSI. (DoD 5200.2-R)

Security Clearance:

A determination that a person is eligible under the standards of DoD 5200.2-R, for access to classified information. (DoD 5200.2-R)

Sensitive Compartmented Information (SCI) :

Classified information concerning or derived from intelligence sources, methods, or analytical processes, that is required to be handled exclusively within formal access control systems established by the Director of Central Intelligence. (DCID 1/14)

Sensitive Compartmented Information (SCI) Access Eligibility:

A determination that a person is eligible for access to SCI and concurrently for TOP SECRET information under the personnel security standards of DCID 1/14. DMRD 986 eliminated the requirement for a prior qualifying TOP SECRET security clearance as part of the consideration for SCI access effective 1 October 1993. (b)(2), (b)(3) 10 USC 424

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. (DoD 5200.2-R) Also see Special Sensitive Position.

Significant Derogatory Information:

Information that could, in itself, justify an unfavorable administrative action, or prompt an adjudicator to seek additional investigation or clarification. (DoD 5200.2-R)

Single Scope Background Investigation (SSBI):

A personnel security investigation consisting of the following investigative requirements: NAC; spouse NAC (SNAC) ; subject interview; birth/citizenship checks; education, employment, local agency, public record and credit record checks; neighborhood, employment, listed and developed character reference interviews, accomplished within a 10 year scope. Replaced the BI and SBI effective 1 December 1991. (b)(2), (b)(3) 10 USC 424

Special Background Investigation (SBI):

A personnel security investigation consisting of investigative requirements as prescribed in paragraph 4, Appendix B, DoD 5200.2-R. 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. (DoD 5200.2-R)

Special Investigative Inquiry (SII) :

A supplemental personnel security investigation of limited scope, conducted by the Defense Investigative Service, to prove or disapprove relevant allegations that have arisen concerning a person upon whom a personnel security

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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 DoD 5200.2-R. (DoD 5200.2-R)

Special Sensitive Position:

Includes any position which the head of the agency determines to be in a level higher than Critical-Sensitive because of (1) the greater degree of damage that an individual by virtue of occupancy of the position, could effect to the national security, or (2) special requirements concerning the position under authority other than E.O. 10450 (e.g. DCID 1/14). (Chapter 732, Federal Personnel Manual and OSD memorandum 190/10534, 11 September 1990). All positions in DIA are special sensitive positions.

Suspension of Access:

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

(b)(2), (b)(3)-10 USC 424

United States Citizen (Native Born):

A person born in one of the 50 United States, Puerto Rico, Guam, American Samoa, Northern Mariana Islands, U.S. Virgin Islands; or Panama Canal Zone (if the father or mother (or both) was or is, a citizen of the United States). (DoD 5200.2-R)

Acceptable Documentary Evidence of U.S. Citizenship

(Extract of Appendix B, DoD 5200.2-R).

(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 multicolored seal of his office except for states or jurisdictions which, as a matter of policy, do not issue certificates with a raised or impressed seal. Uncertified copies of birth certificates are not acceptable.

(a) A delayed birth certificate (a record filed more than 1 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 subparagraph (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 U.S. certificate of naturalization shall be submitted if the individual claims U.S. citizenship by naturalization.

(3) A certificate of citizenship issued by the Immigration and Naturalization Service (INS) 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 Certificate 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 U.S. passport or one in which the individual was included will be accepted as proof of citizenship."

Personnel Security Reporting Requirements

a. Any significant change in the personal status of DIA personnel is to be reported to (b)(2), (b)(3): 10 USC 424

(1) Legal name change: Submit a memorandum outlining the circumstances of the change together with a copy of the legal decree.

(2) Change in Marital Status: Submit a memorandum listing indicated information:

(a) Marriage: Indicate name (if female, also indicate all prior married names and maiden name), and date and place of marriage. Identify the new spouse citing the following information: name, date and place of birth and SSAN. Also, complete one copy of DD Form 398-2, "National Agency Questionnaire (NAQ)," (March 1990 edition); Items 1 to 8, on the spouse and submit it as an enclosure to the memorandum. (U.S. citizen spouses complete a DD Form 398-2. Non-U.S. citizen spouses or spouses-to-be must complete DD Form 398 - See paragraph 3d, Chapter 5 for complete documentation required).

