Getting and keeping a clearance…..

A security clearance is a privilege, not a right.

When you accept the privilege of access to classified or sensitive information, you are also accepting the responsibilities that accompany this privilege.

This is a lifelong responsibility

What we'll discuss…

- The investigative and adjudicative process.
- Behavior that might jeopardize your clearance.
- Personal activities that must be reported to your security officer.

Investigative and Adjudicative Process

- A security clearance is granted after a two-step process:
  - First step – the investigation. Inquiry into your past to gather evidence to help determine whether you can be trusted with classified information.
  - Second step – adjudication. Decision whether to grant or revoke your clearance based upon the investigative evidence.

First Step: The Investigation

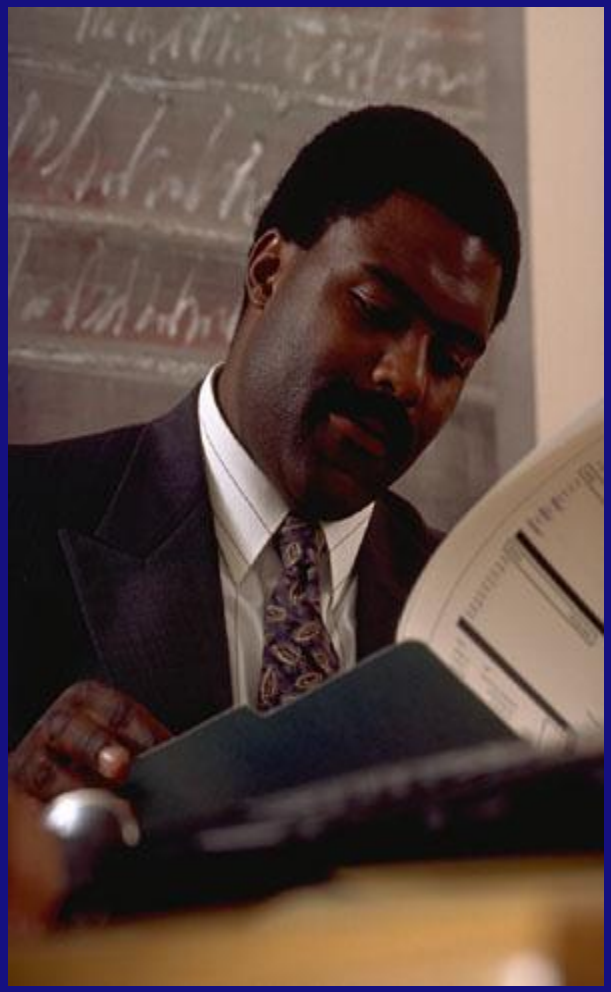
- Secret: National Agency Check/Local Agency Records Check
- Top Secret/SCI: Single Scope Background Investigation
- Conducted by the Office of Personnel Management (OPM) or Defense Security Service (DSS)
  - Financial
  - Criminal
  - Residences
  - Travel
  - Medical
  - Education
  - Drug
  - Alcohol
  - FBI/CIA
  - References

Second Step: Adjudication

- A review of your record of behavior (favorable and unfavorable) against the *13 adjudicative* guidelines, or issues areas.
- Guidelines are in place to ensure decisions are fair, impartial, and consistent.
- "Whole Person Concept" – Adjudicators carefully weigh a number of variables; available, reliable information about you, both past and present, favorable and unfavorable

What makes the difference?

- Nature, extent, and seriousness;
- You voluntarily report the information;
- You are truthful and complete in responding to questions;
- You sought help and followed professional guidance.
- You've demonstrated positive changes in your behavior



So, you've got your clearance. Now, how to keep it!

- Standards of conduct;
- Report changes in your personal life that are of security interest;
- Comply with security regs and procedures to protect classified.

Standards of Conduct – The Guidelines

- To maintain access, you must recognize and avoid behavior that might jeopardize your clearance.
- Recognize behaviors in yourself or others that may need to be reported to your security officer and may signal that you or a co-worker may need assistance.
- **Early intervention** is often the key to quick, effective resolution of problems without harming you or the organization.
- Linked to the 13 adjudication guidelines.

