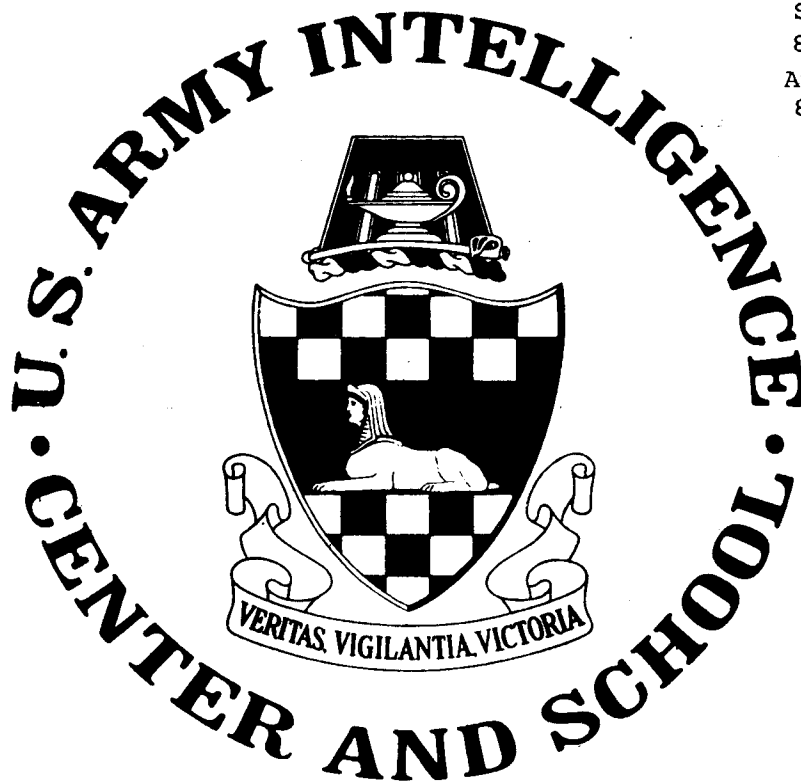




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HANDBOOK FOR PERSONNEL SECURITY PROGRAM

(Supersedes SupR 80345, Sep 76)

HANDBOOK FOR PERSONNEL SECURITY PROGRAM

Preface

This supplemental reading is designed to serve as the basis for discussion with the student concerning the Army Personnel Security Program. This supplemental reading was compiled from, and is based upon, appropriate guidance and directives in effect at the time of publication. Although it is intended for use as a supplement to referenced regulations and directives, it is NOT intended to replace them, it reflects the current guidance on the proper execution of an effective Personnel Security Program.

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GENERAL POLICY

1. Type of Investigation Required for Access to Classified Information.

a. Type Investigations. The type of investigation required in any instance will depend on the classification of the information to which a clearance for access is required, the military or civilian status of the individual concerned, and the citizenship status. The types of personnel security investigations normally required, as a basis for granting clearances, for access to classified defense information are:

(1) Standard National Agency Check (NAC) - an investigation limited to a check of records of appropriate national agencies for information bearing on the loyalty and suitability of individuals.

(2) Entrance National Agency Check (ENTNAC) - an investigation, identical to a standard NAC except that it does not include a technical search of FBI criminal files, conducted on every inductee and first term enlistee entering a basic training center.

(3) National Agency Check Plus Written Inquiries (NACI) - an investigation consisting of a standard NAC plus written inquiries to appropriate local law enforcement agencies, former employers, references, and schools attended by the person under investigation. NACIs are only conducted on civilian employees or applicant for employment with the federal government.

(4) Routine Background Investigation (BI) - designed to develop information upon which to base personnel actions which are clearly consistent with the interests of national security. A complete and detailed investigation into the background of an individual which covers the most recent 5-year period of the individual's life or from his 18th birthday, whichever is shorter. A recent change lowered the scope of a routine BI from 15 years to 5 years, however, this change does not preclude expanding the investigation. The individual concerned is still required to report information on his/her personal history for the most recent 15 years or from his/her 18th birthday, whichever is shorter.

(5) Special Background Investigation (SBI) - same as the routine BI with the exception that the investigation covers the most recent 15-year period of the individual's life or from his/her 18th birthday, whichever is shorter. The SBI exceeds the scope of a BI because of a specific, justified requirement of the requestor. The SBI is normally conducted when the individual concerned requires access to sensitive compartmented information regardless of the classification of that information.

b. Clearance Categories and Minimum Required Investigation.

(1) Military personnel.

(a) Final clearance.

TOP SECRET - US citizen: BI for military personnel with less than 10 years of continuous honorable active duty. For military personnel with 10 years of continuous honorable active duty and an NAC completed within the last 12 months qualifies for a TOP SECRET security clearance. DIS will not honor any request for a routine BI when the military member has 10 years of continuous honorable active duty unless a specific program requires a BI or SBI (DA Msg 011800Z Jul 76).

SECRET - US citizen: NAC or an ENTNAC.

CONFIDENTIAL - US citizen: A check of the Military Personnel Records Jacket (MPRJ), local intelligence files, military police files and medical records.

(b) Interim clearance.

TOP SECRET - US citizen: NAC or an ENTNAC and the initiation of a background investigation.

SECRET - US citizen: Minimum of two years of continuous honorable active duty, a check of military personnel records, local intelligence files, provost marshal files and medical records; and the initiation of an NAC.

CONFIDENTIAL - Interim clearance is not authorized for military personnel that are US citizens.

(2) Civilian personnel.

(a) Final clearance.

TOP SECRET - US citizen: BI.

SECRET - US citizen: NACI.

CONFIDENTIAL - US citizen: NACI.

(b) Interim clearance - ONLY IN CASE OF EMERGENCY (refer to AR 604-5).

TOP SECRET - US citizen: NAC and the initiation of a BI.

SECRET - US citizen: NAC and the initiation of an NACI.

CONFIDENTIAL - US citizen: NAC and the initiation of an NACI.

(3) Immigrant aliens (civilian or military)

b. National Agency Check.

(1) A request for an NAC only (when there is no known requirement for further counterintelligence investigation) will be submitted on Copy 1 of the completed DD Form 1584 (Department of Defense National Agency Check Request) and will be accompanied by a copy of FD Form 258 [FBI, US Department of Justice Fingerprint Card (Applicant)]. If an ENTNAC is requested, a DD Form 369 (Police Record Check) will be submitted in lieu of the FD Form 258. The office or unit responsible for submitting the DD Form 1584 will normally complete the form based on data taken from the DA Form 3208 (Worksheet for National Agency Check Request) and/or from DD Form 398 (Statement of Personal History) or any other appropriate security form which has been executed by the individual to be investigated. It is imperative that identifying data concerning the subject be legible. The Defense Investigative Service (DIS), the responsible investigating agency, requires that entries on the form must be typewritten. All questions must be answered; if an item is not applicable, indicate "none." DD Form 1584 will be completed as fully and accurately as practicable. However, submission of an NAC request should not be unduly delayed merely because the individual to be investigated is unable to fully complete items 9 through 15 of the form. When such data is not readily obtainable, reasonable approximations will be made and indicated as such on the form. Items 1 through 8, item 16 (including expansions thereof) and item 17 must be completed fully and accurately in all cases. When more space is required to provide complete information, necessary additional sheets of plain paper will be attached to the form. Give particular attention to the explanation furnished by individuals answering any part of item 16, DD Form 1584, in the affirmative. In some cases this will require investigation of greater scope than a standard NAC. Copy 2 of DD Form 1584 will be retained in the field personnel file of the subject of the NAC. Copy 3 is a suspense copy and may be retained by the office or unit preparing and/or submitting the request. Copies 4 and 5 may be used as additional suspense copies if needed by intermediate headquarters. After completion of the NAC, the Processing Division, Initiation Branch (D0188), DIS will notify the requester for the results of the investigation by annotating and returning Copy 1 of DD Form 1584. Copy 1 will be placed in the subject's field military 201 file until a clearance certificate (DA Form 863) is issued, a dossier when a clearance is granted based solely on the results of a favorable NAC. Copy 2 of DD Form 1584 will be withdrawn from the subject's field military 201 file and destroyed when replaced by DA Form 873 (Certificate of Clearance and/or Security Determination under EO 10450) or Copy 1 of DD Form 1584 if the security clearance is not immediately issued upon receipt. To facilitate the checking of the records of national agencies and to insure that the desired records are checked in consonance with actual need, requesters will place in the upper center margin of DA Form 1584 one of the following abbreviated markings: NAC, ENTNAC, BI or SBI, and SAC for Single Agency Check (DA Cir 604-1).

NOTE 1: Attached inclosures cover:

- 1 - Instructions for Completing DA Form 3208 (Worksheet for National agency Check Request).
- 2 - Sample of completed DA Form 3208.
- 3* - Privacy Act Statement of DA Form 3208.
- 4 - Instructions for Completing FD Form 258 (FBI Fingerprint Card - Applicant).
- 5 - Sample of completed FD Form 258 (FBI Fingerprint Card - Applicant).
- 6* - Privacy Act Statement for FD Form 258.
- 7 - Instructions for Completing DD Form 1584 (DD National Agency Check Request).
- 8 - Sample of completed DD Form (DD National Agency Check Request).
- 9* - Privacy Act Statement for DD Form 1584.
- 10 - Additional Instructions for Completing DD Form 1879 (Request for Personnel Security Investigation).
- 11 - Sample of DD Form 1879 (Request for Personnel Security Investigation) with additional instructions on reverse side.
- 12 - Instructions for Completing DD Form 398 (State of Personal History).
- 13 - Sample of Completed DD Form 398 (Statement of Personal History).
- 14*- Privacy Act Statement for DD Form 398.
- 15 through 28. See table of contents for titles.

NOTE 2: Inclosures with an asterisk are examples of the Privacy Act Statement for DA Form 3208, FD Form 258, DD Form 1584, and DD Form 398. The Privacy Statement MUST be given to the individual concerned prior to the completion of the appropriate form.

(2) Tracer action on a previously submitted standard NAC request will be submitted to the Processing Division, Initiation Branch (D0811), Defense Investigative Service, PO Box 1083, Baltimore, Maryland 21203, to include a fingerprint card, except that the DD Form 1584 must be marked tracer in large red letters in item 18. The date and submitting command of the original request will also be entered in item 18. Except for extreme operational necessity, a tracer action will not be submitted sooner than 60 days

after the date the initial request was dispatched (DA Cir 604-1). The address indicated in DA Cir 604-1 for the submission of original request and tracer action was changed subsequent to the date of the circular.

(3) If the DD Form 1584 is executed by the individual and no DA Form 3208, DD Form 298, or similar security form is available that has been executed by the individual, the applicant should sign and date one of the file copies. That file copy should be maintained in the individual's military/civilian personnel records. The following should be typed in item 18 of the file copy of DD Form 1584 prior to the individual's signing: "All entries on the form are true, complete, and correct to the best of my knowledge and belief and are made in good faith. I understand that a knowing and willful false statement on this form may be punishable by fine or imprisonment or both (see US Code, Title 18, Section 1001)." The original should not be signed or dated.

C. Background Investigation.

(1) A request for a standard BI or a Bring Up BI (BU-BI) will be made on DD Form 1879 (Request for Personnel Security Investigation) (Inclosure 11), forwarded in triplicate, and accompanied by the original and three copies of the completed DD Form 1584 with carbon interleaves, one copy of FD Form 258, and the original and four copies of DD Form 398. The request for the BI or BU-BI will be forwarded by the appropriate commander to Personnel Investigations Control Center, Defense Investigative Services, PO Box 454, Baltimore, Maryland 21203. In requesting an SBI or Bring Up SBI (BU-SBI), the same procedures are followed except that an additional copy of DD Form 398 will be forwarded and the request will be sent to the local Special Security Detachment (SSD). The local SSDs will review these requests for SBIs or BU-SBIs and forward them to the Commander, United States Army Special Security Group, Acting Chief of Staff for Intelligence, Department of the Army, ATTN: DAMI-SG-B, Room 2A 514, The Pentagon, Washington, DC 20310. This office will forward the request to DSI. The provisions governing the submission of SBI or BU-SBI do not pertain to the Army Security Agency (ASA). Appendix C, DA Cir 604-1, will be used in preparing DD Form 398. Detailed instructions for completing DD Form 398 (Inclosure 12) are delineated. A file copy of DD Form 1879 and Copy 5 of DD Form 1584 will be filed in the individual's field personnel file. These copies will be removed and destroyed when the results of investigation are received and a positive determination has been made as to whether the subject of the investigation will be granted or denied a security clearance. One copy (which may be a penciled copy) of DD Form 398 will be maintained in the individual's field personnel file as a semipermanent record. This copy will be made available to the individual concerned when future supplemental biographical data are required (AR 640-10, AR 604-5, and DA Cir 604-1).

