



Department of Defense Education Activity
ADMINISTRATIVE INSTRUCTION

NUMBER 4800.6

October 15, 2008

SAFETY AND SECURITY

SUBJECT: Personnel Security and Suitability Program

REFERENCES: See Enclosure 1

1. PURPOSE.

This Administrative Instruction:

a. Replaces DoDEA Manual 5800.1 (Reference (a)) to update policy and responsibilities for the Personnel Security and Suitability Program.

b. Applies standards, criteria, and guidelines upon which personnel security and suitability determinations shall be based in accordance with DoD 5200.1-R (Reference (b)), DoD 5200.2-R (Reference (c)), WHS Administrative Instruction 23 (Reference (d)), DoD Instruction 1402.5 (Reference (e)), 5 CFR parts 731, 732, and 736 (Reference (f)), Director of Central Intelligence Directive 6/4 (Reference (g)), DoD 5105.21-M-1 (Reference (h)), and DoD Instruction 5240.6 (Reference (i)), which prescribes the kinds and scopes of personnel security investigations required by Reference (c), 5 CFR parts 732 and 736 (Reference (f)), References (g) through (i), DoD Instruction 2000.16 (Reference (j)), and DoDEA Administrative Instruction 4700.3 (Reference (k)).

c. Prescribes requirements applicable to contracts for child care services in accordance with Reference (e).

d. Authorizes the publication of supplemental guidance.

2. APPLICABILITY. This Administrative Instruction applies to:

a. The Office of the Director, Department of Defense Education Activity (DoDEA); the Director, Department of Defense Domestic Dependent Elementary and Secondary Schools, and Department of Defense Dependents Schools, Cuba (DDESS/DoDDS-Cuba); the Director, Department of Defense Dependents Schools, Europe (DoDDS-E); the Director, Department of

Defense Dependents Schools, Pacific and Domestic Dependent Elementary and Secondary Schools, Guam (DoDDS-P/DDESS-Guam); and all DoDEA District Superintendents, School Principals, Teachers, Support Staff, and contractors' employees.

b. All DoDEA applicants and appointees.

3. DEFINITIONS. See Glossary.

4. POLICY. It is DoDEA policy that the Department of Defense (DoD) Personnel Security, Information Security, and Suitability programs are effectively implemented in accordance with DoD policy established pursuant to References (a) through (g).

5. RESPONSIBILITIES. See Enclosure 2.

6. EFFECTIVE DATE. This Administrative Instruction is effective immediately.



Dr. Shirley A. Miles
Director

Enclosures

1. References
 2. Responsibilities
 3. Position Sensitivity and Security Clearance Criteria and Procedures
 4. Job Positions Justifying Special Sensitive, Critical Sensitive, or Non-Critical Sensitive Designation
 5. Investigations and Background Checks Used by DoDEA
 6. Investigation Initiating Procedures
 7. Suitability
 8. Information Security Program Procedures
 9. Visit Request
- Glossary

ENCLOSURE 1

REFERENCES

- (a) DoDEA Manual 5800.1, "Policies and Processing of Personnel Security & Suitability Program," October 21, 1998 (hereby canceled)
- (b) DoD Regulation 5200.1-R, "Information Security Program," January 14, 1997
- (c) DoD Regulation 5200.2-R, "Personnel Security Program," January 1987, as amended
- (d) WHS Administrative Instruction 23, "Personnel Security Program and Civilian Personnel Suitability Investigation Program," December 20, 2006
- (e) DoD Instruction 1402.5, "Criminal History Background Checks on Individuals in Child Care Services," January 19, 1993
- (f) Parts 731, 732, and 736 of title 5, Code of Federal Regulations
- (g) Director of Central Intelligence Directive No. 6/4, "Personnel Security Standards and Procedures Governing Eligibility for Access to Sensitive Compartmented Information," July 2, 1998
- (h) DoD 5105.21-M-1, "Department of Defense Sensitive Compartmented Information Administrative Security Manual," March 1995
- (i) DoD Instruction 5240.6, "Counterintelligence (CI) Awareness, Briefing, and Reporting Programs," August 7, 2004
- (j) DoD Instruction 2000.16, "DoD Antiterrorism Standards," October 2, 2006
- (k) DoDEA Administrative Instruction 4700.3, "Application and Background Checks for Department of Defense Education Activity School Volunteers and Student Teachers," May 15, 2006.

ENCLOSURE 2

RESPONSIBILITIES

1. Director, DoDEA. The Director, DoDEA, or designee, shall establish this Administrative Instruction to delegate authority, responsibilities, and duties for its implementation.