Financial Considerations

- Don’t pay your bills
- Living or spending beyond your means
- Don’t file tax returns, tax evasion
- Calls at work from creditors
- Denial of credit
- Bounced or bad checks
- Failure to make child or spousal support payments
- Bankruptcy

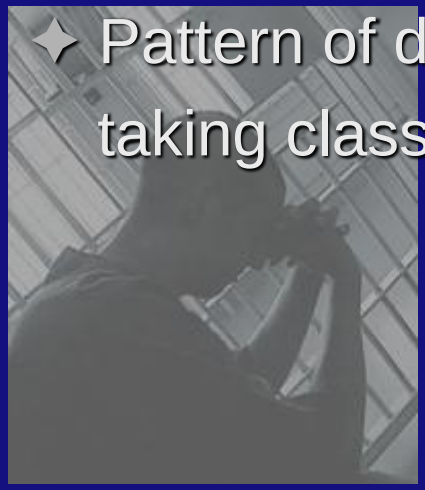
Alcohol

- DUI, DWI
- Concealing alcohol at work or in car
- Irresponsible behavior while under the influence
- Arriving at work intoxicated or drinking on the job
- Can't remember something that happened while drinking

- Habitual or binge drinking
- Going "on and off the wagon"
- Underage drinking

Criminal Conduct

- Theft
- Fraud (misuse of gov't credit card, misuse of leave, fraudulent travel or expense accounting)
- Dishonorable discharge
- Spouse or child abuse or neglect
- Pattern of disregard for rules and regulations (DWI, taking classified information home at night)

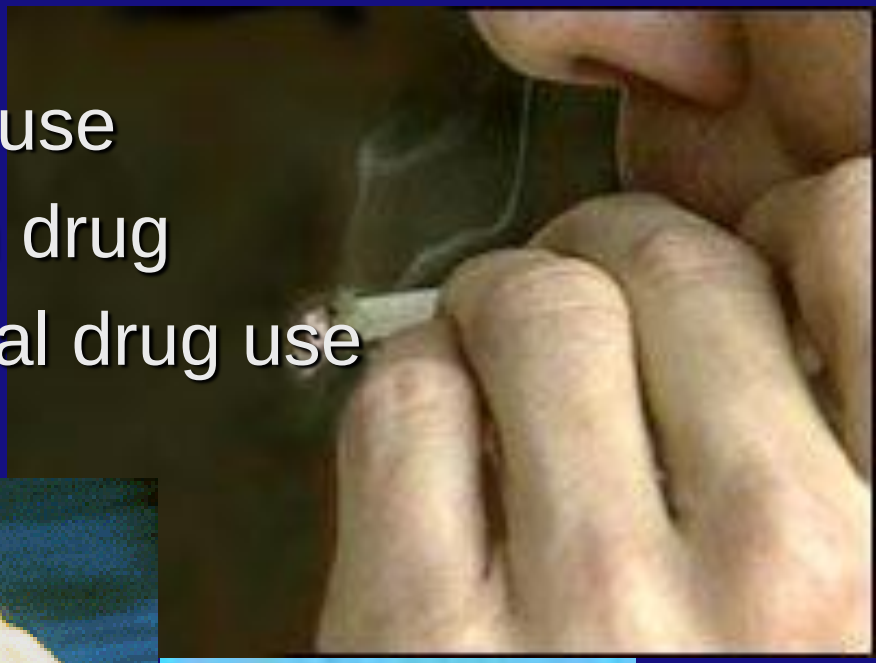


Personal Conduct

- Recurring pattern of poor judgment, irresponsibility, or emotionally unstable behavior.
- Deliberate omission or falsification on your personal security questionnaire.
- Voluntary association with persons involved in criminal activity.
- Indications you may succumb to blackmail rather than risk exposure of a personal issue.

Drug Involvement

- Use of Illegal/illicit drug use
- Misuse of a prescription drug
- Testing positive for illegal drug use

