

LESSON 5

Personnel Security Clearance Procedures

This lesson provides a section of charts to help you determine which procedures and forms are needed for employees that require a Personnel Security Clearance (PCL) or a limited access authorization (LAA). These charts are based both on the level of clearance required and the status of the employee, and cover almost a full range of cases. After the charts, you will find some samples of completed clearance applications. Finally, there is a chart listing the procedures for termination of PCLs and LAAs.

We'll be using the employees of Electric Widget Services and its Home Office Facility (HOF), the Electric Widget Company, to illustrate the procedures involved.

JOINT PERSONNEL ADJUDICATION SYSTEM (JPAS)

The Joint Personnel Adjudication System (JPAS) comprised of The Joint Clearance and Access Verification System (JCAVS) and Joint Adjudication Management Systems (JAMS) is currently being beta tested. JPAS is the system of the **future** that will handle **all** of the current paper transactions (relative to PCL's) electronically and in **real time**. Actions will include but not be limited to actions that currently involve the use of DISCO Form 562. Some examples of actions that will be done electronically when the JPAS system is fully implemented are terminations, upgrades, downgrades, reinstatements and maintaining non disclosure signature dates. The Joint Clearance and Access Verification System (JCAVS) which is one facet of the JPAS, will be

used extensively by DoD contractors participating in the National Industrial Security Program (NISP). For further information, contact your local DSS Industrial Security Representative. You may also find information about JPAS at: <https://jpas.osd.mil>, and the DoD Industrial Security Letter (ISL) 02L-1, dated 22 April 2002.

OBJECTIVES

When you finish this lesson you should be able to do the following:

- Using the charts provided, follow the procedures for preparing applications for PCLs and LAAs.
- State some tips and hints in successfully using EPSQ.
- Explain how unnecessary PCLs and LAAs are terminated.

HOW TO READ THE CHARTS



Wanda Fishtank

The charts on the following pages provide a guide for you, the FSO, in determining what actions to take in preparing a clearance application packet to be forwarded to DISCO. Don't be discouraged by all the boxes. You need only read through those areas that apply to the clearance you are checking on.

Take, for example, Wanda Fishtank of Electric Widget Services (EWS). If her supervisor should come to Harriet Hornsby's office (Harriet is EWS's FSO) saying she required a SECRET level clearance, all Harriet need do is turn to the charts and begin to read down through the various conditions. Those conditions that do not apply are disregarded. The first two pages of the charts cover general requirements: Is the clearance warranted? After a bit of research, Harriet decides that Wanda's duties will require her to have access to SECRET information. Is she a US citizen? Yes, and she provides a passport to prove it. Has she ever had a clearance before? No, so Harriet can now turn directly to Chart 10

page 5-13 and follow the steps for preparing a SECRET clearance application.

On the pages following the charts we have provided additional examples of EWC personnel to help you "walk through" the process. These examples will give you a better idea of the various clearance situations. The pages with the charts are numbered separately to simplify their use.

Chart 1



General Requirements

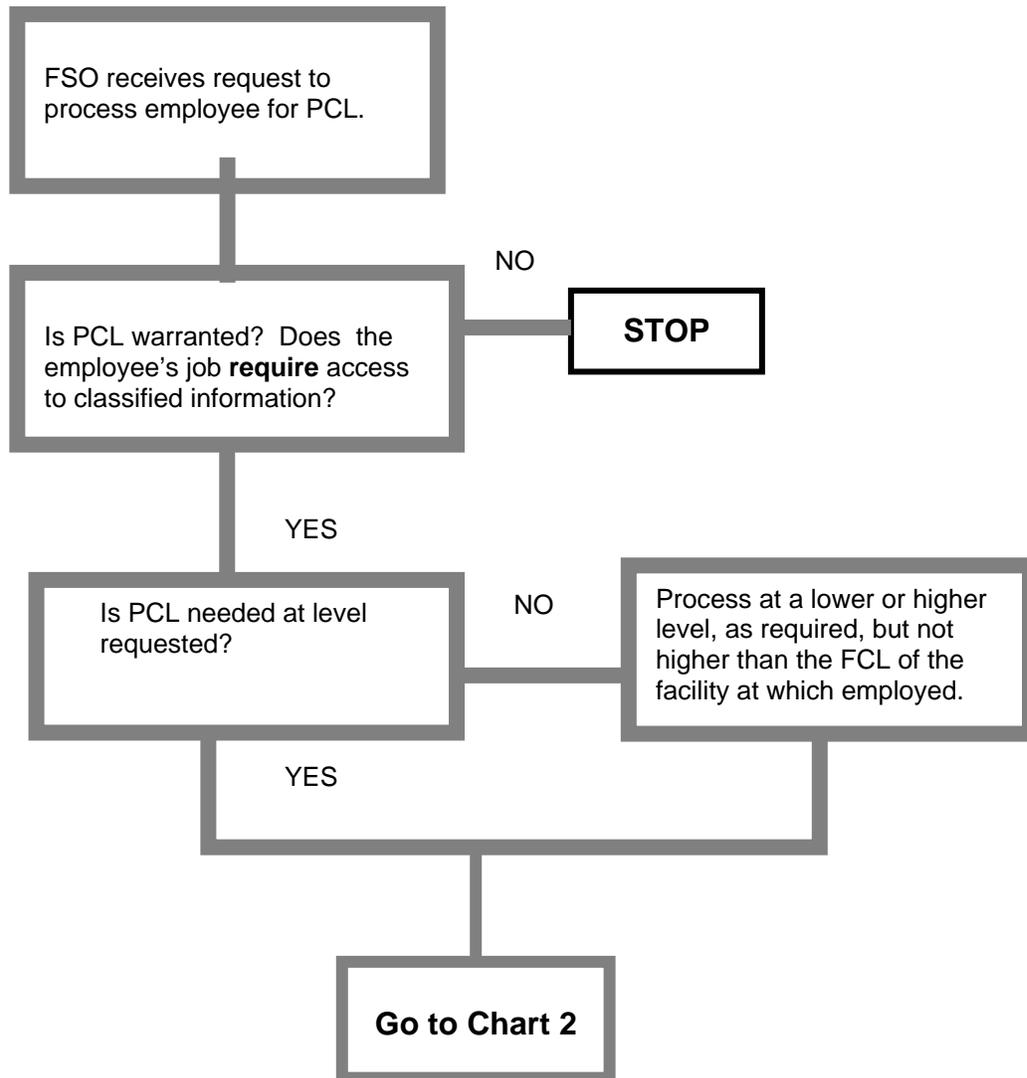


Chart 2



General Requirements (cont'd)