2. DoDEA Headquarters (HQ) Personnel Security Program Manager. The DoDEA HQ Personnel Security Program Manager, under the DoDEA HQ Chief, Office of Safety and Security (OSS) shall:

a. Provide advice and assistance with the implementation of personnel security procedures prescribed by References (b) through (e), part 732 of Reference (f), and this Administrative Instruction.

b. Implement and process References (b) and (d) program standards, policy, and related program requirements; including the issuance and management of interim and final DoD security clearance access and visit requests, and administrative withdrawal of security clearance access for just cause.

c. Coordinate with the DoDEA HQ Chief, OSS, to utilize HQ, Area, and district DoDEA Safety and Security Officers to assist and ensure the implementation of Personnel and Information Security services when necessary.

d. Develop and implement an activity-wide personnel security training program.

e. Represent DoDEA's Personnel Security program efforts through the DoD Security Awareness and Education Working Group and other forums.

f. Maintain liaison with applicable offices of the Office of Personnel Management (OPM), Washington Headquarters Services, and DoD components relative to the Personnel and Information Security program for DoDEA.

g. Monitor and report DoDEA compliance in implementing personnel security standards and procedures.

3. The Director, DoDEA Human Resources Regional Service Center (HRRSC). The Director, HRRSC, shall:

a. Provide advice and assistance with respect to implementation of suitability procedures in this Administrative Instruction.

b. Implement and process suitability program standards, policy, and related program standards, in accordance with Reference (e), and parts 731 and 736 of Reference (f).

- c. Monitor and report compliance in implementing suitability standards and procedures.
- d. Ensure HQ HRRSC specialists, district HRRSC specialists and district site liaisons are trained and current on OPM requirements for processing “suitability-for-employment”-type investigations.
- e. Provide HQ customer operations teams technical support.
- f. Allocate sufficient resources to provide services required by this Administrative Instruction.

4. DoDEA HQ Customer Operations Team Members. The DoDEA HQ Customer Operations Team Members shall:

- a. Ensure all employees, applicants, and appointees hired stateside (i.e., HQ staff, continental United States (CONUS) hires, etc.) are provided with all required background investigation forms in accordance with the type of investigation required for the specific job description.
- b. Conduct a thorough review of all forms to ensure they are completed in their entirety, that incomplete form(s) are returned for additional information or correction, and corrected documents are forwarded to OPM.
- c. Forward suitability for employment investigation packages within 14 days of placement to OPM for initiation of appropriate investigations.

5. DoDEA HQ Labor/Management Employee Relations & Development Branch Members. DoDEA HQ Labor/Management Employee Relations & Development Branch Members shall:

- a. Conduct a suitability review on all completed suitability-for-employment investigations for DoDEA employees. Reviews will not be conducted by this branch for investigations of specified school volunteers and student teachers, or for a DoD personnel security clearance.
- b. Request additional information from the subject of an investigation if his or her completed suitability-for-employment investigation reveals derogatory issues that could not be resolved through standard investigative procedures.
- c. Make a determination whether the subject of the investigation is suitable for employment with DoDEA, or for employment with a contractor providing child care services to DoDEA when asked to do so by the contracting officer, contracting officer representative (COR), or program manager of the contract.
- d. Forward completed Certification of Investigation forms to the cognizant DoDEA HQ customer operations team to enter the investigation data into the personnel database and file the certificate permanently in the DoDEA employee’s official personnel folder.

e. Notify the appropriate DoDEA supervisor of the need to initiate adverse personnel action over an employee who is not suitable.

6. The Director, DDESS/DoDDS-Cuba; the Director, DoDDS-E; and the Director, DoDDS-P/DDESS-Guam (hereafter referred to collectively as the “Area Directors”). The Area Directors shall implement and monitor compliance with this Administrative Instruction.

7. DoDEA District Superintendents. The DoDEA District Superintendents shall:

a. Monitor compliance with this Administrative Instruction.

b. Provide district HRRSC field offices or DDESS HRRSC site liaisons technical support and resources, as required.

8. DoDDS HRRSC Field Office Personnel and DDESS Human Resources (HR) Site Liaisons. The cognizant DoDDS HRRSC Field Office Personnel and DDESS HR Site Liaisons shall:

a. Ensure all local employees, applicants, and appointees are notified in writing of the sensitivity of the position they are occupying and are provided with all applicable background investigation forms in accordance with the type of investigation required for the specific job description.

b. Conduct a thorough review of all forms to ensure they are completed in their entirety, and that any incomplete form(s) are returned for additional information or correction.

c. Forward suitability for employment investigation packages within 14 days of placement to OPM for initiation of appropriate investigations.

d. Adjudicate suitability of DoDEA contractors’ employees under the standards prescribed in this Administrative Instruction and Enclosure 6 of Reference (e), regarding contracts for childcare services providers (when asked to do so by the contracting officer, COR, or program manager of the contract).

