

LESSON TOPIC 7.2**Personnel Security Investigations****REFERENCE**

SECNAV M-5510.30, Chapter 6

LESSON**A. Basic Policy (PSP 6-1, 6-2)**

1. A Personnel Security Investigation (PSI) is an inquiry by an investigative agency to gather pertinent information to make a favorable security determination regarding loyalty, reliability or trustworthiness.
2. The purposes for initiating a PSI are to determine:
 - Eligibility for access to classified information
 - Acceptance or retention in the Armed Forces
 - Assignment or retention in national security positions, sensitive duties or other designated duties requiring such PSIs
 - Prove or disprove allegations concerning a person who holds a clearance or is assigned duties that require a trustworthiness determination
3. Only authorized PSI requesting officials are: Chiefs of Recruiting Stations; Director, DOD Central Adjudication Facility (CAF); COs of USN/USMC units
4. Because of costs in time and money, request only the minimum investigation required to justify the access or assignment to sensitive position the command needs to accomplish its mission.
5. Do not request PSIs for any civilian or military personnel who will be retired, resigned, or separated with less than 1 year service remaining.

B. Types of PSIs (6-2)

1. All investigations will be submitted electronically to Office of Personnel Management (OPM) using e-QIP (Electronic Questionnaires for Investigations Processing) **(PSP 6-13)**

2. Entrance National Agency Check (ENAC) - An obsolete investigation previously conducted to determine suitability for first term enlistees
2. National Agency Check (NAC) - Previously used to determine suitability for newly commissioned officers
 - Remains the standard for trustworthiness determinations and an integral part of other investigations (i.e., SSBI, SSBI-PR, NACLIC, NACI and ANACI)
 - Includes a search of: Defense Clearance and Investigations Index (DCII), OPMS RSI (Reimbursable Suitability Investigation), FBI files to include a technical fingerprint check and other appropriate federal government agencies (e.g., Immigration and Naturalization)
3. National Agency Checks with Local Agency and Credit Checks (NACLIC) (see figure 7.2-1)
 - Conducted for all new military accessions and any military member with break in service greater than 24 months for the purpose of establishing suitability for enlisted and officer accessions and Secret clearance eligibility
 - Consists of the same elements as a NAC with the addition of credit checks and local law enforcement checks (7 year scope investigation)
4. National Agency Check with Written Inquiries (NACI)
 - Investigative standard for: Federal civil service employment suitability determinations; DOD employees assigned to public trust positions; Contractors who require CAC Cards under Homeland Security Presidential Directive (HSPD)-12 for installation access.
 - Consists of a NAC plus written inquiries to former employers, supervisors, references and schools (5 year scope investigation)
 - Cannot be used to grant clearance eligibility, however, DOD CAF will document JPAS with a "Favorable Determination" if no issues or "No Determination Made" if issues are discovered
5. Access National Agency Check with Written Inquiries (ANACI) (see figure 7.2-1)

- Conducted on new civilian employees of the Federal Government to determine appointment to non-critical sensitive positions and eligibility for a Secret clearance (A Secret clearance issued on an ANACI remains valid for access if the closed date of the ANACI does not exceed 10 years)

- Consists of: NAC; Credit Check; Written inquiries to law enforcement agencies, former employers and supervisors, references, and schools (7 year scope investigation)

6. Single Scope Background Investigation (SSBI)

- Consists of checks/inquiries listed in figure 7.2-1, to include: NAC for subject and spouse or cohabitant; Verification of subject's date and place of birth, education and employment; Citizenship validation; Education and reference interviews; Neighborhood interviews; Subject Interview; Developed character reference interviews; Ex-Spouse interview; Credit checks; Local law enforcement agency checks; Public record checks (i.e., verification of divorce, bankruptcy, etc.); Foreign Travel; Foreign connections and organizational affiliations; other inquiries, as appropriate

- Scope: Most recent 10 years of subject's life or from 18th birthday, whichever is shorter, however at least 2 years will be covered; No investigation is conducted prior to subject's 16th birthday.