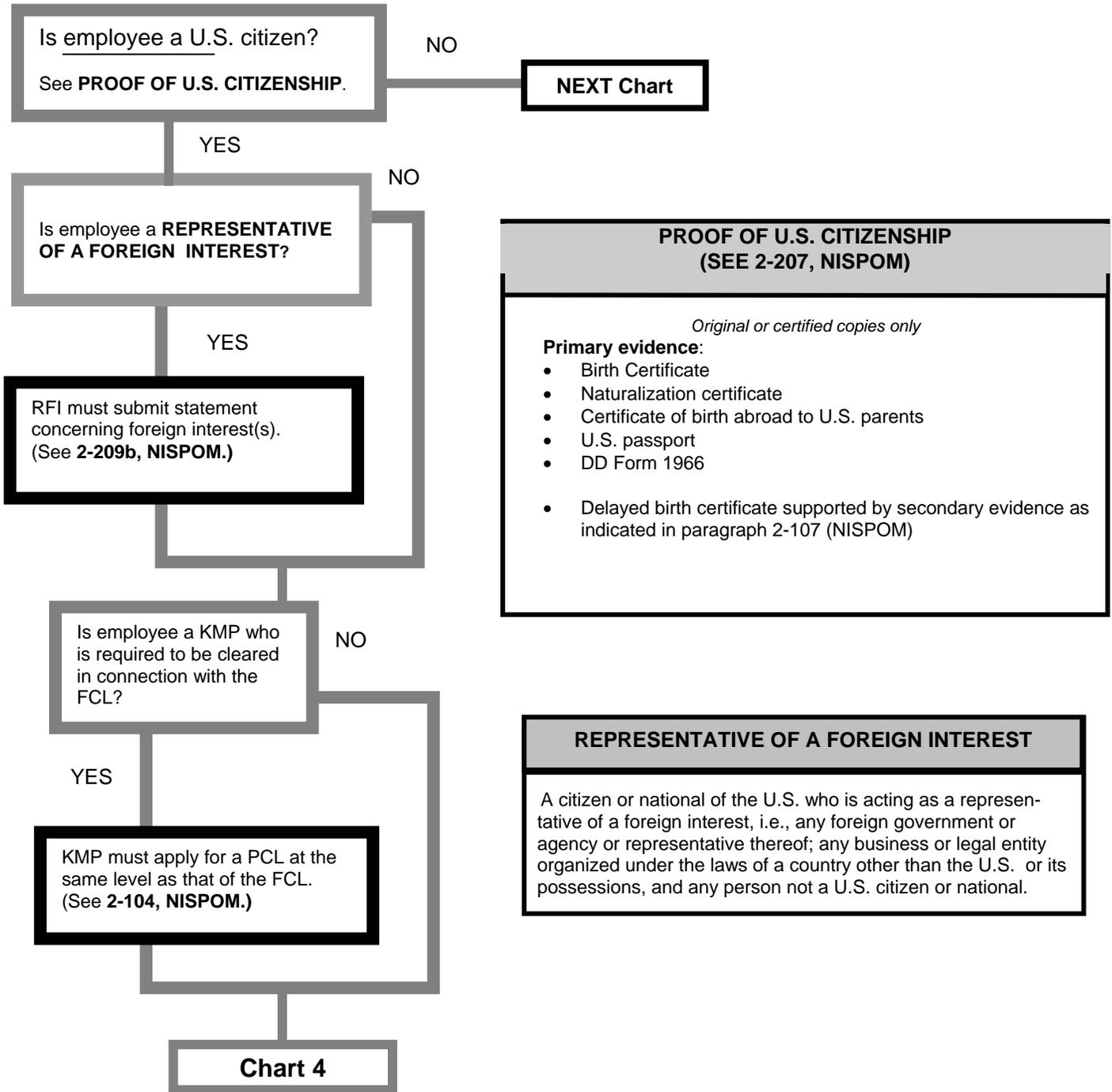


Chart 3



Non-U.S. Citizens: Limited Access Authorization

