

## **INTRODUCTION**

**Participants should be made aware that the SPêD Diagnostic Tools are security reference resources to assist SPêD candidates gauge their individual level of expertise in the industrial, information, personnel, and physical security disciplines as well as general security topics. The questions within the SPêD Diagnostic Tools are different from those in the Security Fundamentals Professional Certification (SFPC) Assessment. **The diagnostic is not meant to be a study guide.****

The Security Fundamentals Diagnostic Assessment:

- (1) Models the types of questions used in the SFPC Assessment.
- (2) Affords security professionals an opportunity to assess their understanding of security topic areas, i.e., General Security, Industrial Security, Information Security, Personnel Security, and Physical Security.

This document focuses on **General Security** and presents diagnostic items associated with two topic areas: Basic Security Forms and Security Briefings. The correct answer choice is presented directly below each item. This document also lists key concepts (KCs) associated with seven General Security topic areas. Security professionals without training and/or experience in these topic areas are encouraged to study CDSE training resources associated with these seven General Security topic areas.

<b>General Security Topic Area</b>	<b># Of Items</b>	<b>Page #</b>
1. Basic Security Forms	10	2 – 5
2. Counterintelligence Concepts	KCs	6
3. OPSEC Concepts	KCs	6
4. Research and Technology Protection Concepts	KCs	6
5. Risk Assessment and Management	KCs	6
6. SAP Basics	KCs	6
7. Security Briefings	8	7 – 9
8. Security Education and Training	KCs	10
9. Security Policy Landscape	KCs	10

If you have any questions/concerns regarding the items on the diagnostic, contact the SPêD Program Management Office at [sped@dss.mil](mailto:sped@dss.mil). You must provide a complete explanation and applicable DoD references for each item in question. We appreciate your comments and will address your concerns in a timely manner.

Good luck!

## General Security (V3.3 – Date Revised: 03.08.12)

### TOPIC # 1: BASIC SECURITY FORMS

1. Use of this form protects classified documents by ensuring that they are not in plain view of people not authorized to access the document.
  - A. DD Form 254 DoD Contract Security Classification Specification
  - B. DD Form 441 Security Agreement
  - C. DD Form 2501 Courier Authorization
  - D. SF 86 Questionnaire for National Security Positions
  - E. SF 312 Classified Information Non-Disclosure Agreement
  - F. SF 328 Certificate Pertaining to Foreign Interests
  - G. SF 701 Activity Security Sheet
  - H. SF 702 Security Container Check Sheet
  - I. SF 703 TOP SECRET Cover Sheet

Answer: (I)- *DoDM 5200.01-M, Vol.3, Encl. 2, Para. 8, DoDM 5200.01-M, Vol.2, Encl. 2, Para. 4*

2. Use of this form reminds people working in a classified workplace that there are classified documents in their work area.
  - A. DD Form 254 DoD Contract Security Classification Specification
  - B. DD Form 441 Security Agreement
  - C. DD Form 2501 Courier Authorization
  - D. SF 86 Questionnaire for National Security Positions
  - E. SF 312 Classified Information Non-Disclosure Agreement
  - F. SF 328 Certificate Pertaining to Foreign Interests
  - G. SF 701 Activity Security Sheet
  - H. SF 702 Security Container Check Sheet
  - I. SF 703 TOP SECRET Cover Sheet

Answer: (I)- *DoDM 5200.01-M, Vol.3, Encl. 2, Para. 8, DoDM 5200.01-M, Vol.2, Encl. 2, Para. 4*

3. Once executed at the time of the facility clearance approval, this form becomes a legally binding document between the contractor and the U.S. Government.
  - A. DD Form 254 DoD Contract Security Classification Specification
  - B. DD Form 441 Security Agreement
  - C. DD Form 2501 Courier Authorization
  - D. SF 86 Questionnaire for National Security Positions
  - E. SF 312 Classified Information Non-Disclosure Agreement
  - F. SF 328 Certificate Pertaining to Foreign Interests
  - G. SF 701 Activity Security Sheet
  - H. SF 702 Security Container Check Sheet
  - I. 703 TOP SECRET Cover Sheet