(b) Divorce: Submit a memorandum indicating name, name of former spouse, date and place of divorce.

(c) Cohabitation: Prepare a transmittal memorandum and attach one copy of DD Form 398-2 on the cohabitant. Complete Items 1 to 8.

(3) Change in residence: Submit a memorandum listing old and new addresses and date of change.

(4) Adoption of a foreign national child.

(5) Marriage or intended marriage of immediate family member to a foreign national.

(6) Close and continuing association with foreign nationals.

(7) Supplemental Employment: Complete DIA Form 780, "Off Duty Employment Record," per DIAR 20-9 and submit through channels to (b)(2), (b)(3): 10 USC 424 will advise (b)(2), (b)(3): 10 USC 424

b. The following information requires an interview. Contact (b)(2), (b)(3): 10 USC 424 and arrange for a personal interview:

(1) Wage garnishments, credit judgments, repossessions, tax liens or intentions to file for bankruptcy. Bring all appropriate documentation to the interview.

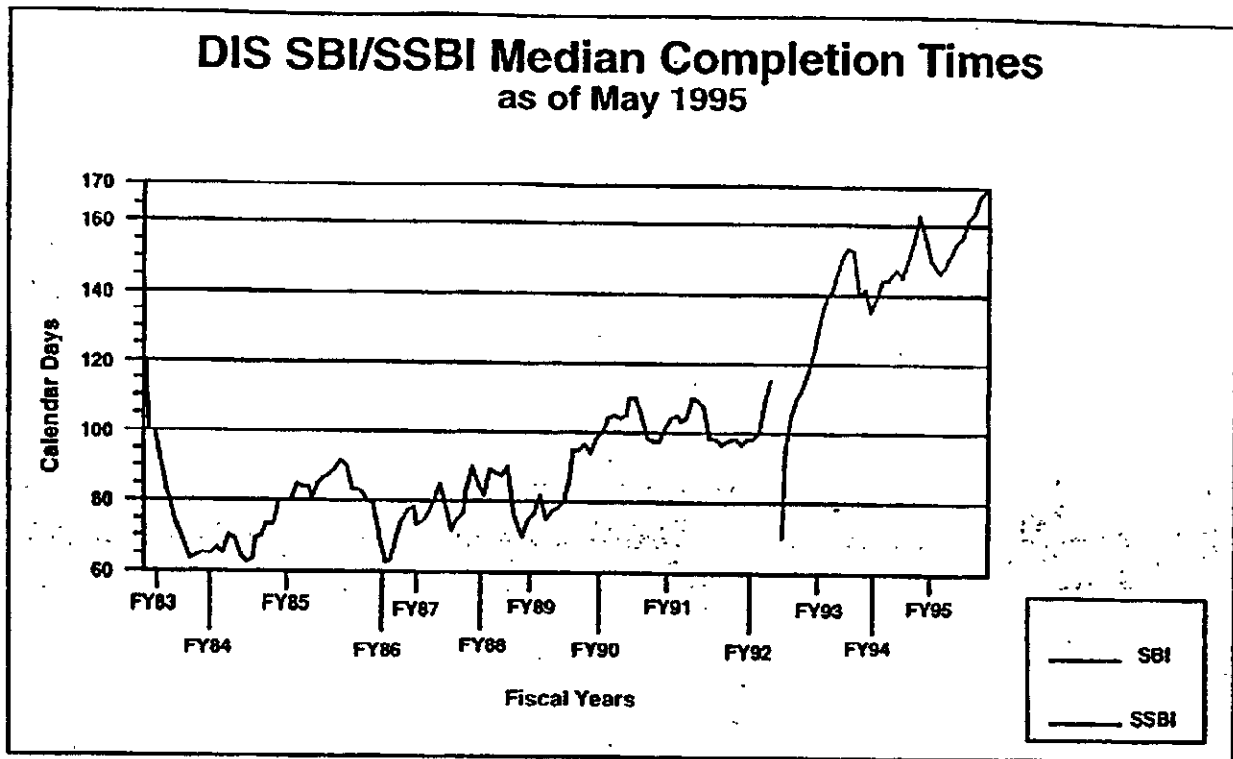
(2) Adverse involvement with law enforcement agencies. Report any arrests other than minor traffic violations for which a fine or forfeiture of \$100 or less was imposed. Arrests for "driving under the influence" or "driving while intoxicated" are not minor arrests. Arrests will be reported in a timely fashion (within 72 hours unless compelling circumstances exist) and will not be delayed pending the conclusion of any judicial action. Bring any documentation issued in conjunction with the reported action to the interview.