(2) Although not specifically required by directives, a good general security practice is to have every individual completing a Statement of Personal History, DD Form 398 for a background investigation, execute release

statements. The release statement is used in providing expeditious completion of the personnel security investigation. As a routine practice release statements should be obtained for medical records, educational records, financial records, law enforcement records, and employment records. The terminology used in these release statements is not uniform throughout the Armed Forces; however, the Privacy Act Warning Statement MUST be included on the release forms. Examples of the release statement and the Privacy Act Statement are at Inclosures 15A through 15E. The release statements should be provided in the same number of copies as the Statement of Personal History and one additional copy for the individual executing the release. An individual CANNOT be forced to execute the release statement. The individual can only be asked if he/she is willing to execute the release form. Under NO circumstances will the individual be questioned as to the reason(s) for declining. Failure to execute the release statement DOES NOT mean that the individual WILL BE denied access to classified information. Failure to execute the release forms may preclude the expeditious completion of the investigation and, on rare occasions, may preclude the completion of the investigation to the satisfaction of the adjudicating officials wherein access to classified information is not clearly in the best interest of national security.

(3) DIS has developed two release forms used in connection with personnel security investigation. An example of DIS Form 16 (Doctor/Patient Release Statement) and DIS Form 17 (Educational Institution Release Statement) are at Inclosure 16. These forms are not widely distributed within the US Army, and instruction on when and how these forms will be completed has not been addressed. If available, DIS Form 17 should be completed when requesting any background investigation. General guidance from DIS is that a copy of DIS Form 17 is desired for each educational institution attended. DIS Form 16 is designed in that DIS Investigative Agents obtain the executed form directly from the individual being investigated. An individual CANNOT be forced to execute the release statement. The same provisions apply in requesting a release statement using DIS forms as in using the release statement previously mentioned. Since the DIS forms at Inclosure 16 do not include the Privacy Act Warning Statement, use of the DIS forms would require that a Privacy Act Warning Statement similar to the statements on Inclosures 15A through 15E be developed in some manner by the units using the DIS forms.

3. Change in Status of Individuals Under Investigation.

a. Transfer of Subject During Investigation. If, while a personnel security or complaint investigation is in progress, the subject of the investigation is transferred, the Defense Investigative Service will be notified by the losing command and furnished two copies of the orders directing the transfer. Subjects of complaint investigations will normally not be transferred. The losing command will also notify the gaining command through intelligence channels of the investigation under progress. The requesting agency will forward the results of the investigation to the gaining command when the Defense Investigative Service has completed and forwarded the results of the investigation to the gaining command when the Defense Investigative Service has completed and forwarded the results of the investigation prior to receipt of

notification of subject's transfer. Exceptions to this procedure are cases in which the requester (such as a training center) is knowledgeable of the individual's next assignment and designates the gaining command in the Action Agency block of DD Form 1879. The Defense Investigative Service will forward the results of investigation to the unit designated in the Action Agency block (AR 381-20, AR 604-5 and DA Cir 604-1).

b. Cancellation of Investigation. When the need for a background investigation previously requested no longer exists, the Defense Investigative Service will be notified promptly by electrical transmission that the investigation may be canceled. Requests for NACs already submitted will not be canceled (AR 604-5 and DA Cir 604-1).

c. Receipt of Report After Change in Status. Should the requester receive a report of investigation subsequent to the subject's reassignment, release from active military duty, discharge from military service, death, or termination of employment, the report will be disposed of through intelligence channels IAW para 4-1e, AR 604-5.

d. Forwarding Results. The requesting command will indicate the estimated reporting date on investigative requests when the results are to be returned to a gaining command for action. If, upon receipt of such reports, the gaining command cannot locate the subject individual within 14 days of his/her estimated reporting date, the investigative results will be returned to the original requester. The original requester will locate the individual and forward the investigative results to the correct address (AR 604-5).

4. Acceptance of Previously Granted Final Security Clearance.

a. Clearance authorities and their designated representatives who propose to continue access to classified information to newly assigned personnel on the basis of previously granted personnel security clearance will check available local files such as personnel records, medical, intelligence, and criminal investigative files.

(1) If this check discloses no information which may constitute a bar to continued access, the previous clearance will be accepted and no further action is required. Clearances will be mutually accepted at the same level throughout the Department of Defense. Because of this reciprocal acceptance of the clearance on record, DIS will not honor requests to forward prior investigative files for review, unless requests specifically state that significant derogatory information has been developed subsequent to the date of the last clearance or the individual concerned is being considered for a higher level of clearance or access, or there has been a break in service of 1 year or more (AR 604-5 and DA Msg 011800 Jul 76).

(2) If personnel records reflect that the person concerned has been processed under the provisions of AR 604-10 or para 4-1d, AR 604-5, the USAIRR dossier will be reviewed prior to making a security determination for continued access.

(3) When unresolved derogatory information is surfaced, appropriate investigation will be requested. Based on the results of the investigation, a determination will be made as to whether or not continued access shall be granted (AR 604-5).

b. Annotation of DA Form 873 is not required to reflect acceptance of a previously granted clearance (AR 604-5).

c. Updating Previous Investigations. The update of previous investigations is limited to two types: BI-BU and SBI-BU which are conducted to obtain updated information concerning individuals who have previously been the subject of a BI or SBI and who have, during the preceding 5 years, continuously held either critical sensitive positions or positions requiring access to sensitive compartmented information, respectively. No provisions exist for updating NACs or NACIs based on current changes to AR 604-5. Bring-ups will be initiated only under the following circumstances and will be limited as outlined:

(1) BI-BU will be limited to civilian employees assigned to critical sensitive positions. In such cases, the individual concerned will submit an updated Statement of Personal History (SPH) 5 years after his appointment and once each succeeding 5 years. The appropriate security office receiving the SPH will review the SPH together with the local personnel files on the individual, previous reports of investigation concerning the individual, and other appropriate information files. No investigation will be requested unless the foregoing review develops significant derogatory or adverse information, in which case, the requested investigation will be limited to that necessary to resolve the adverse information in question.

(2) SBI-BU will be conducted, at intervals no greater than 5 years, on all individuals who have continuously held positions requiring access to sensitive compartmented information. The investigation may be limited to checks with the FBI and relevant police and credit sources. The individual concerned will submit an updated SPH as required, but the intervals will not be greater than 5 years. The appropriate security office receiving the SPH will review the SPH together with the local personnel files on the individual, previous reports of investigation concerning the individual and other appropriate information files. In addition to the local records checks, the FBI, the relevant police department, and credit references will be requested and conducted by the appropriate investigating agency. If significant derogatory or adverse information is developed, either locally or by the investigating agency, the investigation will be expanded to the scope necessary to resolve the adverse information in question and meet the standards for access to sensitive compartmented information.

(3) The above procedures and policies do not apply to investigative requirements established for White House support personnel and persons assigned to the North Atlantic Treaty Organization. If adverse or derogatory information is developed on any individual having access to classified information, a limited investigation will be requested to resolve the adverse

or questionable information. Such an investigation is not considered to be a bring-up investigation.

d. When a clearance certificate of an individual reflects that he/she has been granted a SECRET clearance based on a favorable BI, clearance authorities may issue a TOP SECRET clearance based upon the previous BI. A military member may also be granted a TOP SECRET clearance based on 10 years of continuous honorable active duty and a favorably completed NAC not more than 12 months old (AR 604-5 and DA Msg 011800Z Jul 76).

e. Final SECRET clearance certificates will not be administratively reduced or invalidated merely to reflect a change in an individual's assignment to duties that do not require access to the same or lower degree of classified information. Such certificates will be invalidated or reissued only when the clearance has been revoked IAW AR 604-5, or become invalid by reason of discharge, resignation, retirement or when there is a need for upgrading the degree of clearance (AR 604-5).

5. Recording of Investigations and Granting of Security Clearances.

a. Recording of Investigations and Security Clearances. Upon notification that a favorable personnel security investigation regarding a military member has been completed, an entry to that effect will be made on the individual's DA Form 2 and the DA Form 2-1 which replaces DA Form 66 (Officer Qualification Record) and DA Form 20 (Enlisted Qualification Record).

THE FOLLOWING ARE EXTRACTS FROM AR 604-2-1, 15 October 1973, Personnel Qualification Records:

* * * * *

DA form 2, Item 32, Security Clearance (References: AR 604-5, AR 604-10, and AR 680-29).

(1) Enter the latest security clearance granted for access to classified defense information and material. Information for this item must be documented on DA Form 873 in the military personnel records jacket (MPRJ). (NOTE: AR 604-5, para 4-2a, states that a DA Form 873 need not be prepared for CONFIDENTIAL security clearances granted to military personnel.)

(2) Degree of access and code. Enter TOP SECRET, SECRET or CONFIDENTIAL to identify the degree of access to classified information and material. Enter a specific code from Code Number 46, AR 680-29. (CODE: T = TOP SECRET, S = SECRET, C = CONFIDENTIAL, U = WITHDRAWN, Blank = Clearance not granted or none recorded at previous assignment.)

(3) Validation. Enter, in pencil, year, or leave blank to indicate whether clearance has been validated at current unit of assignment. See Code Number 47, AR 680-29. (CODE: Yes or Y = clearance validated, N = clearance

withdrawn at current assignment, or this item will be left blank when clearance has not been validated at current assignment. Report of change (DA Form 2876) is required for officer personnel. Type of investigation, date of completion, and authority (major command or Federal agency) will be extracted from DA Form 873 and included in DA Form 2876 submitted for this item. (NOTE: AR 604-5, para 4-3b, states that annotation of an individual's DA Form 873 is no longer required to reflect acceptance of a previously granted security clearance.)

DA Form 2, item 33, Security Investigation Status (enlisted personnel only). (Reference: AR 680-29.)

(4) Enter, in pencil, the appropriate code to indicate status of current security investigation (Code Number 48, AR 680-29). The security investigation status of individuals who have a valid security clearance granted under prior DA policy will also be coded and entered as prescribed above. Use codes from Code Number 48, AR 680-29, for reporting purposes in connection with availability for reassignment action instead of security clearance code. In selecting the appropriate investigative status code, favorable will mean that the investigation or check resulted in the development of no derogatory information or that derogatory information has been resolved in favor of the individual to the extent that granting a clearance would be clearly in the interest of national security. Erase entry and enter code Z when a determination is made to revoke a security clearance (AR 604-5).

(5) DA Form 2-1, item 4 entries.

Not eligible for security clearance or assignment to sensitive duties. (Reference: AR 604-10.)

Enter (Not elig for scty clnc or asg to sensitive dy, AR 604-10).

(6) Derogatory information developed under provisions of AR 604-5. (Reference: AR 604-5.) Enter para 3-1d, AR 604-5 applies when any counter-intelligence investigation conducted for purposes other than security clearance develops derogatory information which does not warrant unfavorable personnel action.

(7) Personnel security investigation data. (Reference: AR 604-5.) Duplicate copies of DA Form 2-1 (para 3-1a through d) will be annotated to reflect personnel security investigation data for newly appointed and Reserve component officers entering on active duty. Enter type of investigation conducted, authority (command or Federal agency), and date completed. Example: NAC compl, MDW, 730224.