9. DoDEA Employees, Applicants, and Appointees. All DoDEA Employees, Applicants, and Appointees shall:

a. Complete applicable personnel security questionnaires and all other required background investigation forms, in their entirety, and return to the cognizant DoDEA HQ customer operations team, DoDDS District HRRSC Field Office, DDESS HRRSC site liaison, and DoDEA HQ Personnel Security Program Manager, as appropriate, within 30 days upon receipt of the investigation package.

b. Provide all additional information and/or documents requested, and submit by the posted suspense date.

c. Obtain Personnel Security Education training as required by Enclosure 8.

d. Respond within the time limit prescribed with the required security forms and provide or permit access to relevant information required. Failure to respond, and provide or permit access to relevant information, may result in termination of the individual's employment with DoDEA, assignment to sensitive duties, or security clearance in accordance with Reference (b) and part 731 of Reference (f).

10. DoDEA Procurement Officers/Contracting Officers. The DoDEA Procurement Officers/Contracting Officers shall:

a. Review solicitations and contracts that involve child care services and ensure they contain language in the performance-based statements of work required by Reference (e).

b. Verify, during post-award conferences, that contractors are initiating background checks on all employees who will be performing services with DoDEA schools that have direct interface with child care services as prescribed by Enclosure 7 of Reference (e).

11. DoDEA Program Managers, CORs, and Personnel. The DoDEA Program Managers, CORs, and Personnel shall:

a. Be responsible for overseeing performance work statements (PWS) and quality standards on services contracts regarding suitability for employment as required by Reference (e).

b. Include the following language in the PWS on all requirements where the contractor may be in direct contact with schools and/or school children as outlined in Reference (e).

c. "Criminal Background Checks: In the event that unsupervised contact with students or unescorted access to facilities are required by contract, a satisfactory criminal background check must first be performed on each identified contract employee prior to unsupervised student contact or unescorted facility access being granted. Proof of an acceptable background check must be presented to the government's point of contact listed in the applicable contracting instrument. The following requirements apply:

(1) U.S. Citizens – Unescorted Access. Each contractor employee must pass a background check in accordance with Reference (e).

(2) Non-U.S. Citizens – Unescorted Access. A local host nation police background check is the only background check requirement (References (e) and (j))."

d. Ensure that the contractor has promptly provided the proper criminal history background checks and related documentation required by the contract and Reference (c).

ENCLOSURE 3

POSITION SENSITIVITY AND SECURITY CLEARANCE CRITERIA AND PROCEDURES

Position Sensitivity. OPM has established four levels of position sensitivity. The four levels and the criteria to be applied in designating the level of sensitivity are:

1. Special Sensitive

- a. Specific mission requirement and the individual's need to know.
- b. The individual requiring access to Sensitive Compartmented Information (SCI) must be a U.S. citizen.
- c. The individual's immediate family must also be U.S. citizens.
- d. Members of the individual's immediate family and any other 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 or by persons who may be or have been engaged in criminal activity, nor advocate the use of force or violence to overthrow the Government of the United States or the alteration of the form of Government of the United States by unconstitutional means.
- e. The individual must be stable, trustworthy, reliable, of excellent character, judgment, and discretion, and of unquestioned loyalty to the United States.

2. Critical Sensitive

- a. Access to Top Secret information.
- b. Development or approval of plans, policies, or programs that affect the overall operations of the DoD or of a DoD Component.
- c. Development or approval of war plans, plans or particulars of future major or special operations of war, or critical and extremely important items of war.
- d. Investigative and certain investigative support duties, the issuance of personnel security clearances or access authorizations, or the making of personnel security determinations.
- e. Fiduciary, public contact, or other duties demanding the highest degree of public trust.
- f. Duties falling under Special Access programs.
- g. Any other position so designated by the Director, DoDEA, or designee.

3. Non Critical Sensitive

- a. Access to Secret or Confidential information.
- b. Security Forces/Provost Marshal-type duties involving the enforcement of law and security duties involving the protection and safeguarding of DoD personnel and property.
- c. Category II automated data processing positions.
- d. Duties involving the design, operation, or maintenance of intrusion detection systems deployed to safeguard DoD personnel and property.
- e. Any other position so designated by the Director, DoDEA, or designee.

4. Non Sensitive

- a. No access to classified information is required or authorized.
- b. None of the criteria listed above applies.