(3) Any mental health treatment or counseling.

c. The following information requires reporting in accordance with the cited regulation:

(1) Foreign travel reporting (DIAR 50-11).

(2) Foreign contact reporting (DIAR 50-17).



Personnel Security Processing Requirements

I. Security Nominations:

a. **Civilian Nominations:** Applicants who meet DIA professional and technical employment standards will be identified for security processing to (b)(2), (b)(3) on DIA Form 548, "Notification of Nomination (Civilian)." This includes any individual being considered for DIA employment who currently has a DIA issued SCI permanent certification.

(1) The following documentation will be enclosed with the DIA Form 548:

(a) One complete set (seven copies - one original and six reproduced copies) of a current, typed DD Form 398, "Personnel Security Questionnaire," (March 1990 edition), covering the past 10 years or age 18 to date. (If the individual is 20 years old or younger a minimum of 2 years coverage on the form is required).

(b) One completed copy of a typed DD Form 398-2, "National Agency Questionnaire (NAQ)," (March 1990 edition) for any spouse or cohabitant, and for each foreign born immediate family member 18 years of age or older. (Items 1 to 8).

(c) Two completed copies of FD-258, "FBI Fingerprint Card." (Fingerprinting can be accomplished by (b)(2), (b)(3) 10 USC 424 Building Manager - for contractors; most U.S. Government security offices; and by most local police stations).

(d) One completed copy of DIA Form 319, "Employment Interview Record."

(e) One copy of all completed OPM Optional Forms 49, "Inquiry for U.S. Government Use Only," received on the applicant.

(2) If the applicant has not been the subject of a current prior investigation which meets SCI access standards, an SSBI will be initiated by (b)(2), (b)(3) subsequent to a favorable pre-employment interview, if applicable. Upon completion of the investigation and a favorable security review, security acceptance correspondence will be forwarded to (b)(2), (b)(3) 10 USC 424

b. **Military Nominations:** Military nominations that meet DIA professional and assignment standards will be identified for security processing to (b)(2), (b)(3) 10 USC 424 on DIA Form 23, "Notification of Nomination (Military)."

(1) **Military Staff Nominations:**

Military service members nominated by their service for DIA staff duties must be SCI eligible and the subject of a current SBI or SBI-PR completed no more than 5 years prior to their scheduled EOD date at DIA. The nominating service, upon tentative DIA acceptance of the nomination, will be requested to initiate any required investigation; to provide DIA (ATTN: (b)(2), (b)(3) 10 USC 424) a copy of the request document (DD Form 1879, "Request for Personnel Security Investigation"); and to reflect DIA (Defense Intelligence Agency; ATTN: (b)(2), (b)(3) 10 USC 424) as the addressee in Item 19, "Return Results To," of the DD Form 1879.

(2) **Attache Nominations:**

(a) Military service members nominated by their service for attache or attache support duties must be SCI eligible and the subject of a current SBI or SBI-PR completed no more than 5 years prior to their scheduled arrival

at DIA for training (which may occur prior to the formal DIA EOD date). The nominating service, upon tentative DIA acceptance of the nomination, will be requested to initiate any required investigation; to provide DIA (ATTN: (b)(2), (b)(3); 10 USC 424) a copy of the request document (DD Form 1879); and to reflect DIA as the action addressee in Item 19 of the DD Form 1879 as indicated above.

(b) A complete current PSQ (and SBI Packet) will be furnished (b)(2), (b)(3); 10 USC 424 at the time the nomination is forwarded to (b)(2), (b)(3); 10 USC 424 for a DIA assignment security determination. A complete, current, typed DD Form 398, for the individual's spouse, if any, covering the past 10 years or from age 18 to date is concurrently required.