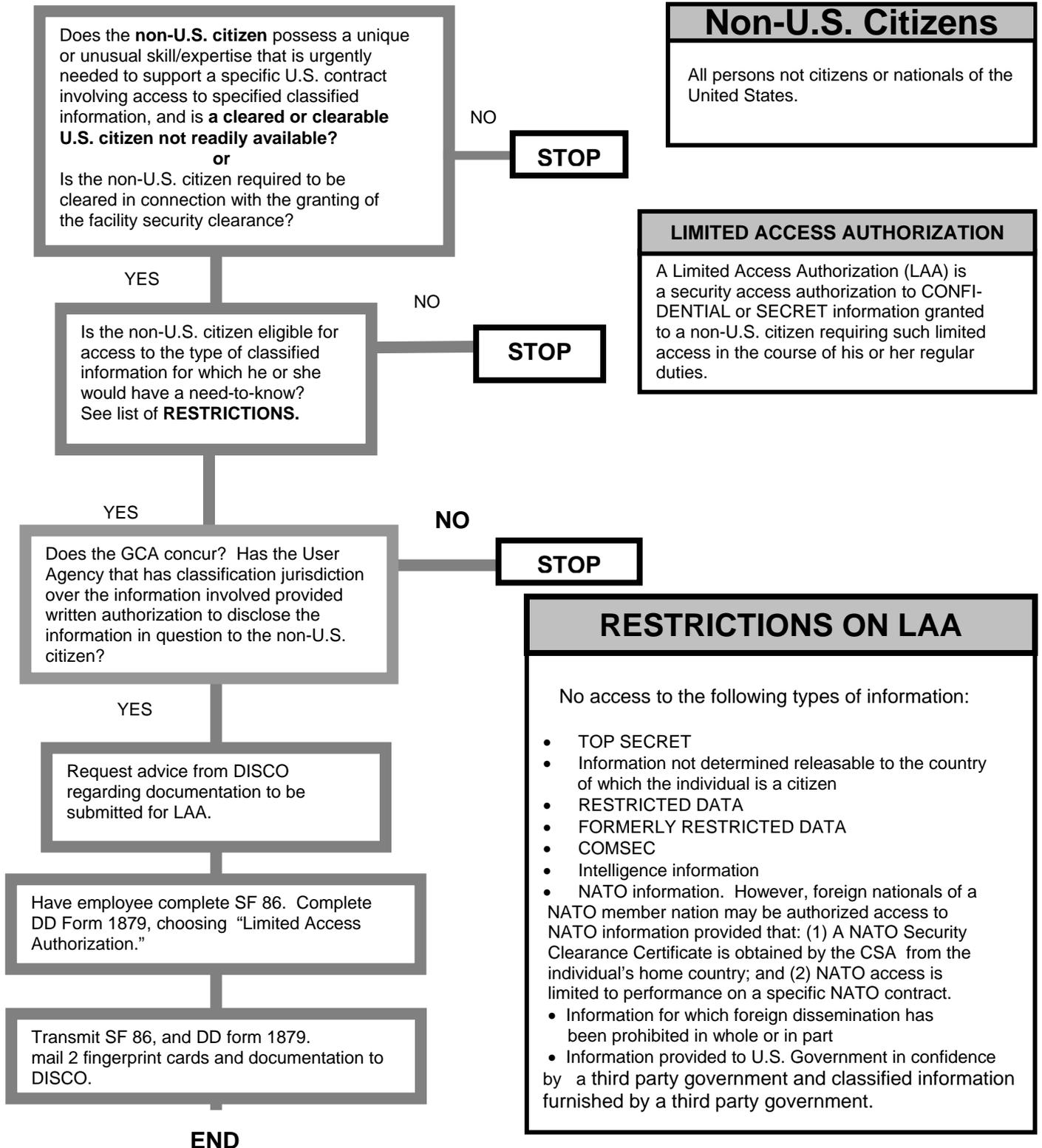
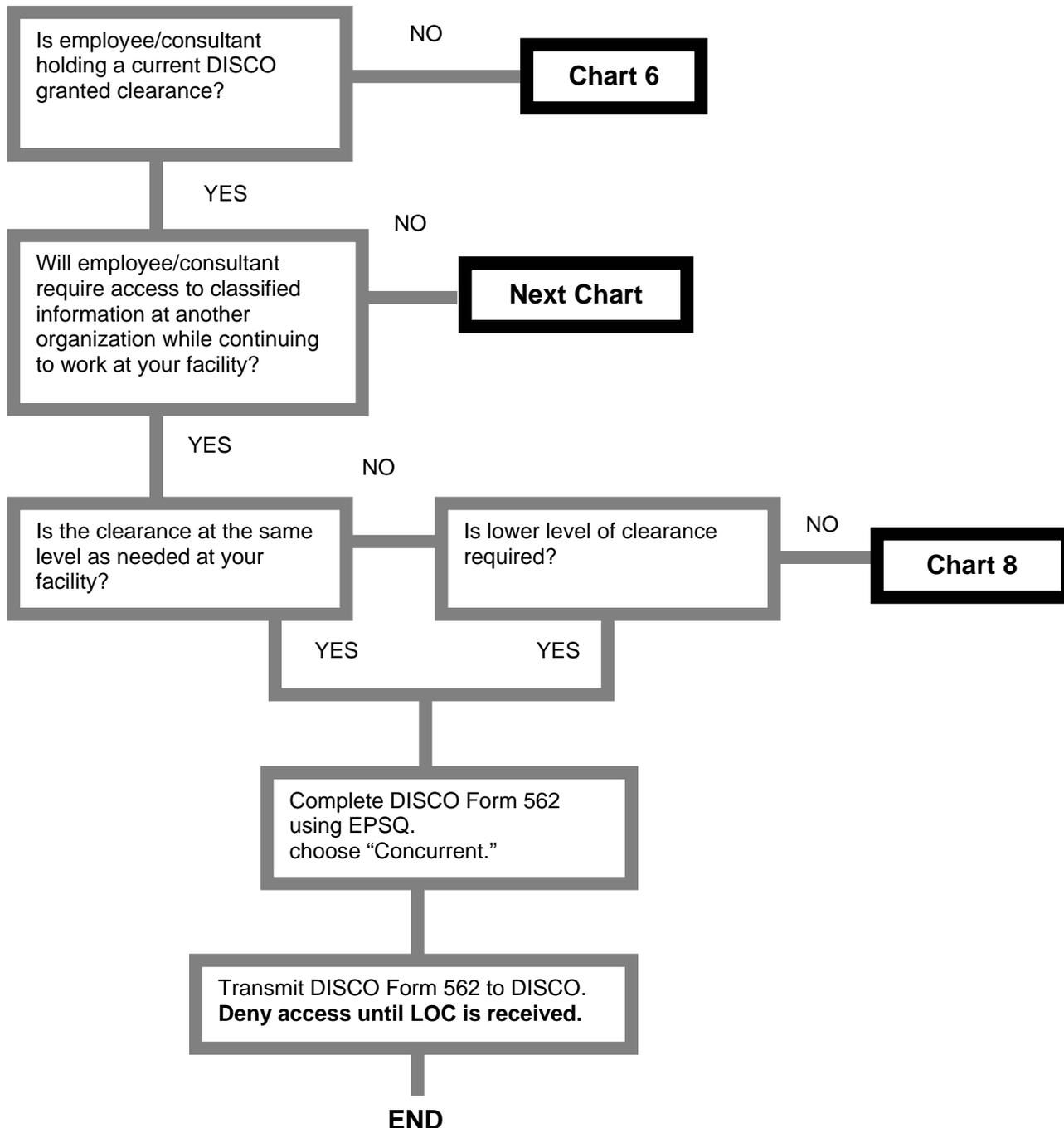