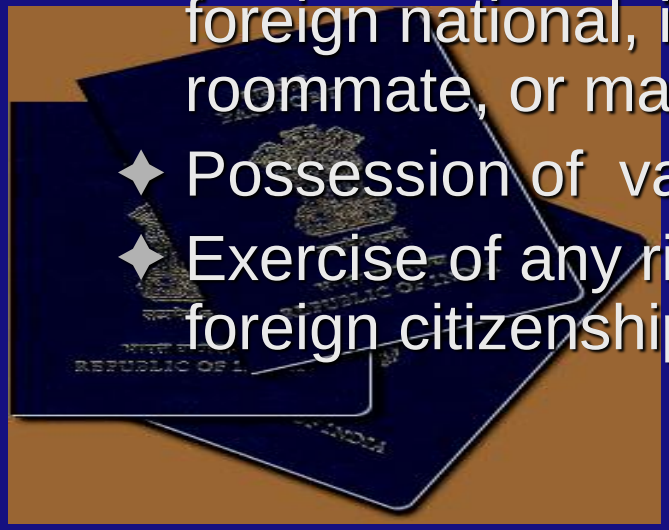


Psychological Conditions

- Pattern of abnormal behavior that casts doubt on your judgment, reliability.
- Emotionally unstable, irresponsible, dysfunctional, high risk,violent, paranoid, or bizarre behavior.
- Expression of bizarre thoughts or perceptions.
- Pattern of lying and deception.
- Failed to follow treatment advice (failure to take prescribed meds).
- Talk of attempt to hurt yourself.
- Inability to control anger.

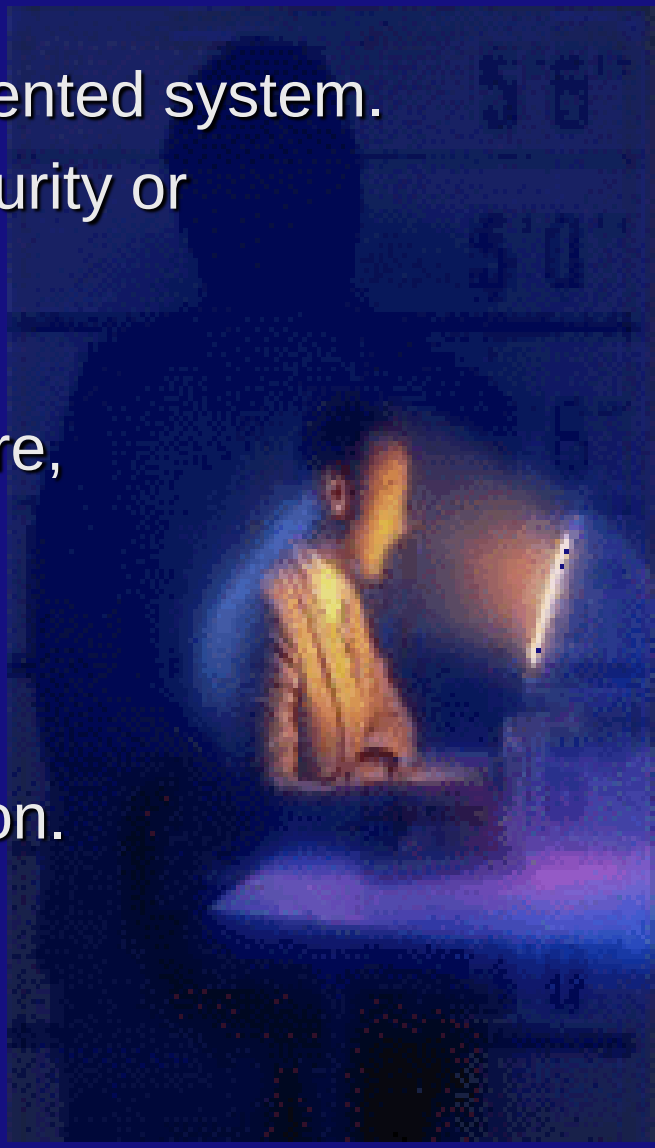
Foreign Influence and Foreign Preference

- Unreported personal contacts with foreign intel service, government or persons seeking classified information.
- Immediate family member who is a foreign national.
- Unreported close and continuing contact with a foreign national, including intimate contacts, roommate, or marriage.
- Possession of valid foreign passport
- Exercise of any right,privilege or obligation of foreign citizenship.



Misuse of Information Technology

- Unauthorized entry into any compartmented system.
- Attempting to circumvent or defeat security or auditing systems.
- Downloading, storing, or transmitting classified on or to unauthorized software, hardware, or information system.
- Introduction, removal, or duplication of hardware, software, or media to or from any system without authorization.