(3) Upon completion of a favorable security review a security acceptance memorandum will be forwarded to (b)(2), (b)(3); 10 USC 424

c. Contractor Nominees:

(1) DIA contractor nominees requiring SCI access, to include transfers in status, will be generally processed as outlined in paragraph 2, Chapter 3, Volume I, DIAM 50-5. Nominees, however, no longer require a TS clearance prior to an SCI access determination in accordance with DMRD 986, reference c, Enclosure 1.

(2) Upon favorable completion of a security review a DD Form 1557 authorizing SCI access will be issued.

(3) The security files of DIA contractor employees requiring access to DIA collateral clearance material are not reviewed by DIA. (b)(2), (b)(3); 10 USC 424 verifies the Defense Industrial Security Office (DISCO) clearance level, date of clearance and investigation basis for DIA's issuance of a DD Form 1557.

d. Consultant Nominees:

Consultant nominees will be processed in the same manner as DIA civilian nominations.

2. Verification of U.S. Citizenship:

a. The DIS SSBI contains direct verification of U.S. citizenship.

b. Civilian Appointees and Consultants: (b)(2), (b)(3); 10 USC 424 will verify the U.S. citizenship of civilian appointees and consultants, when necessary, during pre-employment security processing or at EOD. Also see paragraph 1 b(2), Chapter 2. Proof of U.S. citizenship will be made by viewing one of the listed documents in Enclosure 3.

c. Military Personnel: A basic assumption is made that the parent service verified U.S. citizenship upon the military members entry on active duty and/or upon issuance of a prior security clearance so no further action by DIA is indicated.

d. Contractor Personnel: The Defense Industrial Clearance Office (DISCO) verifies the U.S. citizenship of contractors on DISCO Form 561, "Defense Industrial Personnel Security Verification" in those cases where they have already reviewed the DIS investigation. The NISPOM, reference i, Enclosure 1, also requires contractors to verify U.S. citizenship and certify it to the clearance granting authority.

e. If the individual has had a legal change of name, a copy of the court decree will also be obtained and furnished to (b)(2), (b)(3); 10 USC 424

3. Security Acceptances:

a. Notification of security acceptance determinations of civilian applicants and military assignment nominations will be made to (b)(2), (b)(3); 10 USC 424 on a security acceptance memorandum completed by (b)(2), (b)(3); 10 USC 424. Security acceptances are valid for 2 years from the date of the acceptance correspondence.

b. All security non-acceptance determinations will be made by the Chief, (b)(2), (b)(3); 10 USC 424 or higher level authority. The responsible (b)(2), (b)(3); 10 USC 424 element will ensure that such individuals are not accepted for employment, or are diverted from

a DIA assignment, prior to their arrival at DIA. Such individuals will not be security processed by (b)(2), (b)(3)
10 USC
424 if the individual arrives at DIA despite the diversion action.

4. Preparation of Security Forms:

a. Security forms such as the PSQ are permanent documents which, during the course of time, must be reproduced numerous times for use by investigating elements, investigation control offices, and adjudicative personnel. Such forms along with investigative results are subsequently recorded on microfiche for storage and any eventual future use. It is therefore necessary to ensure that these documents are legibly completed and neatly organized to permit efficient and effective use of PSI resources.

b. All security forms completed by DIA personnel will be *typewritten*, logically and neatly organized, and completed in accordance with the instructions furnished for preparation of the security forms. The DD Form 398 and DD Form 398-2 are contained in the Forms Engine module available to nearly all DIA elements. Maximum use should be made of this capability. Occasionally, an applicant will not have access to a typewriter. In these limited situations security forms may be completed by printing the necessary information in black or blue-black ink in a logical, neat, and organized fashion. Unacceptable security forms will be returned without action by (b)(2), (b)(3), 10 USC
424

c. All DIA personnel will be afforded adequate duty time, if necessary, to complete required security forms.

d. DD Form 398, dated March 1990 or subsequent current editions will be used by DIA personnel. Editions of the DD Form 398 dated prior to March 1990 will not be used.

e. A current PSQ is required at the time an individual is nominated for assignment/employment. All personnel will subsequently update, by pen and ink changes, their last PSQ at the time of their entrance on duty at DIA. These PSQ's will be maintained current by constructively updating them whenever any of the conditions listed in Enclosure 4 occur and on the occasion of any security interview conducted by DIA Special Agents.

f. Minor changes to PSQ's, other than PSQ's required for PR updates, may be effected by pen and ink changes on the most recent PSQ or via memorandum. All pertinent information required by the PSQ for the changed item should be furnished, and the PSQ or advisory memorandum will be signed and dated as of the submission date.