Chart 4



Concurrent Clearance



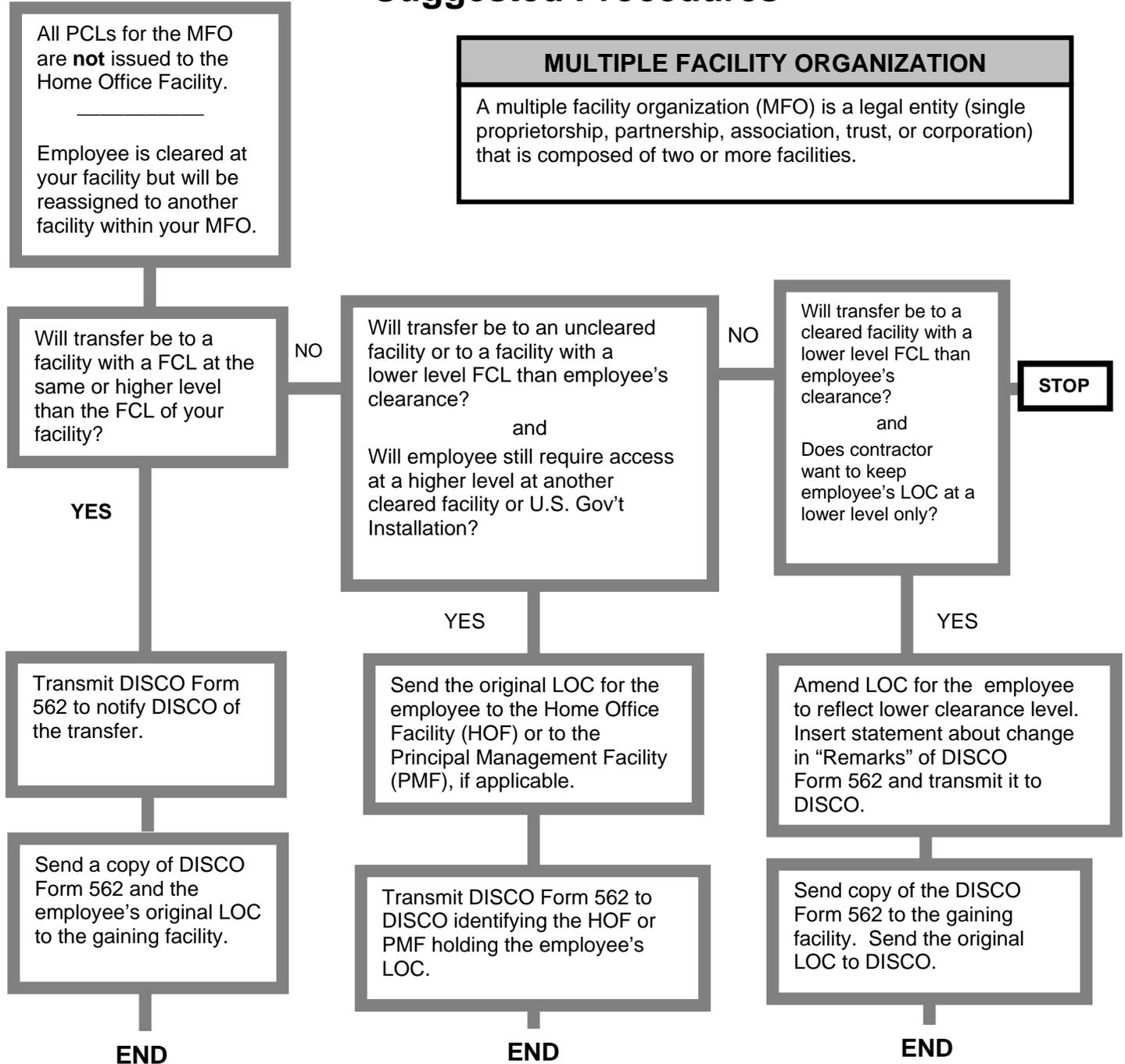
NOTE: An LOC (Letter of Consent) is an electronic transmission that DISCO sends to the contractor that indicates the level of the Personnel Security Clearance (PCL) and date of the PCL.

Chart 5



Clearance Transfer Within a Multiple-Facility Organization when all PCLs *not* Issued to HOF