SECURITY INVESTIGATIONS CODE, CODE 48, AR 680-49, WHICH MIGHT BE ENTERED IN
ITEM 33, DA FORM 2:

- A = Favorable Background Investigation.
- B = Favorable National Agency Check.
- C = Favorable Local Agency Check.
- D = Favorable National Agency Check and Local Files (Records) Check plus 15 years service.
- F = Favorable National Agency Check completed and Background Investigation initiated. (NOTE: This is what must be accomplished prior to requesting or granting an interim TOP SECRET security clearance to certain categories of personnel.)
- G = Favorable Entrance National Agency Check. (NOTE: This is the type of NAC conducted on first term enlistees and inductees.)
- K = Favorable Local Files (Records Check and National Agency Check initiated. (NOTE: This is what must be accomplished prior to requesting or granting an interim SECRET security clearance to certain categories of personnel.)
- M = Background Investigation initiated.
- P = Entrance National Agency Check initiated.
- X = No investigation initiated.
- Y = Not eligible for security clearance or assignment to sensitive duties IAW AR 604-10. (NOTE: A similar entry must be made in item 4, DA Form 2-1. Should entries be made on an individual's qualification records, person is not eligible, the effective date, and by what authority this ineligibility is effected.)
- Z = Review of USAIRR dossier required prior to security clearance determination IAW AR 604-5. This code also indicates that the individual's security clearance has been revoked.

* * * * *

(8) ADDITIONAL COMMENTS:

(a) Reduction authorities are not listed on the DA Form 2-1. The only entry will be the date of rank in the appropriate space in item 18, DA Form 2-1. Special orders for reduction in grade/rank are maintained in the individual's MPRJ.

(b) Neither the type of personnel security investigation nor the level of security clearance granted to the individual will be recorded on DA Form 2-1. All such information will be recorded on DA Form 2 and DA Form 873.

(c) References regarding an individual's statement of personal history (DD Form 398) will not be entered on DA Form 2 or DA Form 2-1.

(d) Items identified with a ☐ on DA Form 2-1 and DA Form 2 pertain only to officer personnel; those items identified by a 0 apply only to enlisted personnel; and those items which do not have a ☐ or 0 apply to all personnel.

b. Granting of Security Clearances (AR 604-5).

(1) Persons authorized to grant security clearances must themselves meet the individual requirements and possess a final TOP SECRET clearance. Commanders delegated authority to grant clearances may appoint a staff officer to act for them in the execution of clearance certificates on personnel within their respective commands, agencies, or activities and on subordinate commanders to whom they further delegate authority to grant clearances, provided the staff officer is:

(a) Cleared for access to TOP SECRET information.

(b) Qualified by training and experience to make valid security clearance determinations.

(2) Clearance issuing authorities are responsible, upon the granting of clearances, for continuing close supervision and observation of the activities and behavior of personnel who have access to classified material and information to insure that cleared personnel still warrant a security clearance.

(3) Before authorizing access to classified defense information, commanders will insure that cleared personnel are familiar with the provisions of AR 380-5, AR 381-12, DOD 5200.1-R and other pertinent directives governing the safeguarding of classified information.

(4) When a commander is considering granting a security clearance to a military member whose records have been annotated, para 3-1d, AR 604-5 applies; the commander concerned will obtain and review the individual's USAIRR investigative dossier. Based on all the information available in the dossier, both favorable and unfavorable, the commander will either issue a security clearance and grant access to classified information as needed, take action to deny the security clearance as outlined in AR 604-5, or request additional investigation upon which to base future definitive action.

(5) Field military 201 file or civilian personnel folder, local intelligence and provost marshal files, medical records will be checked prior to granting a security clearance.

(6) Under no conditions will a person be granted an interim security clearance or any access pending authorization under the provisions of AR 604-5 until such time as the authorized requester has initiated the action necessary for final clearance. The granting of interim clearances will be kept to the absolute minimum required to fulfill the mission of the US Army.

(7) Aliens and foreign nationals are not eligible for security clearances, but may in exceptional cases be granted limited access authorizations for access to classified defense information under the provisions of AR 604-5.

(8) No interim SECRET or TOP SECRET security clearances are authorized for immigrant aliens. They may be granted an interim CONFIDENTIAL security clearance based on an NAC to include a check of the files of the CIA plus initiation of a full background investigation.

(9) See Inclosures 17 through 23 for samples of completed DA Forms 873.

6. Personnel Security Reliability Program. As a means of reviewing the behavior and activities of personnel who possess security clearances to determine their fitness for retention of such clearances as required by para 1-6e, AR 604-5, the security officer should establish procedures whereby he is furnished the following:

- a. Serious incident reports.
- b. DA Form 268 (Report of Suspension of Favorable Personnel Action).
- c. Letter of indebtedness.
- d. Military police reports.
- e. Names of personnel receiving courts-martial or punishment under Article 15, UCMJ.
- f. Names of personnel suspected of excessive drinking, gross disgraceful conduct or drug abuse.
- g. Names of personnel being referred to the hospital for psychiatric examination.

7. Suspension of Access to Classified Information.

- a. When credible derogatory information becomes known which indicates that an individual may be a security risk, commanders and supervisors at all echelons, including company, separate detachment, or equivalent level, will take immediate action to suspend the individual's authorized access to classified defense information (AR 604-5).
- b. Prior to suspending an individual's access to classified information, the security officer should take the following into consideration:
 - (1) The possibility of compromising an investigation conducted by counterintelligence personnel in accordance with AR 381-20.
 - (2) Protection of and limiting the disclosure of adverse information or allegation to only those persons who have a need-to-know since general disclosure of such information would amount to invasion of privacy. It should also be remembered that an individual is innocent until proven guilty.

c. Steps to be taken to suspend an individual's access to classified information:

(1) Reassign the individual to a nonsensitive position, the duties of which require no access to classified information or inform the individual's supervisor in writing that the individual's access to classified information has been suspended until further notice.

(2) Change combinations of classified containers to which the individual had access.

(3) If the individual was the custodian of classified documents, cause an inventory to be made and appoint a properly cleared person to assume the duties and responsibilities of custodian.

(4) Furnish written notification to other units or offices from which the individual was authorized receipt for classified documents or materials.

(5) The individual may be informed that his/her access to classified defense information has been suspended pending further notification provided it will not compromise an investigation.

(6) Submit a request for investigation to the appropriate investigative agency immediately to permit expeditious restoration of access to classified information or provide a sound basis upon which to effect revocation of the individual's security clearance.

(7) Submit a report of the suspension of access to classified information to the clearance authority as directed by para 3-1b, AR 604-5 (see inclosure 24 for sample format).

(8) If any case is not finally resolved within 3 months after the date access was suspended, the clearance authority and HQDA (DAMI-DOS-P) Pentagon, Washington, DC 20310 will be advised of the current status of the case, reasons for the delay, and the estimated date the case will be resolved (AR 604-5). (See Inclosure 25 for sample format.)

(9) Upon completion of the investigation, the clearance authority will be furnished results thereof and advised of the disposition of the case. (See Inclosure 26 for sample format.)

d. When the security officer suspends an individual's access to classified information, consideration must also be given to the individual's certificate of clearance, DA Form 873, maintained in his/her personnel file. As long as the clearance certificate is in the personnel file of the individual whose access has been suspended, he/she will still gain access to classified information since most people will normally call the personnel office to certify the individual's security clearance and not his supervisor. Therefore, the security officer should give consideration to the following:

(1) Have a copy of the notification of suspension of access forwarded to the clearance authority placed in the individual's personnel folder.

(2) Have the personnel officer keep the individual's personnel folder in the file to preclude the personnel clerks from learning the reasons for the suspension of the clearance. This method would also preclude personnel clerks from inadvertently verifying the individual's security clearance when there is nothing in the personnel folder to indicate the access to classified information has been suspended.

8. Denial or Revocation of Security Clearances.

a. Revocation of security clearances will not be used as a disciplinary action, nor will clearances be revoked merely to reflect a change in an individual's assignment to duties that do not require access to the same or lower degree of classified information (AR 604-5).

b. Whenever a commander proposes or decides to deny or revoke a security clearance, compliance will be IAW procedures outlined in para 4-5, AR 604-5. (See Inclosures 27 and 28 for sample letter reports.)

c. Para 4-5f, AR 604-5, requires that when a security clearance is revoked, the commander will insure, whenever possible, that the individual is debriefed and required to execute a security debriefing statement IAW AR 380-5. A good security practice would be to obtain an additional copy of the security debriefing statement and forward it as an attachment to the revocation letter to United States Army Investigative Repository, Fort Meade, Maryland 20755.

d. AR 600-37 and AR 690-1 outline additional administrative procedures that must be taken in conjunction with the revocation of security clearances of officers and warrant officers and enlisted personnel in grade E7 and above, and Department of the Army civilian personnel, respectively. Also, a statement will be included verifying compliance with para 4-5d or e and f, AR 604-5.

9. Knowledgeable AWOLs.

a. A knowledgeable AWOL is a person who is considered by the major commander concerned to be knowledgeable of SECRET or TOP SECRET information and is in an AWOL status. For the major commander to make this determination, major subordinate commanders will report to the intelligence staff all pertinent details concerning the individual absent without leave who is considered to be knowledgeable of SECRET or TOP SECRET information. The report will include, but is not limited to the following:

(1) Name, rank, social security number, date and place of birth.

(2) Organization and station.

(3) Date and place of absence; and, if know, reason for absence.

(4) Degree of security clearance, degree of current or recent access to classified information, dossier number (if any), type and date of security investigation conducted.

(5) Last known whereabouts.

(6) Home of record, next of kin, and the next of kin's address.

(7) Whether or not there was any indication of defection, intention to defect, and any indication of hostile intelligence involvement.

b. The unit commander or unit personnel officer within 24 hours after the absence is known will conduct an inquiry (see table 2-1, AR 630-10 and will submit findings to the major commander by electrical message. On determination by the major commander that the individual concerned is a knowledgeable AWOL (KAWOL), the report will be forwarded by the most expeditious means to the Commander, USAINTA (MIIA-CI), Fort Meade, MD 20755. The Control Office (USAINTA, US Army Europe or 8th US Army) will, when appropriate, open a counterintelligence investigation. Major subordinate commanders are encouraged to seek the assistance of the local military intelligence (counterintelligence) unit for guidance on the proper course of action (AR 381-20).

c. The command in which a KAWOL is returned to military control is responsible for notifying the appropriate commander, Control Office, and the local military intelligence (counterintelligence) unit immediately. A counterintelligence debriefing of a returned KAWOL is a requirement (AR 381-20).

10. Security Termination Statement.

a. All US military and Department of the Army civilian personnel who have had access to classified defense information will undergo, whenever possible, an oral debriefing and execute a security termination statement whenever such access is terminated or limited in any way, e.g., termination of military service or civilian employment, reassignment from significantly sensitive duties to other duties not requiring the same access, or revocation of security clearance. The security termination statement, DA Forms 2962 and 2543, when signed will be retained in the headquarters, office, section, or element responsible for conducting the security debriefing. A good security procedure should also include two additional copies of the security termination statement to be made. One to be given to the individual and one to be filed as a semipermanent document in the individual's military or civilian personnel records.

b. Security officers should establish procedures whereby all US military and Department of the Army civilian personnel clearing post for military separation or termination of civilian employment, who have had access to classified information, will undergo an oral debriefing and execute a security

termination statement prior to their departure. A good security program should also include the requirement that individual's military or civilian, having access to classified information who are being reassigned outside that organization execute a security termination statement.

11. Loyalty Cases.

a. Immediately upon receipt of information which casts doubt upon an individual's loyalty to the US, a letter requesting an investigation will be submitted to the clearance authority commander concerned, even though a security clearance is not required or anticipated (AR 604-10). The letter request for investigation will include, but is not limited to, the following:

- (1) Name, rank, and social security account number.
- (2) Organization.
- (3) The adverse loyalty information concerning the individual.
- (4) DEROs date (if applicable).
- (5) Expiration time of service.
- (6) Degree of security clearance and access to classified information, if any.

b. Pending completion of requested investigation and prior to receipt of instructions from the clearance authority of the major command concerned, the commander will take necessary action to protect the command's security (AR 604-5).

12. Checklist for Security Officers.

a. US Military and DAC Personnel Security Program.

(1) Has the person granting security clearances been formally authorized to do so? If so, is a copy of the directive or letter of authorization available?

(2) Has each personnel authorized to grant clearances been a subject of an investigation meeting the requirements for a final TOP SECRET security clearance?

(3) Are any of the contractor employees (US citizen) cleared for access to classified information? Is a security check of their offices made periodically?