5. Changes in Position Sensitivity. If any job position requires an upgrade to a Special Sensitive, Critical Sensitive, or Non-Critical Sensitive position designation, the following procedures must be followed:

- a. Contact the DoDEA HQ Personnel Security Program Manager for specific instructions to request upgrades to Special Sensitive positions.
- b. Submit, by memorandum, requests for an upgrade to Critical Sensitive and Non-Critical Sensitive positions to the Chief, DoDEA Staffing, Classification and Compensation; through the DoDEA HQ Personnel Security Program Manager. The request must include the current position sensitivity, the requested position sensitivity, the specific justification for the upgrade, and be signed by the supervisor.

ENCLOSURE 4

JOB POSITIONS JUSTIFYING SPECIAL SENSITIVE, CRITICAL SENSITIVE, OR NON-CRITICAL SENSITIVE DESIGNATION

The following listed duty positions in DoDEA are representative, but not all inclusive, of job positions justifying either a Special Sensitive, Critical Sensitive, or Non-Critical Sensitive designation in block 11 of their OF-8 Position Description document in DoDEA.

1. Special Sensitive. Special justification is required.
 - a. Associate Director for Financial and Business Operations (DoDEA Headquarters).
 - b. Chief, HQ DoDEA Office of Safety & Security.
 - c. Personnel Security Program Manager (HQ DoDEA Office of Safety & Security).
 - d. As directed and justified by the Director, DoDEA.

2. Critical Sensitive
 - a. Director, DoDEA.
 - b. Principal Deputy Director and Associate Director for Education, DoDEA.
 - c. Director-DoDDS-E.
 - d. Deputy Director-DoDDS-E.
 - e. Chief of Staff (Director-DoDDS-E).
 - f. Director-DoDDS-P/DDESS-Guam.
 - g. Deputy Director-DoDDS-P/DDESS-Guam.
 - h. Director-DDESS/DoDDS-Cuba.
 - i. Deputy Director-DDESS/DoDDS-Cuba.
 - j. General Counsel (DoDEA Headquarters).
 - k. Security Specialist (2) (HQ DoDEA Office of Safety & Security).
 - l. DoDDS-E, DoDDS-P/DDESS-Guam, and DDESS/DoDDS-Cuba Area Safety & Security Managers.

m. Individually designated positions requiring classified access to provide subordinate assistance or supervisory approval to the above listed positions.

3. Non-Critical Sensitive

- a. District Superintendent.
- b. Assistant Superintendent.
- c. Community Superintendent.
- d. District Safety & Security Officer (DoDDS-E & DoDDS-P/DDESS-Guam).
- e. Occupational Health & Safety Program Manager (HQ DoDEA Office of Safety & Security).
- f. DoDDS-E, DoDDS-P/DDESS-Guam, and DDESS/DoDDS-Cuba Area Occupational Health & Safety Managers.
- g. District Chief of Staff (DoDDS-Europe & DoDDS-P/DDESS-Guam).
- h. Principal.
- i. Assistant Principal.
- j. DoDEA Cabinet members (designated in writing and not listed elsewhere).
- k. District Transportation Supervisor
- l. Student Transportation Officer-Lead
- m. Individually designated positions requiring classified access to provide subordinate assistance or supervisory approval for the classified mission of the above listed positions.

ENCLOSURE 5

INVESTIGATIONS AND BACKGROUND CHECKS USED BY DoDEA

The guidelines below are required for the following background investigations depending on an individual's position sensitivity:

1. Access National Agency Check with Written Inquiries (ANACI) (Non-Critical Sensitive Position). The ANACI investigation is for employees who require initial eligibility to Secret information.
2. Child Care National Agency Check with Written Inquiries (CNACI) (Public Trust Position). The CNACI is a "suitability for employment" type investigation required for all employees assigned in a DoDDS or DDESS school, whether or not they are directly involved in teaching.
3. Child Care Special Agreement Check (CSAC). The CSAC is a "suitability for employment" type investigation required for Specified School Volunteers who have never had any DoD affiliation. This investigation can only be conducted on individuals who are U.S. citizens.
4. Installation Record Check (IRC). The IRC is a local record check on an individual for a minimum of 2 years before the date of the application. The IRC is part of the "suitability for employment" process required for all applicants being considered for employment, contract employees, or as specified school volunteers/student teachers in a DoDDS or DDESS school. The IRC shall include, at a minimum:
 - a. Police (base and/or military police, security office, criminal investigators, or local enforcement) local files checks.
 - b. Drug and Alcohol Program.
 - c. Family Housing.
 - d. Medical Treatment Facility for Family Advocacy Program Service Central registry records and mental health records.
 - e. Any other record checks as appropriate to the extent permitted by law.
5. Host Nation Checks. This investigation is conducted on foreign nationals and third-world nationals hired as contract employees or specified school volunteers at DoDDS schools in accordance with the laws of the host-government.
6. National Agency Check with Written Inquiries (NACI) (Non-Sensitive Position). The NACI is a "suitability for employment" investigation required for employees who do not require access to classified information, and are not employed in a DoDDS or DDESS school.