Suggested Procedures

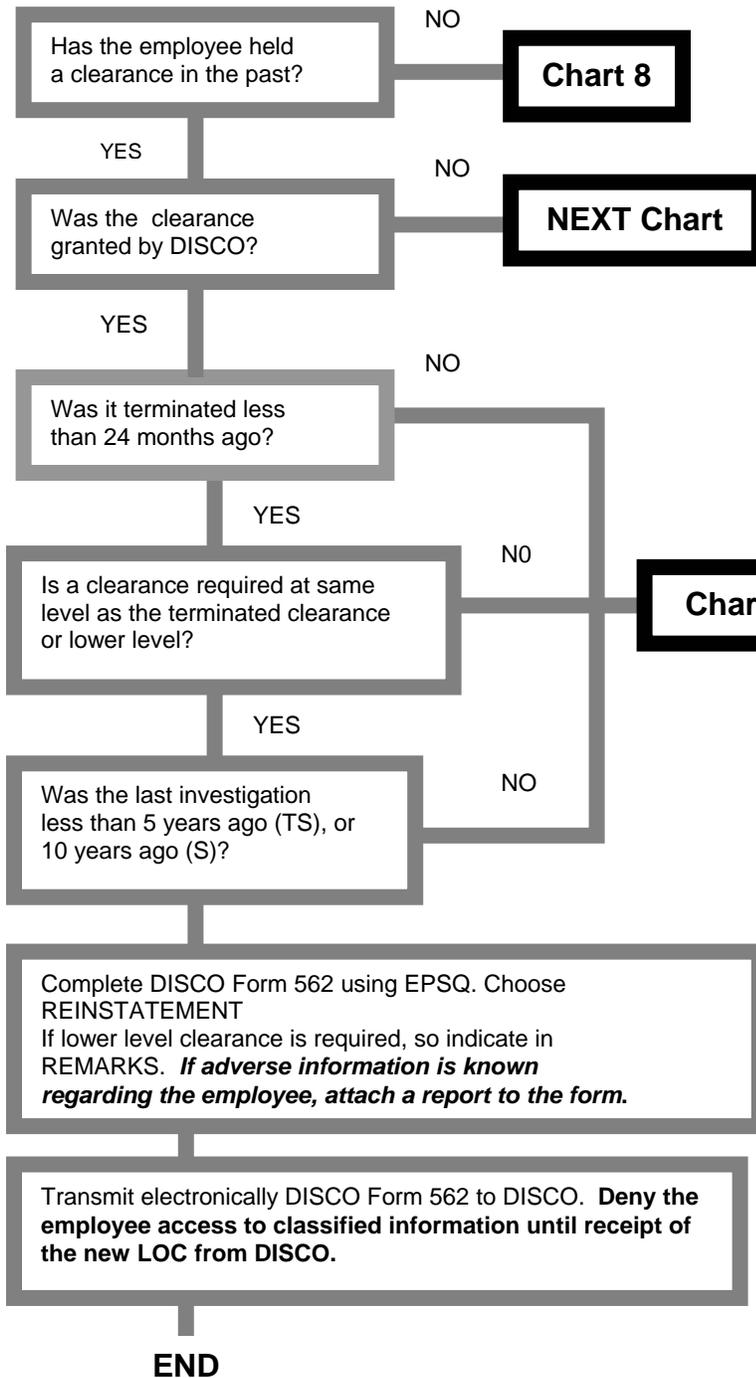


NOTE: Original SF 312s should be sent to DISCO on all new clearances. If, however, the losing facility has the original SF 312 for the transferring employee, it should be sent to DISCO.

Chart 6



Clearance Reinstatement



IMMIGRANT ALIEN LAA

Upon completion of the last contract for which access was authorized, you are required to terminate the LAA by transmitting Form 562 to DISCO. If access is necessary under a new contract, transmit a SF 86 to DISCO along with the UA endorsement (see chart 3). **Deny the employee access until receipt of a new LOC from DISCO.**

INVESTIGATIVE SCOPE

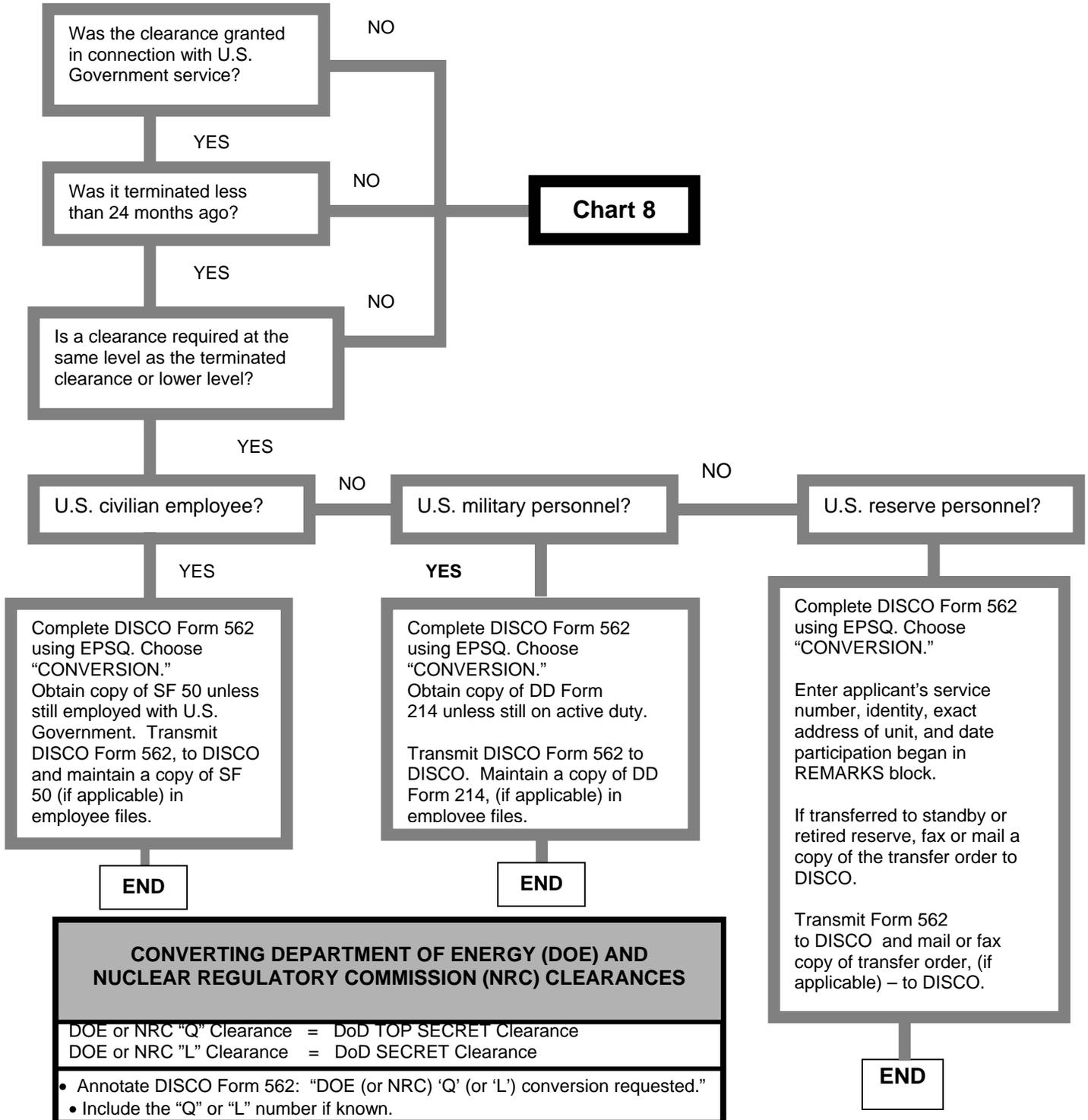
The last investigation must have met or exceeded the scope of the investigation required for the level of clearance that will be reinstated ---Single Scope Background Investigation (SSBI) for TOP SECRET clearances, or National Agency Check and Local Agency and Credit Check (NACLIC) for SECRET clearances.