Outside Activities

- Service/employment, whether compensated or volunteer, with
  - Government of foreign country
  - Any foreign person, organization, or other entity;
  - Any representative of a foreign interest;
  - Any foreign, domestic, or international organization or person involved in:
    - Intelligence
    - Defense
    - Foreign affairs
    - Protected technology

Security Violations

- Unauthorized disclosures
- “Indirect unauthorized disclosure”
- Taking classified information home
- Multiple security infractions
- Downloading classified on to unapprove system (SIPRNET to NIPRNET)
- Removing classified study notes
- Deliberate failure to comply with security regs
- Statements or actions that demonstrate an individual believes the security rules don’t apply to him/her

Sexual Behavior

- Criminal sexual behavior
- Pattern of compulsive, self-destructive and high risk sexual behavior that you are unable to stop

Allegiance to the U.S.

- Sabotage, espionage, treason, terrorism, or sedition
- Association or sympathy with persons who have committed or are committing any of the above
- Any statement or action that show allegiance to a country other than the U.S.

Recognizing and Reporting Behavior

- Exhibiting one or more of the described behaviors does NOT mean the individual is a security risk.
- Security judgment is based on pattern of behavior, not a single action. “Whole Person”
- If you are unsure, talk with your security officer or your supervisor.

Self-reporting…Knowing what and when to report

Self- reporting on your Personal Activities

- Change in Personal Status
  - Marital status – married, divorced
  - Cohabitation – living in spouse-like relationship; intimate relationship, engaged
    - SCI or certain Special Access Programs: report early, particularly if your partner is a foreign national
  - Change of name
- Foreign Travel
  - SCI: Receive clearance for travel to hazardous countries.
  - Security Office will provide State Dept advisories on hazardous conditions and any known security concerns.
  - Receive a defensive security briefing.

Self-reporting….

- Foreign Contacts
  - Must report contact with individuals of **any foreign** nationality, either within or outside the scope of your official duties, in which:
    - Illegal or unauthorized access is sought to classified or otherwise sensitive information.
    - You may be concerned that you are a target of an attempted exploitation.
  - SCI cleared individuals must report all close and continuing relationships with foreign nationals.

Self-reporting…

- Media Contacts
  - Inquiries about your job or organization.
  - Ongoing personal contacts with media representatives who cover your organization.
- Prepublication Review
  - SCI – mandatory
  - Technical paper, book, magazine article, or newspaper prepared for posting on internet, or lecture or speech that you prepare to give, must be cleared if it contains information or knowledge you gained during your current or any previous classified job.
  - Resumes

Self-reporting….

- Loss or Compromise of Information
  - Inadvertently or accidentally lose or compromise classified or other sensitive information.
  - First Priority: Regain control of the classified material.

Self-reporting….

- Financial Problems
  - Filing for bankruptcy
  - Garnishment of wages
  - Have a lien placed upon your property for failing to pay a creditor
  - Eviction from a residence for failure to pay rent
- Arrests
  - Any, regardless of whether or not you were convicted or charges were dropped.
  - Other Involvement with the Legal System: Target of legal action such as being sued. Possibility you might be required to discuss your job under oath.

Self-reporting….

- Psychological Counseling
  - Psychological treatment is reported unless it is for marital, family or grief counseling.
  - Strongly encouraged and endorsed.
  - Seeking help for routine life crises does not reflect adversely on an individual's judgment.
  - Viewed as a positive sign that an individual recognizes that a problem exists and is willing to take steps toward resolving it.
  - Does not jeopardize your security clearance.

So, I report a personal problem, then what?

At some time in your life, you may face problems with inter-personal relationships, depression, alcohol, family issues, or similar difficulties.

Vast majority of those seeking professional help do not suffer damage to their career.

On the contrary, it enables one to get help with an unmanageable problem in order to get on with life.

Early intervention is often a key to early resolution.

Where to go for help

- Employee Assistance Program
- Chaplain
- Financial counselors
- DAPA
- Supervisor
- Employee Assistance Program
- Community Mental Heal Centers
- Credit Unions
- Legal Services
- Navy Relief

Employee
Assistance
Program

Summary

- Deal with problems in the early stages;
- Take advantage of available resources;
- Talk with your SSO or security manager;
- Be alert to situational stressors in yourself and your co-workers;
- Early intervention is often a key to early resolution.

Questions???

- Talk to your local Security Manager.