7. National Agency Check with Law and Credit (NACLC) (Non-Critical Sensitive Position). Once an employee is granted a Secret clearance, and continues to require this clearance, the NACLC periodic reinvestigation is required every 10 years.

8. Single Scope Background Investigation (SSBI) (Critical Sensitive Position). This investigation is for employees who require initial eligibility to Top Secret information or SCI.

9. SSBI-Periodic Reinvestigation (PR) (Critical Sensitive Position). Once an employee is granted a Top Secret clearance or access to SCI, and continues to require this clearance or special access, the SSBI-PR periodic reinvestigation is required every 5 years.

ENCLOSURE 6

INVESTIGATION INITIATING PROCEDURES

The guidelines below are required to initiate the NACI, CNACI, and CSAC. These investigations are to be used for “suitability for employment” only:

1. DoDDS District HR Field Offices and DDESS HR Site Liaisons

a. Each HR Field Office and Site Liaison Office is responsible for initiating NACI, CNACI, and CSAC investigations on U.S. citizens hired locally or being considered for a Specified School Volunteer position in their respective districts.

b. Once the investigation package is received from the employee, the forms will be reviewed for correctness and to ensure all required investigation documents are included with the package. Investigations must be initiated within 14 days of placement in accordance with Reference (f).

c. For employees requiring a CNACI investigation, Item 9 of the SF-85P will be reviewed to determine what State Criminal History Repository (SCHR) check(s) are required, and ensure any required release form(s) and/or state fingerprint chart(s) are obtained from the employee before initiating the investigation.

d. If required SCHR release form(s) and/or state fingerprint chart(s) are overlooked when the investigation is originally initiated, OPM will send a notice titled, “SCHR Information Needed,” and will include the necessary form(s)/fingerprint chart(s) and a self-addressed envelope. In accordance with OPM policy, the HR Field Office has 45 days to ensure the additional documents are completed by the employee and returned to OPM in the self-addressed envelope provided.

e. The HR Field Office will initiate the investigation directly to OPM using the district’s unique Submitting Office Number (SON). The HR Field Office will enter “DD-94” in the Security Office Indicator (SOI) block of the “Agency Use Only” section.

f. If OPM returns an investigation package for corrections marked “Unacceptable,” the HR Field Office has 15 days to return the package to the employee for correction, receive the corrected package from the employee, and resubmit to OPM. If the signature date on the SF-85 or SF-85P is close to the 120-day limit, the employee should sign and date all respective blocks a second time to ensure the form is not returned again.

g. When a HR Field Office receives the “Investigation Scheduled Notice” from OPM, a copy of the notice must be sent via scanned document, e-mail attachment, or faxed to the DoDEA HQ Labor/Management Employee Relation & Development Branch.

2. DoDEA HQ Customer Operation Teams

- a. Are responsible for initiating NACI and CNACI investigations for new CONUS hires in the respective districts they service, and Headquarters serviced employees.
- b. Will follow the same procedures noted in paragraphs 1a. through 1f. of this enclosure.
- c. Enter the SON for the district to which the CONUS hire is being assigned in the appropriate block in the “Agency Use Only” section of the SF-85 or SF-85P, when initiating the investigations. The code “DD-94” will always be entered in the Security Office Indicator (SOI) block of the “Agency Use Only” section.
- d. Provide a list of investigations initiated on new CONUS hires to the DoDDS District HR Field Office or DDESS HR Site Liaisons every two weeks.

3. Guidelines. The guidelines below are required to initiate the ANACI, NACLIC, SSBI, and SSBI-PR. These investigations are to be used for DoD security clearances only.

- a. All investigation packages for DoD security clearances shall be forwarded to the DoDEA HQ Personnel Security Program Manager.
- b. The DoDEA HQ Personnel Security Program Manager shall review the investigation packages and initiate the investigation directly with OPM.

E7. ENCLOSURE 7

SUITABILITY

The purpose of this enclosure is to establish criteria and procedures for making determinations of suitability for employees of DoDEA. These criteria and procedures are limited to determinations of “suitability” based on an individual’s character or conduct that may impact the integrity or efficiency of the service by jeopardizing the accomplishment of duties or responsibilities, or by interfering with or preventing effective service in the position applied for or employed in, and determinations that there is a statutory or regulatory bar to employment. Determinations made under this section are distinct from determinations of eligibility for assignment to, or retention of, sensitive national security positions made under Executive Order 10450 or similar authorities.