Chart 7



Clearance Conversion

Employee holds or has held a clearance with a government activity.



CONVERTING DEPARTMENT OF ENERGY (DOE) AND NUCLEAR REGULATORY COMMISSION (NRC) CLEARANCES

DOE or NRC "Q" Clearance = DoD TOP SECRET Clearance
 DOE or NRC "L" Clearance = DoD SECRET Clearance

- Annotate DISCO Form 562: "DOE (or NRC) 'Q' (or 'L') conversion requested."
- Include the "Q" or "L" number if known.

Chart 8

<p>Employee required TOP SECRET Level PCL.</p>	<p>N E X T P A G E Chart 9</p>
<p>Employee is a non-U.S. citizen being processed for a SECRET or CONFIDENTIAL LAA.</p>	
<p>Employee required SECRET level PCL.</p> <p>.</p>	<p>Chart 10</p>
<p>Employee requires CONFIDENTIAL level PCL.</p>	

Chart 9

STEP	TOP SECRET Clearance Processing
1	Fingerprint procedure. See Chart 11.
2	FSO completes DD form 1879. Choose, "Single Scope Background Investigation (SSBI)."
3	Complete SF 86 jointly with the employee. Brief employee about privacy option for Modules 17-42 of SF 86 using EPSQ. While it is optional, if employee completes those modules in private, the FSO can still validate and transmit the SF 86.
4	Review all viewable materials (DD Form 1879, SF 86 modules, and FD Form 258) for proper completion.
5	Transmit SF 86 electronically to DISCO and mail one signed FD Form 258 (fingerprint card) and the authority for release of information and records to DSS, Personnel Investigations Center/PIC 601 10th Street, Suite 125, Fort George Meade, MD 20755-5143. The authority for release of Information & Records may also be faxed to the Personnel Investigations Center (PIC), Tel: . 1-888-369-2812.
6	Refer to article 5, Industrial Security Letter (ISL) 02L-1, dated 22 Apr 02. When the SF 86 is submitted to DISCO electronically, the contractor/FSO is required to retain an original, signed copy of the SF 86 and authority for release of information and records until the clearance process has been completed.

END

Using the Electronic Personnel Security Questionnaire (EPSQ)
Complete guidance regarding how to use EPSQ is available at
www.dss.mil/EPSQ

Chart 10

STEP	SECRET/CONFIDENTIAL Clearance Processing
1	Fingerprint procedure. See Chart 11.
2	FSO completes NAC Security Information Sheet (equivalent to Part 1, Questions A through P of paper SF 86).
3	Complete SF 86 jointly with the employee. Brief employee about privacy option for modules 17-42 of SF 86 using EPSQ. While it is optional, if employee completes those modules in private, the FSO can still validate and transmit the SF 86.
4	Review FD Form 258 and all viewable pages of the SF 86 for proper completion.
5	Transmit SF 86 electronically to DISCO and mail one signed FD Form 258 (fingerprint card) and the authority for release of information and records to DSS, Personnel Investigations Center/PIC 601 10th Street, Suite 125, Fort George Meade, MD 20755-5143. The authority for release of Information & Records may also be faxed to the Personnel Investigations Center (PIC); Tel: 1-888-369-2812.
6	Refer to article 5, Industrial Security Letter (ISL) 02L-1, dated 22 Apr 02. When the SF 86 is submitted to DISCO electronically, the contractor/FSO is required to retain an original, signed copy of the SF 86 and authority for release of information and records until the clearance process has been completed.

END

**Using the Electronic Personnel Security Questionnaire
(EPSQ)**

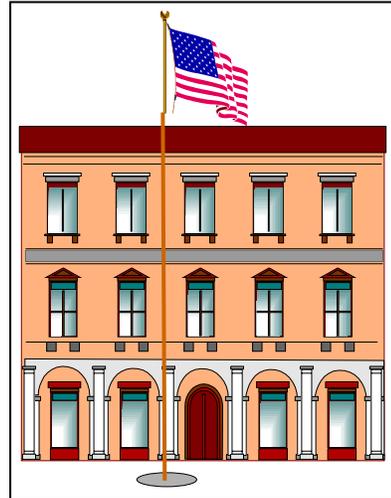
**Expert help is available regarding the EPSQ at
1-800-542-0237**

Chart 11

Fingerprinting Of Personnel Security Clearance Applicants

Use only those fingerprint cards printed in blue ink obtained from DISCO (FD 258).

Fingerprints may be taken at one of these places:



- At your facility
- be sure to review fingerprint cards in accordance with instructions on reverse of card

At the local police or sheriff's office

(Fee may be charged).

- Always send in at least one card to:

Mail: Defense Security Service
Personnel Investigations Ctr (PIC)
601 10th Street, Suite 125
Ft. George Meade, MD 20755-5134

When using an outside agency, send along another company employee as witness:



To verify identity of person being fingerprinted.



When using an outside agency the **witness** must return the fingerprint card(s) to the FSO to prevent substitution.

Chart 12

To double check your work, you can use the checklist below to make sure all major areas of concern have been covered.



CLEARANCE PROCESSING CHECKLIST

Step 1	Ascertain need for PCL. Chart 1 (p. 5-4)
Step 2	Determine that employee meets general requirements for PCL. Chart 1 & 2 (pp. 5-4 & 5-5)
Step 3	Determine which clearance procedure is called for, based on the employees current status and level of PCL required. Charts 3-8. (pp. 5-6 to 5-11)
Step 4	Complete appropriate forms. Charts 9-11 (pp. 5-12 to 5-14)
Step 5	Submit forms to DISCO.* Charts 9 & 10 (pp. 5-12 & 5-13)

***NOTE:** *DISCO encourages submission of EPSQ by electronic transmission.*

EPSQ software will be replaced by new E-QIP software sometime in 2004.