- A favorable SSBI provides the investigative requirements for: Top Secret clearance, access to Sensitive Compartmented Information (SCI), and Critical-Sensitive or Special-Sensitive positions (A SSBI for SCI access requires a command pre-nomination interview (as part of the candidate screening process) before submission of the SSBI - conducted by SSO or designee); Additional investigative requirements will be required if subject has foreign national immediate family members

- Required for access to NC2-ESI, security manager, PRP critical position, clearance adjudicator, investigative special agent, support personnel, LAA for non-U.S. citizens, White House duty, and some SAPs

PERSONNEL SECURITY INVESTIGATION (PSI) COMPONENTS

COMPONENT	PSI TYPE				
	NACLC	ANACI	SSBI	SSBI-PR	PPR
File Checks (Minimum)					
DCII, FBI& Other Federal Files	X	X	X	X	X
FBI Technical Check	X	X	X	X	
Local Police & Credit Check	X	X	X	X	X
Validate Citizenship	X	X	X		
DOB/POB/Education Verification	X	X	X		
Written Inquires:					
Former employers & Supervisors		X			
Character references, schools		X			
Verify					
Employment		X	X	X	X
Organizational Affiliations			X	X	
Foreign contacts/travel			X	X	
Spouse NAC			X		
Interviews:					
Subject			X	X	X
Neighborhood interviews			X	X	
Character Reference Interviews			X	X	X
Employer Interview			X	X	
Ex-Spouse Interview			X	X	
Investigation Scope	7	7	10	7	7

Figure 7.2-1. PSI Components

7. Reimbursable Suitability/Security Investigation (RSI)
 - Limited inquiry conducted to resolve personnel Security issues that arise after a PSI is conducted, evaluated or adjudicated; Consists of record checks and interviews

8. Periodic Reinvestigations - Updates a previous valid investigation to evaluate continued access eligibility (see figure 7.2-1)
 - SSBI-PR (PR) - Consists basically of the same checks and inquiries as the SSBI; Conducted every 5 years for individuals with: top secret access, SCI access, NATO TS COSMIC Clearance, PRP Critical positions, NC2-ESI, civilians in critical-sensitive and special sensitive positions, LAA, White House and some SAPs (Scope normally 7 years))
 - Phased PR (PPR) - A limited SSBI-PR (Commands will usually request a PPR when a PR is required on a SSBI)

- Secret PR (SPR) - This is the same investigation as the NACLIC (NACLICs are conducted on personnel with Secret access at 10 year intervals (SAPs and certain Special Programs may require reinvestigations at 5 year intervals)

- Confidential PR (CPR) - Submitted as NACLICs at 15 year intervals on personnel with Confidential access

C. Investigative Requirements (PSP 6-5 thru 6-6)

1. Military enlistment or appointment - NACLIC for all new military accessions (to include foreign nationals): Enlisted, Commissioned/Warrant Officers, Midshipman and Reserve Officer Training Corps candidates (before appointment) (New NACLIC required if active service break greater than 24 months))
2. Federal Civilian Employees
 - For nonsensitive/IT-III positions - NACI
 - For noncritical-sensitive/IT-II positions - ANACI
 - For critical-sensitive/IT-III or special sensitive positions/IT-DAA - SSBI
 - Exceptions to the pre-appointment requirement for an ANACI: (1) Prior valid NACI or SSBI (Previously conducted NAC or ENAC will not meet federal civilian employment regulations; (2) New ANACI or SSBI required with service break of greater than 24 months; (3) Emergency appointments - With no prior investigative basis, an individual can be placed in a non-critical-sensitive position only under conditions of an emergency appointment, the CO must: Determine delay in appointment would be harmful to National security; Conduct a local records check; Submit an ANACI; Justify actions in writing, file locally
3. Investigative requirements for DON contractor personnel
 - Managed under the National Industrial Security Program (NISP) by Defense Security Service, however to receive a CAC Card under HSPD-12 a NACI is required (PSP 6-7)