1. Suitability determinations will be made on the basis of whether:

a. The conduct of the individual may reasonably be expected to interfere with, or prevent, efficient service in the position applied for or employed in; or

b. The conduct of the individual may reasonably be expected to interfere with, or prevent, effective accomplishment by DoDEA of its duties or responsibilities; or

c. A statutory or regulatory bar prevents the lawful employment of the individual in the position in question.

2. When making a determination, the following reasons may be considered a basis for finding an individual unsuitable:

a. Misconduct or negligence in employment.

b. Criminal or dishonest conduct.

c. Material, intentional false statement, deception, or fraud in examination or appointment.

d. Refusal to furnish testimony as required by part 731 of Reference (f).

e. Alcohol abuse of a nature and duration which suggests that the applicant or appointee would be prevented from performing the duties of the position in question, or would constitute a direct threat to the property or safety of others.

f. Illegal use of narcotics, drugs, or other controlled substances, without evidence of substantial rehabilitation.

g. Knowing and willful engagement in acts or activities designed to overthrow the U.S. government by force.

h. Any statutory or regulatory bar which prevents the lawful employment of the person involved in the position in question.

3. In addition to the above-noted factors, the following additional factors shall be considered to the extent that they are deemed pertinent to the individual case:

a. The nature of the position for which the person is applying or in which the person is employed.

b. The nature and seriousness of the conduct.

c. The circumstances surrounding the conduct.

d. The recency of the conduct.

e. The age of the person involved at the time of the conduct.

f. Contributing societal conditions.

g. The absence or presence of rehabilitation or efforts toward rehabilitation.

4. During the course of an individual's background investigation, derogatory issues are sometimes revealed that cannot be resolved through standard investigative procedures. Without this information, a final suitability determination cannot be made. When this occurs, the following action will be taken:

a. A Suitability Determination memorandum will be issued to the subject of the case, through his or her supervisor or school principal, outlining the issue(s) disclosed in the investigation, and requesting that the individual provide additional information and/or documentary proof to resolve the matter. The memorandum will also cite a specific suspense date when the response is to be submitted. If the individual requires additional time to submit a response, he or she is required to submit a written request for extension through the supervisor or school principal.

b. Once a response has been received, all pertinent information will be reviewed for adjudication, and a final determination will be made. If a favorable determination is made, the individual will receive a formal notice of this decision. If an unfavorable determination is made, the individual will be advised through proper channels.

ENCLOSURE 8

INFORMATION SECURITY PROGRAM PROCEDURES

1. Information Security

a. DoDEA HQ Personnel Security Program Manager. The DoDEA HQ Personnel Security Program Manager and, when necessary, with the assistance of HQ, Area, and district security specialist, must:

(1) Ensure that personnel assigned to sensitive duties (or other duties requiring a trustworthiness determination) are initially indoctrinated and periodically instructed thereafter on the national security implication of their duties and on their individual responsibilities.

(2) Provide programs designed to counsel and assist employees in sensitive positions who are experiencing problems in their personal lives with respect to such areas as financial, medical or emotional difficulties.

b. DoDEA Employees

(1) DoDEA employees are required to obtain personnel security education in accordance with paragraph 2 of this Enclosure. In addition, DoDEA employees must familiarize themselves with pertinent security regulations that pertain to their assigned duties. Employees must be aware of the standards of conduct required of persons holding positions of trust. In this connection, they must recognize and avoid the kind of personal behavior that would result in rendering one ineligible for continued assignment in a position of trust. The ultimate responsibility for maintaining continued eligibility for a position of trust rests with the employee.

(2) DoDEA employees having access to classified information must report the following contacts promptly to the DoDEA Headquarters Personnel Security Program Manager, District Safety & Security Officer, ASC-DDESS Safety & Security Officer, or their local base security office:

(a) Any form of contact, intentional or otherwise, with a citizen of a country and/or area considered hostile by the Department of State or any DoD security agency unless occurring as a function of one's official duties.

(b) Attempts by representatives or citizens of a country and/or area considered hostile to cultivate friendships or to place one under obligation.

(c) Cultivate a friendship to the extent of placing one under obligation that they would not normally be able to reciprocate, or by offering money payments or bribery to obtain information of actual or potential intelligence value.

(d) Obtain information of actual or potential intelligence value through observation, collection of documents, or by personal contact.