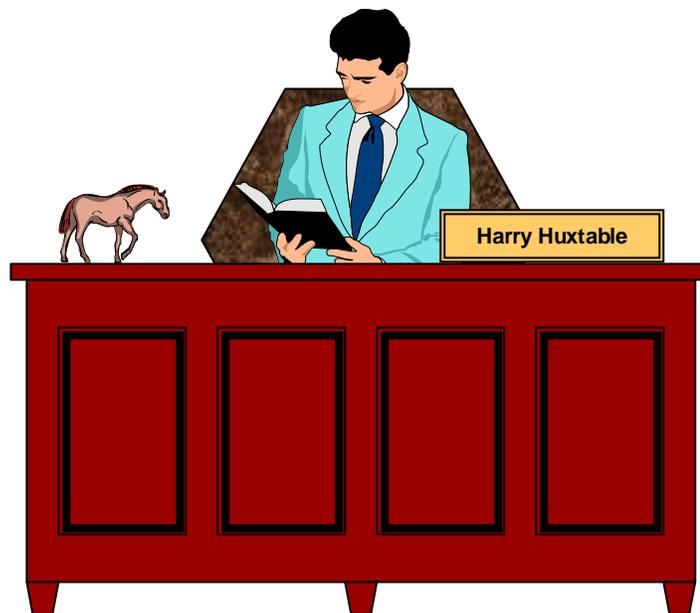
Information about OPM's E-QIP software is available at
www.opm.gov/e-qip

EXAMPLES OF PERSONNEL SECURITY CLEARANCE PROCEDURES

On the following pages we have provided some examples of the types of situations that can arise with personnel in need of PCLs.

In order to walk you through some of the possible situations, we have gone to our Home Office Facility, Electric Widget Company, for our examples. EWC is a much more complex operation than Electric Widget Services. EWC has a higher level Facility Security Clearance and on-site dealings with classified information.

For our review exercises at the close of this lesson we will, return to EWS for examples.



**Harold Huxtable. FSO for the
Electric Widget Company**

GENERAL GUNN METTLE

General Mettle retired almost a year ago from the US Army. The Electric Widget Company has hired the general and would like to use him on its TOP SECRET advanced widget program. Let's look at the process that Harold Huxtable, EWC's FSO, uses to determine what forms to have General Mettle fill out .



General Gunn Mettle, Ret.

NOTE: When using EPSQ for the conversion of PCL's it is not necessary to submit a copy of the DD 214 or SF 50 to DISCO. However, it is important that you maintain a copy in the employee file until the investigation is complete, in case there are any questions.

First, the PCL is warranted. There is a valid need for the general's clearance at the level requested. The project is classified TOP SECRET, and the material that the general would have to deal with in fulfilling his duties is TOP SECRET.

Since the request for a TOP SECRET level PCL is justified, Harold skips over to Chart 2 of the guide.

General Mettle is a US citizen. He has no relatives in any foreign country. He will not be a Key Management Person (KMP) in the company, so Harold continues on to Chart 7 , where the first block asks was the clearance granted in connection with U.S. Government Service?

The answer being "yes," Harold continues to follow Chart 7 on page 5-10. General Mettle's clearance was

granted in connection with his US Government service, so Harold moves down to the next block. Yes, General Mettle's clearance was terminated less than 24 months ago (10 months ago, to be exact), so Harold again moves down the "yes" path. General Mettle's clearance was at the TOP SECRET level, and this is the level of clearance he requires at EWC.

General Mettle was not a US civilian employee, so Harold takes the "no" path to "US military personnel." General Mettle, having been in the military, must follow the procedures under that heading. This involves the completion of a DISCO Form 562 and obtaining a copy of General Mettle's DD Form 214.

Harold then transmits the DISCO Form 562 to DSS and files the copy of the DD 214. And that takes care of the personnel security clearance application for General Gunn Mettle.



ROWENA OWENSBY, Ph.D.

ROWENA OWENSBY, Ph.D.

Dr. Owensby is one of Canada's leading laser physicists. EWC would very much like to employ her on the laser widget program. Mr. Wilbersnoot, EWC's president, asks Harold if this would be possible and, if so, how they should go about getting Dr. Owensby cleared. Harold explains to Mr. Wilbersnoot that they would first have to hire Dr. Owensby and *then* put in for her clearance. Mr. Wilbersnoot asks Harold to give him some idea of Dr. Owensby's chances for receiving a clearance if she were hired.

Harold, looking at the charts, follows the "yes" arrows down to Chart 2. Here he comes to the first "no" condition: Dr. Owensby is not a US citizen. Taking the path of the "no" arrow leads to Chart 3, where the first part of the question asks whether she has rare qualifications urgently needed for a specific classified contract. She does indeed. The second part of the question asks whether there is a suitable US citizen readily available for the job. To find out, Harold calls the

GCA for the laser widget program. He learns that, yes, there are several suitable US laser physicists in the greater Corinth area, two of whom are appropriately cleared and readily available. So the answer to the second part of the question is "no," directing Harold to stop the inquiry.

Harold goes back to Mr. Wilbersnoot with the bad news that using Dr. Owensby on the laser widget program would not be possible.

MILO MERTZ



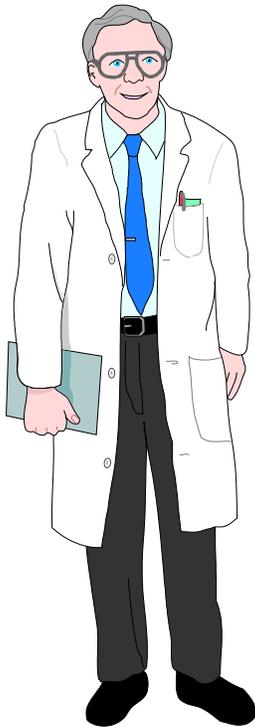
MILO MERTZ

Milo has been working as a mailroom clerk at the Electric Widget Company this summer. His supervisor is so impressed with Milo that he would like to promote him to a better paying job. This job would involve the handling of CONFIDENTIAL material. The supervisor comes to Harold to see if this promotion is possible. He tells Harold he has never seen a more highly motivated or hard-working 16-year-old.

Reading down the first page of the charts, Harold answers the questions affirmatively. The clearance is needed and at the level requested (CONFIDENTIAL).