Answer: (B)- *DOD 5220.22-R, DOD 5220.22-M, Para. 2-103*

## General Security (V3.3 – Date Revised: 03.08.12)

4. This form provides a contractor specific clearance and access requirements, authorization to generate classified information, and any other special security requirements above and beyond those required by the National Industrial Security Program Operating Manual (NISPOM).
- A. DD Form 254 DoD Contract Security Classification Specification
  - B. DD Form 441 Security Agreement
  - C. DD Form 2501 Courier Authorization
  - D. SF 86 Questionnaire for National Security Positions
  - E. SF 312 Classified Information Non-Disclosure Agreement
  - F. SF 328 Certificate Pertaining to Foreign Interests
  - G. SF 701 Activity Security Sheet
  - H. SF 702 Security Container Check Sheet
  - I. SF 703 TOP SECRET Cover Sheet

Answer: (A) – **EO 12829, DODD 5220.6, DOD 5220.22-R, FAR 4.4**

5. This form must be executed as a condition of access to classified information.
- A. DD Form 254 DoD Contract Security Classification Specification
  - B. DD Form 441 Security Agreement
  - C. DD Form 2501 Courier Authorization
  - D. SF 86 Questionnaire for National Security Positions
  - E. SF 312 Classified Information Non-Disclosure Agreement
  - F. SF 328 Certificate Pertaining to Foreign Interests
  - G. SF 701 Activity Security Sheet
  - H. SF 702 Security Container Check Sheet
  - I. SF 703 TOP SECRET Cover Sheet

Answer: (E)- **EO 13467, EO 13526, Sec. 4.1.(a)(2); DoDM 5200.01-M, Vol. 3, Encl. 2, Para. 3**  
**\*ISOO Notice. Due to the issuance of E.O. 13467, the SF 312 now falls under the purview of the Office of Director of National Intelligence (ODNI) (<http://www.archives.gov/isoo/training/>)**

6. This form is used to record security checks that must be conducted at the close of each working day for work areas that process or store classified information.
- A. DD Form 254 DoD Contract Security Classification Specification
  - B. DD Form 441 Security Agreement
  - C. DD Form 2501 Courier Authorization
  - D. SF 86 Questionnaire for National Security Positions
  - E. SF 312 Classified Information Non-Disclosure Agreement
  - F. SF 328 Certificate Pertaining to Foreign Interests
  - G. SF 701 Activity Security Sheet
  - H. SF 702 Security Container Check Sheet
  - I. SF 703 TOP SECRET Cover Sheet

Answer: (G)- **DoDM 5200.01-M, Vol.3, Encl. 2, Para. 9**

## General Security (V3.3 – Date Revised: 03.08.12)

7. This form allows military, civilian, and contractor personnel to apply for a personnel security investigation.
- A. DD Form 254 DoD Contract Security Classification Specification
  - B. DD Form 441 Security Agreement
  - C. DD Form 2501 Courier Authorization
  - D. SF 86 Questionnaire for National Security Positions
  - E. SF 312 Classified Information Non-Disclosure Agreement
  - F. SF 328 Certificate Pertaining to Foreign Interests
  - G. SF 701 Activity Security Sheet
  - H. SF 702 Security Container Check Sheet
  - I. SF 703 TOP SECRET Cover Sheet

Answer: (D)- **DOD 5200.2-R C3.4.1.2**

8. Information collected by this form allows Defense Security Service (DSS) personnel to analyze the extent to which a contractor organization is a Foreign Ownership, Control or Influence (FOCI) risk.
- A. DD Form 254 DoD Contract Security Classification Specification
  - B. DD Form 441 Security Agreement
  - C. DD Form 2501 Courier Authorization
  - D. SF 86 Questionnaire for National Security Positions
  - E. SF 312 Classified Information Non-Disclosure Agreement
  - F. SF 328 Certificate Pertaining to Foreign Interests
  - G. SF 701 Activity Security Sheet
  - H. SF 702 Security Container Check Sheet
  - I. SF 703 TOP SECRET Cover Sheet

Answer: (F)- **DOD 5220.22-R, DOD 5220.22-M Sec.1-302.g**

9. Execution of this form allows a contractor organization to work on a classified contract and it establishes the government's authority to review the contractor's security program to ensure compliance.
- A. DD Form 254 DoD Contract Security Classification Specification
  - B. DD Form 441 Security Agreement
  - C. DD Form 2501 Courier Authorization
  - D. SF 86 Questionnaire for National Security Positions
  - E. SF 312 Classified Information Non-Disclosure Agreement
  - F. SF 328 Certificate Pertaining to Foreign Interests
  - G. SF 701 Activity Security Sheet
  - H. SF 702 Security Container Check Sheet
  - I. SF 703 TOP SECRET Cover Sheet