5. EOD Security Processing:

(a) All individuals not reflected as SCI eligible in the Defense Clearance and Investigations Index (DCII) will be subject to EOD security processing which will include:

- (1) A review of the individual's security forms, update of information and signature of forms.
- (2) A personal interview.
- (3) If military, a review of military medical and personnel files, if available.

(b) General/Flag officers and civilian equivalents are generally exempted from the interview requirement. They will be requested to update their PSQ's by making appropriate pen and ink changes on the most recent PSQ and re-dating and re-signing the form.

6. Pre-employment or EOD Security Screening Interviews:

This is a type of personal interview conducted by a DIA special agent to review an individual's security background. DIA pre-employment or EOD interviews meet the DoD criteria for pre-SSBI interviews. These interviews are conducted to make a determination, on the basis of available evidence, as to whether the individual clearly does not meet DCID 1/14 standards without the necessity of further investigation. Individuals who clearly do not meet DCID 1/14 standards will not be further processed. The results of DIA pre-employment or EOD interviews will be submitted to the Defense Investigative Service if an SSBI is concurrently required.

7. Military Medical/Personnel File Reviews:

Individual military medical and personnel files should be made available by (b)(2), (b)(3) 10 USC 424 for review by DIA Special Agents for all military personnel scheduled for a security interview on their EOD date. EOD security processing cannot be properly completed without these file reviews.

8. FBI-ID Checks:

An FBI-ID technical fingerprint check may be completed as a "name check only" because of unclassifiable fingerprints. DIA will make a second attempt to obtain a valid technical fingerprint check in all such cases, by submitting a second set of fingerprint cards. Issuance of required access or clearance will not be delayed because of the second FBI-ID Check. Should the second attempt also result in unclassifiable fingerprints, no further attempts will be made to obtain a current check. DoD policy does not require additional fingerprint checks once a classifiable set of print is on file with the FBI.

9. On-Station Checks:

a. The assignment of DIA personnel in Embassies located around the world, many in countries which have restrictions on U.S. investigative activities, has created problems in updating personnel security investigations. DIA has developed a system, referred to as "on-station checks", to alleviate part of the problem caused by the physical dispersion of DIA personnel and local foreign restrictions on U.S. investigative activities. When necessary, the appropriate Defense Attache (DATT) is requested to appoint a senior individual to conduct a minimum of three interviews of co-workers and supervisors, and checks of available records concerning the loyalty and character of the individual whose background requires updating.

b. Adverse information developed by these activities or records checks will not be used as a basis for an adverse security action, nor are copies of such interviews or checks releasable outside of DIA. Should any such interview or records checks develop adverse security information, appropriate follow-up investigation by DIA Special Agents will be conducted to include a re-interview or recheck of the original source(s) of any such information. The results of the latter interviews or records checks may be used as the basis for an adverse security determination.

10. Classified Information Non-Disclosure Agreement:

All military and civilian personnel, consultants and other personnel who by association with DIA are cleared for access, or are granted a Limited Access Authorization (LAA), to classified collateral information are required, as a condition of such access, to execute a Standard Form (SF) 312, "Classified Information Non-Disclosure Agreement." This will be done prior to any such access and upon completion of EOD security processing, if applicable, and a collateral security briefing. Upon termination of access to classified information all such individuals, to include individuals granted an LAA, will complete the Security Debriefing Acknowledgement contained on the back side of the SF 312. All SF 312's will be filed in the individual's security file. This requirement is in addition to the requirement for completion of DD Form 1847-1, "Sensitive Compartmented Information Non-disclosure Agreement (NDA)," part of the SCI indoctrination program as outlined in Paragraph 5, Chapter 5, DIAM 50-1.