D. Specific Investigative Program Requirements (PSP 6-9)

1. Special Access Programs (SAP): Established under SAP

Oversight Committee; Requirements, as determined by SAP Manager, may include but are not limited to: Special clearance eligibility; Additional adjudication; Unique investigative requirements; Material dissemination restrictions; Formal identification of personnel

2. Sensitive Compartmented Information (SCI): Requires SSBI and PR (every 5 years); Transfer orders will indicate requirement and losing command's security manager/SSO must ensure required PSI promptly submitted
3. Nuclear Command and Control-Extremely Sensitive Information (NC2-ESI) - OPNAVINST S5511.35 (series) provides requirements
4. Presidential support activities: There are two categories of assignment - Category One and Two - both with similar prerequisites; SECNAVINST 5312.12(series) provides requirements
5. North Atlantic Treaty Organization (NATO): Access requires equivalent level U.S. security clearance - however assignment to NATO *billet* has additional requirements; OPNAVINST C5510.101D provides program requirements

E. Other Investigative Requirements for Specific Performance of Duty (PSP 6-8)

- Command Security Manager - SSBI
- Clearance Granting Authorities - SSBI
- Appellate Authorities - SSBI
- Educator/Trainer - NACL/ANACI
- Cryptographic Duties - SSBI (Final clearance eligibility)
- Investigative Duties - SSBI
- IT-DAA - SSBI (DCID 6/4 Standards)
- IT-I - SSBI
- IT-II - NACL/ANACI
- IT-III - NACI
- Arms, Ammunition and Explosives - NACL/ANACI
- Contract Guards - NACL
- Foreign Nationals Employed Overseas (Nonsensitive duties)
Record check conducted by NCIS
- Nuclear Weapons PRP Positions (Critical - SSBI)
(Controlled - NACL (updated every 5 years))
- Non-Appropriated Fund Positions - NACI
- LAA - SSBI (DON sole approval authority rests with
CNO/N09N2, maximum eligibility SECRET)

F. Command Responsibilities Regarding PSI Requests (PSP 6-12)

1. Determine the individual does not have an investigation to satisfy the requirements (Use JPAS) and ensure the individual has over 12 months of obligated service
2. Validate subject's citizenship - First time candidates and candidates for clearance at a higher level than currently held must have their citizenship verified.
3. For SSBI submission - Verify subject's date and place of birth using locally available records; OPM will validate education
4. Ensure PSI request is initiated, reviewed and approved through JPAS
5. Ensure Pre-Nomination Interviews for initial SCI access are conducted by a SSO or designee (COs/XOs do not require a pre-nomination interview)
6. Commands must maintain a copy of the completed SF 86 Form and maintain it until DOD CAF adjudicates the Clearance eligibility - After that destroy the form

G. Submitting PSIs Using e-QIP (PSP 6-13 and 6-14)

1. Before requesting a PSI using e-QIP command must have an established Submitting Office Number (SON) established with OPM
2. Allows applicants for PSIs to electronically enter, Update and transmit their personal investigative data Over a secure Internet connection to their command
3. E-QIP Direct is used to set up e-QIP for personnel to do their investigation (<https://stepp.dss.mil> provides on-line training for using e-QIP Direct)
4. Applicant's Role - Once the investigation has been initiated - advise the applicant to go to www.opm.gov/e-qip and do the investigation (A "fillable" SF86 form can be downloaded from the website www.ncis.navy.mil/securitypolicy - Select Forms Link - This would allow person to gather all necessary information before filling out the form on the website which might facilitate the process)

- Applicant has 30 days to start the investigation and Then 90 days to complete it (If the investigation is Not started within 30 days after initiation - the Investigation will be stopped and will have to be

Reinitiated)

- If applicant is a male born after 31 Dec 1959 and Does not know his Selective Service number - call 1-847-688-6888 for assistance