(e) Coerce by blackmail, by threats against or promises of assistance to relatives living under foreign control, especially those living in a foreign country considered hostile to the United States.

c. Co-worker. Co-workers have an equal obligation to advise their supervisor or appropriate security official when they become aware of information with potentially serious security significance regarding someone with access to classified information or employed in a sensitive position.

2. Security Education. The effectiveness of an individual in meeting security responsibilities is proportional to the degree to which the individual understands them. Thus, an integral part of the DoDEA security program is the indoctrination of individuals on their security responsibilities. Moreover, such indoctrination is essential to the efficient functioning of the DoDEA personnel security program. Accordingly, security personnel ensure that persons requiring access to classified information, or being assigned to positions that require the occupants to be determined trustworthy are held accountable for and are provided periodic briefings as to their security responsibilities in accordance with Reference (c).

a. Initial Briefing. All persons cleared for access to classified information shall be given an initial security briefing consisting of the following elements:

- (1) The specific security requirements of their particular job.
- (2) The techniques employed by foreign intelligence activities in attempting to obtain classified information and their responsibility for reporting such attempts.
- (3) The prohibition against disclosing classified information, by any means, to unauthorized persons or discussing or handling classified information in a manner that would make it accessible to unauthorized persons.
- (4) The penalties that may be imposed for security violations.

b. Before Access Is Granted. Before access to classified information is granted, personnel must complete the Standard Form 312, "Classified Information Nondisclosure Agreement," if there is no record of one previously completed.

(1) The Standard Form 312 shall be maintained in the DoD security database 50 years from the date of signature.

(2) The DoDEA Headquarters Personnel Security Program Manager will take immediate action to deny or revoke the security clearance of an individual who declines to execute the Standard Form 312.

c. Refresher Briefing. At a minimum, annual security training shall be provided for personnel having continued access to classified information, and shall be tailored to fit the needs of experienced personnel.

d. Foreign Travel Briefing. DoDEA personnel possessing a DoD security clearance are required to report to their security office when any person attempts to acquire by unauthorized means information related to the national defense as outlined in Reference (g).

e. Termination Briefing

(1) Upon termination of employment, administrative withdrawal of security clearance, or contemplated absence from duty or employment for 60 days or more, DoDEA employees shall be given a termination briefing, return all classified material, and execute a Security Termination Statement. This statement shall include:

(a) An acknowledgment that the individual has read the appropriate provisions of the Espionage Act, other criminal statutes, DoD regulations applicable to the safeguarding of classified information to which the individual has had access, and understands the implications thereof.

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

(c) An acknowledgment that the individual will not communicate or transmit classified information to any unauthorized person or agency.

(d) An acknowledgment that the individual will report without delay to the Federal Bureau of Investigation or to DoDEA any attempt by unauthorized person to solicit classified information.

(2) Refusal by an individual to execute a Security Termination Statement, shall be reported immediately to the DoDEA Headquarters Personnel Security Program Manager. In such cases, the individual involved shall be debriefed orally. The refusal to sign must also be reported to the Director, Defense Security Service, who shall assure that the refusal is recorded in the Defense Clearance and Investigations Index.

(3) A hard copy of the Security Termination Statement shall be retained by the DoDEA Security Officer for the period of 5 years after the individual is given a termination briefing.

(4) DoDEA shall, in addition, establish a central authority to be responsible for ensuring that Security Termination Statements are executed by Senior Executive Service personnel. Failure on the part of such personnel to execute a Security Termination Statement shall be reported immediately to the Deputy Under Secretary of Defense for Policy.

ENCLOSURE 9

VISIT REQUEST

1. There are times when a DoDEA employee must attend meetings or conferences at military commands, other DoD agencies, or private corporations who have contracts with DoDEA. Some of these military commands, agencies, or corporations require advance notice of a visit, to include the level of security clearance and/or type of background investigation on file.
2. When this advance information is required it is the responsibility of the DoDEA Headquarters Personnel Security Program Manager or a designee to generate and initiate the visit request to the military command, agency, or corporation. In addition to the level of security clearance, the date the security clearance was granted, the type of investigation the security clearance is based on, and the date of the investigation, the following information **MUST** be provided to the DoDEA Headquarters Personnel Security Program Manager or designee:
 - a. Name of DoDEA employee(s) attending the meeting or conference, to include their Social Security Number(s).
 - b. Full name of military command, DoD agency, or corporation and complete mailing address where the request should be sent.
 - c. Facility to be visited.
 - d. Point of contact, to include commercial phone number and facsimile number.
 - e. Period of visit.
 - f. Purpose of visit.