15 June 1995

DIAM 50-8

UNITED STATES GOVERNMENT
memorandum

DATE:
REPLY TO: (b)(2),(b)(3):10 USC 424
ATTN OF:

SUBJECT: Periodic Reinvestigation

TO:

1. A review of personnel security files reveals that your background investigation requires a 5-year periodic reinvestigation (PR) update. The enclosed security forms must be completed to cover the period from _____ to the present.

2. To accomplish the PR, the Defense Investigative Service requires completion of the following forms:

a. DD Form 398. One TYPED original and six copies. Original form must be signed before copying. Reproduced copies should be single page copies (vice back-to-back copies). Authority for Release of Information and Records (page 2 of DD Form 398) must be completed and signed. In accordance with a decision by the US Court of Appeals, items 23.a. and 23.c. page 6, must not be answered and must remain blank.

b. DD Form 398-2. PLEASE NOTE: This form is to be used only if there has been a change in your marital status since the date of your last investigation, or for a fiancée or a cohabitee. One TYPED and one copy - completing items 1 through 8 only.

c. DD Form 258 (Fingerprint Cards) are required only if included with the packet.

3. PLEASE NOTE: DD Forms 398 and 398-2 are now in the DIA LANS Form Engine. You are encouraged to use the forms engine for completion of the forms. However, because of the original signature requirements on the first copy, including the Authority for Release of Information and Records page, the forms cannot be electronically transmitted to (b)(2),(b)(3):10 USC 424. If you do not use the hard copy forms that are forwarded with this memo, please return them with your completed PR packet to (b)(2),(b)(3):10 USC 424 for reuse.

(b)(2),(b)(3):10
USC 424

OPTIONAL FORM NO. 10
(REV. 1-60)
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5010-114

15 June 1995

4. A 45-day, automatic tracking suspense has been levied on this requirement. IF YOUR PR FORMS ARE NOT SUBMITTED WITHIN THE 45-DAY SUSPENSE OR AN EXTENSION HAS NOT BEEN GRANTED, THE PR REQUIREMENT WILL BE OFFICIALLY TASKED THROUGH THE AUTOMATIC TASKING SYSTEM. Questions and/or requests for extensions may be referred to the PR Case Officer, (b)(2), (b)(3) 10 USC 424

(b)(2), (b)(3) 10 USC 424

(b)(2), (b)(3) 10 USC 424

15 June 1995

DIAM 50-8

UNITED STATES GOVERNMENT

memorandum

DATE:

REPLY TO: (b)(2),(b)(3):10 USC
ATTN OF: 424

SUBJECT: Periodic Reinvestigation

TO: Supervisor of _____

1. The above-named individual is scheduled for a routine Periodic Reinvestigation (PR). Department of Defense policy now requires supervisory input prior to initiation of this investigation. In this regard, please complete the attached form and return it in a sealed envelope within two weeks to

(b)(2),(b)(3):10 USC 424

Problem areas that are reportable on the form include, but are not limited to, alcohol abuse, financial difficulties, unfavorable involvement with law enforcement agencies, mental/emotional problems, foreign contacts, and improper use of drugs. It is also possible that representatives of the Defense Investigative Service may contact you in person during the course of the PR as an employment reference or as follow-up to information provided by you on the form.

2. Appropriate PR forms have been forwarded to the above-named individual for completion and return to (b)(2),(b)(3):10. A 45-day suspension has been established for the return of these forms to (b)(2),(b)(3):10. Questions concerning Periodic Reinvestigation or supervisory forms may be addressed to the PR Case Officer, (b)(2),(b)(3):10 USC 424 at

(b)(2),(b)(3):10 USC 424

3. Supervisors play a vital role in maintaining the security integrity of this Agency by remaining alert to potential security problems and promptly reporting them. We all work hard to support the Agency's mission and none of us can afford to see our efforts compromised through unreported security vulnerabilities. Your cooperation in the PR program is appreciated.

(b)(2),(b)(3):10 USC 424

OPTIONAL FORM NO. 10
(REV. 1-80)
GSA FPMR (41 CFR) 101-11.6
5010-114