(4) Has a program been implemented to detect personnel whose character deficiencies become a matter of concern so that immediate action may

be taken to suspend access to classified information and initiate appropriate investigations? Is the security officer receiving copies of serious incident reports, copies of suspension of favorable personnel actions, military police reports and letters of indebtedness concerning individuals with security clearances?

(5) Has procedure been established whereby the personnel officer advises the security officer of any changes in status of personnel whose personnel records contain a copy of a request for investigation (e.g., transfer, separation, or death)?

(6) Are American Red Cross, contractor and nonappropriate fund employees (US citizen) attending security lectures?

(7) Have procedures been established whereby all US military and DAC personnel clearing post for military separation or termination of civilian employment, who had had access to classified information, are required to undergo an oral debriefing and execute a security termination statement?

(8) What steps are being taken to insure that a decision to reinstate an individual's access to classified information or to revoke the individual's security clearance is made within 3 months after the date of suspension of access (AR 604-5)?

b. Alien Personnel Security Program.

(1) What are the procedures being used for conducting security checks on alien employees? Prior to submission of the SPH for security check, is any office checking the information contained therein against official records? There is no point in conducting a security check if the information contained in the SPH, including the name and date of birth, is false.

(2) What steps are being taken to preclude an individual who has been discharged from employment for cause from seeking employment elsewhere, to include under an assumed name?

(3) Where are the results of the file checks pertaining to local national contractor employees maintained? They should be maintained by the US Army Contractor Officer Representative or the installation commander or his representative and not by the contractor.

(4) What are the procedures for issuing passes? Does the pass issuing authority ascertain that a security check is in progress or completed prior to issuing passes?

(5) Have the local national employees attended any SAEDA orientation lectures? If so, when was the last lecture held? Were all the employees required to attend?

13. References.

- a. AR 50-5, Nuclear Surety.
- b. AR 380-5, Department of the Army Supplement to DOD 5200.1-R (DODISPR).
- c. (C) AR 380-40, Department of the Army Policy for Safeguarding COMSEC Information (U).
- d. AR 380-150, Access to and Dissemination of Restricted Data.
- e. AR 381-45, US Army Investigative Records Repository (USAIRR).
- f. AR 381-20, US Army Counterintelligence (CI) Activities.
- g. AR 600-31, Suspension of Favorable Personnel Actions for Military Personnel in National Security Cases and Other Investigations or Proceedings.
- h. AR 600-37, Unfavorable Information.
- i. AR 600-200, Enlisted Personnel Management System.
- j. AR 604-5, Clearance of Personnel for Acces to Classified Defense Information and Material.
- k. AR 604-10, Military Personnel Security Program.
- l. AR 604-305, Civilian Employee Security Program Reporting Requirements.
- m. AR 606-15, Preparation of Fingerprint Record.
- n. AR 630-10, Absence Without Leave and Desertion.
- o. AR 640-10, Individual Military Personnel Records.
- p. AR 690-1, Civilian Applicant and Employee Security Program.
- q. DA Cir 604-1, Requests for Personnel Security Investigations.
- r. CPR-C2, Conduct and Discipline.
- s. CPR-12, Investigations.
- t. CPR-S1, Separations and Adverse Personnel Actions.
- u. Manual for Courts-Martial, United States, 1969.

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v. DOD 5200.1-R, Information Security Program Regulation.

w. DA Message 011800Z Jul 76, Subject: Personnel Security Program
Changes.

INSTRUCTIONS FOR COMPLETING DA FORM 3208

(Cir 640-1, Instruction for DD Form 1584 applies.)

DA Form 3208 (Worksheet for National Agency Check Request, Inclosure 2).

- Item 1. Enter complete name, with the last name in capital letters (e.g., DOE, John George). If you have no middle name, put NMN. If you have initial only, print IO after the initial.
- Item 2. Indicate whether male or female.
- Item 3. If there is an alias or change of name, list in full and explain in item 17, where, when, and why changed. If none, so indicate. If a female who is married, divorced, or widowed, insure that her maiden name and her married name are both reported in the block or block 17.
- Item 4. Enter your social security number. Check with unit personnel officer, if not known. If none, so indicate.
- Item 5. Enter complete date of birth by month, date and year (e.g., October 1, 1942). Do not report as 10/1/42.
- Item 6. Indicate city, county, and state where you were born. If foreign born, show city, political subdivisions, and country (e.g., oberursel/Taunus, Hesse, Germany).
- Item 7. Indicate service number to include prefix (e.g., US, RA, etc.).
- Item 8. Enter complete names (include maiden names of mother and spouse) of father, mother, and spouse. If not married, so indicate. If surname is different than father's, fully explain in item 17.
- Item 9. Indicate dates and places of birth of father, mother, and spouse, recorded in the same manner as required in items 5 and 6 above.
- Item 10. List present addresses of father, mother, and spouse. If deceased, so indicate and report date of death.
- Item 11. List citizenship (e.g., US). If alien or naturalized, indicate registration number, if applicable.
- Item 12. List all residences from 18th birthday or during last 15 years, whichever is shorter, in chronological order beginning with the current address. If under 21, list present and all addresses during preceding 3 years. Be sure that the house number, street, city and state are clearly indicated.

- Item 10. List all employment from 18th birthday or during last 15 years, whichever is shorter, in chronological order beginning with current employment. If under 21, list present and all employment during preceding 3 years. For military services, give dates of service, enter US Army, in column c and leave column d blank. Give employer's complete name, address, city and state. The month and year of beginning and ending periods of each employment must be shown. If you were unemployed and your activities were not covered by education, indicate each period of unemployment showing the dates.
- Item 14. List dates of attendance, name and complete address of last civilian school.
- Item 15. Answer yes or no to all questions listed in item 15a through g. When yes answers are given, explain in item 17. Also, explain the refusal to answer certain questions or the qualification of any answer on a personal history form. The following information, at a minimum, will be furnished in item 17 to any positive response:
- a. If an alien, show registration number, date and place of registration. If naturalized, show certificate number, date and place where certificate was issued and issuing court. If citizenship was derived through parents, show parents' full name, date and place of birth, naturalization certificate number, date and place of issuance, and issuing court.
 - b. Explain in full any information regarding any foreign connection or interest. Foreign connection includes all foreign organizations in the US or abroad with which you may have been associated; foreign relatives or alien friends, and other persons with whom a close relationship existed or exists either in the US or abroad. Give complete name of the individual or organization, complete address, and type of association or relationship. Foreign employment includes all employment with a foreign-based firm although employment could have been in the US or abroad. Give complete name and address of the foreign firm or governmental agency with which employed and list the inclusive dates. Foreign military service includes all information on military service; list the country, branch of service, rank, serial number, inclusive dates of service, and type of discharge.
 - c. List each country traveled in or resided in other than under auspices of the US Government. Provide the inclusive dates and the purpose of all such foreign travel.
 - d. List names and addresses of firms, dates of employment, and the type security clearance issued and/or investigation conducted. If known, provide the name of the agency that completed the investigation, the date and the file number. Any employment that required bonding would also qualify for a positive response with full explanation.

e. Federal employment and military service require complete information describing the employing federal agency or department location, and inclusive dates. Military service includes former, present, Coast Guard, Merchant Marine, Reserve, or National Guard. Information required includes military service, branch rank, all service numbers (prefixes and suffixes), inclusive dates of service, nature of discharge, and unit designation and location if currently on active duty or connected with the reserves.

f. Qualification of security forms refers to answers or remarks of a security significance entered on the form, such as membership in organizations referred to in item 17 of DD Form 398, or refusal to complete the security form in its entirety. Attach a copy of the qualified form to DD Form 1584 when submitted for an ENTNAC, NAC or NACI.

g. Provide all information concerning the addiction to habit-forming drugs or alcohol. Explain in detail the form of addiction, dates, and places where used, treatment received, including doctor, dates, places, and names of hospitals where treatment was received.

Item 16. If a positive answer is given, identify the appropriate police agency in addition to the date and court where trial took place. Include information if detained, held, arrested, or summoned into court (in either US or in a foreign country), even though it resulted in an acquittal or the charges were dropped. List any action which resulted in the placement of the person's name on a police blotter or court record. Include any act committed while still a juvenile or considered a juvenile offender. List all courts-martial, giving date, charges, and disposition. List all Article 15, UCMJ, action taken which resulted in fines, restrictions, demotions, etc. Minor traffic violations for which a fine or forfeiture of \$50 or less was imposed, not including court costs and fees. If in doubt as to the necessity for listing information in this item, it is recommended that the incident be listed to preclude future questions, regarding omissions from the form. A positive answer in item 16, DA Form 3208 will be fully explained in item 18 of DD Form 1584.

Item 17. Space for any continuation of any of the above items. If additional space is required, use plain bond paper and identify the item being explained.

Space is provided for the date and signature of the applicant.

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INSTRUCTIONS FOR COMPLETING FD FORM 258

FD Form 258 (FBI Fingerprint Card - Applicant)

1. All required information will be typed except the signatures.
2. Name: Enter complete name, with the last name in capital letters (e.g., DOE, John George). If no middle name, put NMN. If you have initial only, insert initial and add (IO) after the initial. If there is an alias, nickname, or change of name, enter it above the name and identify as an alias.
3. Signatures: Fingerprint card must be signed by the applicant and the person taking the fingerprints.
4. Residence: Do not use military address. Use address where mail will always reach applicant regardless of current geographic location (permanent home address). Include ZIP code.
5. Contributor and address: Enter following:
DIS, Initiation Branch (DO811)
PO Box 1083
Baltimore, Maryland 21203
6. Company and address: Give present military address.
7. Number: Enter number designated for the particular case or code designation. This number is provided by the agency that forwards the request to the FBI.
8. Date fingerprinted and date of birth: Dates will be shown as Oct 1, 1935 and not as 10/1/35. Be sure that the date of birth on DA Form 3208 and DD Form 1584 agrees with that listed on fingerprint card.
9. Place of birth: Will include city, town, county, state, and country as applicable. Be sure that place of birth on DA Form 3208 and DD Form 1584 agrees with that given on fingerprint card.
10. Citizenship: Indicate citizenship (e.g., US). Do not answer yes.
11. Physical date: Be sure that information is complete. Self-explanatory.

NOTE: See instructions on reverse side of fingerprint card.

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INSTRUCTIONS FOR COMPLETING DD FORM 1584
(DA Cir 604-1)

DD Form 1584 [Department of Defense National Agency Check Request (Inclosure 8)].

1. General Instructions.

a. All entries on the form must be typewritten.

b. When additional space is required in answering any item, use item 18 or attach additional sheets of plain white paper. Fully identify the person at the top of each attached sheet, i.e., name, date, and place of birth, SSN, etc.

c. All questions must be answered. If an item is not applicable, indicate none.

d. Request date will be the date that the requesting authority submitted the form to DIS.

e. Return Results To:

(1) When the purpose of the request is for an NAC or ENTNAC only, the clearance authority or the requesting agency to whom the results are to be returned should be shown in the block. The only ZIP code number required on DD Form 1584 is in this block.

(2) If the form is the required support documents for a BI, SBI, or for BU investigation, leave the Return Results To block blank.

f. Only the original of the form is required when submitted a request for an NAC or ENTNAC.

g. When submitting for a BI or SBI, DD Form 1584 will be fully completed on subject and the original and three copies will be forwarded.

h. When submitting for a SBI, the original and three copies of DD Form 1584 with items 1 through 6 completed will be submitted with the request on the following individuals: Subject's spouse and former spouse(s); and on each member of subject's immediate family who is an alien, immigrant alien, or naturalized US citizen, 18 years of age or older, regardless of whether or not the individual is currently residing in the US. (Immediate family includes children by birth, adoption, or marriage; natural, adopted, foster or step-parents; brothers and sisters by birth, adoption, or remarriage of either parent.)

(1) When submitting the required DD Form 1584 in support of an SBI request, the subject of the investigation will be fully identified and his/her relationship to the individual reported on DD Form 1584 and indicated in item 18; e.g., spouse of Robert Joseph BLACK/subject of investigation.

(2) If the family member is an alien or immigrant alien, indicate the alien registration number and the date and port of entry into the US in item 18.