- Advise applicant about filling in the "Golden Questions": Upon initial login there will be 3 "Golden Questions" to answer ("In what year were you Born?" "What is your last name and "In what city were You born?"); after answering these questions applicant Will create own Golden Questions and Answers (Recommend Keep answers simple as they will have to type their Answers every time the person reenters the e-QIP web Site while doing this investigation and 5 or 10 years From now when they are doing PRs; if don't answer Correctly will get locked out)

- Advise applicant that seeking professional care for mental health issues related to marital, family, grief or related to adjustments from service in a military combat environment should not be perceived to jeopardize an individual's security clearance; and that Question 21 (Mental Health Question) has been reworded to state "Answer NO if the counseling with a mental health professional was for any of the following reasons and was not court-ordered: strictly marital, family, grief not related to violence by you; or strictly related to adjustments from service in a military combat environment"

- Once applicant has completed filling in all the Information they must validate the form, certify the Form, print the release forms (3 forms - investigation, Release of records and release of medical records), And release request/transmit to agency (Applicant is Now blocked from reopening the PSI form); Applicant Must sign and date each signature form and provide Security Manager with originals

- Review the PSI when notification is received through e-QIP Direct it is ready for review

- Reopen PSI if there are any issues with the completed Investigation for applicant to go back in and correct a Person with Initiator privileges can reopen the Investigation so the person can correct any data

- Approve the PSI, after the investigation has been reviewed for accuracy, upload signature forms and any

other necessary attachments and submit electronically to OPM through e-QIP Direct

- Fingerprints (military use FD 258 and civilians use SF 87) must be submitted for all initial investigations and Secret PRs; Submit either hard copy or by an authorized electronic format; OPM will not open the investigation and sign a case control number until receipt the fingerprints. Mail hardcopy fingerprint cards as follows:

E-QIP Rapid Response Team
OPM-FIPC
PO Box 618
Boyers, PA 16020

or FEDEX to

E-QIP Rapid Response Team
OPM-FIPC
1137 Branchton Rd.
Boyers, PA 16020

H. Follow-up Actions on Investigation Requests (PSP 6-17)

1. Document "PSQ Sent" link in JPAS/JCAVS (ensure correct type of investigation is entered)
2. After the PSI has been approved (sent electronically) and the release forms and fingerprint cards sent to OPM check the SII blue link in the applicant's Person Summary Form in JPAS to ensure the PSI has been received and a case control number assigned
3. Monitor JPAS to ensure that investigation shows up as an "open investigation" in the system - If PSI not opened up within 30 days of submission - contact OPM as to reason
4. Rejected/returned forms - Immediately correct and resubmit
5. Cancellations - Cancel a pending investigation if (for whatever reason) the applicant no longer requires an investigation
6. If JPAS reflects PSI closed over 3 months and there is no adjudication - recommend contact DOD CAF
7. New gains

- Review all records and sources to ensure that at least an initial ENAC, NAC, NAC, or NACLIC was conducted on all newly reporting personnel.

- If a military member is received without evidence a suitability PSI was requested, the receiving command must submit a NACLIC

I. Reports of Investigation (ROI) (PSP 6-18 and 6-19)

1. All PSIs conducted for DON activities are forwarded to DOD CAF upon completion
2. DOD CAF will make personnel security determination based on the requirements identified on the PSI request.
3. DOD CAF security determinations will be reflected in the JPAS
4. Investigations requested to support trustworthiness determinations and non-sensitive positions are not adjudicated by DOD CAF (DOD CAF will forward the ROI to local command for an appropriate trustworthiness and suitability determination)
5. Due to the sensitivity of personnel security reports and records, ROIs must be handled with the highest degree of discretion. ROIs, favorable and unfavorable, will:
 - Be made available only to those authorities who require access in the performance of their official duties
 - Be stored in a security container
 - Never be shown or released to the subject of the investigation without the investigative agency's approval
 - Be sealed in double envelopes or covers when mailed or carried by individuals not authorized access. The inner container will be marked with the notation that it is to be opened only by an official designated to receive ROIs
 - Reproduction is restricted
 - Do not retain over 120 days without investigating agency approval