

PERSONNEL SECURITY BRIEFING

APPROVED FOR RELEASE
DATE: 29-May-2012

4

OBJECTIVES

- Outline minimum Personnel Security Standards and Procedures Governing Eligibility for Access to Classified Information
 - EO 12968, DCID 6/4
- “Need-to-Know principle”

Personnel Security Standards

- US citizenship of Subject & Immediate Family
- Family members and/or others where bonds of affection or obligation is present must be free of physical, mental or other forms of duress by a foreign power, those involved in criminal activity, or advocating overthrow of the US Government.
- Unquestioned loyalty to US Gov't, stable, trustworthy, reliable, and of excellent character, judgment and discretion.

Executive Order 12968

- Presidential Order
 - President Clinton August 1995
- Establishes Requirements for Eligibility for Access to Classified Information
 - Initial Investigation
 - Aperiodic Reinvestigation
 - Appeals Rights

Investigative Requirements

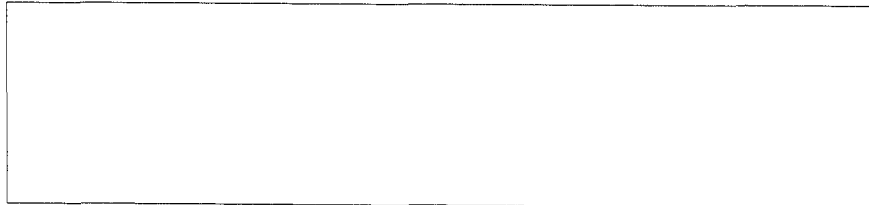
- Agency Requirements
 - Application for Employment (paperwork)
 - Law Enforcement Checks and Credit Check
 - Background Investigation with Subject Interview
 - Polygraph (agencies with approved polygraph programs.)

Investigative Resources & Tools

- Personal History Statement
 - Biographical
 - Birth & Citizenship
 - Marital status, family members
 - Education, Employment, References
 - Personal declaration re drug and alcohol use, financial difficulties, arrests, etc.
- Law Enforcement Checks
 - Check with other government Agencies

Investigative Tools Continued

- Background Investigation
 - Subject interview with investigator
 - Coverage since age 18 or 7 years
 - Education, employment, neighborhoods
 - References – both listed and developed
- Polygraph – Polygraph is used to vet those issues contained in DCID 6/4
- Credit Bureau



Personnel Security

‘a life-cycle approach’

- Not a one-time, do it and forget it process
- Concerns and awareness from hiring to separation
 - Both Pre-employment Security and Counterintelligence Screening
- Initial
 - Upfront security and suitability screening
 - Conduct risk/gain assessment and employment decision
- Aperiodic Reinvestigation
 - May occur at different intervals during the career
 - Ongoing suitability and security assessment
 - Management, HR, Security and OMS input critical
- Termination

Monitoring

Monitoring Tools

- Foreign national contact reporting
- Foreign travel reporting
- Outside activities reporting
- Financial Disclosure Form
 - Baselines assets and liabilities; identifies changes in following years. Disclose assets/income
 - Public records – land records, divorce, inheritances
 - Commercial Databases – information resellers
 - Government records – motor vehicles, boat & aircraft registration, US Treasury, Internal Revenue Service
 - Bank records (consistent with bank secrecy laws of the US and or Federal law enforcement access)

Reinvestigations

REINVESTIGATIONS

- Aperiodic
- Updated background investigation
- Polygraph

Appeal Rights

- Provide individual with a written explanation of the basis of disapproval
- Allow representation by counsel or other representative
- Allow to reply in writing and to appear in person to present relevant material for their appeal
- Have request reviewed by senior officers who were not involved in the initial decision

Decision Making Criteria

- Adjudicative Considerations
 - Nature/extent/circumstances
 - Frequency and recency
 - Subject's age & maturity at time of incident(s)
 - Presence of rehabilitation or behavioral changes
 - Motivation of the conduct
 - Potential for pressure, coercion, exploitation, or duress
 - Likelihood of continuation or recurrence