(3) If the family member is a naturalized US citizen, list in item 18 the alien registration number and naturalization certificate number. Also, include the date, place, and court where the naturalization certificate was issued.

2. Detailed Instructions. Normally, this form is completed by the office responsible for forwarding the form to higher headquarters or the investigating agency. Information to complete this form should be extraceted from appropriate personnel security forms, such as DD Form 398 (Statement of Personal History), DA Form 3208 (Worksheet for National Agency Check Request), or other personal history forms.

a. Item 1: (Name). List full name, to include the last, first, and middle (maiden name, if applicable), in that order.

b. Item 2: (Sex). Indicate male or female.

c. Item 3: (Alias(es)). List all aliases, nicknames, or changes in name. If the subject is a female who is married, divorced, or widowed, maiden name and married name should both be reflected in this block. Example: NEE: BROWN, Mary Alice; AKA: Black, Robert Joseph, Mrs. Continue the listing of alias(es) in item 18, if necessary.

d. Item 4: (Social Security Number). Indicate your social security number in this block. If you do not have one, indicate none.

e. Item 5: (Birth). Indicate the month, day, and year of birth. Spell out or abbreviate the month (e.g., June 5, 1929); do not show 6-5-29).

f. Item 6: (Place of Birth). Show city, country, and state if born in the US. In cases of foreign birth, list the city and the political division of the country which differentiates cities of the same name and country, e.g., Oberursel/Taunus, Hesse, Germany.

g. Item 7: (Service Number). Indicate former military service number, if applicable.

h. Item 8: (Security Program).

(1) Indicate whether request is made under the military, civilian, or industrial security program. If military on active duty, include the subject's rank (O-1, E-2, etc.) beside the block checked.

(2) Leave blank unless responsible for forwarding the form to higher headquarters or the investigating agency. Show if local files concerning the subject were checked with favorable results. If files are not available or if results were unfavorable, explain in item 18 and leave this item blank.

(3) Leave blank unless responsible for forwarding the form to higher headquarters or the investigating agency. If the request is for an NAC or ENTNAC, show the unit initiating this request (the initiator normally will be the same as the unit shown in the Return Results To block). If the request is for a BI or SBI, leave this block blank.

i. Item 9: (Relatives). List full name of father, mother, and spouse to include the maiden names of females.

j. Item 10: (Date and Place of Birth). Complete this item on each family member using the same format as prescribed in items 5 and 6 above.

k. Item 11: (Present Address). Give complete addresses, including street and house number of father, mother and spouse. If deceased, reflect date of death.

l. Item 12: (Citizenship). Show citizenship status of father, mother, and spouse. Give alien registration numbers, when applicable.

m. Item 13: (Residences). List all places of residence from 18th birthday or during past 15 years, whichever is shorter, in chronological order beginning with the current address. If under 21, list present and all addresses during the preceding 3 years. Give the beginning and ending month and year for all periods of residence, when possible.

n. Item 14: (Employment). List each period of employment from the 18th birthday or during the past 15 years, whichever is shorter, in chronological order beginning with current employment. If under 21, list all employments for the preceding 3 years. Give employer's complete name, street and house number, city and state. The month and year of beginning and ending of each period of employment must be shown. If unemployed and/or activities were not covered by education, indicate each period of unemployment with the beginning and ending month and year of each period.

o. Item 15: (School). Show the last civilian school attended. Give the name and complete address of the school. Give month and year schooling commenced and terminated.

p. Item 16: (Question). Indicate yes or no to all questions. When yes answers are given, explain in item 18. Also, explain the refusal to answer certain questions (see para r below) or the qualification of any answer on a personal history form. Following are instructions for explaining questions a through g:

(1) Is the applicant an alien or a naturalized citizen of the US?

(a) Provide alien registration number, the date and port of entry into the US and the last Immigration and Naturalization Service Office with which registered.

(b) If a minor at the time of immigration, provide the alien registration numbers of parents and the date and port of entry into the US.

(c) If a naturalized citizen, provide the naturalization certificate number and the date, place, and court where the certificate was issued.

(d) If citizenship was acquired through the naturalization of a parent, provide the name of the parent and the date, place, and court where the parent was naturalized.

(e) If name has been changed since application for citizenship, show full name under which application was made.

(2) Any foreign connections or relations, or foreign employment or military service will be fully explained in item 18.

(a) Foreign connections. Identify all foreign organizations in the US or abroad with which connected or associated.

(b) Foreign relatives, alien friends, and other persons with whom a close relationship existed or exists. List name, address, and type of relationship to each person who is residing either in a foreign country or in the US as an alien. Include former spouse(s) where applicable.

(c) Foreign employment. Indicate name and location of the foreign firm or governmental agency with which employed and list the inclusive dates of employment. (If this information was provided in response to item 14, indicate in item 18; see item 14.)

(d) Foreign military services. If the applicant has ever served in the military service of a foreign country, list the country, branch of service, rank, service number, inclusive dates of service, and type of discharge.

(3) Travel or residence abroad other than for the US Government. List each country traveled in or resided in other than under auspices of the US Government. Provide the inclusive dates and the purpose of all such foreign travel.

(4) Any employment requiring a security clearance or investigation will be fully explained in item 18. Name the employer and indicate the type of security clearance issued and/or investigation conducted. If known, provide the name of the agency that completed the investigation, the date, and the file number. Any employment that required bonding would also qualify for a positive response with full explanation in item 18.

(5) Past and current employment in the Federal Civil Service or Armed Forces.

(a) For civilian employment, state the employing federal agency or department and include the location and inclusive dates. If listed in item 14, indicate in item 18; see item 14.

(b) For former military service, provide branch of service, rank or grade, all former service numbers to include letter prefixes and suffixes, inclusive dates of service and nature of discharge or separation; include Coast Guard and Merchant Marine duty.

(c) If currently on active duty in the US Armed Forces, show branch of service, rank or grade, present and former service numbers, and date active service started.

(d) If currently a member of a Reserve Component of the Armed Forces, show whether Reserve or National Guard, the branch of service, the unit designation and location, individual status, rank or grade, service number, and date of initial entry.

(6) Qualification of DD Form 398, DA Form 3208, or any similar security form qualifies for a positive response in this item. Qualification of security form refers to answers or remarks of a security significance entered on the form such as membership in organizations referred to in item 17 of DD Form 398, or the refusal to complete the security form in its entirety. A copy of the qualified form will be attached to DD Form 1584 when forwarding the request.

(7) Provide all information concerning the addiction to habit-forming drugs or alcohol. Explain in detail the form of addiction, dates, and places where used, treatment received, including doctor, dates, places, and names of hospitals where treatment was received.

q. Item 17: (Request Data). Leave blank unless responsible for forwarding the form to higher headquarters or the investigating agency. Identify the agency of the initiator for the request. Indicate the reason for the request. If other than listed, explain in item 18.

r. In addition to explaining any yes answers from item 16 or continuation of any other item, list information concerning arrest records, Courts-Martial or Article 15, UCMJ action. Identify the appropriate police agency in

addition to the date and court where any trial took place. Include information if detained, held, arrested or summoned into court (in either the US or in a foreign country), even though it resulted in an acquittal or the charges were dropped. List any action which resulted in the placement of the person's name on a police blotter or court record. Include any act committed while still a juvenile or considered a juvenile offender. List all Article 15, UCMJ action taken which resulted in fines, restrictions, demotions, etc., and minor violations for which a fine or forfeiture of \$50 or less was imposed, not including court costs and fees. If in doubt as to the necessity for listing information in this item, it is recommended that the incident be listed to preclude future questions regarding omissions from the form.

3. Additional instructions for the requesting agency. To facilitate the checking of the records of national agencies and to insure that the desired records are checked in consonance with the actual needs, authorized requesters will place one of the following abbreviated markings in large block letters, in the upper center of the form:

a. NAC - This marking indicates a search for derogatory information or other information required for the completion of a National Agency Check to serve as the basis for granting a security clearance.

b. ENTNAC - This marking indicates the applicant is a first term enlistee and the requirement is for an NAC less an FBI detailed technical fingerprint search.

c. BI or SBI - This marking indicates that a background investigation or special background investigation has been requested on the person mentioned as the applicant on DD Form 1584. It requires a search for all information pertinent to the investigation.

d. Single Agency Check (SAC) - This marking is reserved for those instances wherein information of interest is known or presumed to exist in the files of one or more specific agencies or where a check is required on recently acquired spouses, e.g., SIOP-ESI. Requests falling in this category will be marked SAC to draw attention to special requirements in item 18. In such cases, the Remarks section will include a justification for the check(s).

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ADDITIONAL INSTRUCTIONS FOR COMPLETING DD FORM 1879
(DA Cir 604-1)

DD Form 1879 (Request for Personnel Security Investigation, Inclosure 11).

Instructions for completing DD Form 1879 are printed on the reserve side of the form, with the exception of items 5, 6 and 19 which have been changed by DIS. Additional changes in regard to SBI and SBI-BU have been set forth by the Department of the Army. Changes to complete DD Form 1879 are as follows:

a. DD Form 398 submitted for SBIs or SBI-BUs will be in the original and five copies using black carbon paper (authority - DA).

b. The Commander, United States Army Special Security Group, Acting Chief of Staff for Intelligence, DA, ATTN: DAMI-SG-B, Room 2A 514, The Pentagon, Washington, DC 20310, remains the US Army channel for submission of SBI and/or SBI-BU investigations required in connection with access to special intelligence, except for Army Security Agency requests. All Command Security Offices (requesting authorities) should submit requests for SBI and/or SBI-BU (except ASA) through their local special security detachment. Requests for SBI and/or SBI-BU will be reviewed and forwarded by the Special Security Detachment to the Special Security Group, who will, in turn, forward the request to DIS after review and administrative processing (authority - DA).

c. Item 5 (Type of Investigation). The purpose of this block is to identify the type of investigation being requested. The five types of personnel security investigations listed are the only ones authorized by general DOD policy. Check only one block. Exception to policy must be granted by the Secretary or Under Secretary of the Army and approved by the Assistant Secretary of Defense (Comptroller) for any investigation not covered in the five types listed. When an exception is granted, the block Other will be checked and the specific exception explained in item 20. Limited Inquiry will be checked only when the requester requires expansion of an NAC or other investigation needed to resolve specific derogatory or adverse information developed through other means. The reason for the Limited Inquiry must be fully explained in item 20 (authority - DIS).

d. Item 6 (Reason for Investigation). Add to detailed instructions 2f(3). If an SBI is requested under the provisions of para 11, Director of Central Intelligence Directive 1/14, type para 11, DCID 1/14 applies in item 20 (authority - DIS).

e. Item 6. Add to detailed instructions 2f(4). The first six reasons listed in item 6 are not comprehensive (e.g., critical sensitive position, NATO-CENTO-SEATO staff, and Red Cross employee, etc.). Such reasons must be identified by checking the block Other and typing the reason that applies. If not authorized by regulation or exception to policy, provide complete justification in item 20. If the position has been designated critical-sensitive and

access to TOP SECRET Information is not required, the position should be reviewed in light of AR 690-1 to insure that the position qualifies as a critical-sensitive position. Type Critical Sensitive Position in item 20 for all positions designated critical sensitive which do not require access to TOP SECRET information and which do not fall under sensitive compartmented information or "Presidential Support."

f. Item 6. Add to detailed instructions 2f(5). Provide the unclassified project or program title, or other special program authorization in item 20 for all SBI requests which are not based on sensitive compartmented information or "Presidential Support" requirements.

g. Item 6. Add to detailed instructions 2f(6). For investigation of civilian personnel, other than those in the Federal Competitive or Excepted Service or Industrial Security Program (e.g., consultant, congressional staff, nonappropriate fund, etc.), cite the nature of employment in item 20 (i.e., congressional staff, consultant, etc.).

h. Item 6. Add to detailed instructions 2f(7). If the reason for the bring-up investigation is to meet the requirements of:

(1) Paragraph 14c, DICID 1/14 (individuals who have continuously held positions requiring access to sensitive compartmentalized information for 5 years up to and including the date of the investigative request), type SBI-BU required IAW DCID 1/14, para 14c in item 20.

(2) DOD Directive 5210.55, type SBI-BU required IAW DOD Directive 5210.55 in item 20.