GLOSSARYPART 1. ABBREVIATIONS AND ACRONYMS

ANACI	Access National Agency Check with Written Inquiries
ASC	Area Service Center
CFR	Code of Federal Regulations
CNACI	Child Care National Agency Check with Written Inquiries
CONUS	Continental United States
COR	Contracting Officer Representative
CSAC	Child Care Special Agreement Check
HQ	Headquarters
HRRSC	Human Resources Regional Service Center
IRC	Installation Record Check
NACI	National Agency Check with Written Inquiries
NACLC	National Agency Check with Law and Credit
OPM	Office of Personnel Management
OSS	Office of Safety and Security
PR	Periodic Reinvestigation
PWS	Performance Work Statements
SCHR	State Criminal History Repository
SCI	Sensitive Compartmented Information
SOI	Security Office Indicator
SON	Submitting Office Number
SSBI	Single Scope Background Investigation

PART II. DEFINITIONS

access. The ability and opportunity to obtain knowledge of classified information. Individuals, in fact, may have unauthorized 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 them from gaining knowledge of such information.

adverse action. A removal from employment, suspension from employment of more than 14 days, reduction in grade, reduction in pay, or furlough of 30 days or less.

applicant. A person being considered for general employment eligibility or employment in a specific position, but without a formal commitment by an employing agency.

appointee. A person in the first year of competitive or excepted service employment, in a position which requires an investigation.

child care services. DoD personnel, in-home providers, civilian community-based care providers, volunteers, and contract workers who are involved in any of the following: social services, health and mental health care, child and youth care, religious activities, education (whether or not directly involved in teaching), foster care, residential care, recreational or rehabilitative programs, and detention, correctional, or treatment services. In DoDEA, any person providing any service in or about a school facility where the person will come into unsupervised contact with a student is considered to be performing a child care service.

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 Reference (b).

CNACI. The CNACI is a personnel security investigation conducted by the Office of Personnel Management, combining a National Agency Check and written inquiries to law enforcement agencies, former employers and supervisors, references, schools, and a State Criminal History Repository check with each state in which an individual has resided in for the past 10 years.

critical sensitive. Sensitivity designation of a position which has the potential for exceptionally grave damage to the national security.

CSAC. The CSAC is an agreement between the customer agency and the Office of Personnel and Management to request specific records checks.

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

IRC. The IRC is a local record check conducted on an individual for a minimum of 2 years before the date of the application.

minor derogatory information. Information that, by itself, is not of sufficient importance or magnitude to justify an unfavorable administrative action in a personnel security or suitability determination.

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

National Security. The protection of the nation from foreign aggression or espionage, including development of defense plans or policies, intelligence or counterintelligence activities, and related activities concerned with the preservation of U.S. military strength.

non-critical sensitive. Sensitivity designation of a position which has the potential for moderate to serious damage to the national security.

periodic reinvestigation. An investigation conducted every 5 years for the purpose of updating a previously completed background or single scope background investigation on persons occupying critical-sensitive positions. The scope will consist of a personal interview, NAC, Local Agency Checks, credit checks, employment records, employment references, and developed character references and will normally not exceed the most recent 5-year period.

SCI. SCI is classified information concerning or derived from intelligence sources, methods, or analytical processes requiring handling exclusively within formal access control systems established by the Director of Central Intelligence.

security clearance. A determination that a person is eligible for access to classified information.

sensitivity. Position designation based on an assessment of the degree of damage that an individual, by virtue of the occupancy of a position, could affect national security.

significant derogatory information. Information that could, in itself, justify an unfavorable administrative action, or prompt an adjudicator to seek additional investigation or clarification.

specified volunteer. An individual who offers program assistance on an unpaid basis and works in a specified child care service volunteer position where the opportunity for contact may be extensive, frequent, or over a period of time. These positions include, but are not limited to, positions involving extensive interaction alone, extended travel, and/or overnight activities with students under the age of 18. (References (c) and (k)).

SSBI. SSBI is a personnel security investigation consisting of all of the components of a background investigation plus certain additional investigative requirements. The period of investigation for an SSBI is the last 10 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.

suitability. General fitness or eligibility for Federal employment or, for employment with a contractor providing child care services to DoDEA, based on an assessment of an individual's character or conduct that may impact the efficiency of the service, as prescribed in this Administrative Instruction and Reference (e).

temporary volunteer. An individual who offers program assistance on an unpaid basis and works in a child care service volunteer position whose service is shorter in duration than is required to perform a background check, and requires direct-line-of-sight supervision by a DoDDS or DDESS staff member who has successfully completed a favorable background check. These positions include, but are not limited to, one-day class trips, or class parties with students under the age of 18.

unfavorable determination. Process resulting in any of several adverse actions relative to a person's employment or retention in a sensitive or risk position.