Decision Making Criteria

DCID 6/4 (Revised 12/29/05)

STATES CONCERNS, CONDITIONS THAT
RAISE CONCERNS, AND POSSIBLE
MITIGATION OF THOSE CONCERNS

- Allegiance to the United States
- Foreign Influence
- Foreign Preference
- Sexual Behavior
- Personal Conduct
- Financial Considerations

DCID 6/4 Continued

- Alcohol Consumption
- Drug Involvement
- Psychological Conditions
- Criminal Conduct
- Handling Protected Information
- Outside Activities
- Use of Information Technology Systems

DCID 6/4

Concerns and Mitigators

- Allegiance to the US
 - Concerns: Involvement, Acts, and or Association with persons re: sabotage, espionage, treason, terrorism against US
 - Mitigators: Unwitting and or unaware of unlawful aims
 - severed ties and relationships upon becoming aware
- Foreign Influence
 - Concerns: Immediate family members or persons with whom there are close ties of affection or obligation – foreign country or government
 - Mitigators: Relationships determined to not present loyalty conflicts; contacts are casual and infrequent; prompt and proper reporting of FN contacts

Concerns and Mitigators

Continued

- Foreign Preference
 - Concerns: Dual citizenship, foreign passport, residence, military service
 - Mitigators: Activities prior to gaining US citizenship; willingness to renounce
- Sexual Behavior
 - Concerns: Criminal in nature; compulsive, addictive, high risk, coercion, etc.
 - Mitigators: Dated, adolescence; not exploitable, no current judgment/emot. Concerns

Concerns and Mitigators

Continued

- Personal Conduct
 - Concerns: Omission, concealment, falsification of information; pattern of dishonesty; rules violations
 - Mitigators: Isolated, dated, presently cooperative. Actions based on legal advice; improper guidance by authorized personnel; unsubstantiated
- Financial Considerations
 - Concerns: Unwillingness or inability to satisfy debts; deceptive or illegal practices; linked to gambling, drug use, etc.
 - Mitigators: Isolated, dated. Situational beyond control; good faith efforts to repay/resolve debts

Concerns and Mitigators

Continued

- Alcohol Consumption
 - Concerns: Criminal incidents related to alcohol use; diagnosis of abuse/dependency; incidents affecting home/work
 - Mitigators: Isolated, dated, no evidence of a pattern; positive changes; successful treatment and rehab
- Drug Involvement
 - Concerns: Abuse; manufacture, sale, etc. Dependency, failed rehabilitation
 - Mitigators: Not recent; isolated; demonstrated intent not to use, successful rehab
 - Mitigators: Dated; isolated; not voluntary; acquittal; successful rehabilitation

Concerns and Mitigators

Continued

- Psychological Conditions
 - Concerns: High-risk, irresponsible; aggressive, unstable. Demonstrated judgment concerns; medical diagnosis
 - Mitigators: Recent medical opinion that disorder is controlled and indiv is complying with treatment plan, temporary, situational, no longer unstable
- Criminal Conduct
 - Concerns: Allegations or admissions of criminal conduct, whether formally charges, prosecuted or convicted. Single serious crime or multiple lesser offenses

Concerns and Mitigators

Continued

- Handling Protected Information
 - Concerns: Unauthorized disclosure of classified info; deliberate or multiple, negligence. Collecting or storing class info in an unauthorized location; efforts to obtain classified outside one's need-to-know
 - Mitigators: Inadvertent, isolated, improper training, positive attitude demonstrated
- Outside Activities
 - Concerns: Service, employment by/with a FN gov't FN national or other conflict, and failure to report activity
 - Mitigators: Willingness to terminate activities; no conflict evident re: Subj discharging security responsibilities

Concerns and Mitigators

Continued

- Use of Information Technology Systems
 - Concerns: Illegal or unauthorized entry, modification, destruction or manipulation into any information technology system; Unauthorized removal and or introduction of hardware, software or media into an information technology system
 - Mitigators: Misuse was not recent or significant, unintentional or inadvertent; isolated event; misuse followed by prompt, good faith effort to correct situation