(3) DOD Instruction C-5210.21 in item 20, or,

(4) Para 7a, United States Communications Security Board Policy 12-13, type BI-BU required IAW USCSB 12-13 in item 20.

i. Item 19 (Prior Investigation). Enter information as to types of any previous investigations when such information is locally available, dates thereof, file numbers, and agencies conducting the investigations. If unknown, so state. Reciprocal acceptance of previous investigations and clearance conducted or issued when the prior investigation by an investigative agency of the Government meets the standards of the required investigation should be accepted. Justification for not accepting an investigation which meets the requirement of the proposed investigation will be fully explained in item 20 (authority - DIS).

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INSTRUCTIONS FOR COMPLETING DD FORM 398

(STATEMENT OF PERSONAL HISTORY)

1. General Instructions. The Statement of Personal History is an important document and must be completed without misstatement or omission of important fact. All entries are subject to verification by investigation.

- a. Forms will be typed using black carbon paper.
- b. All copies must be legible. The original MUST NOT BE part carbon copy.
- c. If additional space is required for any item, use item 20. If space provided in item 20 is insufficient, use separate sheet(s) of plain white paper. Fully identify the person at the top of each attached sheet, i.e., name, date, and place of birth, SSN, etc.
- d. ZIP code numbers should be provided with all addresses. Locations, i.e., place of birth, etc., are not considered addresses; however, if the address and ZIP code are known, they should be listed.
- e. All questions must be answered. If an item is not applicable, indicate none. Do not use the term unknown for dates of schooling, employment, or residence. If this information is not known precisely, indicate by appropriate qualifying language; e.g., do not recall, date estimated.
- f. When submission of a DD Form 398 is required on a person who has previously been the subject of a BI or SBI, the following applies:
 - (1) Complete items 1 through 6, 8, 14 and 16 through 21.
 - (2) For all other items, enter any changes or additions which have occurred since the date the DD Form 398 was used for conducting the prior investigation. However, items 13 and 15 must always include, as a minimum, the subject's current employment and current residence, respectively, even though no changes have occurred. In each instance, enter the social security number in item 13. References with whom the subject has had recent association or credit dealings must be listed in item 14. Do not list character references who were previously listed on a personal history form. Enter N/C (no change) in each where no new entry is required.
- g. Before the DD Form 398 is signed, insure that each item is checked against the detailed instructions given below and that the completed form is carefully proofread. Errors and incomplete items in the form could delay an assignment or employment in a sensitive position for which a security clearance is required. The original DD Form 398 and the original of each attached sheet must bear an original signature; while carbon signatures are acceptable on the copies. The signature of the applicant must be his/her first, middle, and last name.

2. Detailed Instructions.

a. Item 1. (Name). List full name, to include first, middle (maiden name, if applicable), and last name, in that order. Names should agree with military or civilian employment records; if not, explain in item 20. If no middle name, use NMN. If initial only, insert the appropriate initial followed by IO. Check appropriate block for Mr., Mrs., or Miss. Oriental or Arabic names written in English should also have Oriental characters (ideographs) or the Arabic script, if known.

b. Item 2. (Status). Complete only one status block. Civilians, including National Guard, Reserve personnel not on active duty, and applicants for enlistment or appointment, will check the civilian block.

c. Item 3. (Alias or Other Name). List all aliases, nicknames, or changes in names. This means all names under which the applicant has been known to employers, associates, or others. If known by the middle name, list it also. If the name has changed, use additional space under item 20 to explain where, when and why (e.g., name may have been changed when adopted or naturalized). If not applicable, enter none.

(1) Women who are married or were formerly married should list maiden name (e.g., Mary Ann Jones) and names acquired through marriage (Mary Ann Smith, Mary Jones Smith, Mrs. Robert Louis Smith) unless listed in item 1.

(2) If known by any last name other than that which appears in item 1, give inclusive dates.

d. Item 4. (Permanent Mailing Address). List permanent mailing address (that is, permanent home address or legal address; an address at which the applicant is known and can always be contacted by mail). Do not give military address. If this is a large metropolitan area (e.g., New York, Chicago, Los Angeles), give the borough or suburb in which the address is located and always include the ZIP code.

e. Item 5. (Birth and Description). Spell out or abbreviate the month (e.g., June 5, 1929; do not show 6-5-29). Give complete birth data and physical description, to include any distinguishing marks, scars, tatoos, etc. Physical description must correspond with that entered on the fingerprint card, when the card is required. Indicate the place where the birth certificate is recorded.

f. Item 6. (Medical History). Check appropriate blocks. Insure that all three questions are answered.

(1) If the answer to the first question is yes, include a complete explanation in item 20 with dates and places and the doctor and/or hospital if any treatment was involved. If treatment was received from the Veterans Administration, show the VA case number and type of treatment in item 20.

(2) The second question concerns habit-forming drugs which are being taken or have been taken without a doctor's prescription. If the answer is yes, fully explain in item 20.

(3) The third question concerns use of alcoholic beverages which requires, or has required, medical attention or if such as caused difficulty with employers or law enforcement agencies. If the answer to this question is yes, include the name(s) of the doctor and/or hospital if treatment was involved. Include a complete explanation in item 20 with dates and places. If treatment was received from the Veterans Administration, show the VA case number and type of treatment in item 20.

g. Item 7. (Citizenship Status). Citizenship status as reflected in this item must be complete; i.e., each box must be completed or annotated N/A, as appropriate unless native born.

(1) If a naturalized citizen, list naturalization certificate number, date, and location of the court where naturalized.

(2) If citizenship was derived, list the naturalization certificate number(s) of parents and the date and place of their naturalization.

(3) If lawfully admitted into the United States under an immigration visa for permanent residence, list Immigration and Naturalization Form I-151 number.

(4) If not an immigrant alien and not a US citizen, explain status under item 20.

(5) If born abroad to US parents, indicate how and where birth and citizenship was recorded. If the required information is not readily available, obtain it from parents or other sources in possession of such information. State in item 20 whether or not a certificate of citizenship or Department of State Form FS 240 was received. Enter the certificate or Form FS 240 number in item 20.

(6) If an alien, list the alien registration number. If stateless, so indicate as an additional remark in the native country block.

h. Item 8. (Military Service). Indicate current status. Include all requested data pertaining to military service.

(1) Under date current active service started, indicate the date of the present enlistment or the date entered on current active duty, if applicable.

(2) Under the previous tours block, indicate each previous period of enlistment or extended active duty service from which a discharge certificate of service was received even though the applicant enlisted or was ordered back

to extended active duty the following day. Show the grade and all present and former service numbers pertinent to each entry. From and to dates will show day, month, and year and must agree with military records.

(3) Officers with prior enlisted or warrant officer service, or who have been integrated into regular status, will include the applicable information under the previous tours block. Show the grade and all service numbers pertinent to each entry.

(4) Under organization and station, give current working location to include room and building if on a base/installation. If assignment at present organization and station has been for a period of less than 6 months, list in item 20 the last previous organization and station and working location to include room and building if on a base/installation.

(5) Reserve and National Guard Service will be listed in this block.

i. Item 9. (Education). List in chronological order beginning with the last school attended. Give calendar month and year schooling commenced and terminated. Include service academies, but do not include in-service professional courses or schools. Grammar schools will be listed only if the grammar school was the last school attended. Indicate whether or not graduated from each school and indicate degree(s) received, if any.

(1) Location of school must be shown; if located in a large metropolitan area (e.g., New York, Chicago, Los Angeles), borough or suburb must be shown. Location of schools shown in this item should agree with residences in item 15; if not, explain the difference in locations in item 20.

(2) Names of schools attended in foreign countries must be shown in both English and the language of that country.

(3) The specific school, course, or college at all universities attended must be shown. (This is particularly important when a college or university was attended outside the US.)

(4) When education occurred overseas, except under auspices of the US Government, list in item 20 the names and addresses of two individuals, preferably US citizens residing in the US who can verify the period of foreign education through personal knowledge.

j. Item 10. (Family).

(1) List full names and aliases of spouse, former spouse(s), and each close relative, including parents, guardians, stepparents, foster parents, parents-in-law, children, stepchildren, adopted children, brothers, sisters, stepbrothers, and stepsisters, and any other persons you resided with or with whom a close relationship existed or exists even if these persons are deceased.

(a) Precede each name with the relationship (i.e., brother, sister, daughter, former spouse, etc.).

(b) For each female relative, give both maiden and married names in full. (Example: Alice May Jones, nee: Smith, also known as (AKA) Mrs. James Robert Jones.)

(2) Give day, month and year of birth. Indicate place of birth by city (or county) and state, if born in the US. Give complete addresses including street, house number, city, state, and ZIP code. Include country if other than the US.

(3) For each person listed as born outside the US and its territories, use item 20 to show date and port of entry into the US; alien registration number; date of naturalization; place of naturalization; name under which naturalized; name and location of court or jurisdiction; and naturalization certificate number, when applicable.

(4) If not married, indicate none in spouse block. If married or formerly married, list in item 20 the date and place of marriage(s) and place where the marriage(s) is recorded.

(5) If divorced or legally separated, list the last known address(es) of the spouse(s). Indicate in item 20 the date and place of divorce or separation to include name and location of the court where such legal action is recorded.

(6) Indicate date of death for deceased relatives and former spouse(s).

(7) Show current citizenship status of all non-US citizen relatives.

(8) If born in any country or city now divided into free world and Communist-oriented parts, specify in which part the individual was born. For example, East or West Germany, East or West Berlin, North or South Korea.

k. Item 11. (Other Relatives and Alien Friends Living in Foreign Countries). Give complete identifying data for each relative, including grandparents, aunts, uncles, cousins, brothers- and sisters-in-law, and other persons with whom a close relationship existed or exists.

(1) If any relative, or alien friend, of applicant or spouse is currently residing in any of the following countries, the method (mail, personal visits, etc.), regularity, and recency of contact, if any, with such individuals must be shown in item 20 or on a separate sheet: Albania, Bulgaria, Chinese People's Republic (Communist China, including Tibet), Cuba, Czechoslovakia, Democratic People's Republic of Korea (North Korea), Democratic Republic of Vietnam (North Vietnam), German Democratic Republic (GDR-East Germany, including the Soviet sector of Berlin), Hungary, Mongolian

People's Republic (Outer Mongolia), Poland, Rumania, Union of Soviet Socialist Republics (USSR, including Estonia, Latvia, Lithuania, and all other constituent republics), and Yugoslavia. If the country is geopolitically divided (e.g., East/West Germany, Taiwan/Mainland China), specific area of the country must be provided. Oriental or Arabic names and addresses should be written in English and the Oriental characters (ideographs) or the Arabic script, if known.

(2) If a relative, who is residing overseas, is a US citizen with no indicated connection with the US Government, explain in item 20.

1. Item 12. (Foreign Travel). List all periods of foreign travel not under auspices of the US Government. Include the duration of the visit for each country visited and the purpose of the travel. Travel in cities or countries divided into free world and Communist-oriented parts will indicate in which part the travel was performed.

m. Item 13. (Employment). List each period of employment, self-employment, family employment, and/or unemployment during the 15-year period immediately preceding the date of accomplishment of the DD Form 398 or from the date of the 18th birthday, whichever is the shorter period. If under age 21, list each period of employment, self-employment, and/or unemployment during the last 3-year period. Information in this item must be listed in chronological order beginning with the present period of employment, self-employment, family employment, or unemployment. The month and the year of beginning and ending of each period must be shown.

(1) If self-employment or family employed during any period, list in item 20 or on an attached sheet the complete name and address of the business and names and addresses of two individuals who can verify such period(s) of self-employment.

(2) List part-time employment during school vacations to include position held (e.g., clerk, accountant, laborer, electrician, etc.) and the department and supervisor's name. List all part-time employments while on active duty with the military service, and identify as such.

(3) When employment has occurred overseas, except under the sponsorship of the US Government, list in item 20 the names and addresses of two individuals, preferably US citizens, who can verify the period(s) of employment through personal knowledge.

(4) Include complete name(s), street, house number, city, state and ZIP code for each period of employment, self-employment, family employment, or unemployment.

(5) Foreign names and addresses should be in English and in the Oriental characters (ideographs) or the Arabic script, if known. Do not list military service in this item; list military service under item 8. Do not list any education under this item; list education under item 9.