Answer: (B) – **DODD 5220-22M, paragraph 2-103a**

## General Security (V3.3 – Date Revised: 03.08.12)

10. This form authorizes the holder to hand-carry classified information using a transportation mode other than a commercial airline.
- A. DD Form 254 DoD Contract Security Classification Specification
  - B. DD Form 441 Security Agreement
  - C. DD Form 2501 Courier Authorization
  - D. SF 86 Questionnaire for National Security Positions
  - E. SF 312 Classified Information Non-Disclosure Agreement
  - F. SF 328 Certificate Pertaining to Foreign Interests
  - G. SF 701 Activity Security Sheet
  - H. SF 702 Security Container Check Sheet
  - I. SF 703 TOP SECRET Cover Sheet

Answer: (C)- *DoDM 5200.01-M, Vol.3, Encl. 4, Para. 12b*

## General Security (V3.3 – Date Revised: 03.08.12)

TOPIC #	Because of my past experience and training, I am able to discuss and explain:	Training	Experience
2	Fundamental <b>counterintelligence concepts</b> related to the pursuit of the Department's security mission (e.g., threat types, Foreign Visitor Program, relationship between security and CI). ( <i>DoDI 3305.11 DoDD 5240.06;DoDI 5240.19;DoDD 5240.2</i> )	Y or N	Y or N
3	<b>OPSEC concepts</b> , terminology, and process (e.g., (1) OPSEC role in the protection of critical unclassified information, five step OPSEC process; (2) differences between OPSEC and traditional security disciplines; (3) how adversaries collect critical (unclassified) information; (4) DoD policies on OPSEC as they relate to the daily activities of DoD personnel; (5) OPSEC as the application of the five-step analytical risk management process as it applies to protecting critical information; (6) concept of critical unclassified information, principles of OPSEC and how they can be applied to everyday activities). ( <i>DoD 5205.02 M</i> )	Y or N	Y or N
4	<b>Research and technology protection concepts</b> , terminology, methods, and purpose (e.g., (1) an understanding of Critical Program Information (CPI) and the importance of protecting it from unauthorized disclosure; (2) purpose of the Program Protection Plan; (3) purpose of the Technology Assessment and Control Plan; (4) steps of the acquisition process; (5) process for technology transfer through acquisition; (6) requirements for foreign disclosure, direct commercial sales, co-production, import, and export license or other export authorization requirements; (7) impact of export controls on CPI).( <i> DoDI 5200.39 DoDI 5240.24</i> )	Y or N	Y or N
5	The process of and methods for <b>assessing and managing risk</b> (e.g., (1) the 5-step risk management process, (2) the role of risk management in protecting assets). ( <i>DoD 5200.08-R April 9, 2007</i> )	Y or N	Y or N
6	<b>Special Access Program basics</b> , including lifecycle, categories, types, and levels. ( <i>JAFAN 6/0</i> )	Y or N	Y or N

## General Security (V3.3 – Date Revised: 03.08.12)

### TOPIC # 7: SECURITY BRIEFINGS

1. This briefing provides appropriately cleared personnel with information on how to protect special types of classified information (e.g., SCI or SAP) prior to gaining access to the information.
  - A. Initial Orientation Briefing
  - B. Indoctrination Briefing
  - C. Annual Refresher Briefing
  - D. Debriefing
  - E. Courier Briefing
  - F. NATO Briefing
  - G. Non-Disclosure Briefing
  - H. Foreign Travel Briefing
  - I. Attestation Briefing
  - J. Antiterrorism/Force Protection Briefing

Answer: (B)- DoDM 5200.01-M, Vol.3, Encl. 5, Para. 3; DOD 5220.22-M-Sup 1

2. This briefing reminds cleared individuals who no longer need access to classified information of their continued responsibilities to protect classified information and the potential civil and criminal penalties associated with the failure to fulfill those responsibilities.
  - A. Initial Orientation Briefing
  - B. Indoctrination Briefing
  - C. Annual Refresher Briefing
  - D. Termination Briefing
  - E. Courier Briefing
  - F. NATO Briefing
  - G. Non-Disclosure Briefing
  - H. Foreign Travel Briefing
  - I. Attestation Briefing
  - J. Antiterrorism/Force Protection Briefing