(6) If any period of employment was in a large metropolitan area (e.g., New York, Chicago, Los Angeles), indicate the borough or suburb. If employed by a large manufacturing concern (e.g., Chrysler or General Motors Corporation in Detroit, Michigan), give the specific name and location of the plant where actually employed and the specific name and location where employment records are maintained if different from the actual place of employment. If presently employed in a civilian capacity with the US Government, give current working location, to include room and building number, if on a base/installation.

(7) If any period of employment was for a temporary help supplier, list only the temporary help supplier as the employer, even though work may have been performed at different locations with client companies using the temporary help supplier's services.

(8) If employed through a union hiring hall, list firms by which employed. Do not list the union as an employer unless the salary was, in fact, paid by the union.

(9) If summer activities or similar periods are not reflected under employment, education, military service, etc., enter the term unemployed at the appropriate chronological place within item 13 and give the names and addresses of two individuals who can verify such periods of unemployment.

(10) Relatives should not be listed as individuals to verify periods of self-employment or unemployment. However, if relatives are listed, a complete explanation must be included in item 20.

(11) Insure that all three questions are answered at the bottom of item 13 and that the social security number is typed in the appropriate block. If any one of the three questions is answered yes, explain fully in item 20.

n. Item 14. (Credit and Character References). Give three credit and five character references. Identify individual by the first name, middle initial, and last name. (Do not list relatives or persons under 18 years of age. Members of the same family are not acceptable as separate character references.) Prefix the name with Mr., Mrs., Miss, Ms. or other appropriate title.

(1) Each character reference should be residing in the US and should be an individual with whom a close and continuing association exists or has existed. Such an association is defined as one which permits the character reference to have personal knowledge of the subject's activities and traits of character.

(2) List the inclusive periods of association with each reference by years (e.g., 54-62). When possible, indicate month within the years listed.

(a) The combined period of time that the five character references have associated with the subject should cover the last 15 years or since the subject's 18th birthday, whichever is shorter.

(b) If the subject is under 21 years of age, the combined period of time that the character references associated with the subject must cover is the last 3 years of the subject's life.

(c) If the subject has had a prior BI or SBI, the combined period of time that the character references associated with the subject must cover the period since last DD Form 398 was submitted with request for investigation. Do not list character references who are listed on any prior personal history form.

(3) Do not give hometown references unless they fall within the above definition. A complete explanation must be provided in item 20 if a character reference is listed with whom a close and continuing relationship has not existed.

(4) Give current, complete address of each reference. If available, list the home and business addresses and both telephone numbers. Give such complete instructions with the address that a stranger could find the location; that is, in the case of a business address, give the name of the firm where the reference is employed, plus exact address. If any reference is located in a large metropolitan area (e.g., New York, Chicago, Los Angeles), indicate the borough or suburb and ZIP code. If the address is a small town or on a rural or star route, give complete instructions from the post office or nearest town. In the case of a rural address, indicate county and show the rural route address (e.g., Star Route, Dickson County, 5 miles south of White Bluff, Tennessee, on Highway 191 turn left on Turner Road; proceed 1-1/2 miles to third white house on right side of road). If space is insufficient, show the additional information in item 20 or on an attached sheet. Schematic or free drawn map is also helpful.

(5) Do not list military references unless their present military grade, military organization, and address are known.

(6) If bona fide credit references cannot be furnished, list a school where tuition was paid, or any store, gasoline station, automobile dealer, repair shop, life insurance company, landlord, doctor, lawyer, etc., where cash was paid for services or goods and who has knowledge or records of the financial transactions. List credit card number and/or account number either in item 14 or 20. The address provided should be the address to where payments are mailed and not necessarily to where a purchase was made or to where the credit application was submitted.

o. Item 15. (Residence).

(1) List all places of residence (not employment or education) during the last 15 years, or since 18th birthday, whichever is shorter, in chronological order beginning with the current address. It is not necessary to list all residences from 1 January 1937. For these individuals under age 21, list residences for past 3 years. Give the beginning and ending month and year for each period of residence. Do not list a permanent mailing address or family residence in this item unless the subject actually resided at such address during the period(s) listed.

(2) Furnish residential addresses in local community or on base/installation while in military service (not permanent home address). List the actual place of residence while attending school. Do not list merely the name of the school or on campus as a place of residence. If a metropolitan address is given, list the borough or suburb in which it is located. For a rural address, include complete instructions for locating the residence as explained in subparagraph n, item 14.

(3) If the residence was on a military installation, include the military organization to which assigned along with the complete on-base residential address to include barracks or house number.

(4) If residence was in a foreign country, foreign names and addresses should be in English and in the Oriental characters (ideographs) or the Arabic script, if known.

(5) When residence was overseas, except under auspices of the US Government, list in item 20 the names and addresses of two individuals, preferably US citizens, who can verify the period of foreign residence through personal knowledge. The same references listed to verify education or employment in overseas areas may be listed to verify residence overseas.

(6) In item 20, provide the names and addresses of two persons (preferably US citizens and non-relatives) who can verify in transit or moving time which is not covered by an actual residence.

p. Item 16. (Organizational Membership). Give pertinent information, including complete names and locations of each organization of which the applicant is or has been a member, and indicate any office held. Avoid abbreviations. Show name and address of national organizations from which local organizations are derived or with which they are affiliated. Affiliation with labor unions, religious organizations, or political parties will not be listed.

q. Item 17. Each question requires either a yes or no answer. If yes has been checked in answer to any question, enter a complete and detailed explanation in the space provided or in item 20 (or on attached sheets, if necessary).

r. Item 18. (Arrest Record). The question at the beginning of this item must be checked either yes or no.

(1) If yes is checked, identify the appropriate police agency in addition to the date and court where trial took place. Include information if detained, held, arrested or summoned into court (in either the US or in a foreign country), even though it resulted in an acquittal or the charges were dropped. Any action which resulted in the placement of the subject's name on a police blotter or court record (give docket number or indictment number, if known) must be listed, including any act committed while still a juvenile or if the individual was considered a juvenile offender. Exclude minor traffic violations for which a fine or forfeiture of \$50.00 or less was imposed, not including court costs and fees. List all courts-martial, giving date, charges, and disposition. List all Article 15, UCMJ, or Captain's Mast if they resulted in fines, restrictions, demotions, etc. Use item 20 or a separate sheet to explain the circumstances of all incidents listed.

(2) When in doubt as to the necessity for listing information in this item, it is recommended that incidents be listed to preclude future questions regarding omissions from the form.

s. Item 19. (Explanatory Remarks). Give details of any situation or incident which might require some explanation.

t. Item 20. (General Remarks). Use this space for continuation of other items where insufficient space was provided. If necessary, attach additional sheets and indicate See Attached Sheet(s) at the end of the space. Include the item number to which the information pertains. Fully identify the applicant at the top of each additional sheet.

(1) The witnessing official must read the certification statement to the subject and must assure himself that the subject understands the contents. The applicant must understand that the information provided must be accurate in every detail and further understand the implications of certifying to false statements. Thereafter, the applicant and the witnessing official must sign and date the forms and the attached sheet(s), if any, in the presence of each other. The applicant must provide full signature (first, middle, and last). While the originals require original signatures, carbon signatures are acceptable on the copies. The information must be current as of the date the form is signed. The form must be completed, signed, and dated within 60 days prior to the date the request for investigation is dispatched to the Defense Investigative Service.

(2) When the DD Form 398 is executed to cover only the period since the date of submission of a previous form, enter the following certificate under this item: I HEREBY CERTIFY THAT THE ABOVE ENTRIES ARE COMPLETE AND CORRECT TO THE BEST OF MY KNOWLEDGE AND INDICATE ANY AND ALL CHANGES THAT HAVE OCCURRED SINCE (DATE OF PREVIOUS PERSONAL HISTORY FORM SUBMITTED WITH REQUEST FOR INVESTIGATION).

u. Item 21. Under this item, the authority requesting the investigation must provide:

(1) A brief description of the duty assignment and the following:

- (a) Position title relating to the investigative request.
- (b) Whether the position is excepted or competitive service.
- (c) Whether the position is critical sensitive or noncritical sensitive.
- (d) The level of access to classified information (TOP SECRET, SECRET, CONFIDENTIAL) the subject will require and the degree of access, e.g., daily, weekly, monthly, infrequently, or one-time access; if clearance is needed only for unescorted access to a restricted area, rather than access to classified material, so state.
- (e) Whether direct access to sensitive compartmented information (SCI) is required. If access authorization is needed only for unescorted access to a restricted area, rather than direct access, so state.
- (f) Billet number (in case of SCI).
- (g) Unclassified special project or program title, or other special program authorization justifying request for a special background investigation, if the requested investigation is for other than a SCI position.

(2) For record of prior clearance, indicate:

(a) The date of the most recent clearance issued, type of clearance (TOP SECRET, SECRET, CONFIDENTIAL), and the date of investigation, investigation file number, and agency that conducted the investigation.

(b) The date of the most recent SCI access authorization granted, and date of investigation, investigation file number and agency that conducted the investigation upon which that access was based. If same as paragraph (2)(a) above, so state.

(c) When applicable, the period during which subject held continuous current SCI access, for example, "Indoctrinated for SCI on 18 June 1970 and has held continuous SCI access up to and including the date of the current request for investigation" (this information is to be provided only with SBI-BU requests based on para 14c, DCID 1/14, submitted under the provisions of DASD(A) memo, 15 July 1974, Subject: Personnel Security Bring-Up investigations).

(d) Date, type of investigation, and investigative agency with respect to the most recently conducted personnel security investigation, regardless of the reason conducted, if other than issuing a clearance or granting SCI access as referenced in para (2)(a) and (b) above; state reason for that investigation.

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CONTINUATION SHEET of DD Form 398 (Statement of Personal History) concerning Edward Joseph Doe, Jr., 6 April 1942, Chiecao, Cook, IL, SFC E7, 508-54-9445, Co D, USAICS, Fort Huachuca, AZ 85613.

Item 15 Continued:

Aug 66 to Jan 68 Military Assistance Director, USSOUTHCOM, Quarry Heights,
Canal Zone, APO NY 09888, Bldg 1, Room 12 (Duty Address)
Mar 66 to Aug 66 Orderly Room, 10th Stu Co, Bldg 34567, Rm 9, Fort Eustis, VA
23604 (Duty Address)
Mar 64 to Mar 66 Signal Section, 7th Army, Patch Barracks, Stuttgart/
Vaihingen, Germany, APO NY 09320, Building and Room Number -
Do Not Recall, but physically located over the EM Club (Duty
Address)
Dec 63 to Mar 64 Lot 8, Shady Nook Trailer Court, Plattsmouth, NB 68048
Jul 62 to Dec 63 Staff CINCPAC, Camp H M Smith, Hawaii, FPO 96701, Bldg 6, Bay
4 (Residence) Room 381 (Duty)
May 61 to Jun 62 A Btry Hqs Bn Spec Trps, Fort Bliss, TX 79930. Residence On
Post Do Not Recall. Duty with the Post Reenlistment Office,
building and room number Do Not Recall
Mar 61 to May 61 P 4-4, 4th Tng Rgt, 4th Tng Bn, Clerical AIT Training, Fort
Leonard Wood, MO 65473, Residence On Post Do Not Recall
Jan 61 to Mar 61 Co C 69th Armor Div, Fort Riley, KS 66442, Basic Training, Do
Not Recall On Post Residence
Jul 60 to Dec 60 Lot 8, Shady Nook Trailer Court, Plattsmouth, NB 68048
Sep 56 to Jun 60 12 Noth Apple Street, Huntingdon, PA 16652

S/Edward Joseph Doe, Jr
EDWARD JOSEPH DOE, JR.
6 Apr 42, Chicago, IL
508-54-9445, SFC E7
20 November 1975

S/Littman T Little
LITTMAN T. LITTLE
CPT, MI
Sec Control Office

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AUTHORITY TO RELEASE MEDICAL INFORMATION AND RECORDS

DATE _____

In connection with an investigation for security clearance, I, _____, hereby authorize and request any and all doctors, hospitals, and other institutions having information or records pertaining to any medical or psychiatric examinations or treatment that I have received at any time to furnish full and complete information relative thereto to any duly authorized representative of the Department of the Army Military Intelligence, Department of the Navy Naval Investigative Service, Department of the Air Force Office of Special Investigations, or the Department of Defense Investigative Service who presents this authorization. This authorization specifically includes authority to release for examination and reproduction of pertinent psychiatric records, reports, diagnoses, etc., and specifically includes the request that any doctors with knowledge of my case freely furnish their evaluations and/or opinions.

PRIVACY ACT WARNING STATEMENT: "I understand that the use of this release form is authorized under Title 10, section 3012 of the US Code and that its routine use will enable investigators of the Department of Defense to obtain the release of medical information concerning me which will be included in the security investigation. These investigative results will be evaluated by Department of Defense adjudicative officials in determining my suitability for performing sensitive duties. The results will be stored within appropriate DOD security dossier repositories, and upon request, may be furnished to other Defense, Federal or law enforcement agencies for official use. Signing this form is voluntary, however, I realize that failure to sign will preclude the expeditious handling of medical records checks, and that I may be denied access to classified information which may make me ineligible for certain assignments within the DOD if this suitability criterion cannot be evaluated."

(Witness)

(Signature of Applicant)

(Organization)

AUTHORIZATION FOR RELEASE OF EDUCATION RECORDS

DATE _____

I, _____, hereby authorize and request any and all colleges or any other schooling institutions that I have attended having information or records pertaining to any course which I have attended, to furnish full and complete information relative thereto to any duly authorized representative of the Department of the Army Military Intelligence, Department of the Navy Naval Investigations Service, Department of the Air Force Office of Special Investigations, or Department of Defense Investigative Service who presents this authorization. This authorization specifically includes authority to release for examination and reproduction, all pertinent records, reports, etc., and specifically authorizes any school official with knowledge of my attendance to freely furnish his evaluation and/or opinions. I fully understand that this information is necessary in connection with an investigation being conducted for a security clearance.

PRIVACY ACT WARNING STATEMENT: "I understand that the use of this release form is authorized under Title 10, section 3012 of the US Code and that its routine use will enable investigators of the Department of Defense to obtain the release of medical information concerning me which will be included in the security investigation. These investigative results will be evaluated by Department of Defense adjudicative officials in determining my suitability for performing sensitive duties. The results will be stored within appropriate DOD security dossier repositories, and upon request, may be furnished to other Defense, Federal or law enforcement agencies for official use. Signing this form is voluntary, however, I realize that failure to sign will preclude the expeditious handling of education records checks, and that I may be denied access to classified information which may make me ineligible for certain assignments within the DOD if this suitability criterion cannot be evaluated."

(Witness)

(Signature of Applicant)

(Organization)

AUTHORIZATION FOR RELEASE OF LAW ENFORCEMENT RECORDS

DATE _____

I, _____, hereby authorize and request that any and all Local, State, Federal, and Department of Defense law enforcement agencies having information or records pertaining to any law enforcement violations in which I may have participated to furnish full and complete information relative thereto to any duly authorized investigator of the Investigative Service, Department of the Air Force Office of Special Investigations, or Department of Defense Investigative Service who presents this authorization. This authorization specifically includes authority for examination and reproduction, all pertinent records, reports, etc., and specifically authorizes any court official or probation officer with knowledge of my violations to freely furnish his evaluation and/or opinions.

PRIVACY ACT WARNING STATEMENT: "I understand that the use of this release form is authorized under Title 10, section 3012 of the US Code and that its routine use will enable investigators of the Department of Defense to obtain the release of medical information concerning me which will be included in the security investigation. These investigative results will be evaluated by Department of Defense adjudicative officials in determining my suitability for performing sensitive duties. The results will be stored within appropriate DOD security dossier repositories, and upon request, may be furnished to other Defense, Federal or law enforcement agencies for official use. Signing this form is voluntary, however, I realize that failure to sign will preclude the expeditious handling of law enforcement records checks, and that I may be denied access to classified information which may make me ineligible for certain assignments within the DOD if this suitability criterion cannot be evaluated."

(Witness)

(Signature of Applicant)

(Organization)

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TITLE 18 OF THE UNITED STATES CODE

SECTION 793

GATHERING, TRANSMITTING, OR LOSING DEFENSE INFORMATION

"(a) Whoever, for the purpose of obtaining information respecting the national defense with intent or reason to believe that the information is to be used to the injury of the United States, or to the advantage of any foreign nation, goes upon, enters, files over, or otherwise obtains information concerning any vessel, aircraft, work of defense, navy yard, naval station, submarine base, fueling station, fort, battery, torpedo station, dockyard, canal, railroad, arsenal, camp, factory, mine, telegraph, telephone, wireless, or signal station, building office, research laboratory or station or other places connected with the national defense owned or constructed, or in progress of construction by the United States or under the control of the United States, or any of its officers, departments, or agencies, or within the exclusive jurisdiction of the United States, or any place in which any vessel, aircraft, arms, munitions, or prepared, repaired, stored, or are the subject of research or development, under any contract or agreement with the United States, or any department or agency thereof, or with any person on behalf of the United States, or otherwise on behalf of the United States, or any prohibited place so designated by the President by proclamation in time of war or in case of national emergency in which anything for the use of the Army, Navy, or Air Force is being prepared or constructed or stored, information as to which prohibited place the President has determined would be prejudicial to the national defense; or

"(b) whoever, for the purpose aforesaid, and with like intent or reason to believe, copies, takes, makes or obtains, or attempts to copy, take, make, or obtain, any sketch, photograph, photographic negative, blueprint, plan, map, model, instrument, appliance, document, writing, or note of anything connected with the national defense; or

"(c) whoever, for the purpose aforesaid, receives or obtains or agrees or attempts to receive or obtain from any person, or from any source whatever, any document, writing, code book, signal book, sketch, photograph, photographic negative, blueprint, plan, map, model, instrument, appliance, or note, of anything connected with national defense, knowing or having to believe, at the time he receives or obtains, or agrees or attempts to receive or obtain it, that it has been or will be obtained, taken, made or disposed of by any person contrary to the provisions of this chapter; or

"(d) whoever, lawfully having possession of, access to, control over, or being entrusted with any document, writing, code book, signal book, sketch, photograph, photographic negative, blueprint, plan, map, model, instrument, appliance, or note relating to the national defense, or information relating to the national defense which information the possessor has reason to believe could be used to the injury of the United States or to the advantage of any foreign nation, willfully communicates, delivers, transmits or causes to be

communicated, delivered, or transmitted or attempts to communicate, deliver, transmit or cause to be communicated, delivered or transmitted the same to any person not entitled to receive it, or willfully retains the same and fails to deliver it on demand to the officer or employee of the United States entitled to receive it; or

"(e) whoever having unauthorized possession of, access to, or control over any document, writing, code book, signal book, sketch, photograph, photographic negative, blueprint, plan, map, model, instrument, appliance, or note relating to the national defense which information the possessor has reason to believe could be used to the injury of the United States or to the advantage of any foreign nation, willfully communicates, delivers, transmits or causes to be communicated, delivered, or transmitted the same to any person not entitled to receive it, or willfully retains the same and fails to deliver it to the officer or employee of the United States entitled to receive it; or

"(f) whoever, being entrusted with or having lawful possession or control of any document, writing, code book, signal book, sketch, photograph, photographic negative, blueprint, plan, map, model, instrument, appliance, note, or information, relating to the national defense, (1) through gross negligence permits the same to be removed from its proper place of custody or delivered to anyone in violation of his trust, or to be lost, stolen, abstracted, or destroyed, or (2) having knowledge that the same has been illegally removed from its proper place of custody or delivered to anyone in violation of his trust, or lost, or stolen, abstracted, or destroyed, and fails to make prompt report of such loss, theft, abstraction, or destruction to his superior officer--

"Shall be fined not more than \$10,000 or imprisoned not more than ten years, or both.

"(g) If two or more persons conspire to violate any of the foregoing provisions of this section, and one or more of such persons do any act to effect the object of the conspiracy, each of the parties to such conspiracy shall be subject to the punishment provided for the offense which is the object of such conspiracy." June 15, 1945, chapter 645, Section i, 62 Statute 736, amended Sep 23, 1950, chapter 1024, Section 18, 64 Statute _____.

TITLE 18 OF THE UNITED STATES CODE

SECTION 794

GATHERING OR DELIVERING DEFENSE INFORMATION TO AID FOREIGN GOVERNMENT

"(a) Whoever, with intent or reason to believe that it is to be used to the injury of the United States or to the advantage of a foreign nation, communicates, delivers, or transmits, or attempts to communicate, deliver, or transmit, to any foreign government, or to any faction or party or military or naval force within a foreign country, whether recognized or unrecognized by the United States, or to any representative, officer, agent, employee, subject, or citizen thereof, either directly or indirectly, any document, writing, code book, signal book sketch, photograph, photographic negative, blueprint, plan, map, model, note, instrument, appliance, or information relating to the national defense, shall be imprisoned not more than twenty years.

"(b) Whoever violates subsection (a) in time of war shall be punished by death or by imprisonment for not more than thirty years.

"(c) Whoever, in time of war, with intent that the same shall be communicated to the enemy, collects, records, publishes, or communicates, or attempts to elicit any information with respect to the movement, numbers, description, condition, or disposition of any of the armed forces, ships, aircraft, or war materials of the United States, or with respect to the plans or conduct of any naval or military operations, or with respect to any works or measures undertaken for or connected with, or intended for the fortification or defense of any place, or any other information relating to the public defense, which might be useful to the enemy, shall be punished by death or imprisonment for not more than thirty years.

"(d) If two or more persons conspire to violate this section, and one or more of such persons do any act to effect the object of the conspiracy, each of the parties to such conspiracy shall be subject to the punishment provided for the offense which is the object of such conspiracy." June 25, 1940, chapter 645, 62 Statute 737.

PUBLIC LAW 248

82nd Congress, 1st Session

31 October 1951

AN ACT

To amend certain titles of the United States Code, and for other purposes.

SEC. 24 (a) Title 18 of the United States Code is further amended by inserting in Chapter 37 of such title, immediately following section 797 by such title, the following new section:

"798. DISCLOSURE OF CLASSIFIED INFORMATION

"(a) Whoever knowing and willfully communicates, furnishes, transmits, or otherwise makes available to an unauthorized person, or publishes, or uses in any manner prejudicial to the safety or interest of the United States or for the benefit of any foreign government to the detriment of the United States any classified information -

"(1) Concerning the nature, preparation, or use of any code, cipher, or cryptographic system of the United States or any foreign government; or

"(2) Concerning the design, construction, use, maintenance, or repair of any device, apparatus, or appliance used or prepared or planned for use by the United States or any foreign government for cryptographic or communication intelligence purposes; or

"(3) Concerning the communication intelligence activities of the United States or any foreign government; or

"(4) Obtained by the processes of communication intelligence from the communications of any foreign government, knowing the same to have been obtained by such processes -

"Shall be fined not more than \$10,000, or imprisoned not more than ten years, or both.

"(b) As used in subsection (a) of this section -

"The term 'classified information' means information which, at the time of a violation of this section, is, for reasons of national security, specifically designated by a United States Government Agency for limited or restricted dissemination or distribution;

"The terms 'code,' 'cipher,' and 'cryptographic system' include in their meanings, in addition to their usual meanings, any method of secret writing and any mechanical or electrical device or method used for the purpose of disguising or concealing the contents, significance, or meanings of communications:

"The term 'foreign government' includes in its meaning any person or persons acting or purporting to act for or on behalf of any faction, party, department, agency, bureau, or military force of or within a foreign country, or for or on behalf of any government or any person or persons purporting to act as a government within a foreign country, whether or not such government is recognized by the United States.

"The term 'unauthorized person' means any person who, or agency which, is not authorized to receive information of the categories set forth in subsection (a) of this section, by the President, or by the head of a department or agency of the United States Government which is expressly designated by the President to engage in communication intelligence activities for the United States.

"(c) Nothing in this section shall prohibit the furnishing, upon lawful demand, of information in any regularly constituted committee of the Senate or House of Representatives of the United States of America, or Joint committee thereof."

APPROVED 31 OCTOBER 1951.