Answer: (D)-(DoDM 5200.01-M, Vol.3, Encl. 5, Para. 9)

## General Security (V3.3 – Date Revised: 03.08.12)

3. This required briefing informs newly cleared personnel of their responsibilities as a member of the cleared community.
- A. Initial Orientation Briefing
  - B. Indoctrination Briefing
  - C. Annual Refresher Briefing
  - D. Debriefing
  - E. Courier Briefing
  - F. NATO Briefing
  - G. Non-Disclosure Briefing
  - H. Foreign Travel Briefing
  - I. Attestation Briefing
  - J. Antiterrorism/Force Protection Briefing

Answer: (A)-(DoDM 5200.01-M, Vol.3, Encl. 5, Para. 3)

4. This required briefing: (1) reinforces policies, principles, and procedures covered in previous briefings, (2) reminds cleared personnel of their continued security responsibilities, and (3) ensures they are aware of security threats they may face.
- A. Initial Orientation Briefing
  - B. Indoctrination Briefing
  - C. Annual Refresher Briefing
  - D. Debriefing
  - E. Courier Briefing
  - F. NATO Briefing
  - G. Non-Disclosure Briefing
  - H. Foreign Travel Briefing
  - I. Attestation Briefing
  - J. Antiterrorism/Force Protection Briefing

Answer: (C)-(DoDM 5200.01-M, Vol.3, Encl. 5, Para. 7)

5. This briefing informs individuals who will be hand-carrying classified documents of the procedures for handling those documents while in transit.
- A. Initial Orientation Briefing
  - B. Indoctrination Briefing
  - C. Annual Refresher Briefing
  - D. Debriefing
  - E. Courier Briefing
  - F. NATO Briefing
  - G. Non-Disclosure Briefing
  - H. Foreign Travel Briefing
  - I. Attestation Briefing
  - J. Antiterrorism/Force Protection Briefing

Answer: (E)-(DoDM 5200.01-M, Vol.3, Encl. 4, Para. 11c)



## General Security (V3.3 – Date Revised: 03.08.12)

6. This briefing, typically required of personnel with Sensitive Compartmented Information (SCI) or Special Access Program (SAP) access, provides cleared personnel with information regarding potential security risks at a given destination.
- A. Initial Orientation Briefing
  - B. Indoctrination Briefing
  - C. Annual Refresher Briefing
  - D. Debriefing
  - E. Courier Briefing
  - F. NATO Briefing
  - G. Non-Disclosure Briefing
  - H. Foreign Travel Briefing
  - I. Attestation Briefing
  - J. Antiterrorism/Force Protection Briefing

Answer: (H)- (DOD 5200.2-R C9.2.2)

7. This briefing intends to provide newly cleared personnel a basic understanding of the nature of classified information and the importance of its protection to national security.
- A. Initial Orientation Briefing
  - B. Indoctrination Briefing
  - C. Annual Refresher Briefing
  - D. Debriefing
  - E. Courier Briefing
  - F. NATO Briefing
  - G. Non-Disclosure Briefing
  - H. Foreign Travel Briefing
  - I. Attestation Briefing
  - J. Antiterrorism/Force Protection Briefing

Answer: (A)- (DOD 5200.2-R C9.2.2)

8. This briefing is also called a Termination Briefing.
- A. Initial Orientation Briefing
  - B. Indoctrination Briefing
  - C. Annual Refresher Briefing
  - D. Debriefing
  - E. Courier Briefing
  - F. NATO Briefing
  - G. Non-Disclosure Briefing
  - H. Foreign Travel Briefing
  - I. Attestation Briefing
  - J. Antiterrorism/Force Protection Briefing

Answer: (D)- (DOD 5200.2-R C9.2.5)

## General Security (V3.3 – Date Revised: 03.08.12)

TOPIC #	Because of my past experience and training, I am able to discuss and explain:	Training	Experience
8	<b>Security Education and Training</b> program requirements and purpose (including (1) security education and training policy requirements, (2) purpose of a security education and training program, and (3) role of security briefings in security education and training).	Y or N	Y or N
9	<b>DoD security policy landscape</b> with a focus on security program types, purpose, and goals (including (1) governing policies, directives, and manuals that regulate the DoD Security Programs, (2) roles and responsibilities associated with the various DoD Security Programs, (3) history of the Personnel, Information, Physical, and Industrial Security Programs).	Y or N	Y or N