He is directed from Chart 2 to Chart 4 and, since Milo is not holding a current clearance granted by DISCO, Harold goes to Chart 6. Since Milo has not held a clearance in the past, Harold jumps to chart 8 and from there to Chart 10, where the details of preparing the application for Milo's CONFIDENTIAL clearance are spelled out. He gets back to the supervisor with the good news that Milo can, indeed, be promoted.

EVERY IVORY



EVERY IVORY

Mr. Ivory has been designing widgets for EWC since it was first organized. Last year he decided it was time to retire to his cabin in Kalispel, Montana. After only four months in the woods, however, he found himself longing for the feel of a newly manufactured widget in his hands. He renounced the big sky country and returned to Corinth, New York, to ask for his old job back. Mr. Wilbersnoot was delighted and told Harold to get Mr. Ivory cleared right away.

Harold knows from checking the records that Mr. Ivory meets all of the general requirements.

Following the chart on page 5-4, he is directed to Chart 4. The first block asks whether or not the employee is currently holding a DISCO-granted clearance. Mr. Ivory is not.

Harold turns to Chart 6. Mr. Ivory has held a TOP SECRET PCL at EWC within the last 24 months, so Harold reads down to the last block, where he discovers that to reinstate Mr. Ivory's clearance, Harold will need to submit a DISCO Form 562. (DISCO will issue a new LOC for Mr. Ivory, and Harold will ensure that he is **denied access** to classified information until the electronic LOC arrives.)

Harold and Mr. Ivory complete the DISCO Form 562, and Harold transmits it, using EPSQ pleasing Mr. Wilbersnoot to no end.

REVIEWING FORMS

Be sure to review all forms for accuracy, completeness, and continuity with any other forms being submitted. You and the employee complete the SF 86 *jointly*. Remember to:

- Advise the employee that he or she may complete modules 17-42 of the SF 86 in private. The EPSQ software has a “masking” feature that allows the employee to use this option. If the paper SF 86 is used, detach part 2 and advise the employee to seal it in an envelope, and give the envelope and the other completed pages of the form to you. Staple these two portions together before mailing them to DISCO.
- ***Employees are urged to use the computerized version of the SF 86. Use of the EPSQ automatically eliminates most of the errors common to completed typed-entry forms. Paper submissions will cause significant delays in the processing of a PCL.***

EPSQ Hints and Tips

* EPSQ requires middle names to successfully validate. If subject does not know a middle name, enter UNK in the middle name field

* EPSQ users can navigate more easily in modules where multiple entries are listed. To move more quickly, you can click:

- F7 to add a New Entry
- F8 to go back to the Previous Entry
- F9 to go to the Next Entry
- F10 to go to the Previous Module
- F11 to go to the Next Module

*If you don't know a zip code, they can be easily found at www.usps.gov/lookups.htm. This is a website for the US Postal Service.

There are over 50 Frequently Asked Questions (FAQs) at the EPSQ webpage at www.dss.mil/epsq. Information about E-QIP is available @ www.opm.gov/e-qip.

COMPLETED SAMPLES OF FORMS

The following pages contain examples of EPSQ submissions.

DoD REQUEST FOR PERSONNEL SECURITY INVESTIGATION DD Form 1879

This is the form you use to request a TOP SECRET personnel security investigation and a Periodic Reinvestigation (TOP SECRET). It is also used to request a SECRET or CONFIDENTIAL LAA.

Probably the best rule on when to use the DD Form 1879 is to use it for any clearance action other than a SECRET or CONFIDENTIAL clearance.

The DD Form 1879 always requires an accompanying SF 86.

When using EPSQ, if the applicant chooses SSBI or Periodic Reinvestigation as the type of investigation, EPSQ defaults to the DD 1879 for security information. When the Subject chooses NAC or Secret PR, EPSQ defaults to the NAC Security Sheet. The NAC Security Sheet is the equivalent of Part 1, A-P, of the paper SF 86.

When using EPSQ to apply for an LAA (Limited Access Authorization) you must contact the DISCO International Team and obtain a dummy social security number by calling 614-692-2136 or e-mail: occ_intl@mail.dss.mil. REMEMBER that the application will be returned without action if the original government justification is not submitted to DISCO. DISCO will accept a fax to begin the LAA process but must have the **original document** to complete the investigation. The fax number for LAA justification letters is 614-827-1651. The mailing address for the original documentation is:

DISCO
Attn: International Team
2780 Airport Drive
Suite 400
Columbus, OH 43219-2268

Initial screen seen by Security Officer when filling out DD1879 in EPSQ.

EPSQ

Create Modify Validation Reports Communications Utilities Help Exit

Navigation

1. Addresses (DD1879)
Request Personnel Investigation - 'From' Address
999-00-0001 BENNETT, ANTHONY YIP

Organization Code 346346

Organization Code Type CAGE Commercial and Government Entity Code

Requestor File No. (opt.) Request Date 1999/08/22

Do you require advance notice of NAC results? (Y/N) N No

Request Organization COACH CLASS CORP.

Address Line 1 12 CONTRACTOR DRIVE

Address Line 2

City BORING

State MD Maryland

Country/Zip or FPC UNITED STATES 21234

Next

Previous

Delete

Remarks

Help

Exit

Enter 1st line of address of the organization requesting this investigation

QUESTIONNAIRE FOR NATIONAL SECURITY POSITIONS - SF 86

This is the form used to apply for access to classified information.

Before submitting a SF 86, be sure that the FSO reviews it for justification.

Be sure to validate the forms and make corrections as necessary.

The package you submit to DISCO should include:

For TOP SECRET clearances, SECRET and CONFIDENTIAL LAAs, and other actions requiring a Single Scope Background Investigation (SSBI):

- DD Form 1879
- SF 86
- FD Form 258, "Fingerprint Card" (1 signed card*)

For SECRET and CONFIDENTIAL clearances:

- SF 86
- NAC Security Sheet (in EPSQ only)
- FD Form 258, "Fingerprint Card" (1 signed card)

Fingerprint cards are required for initial clearance requests.

***NOTE:** Request advice from DISCO on the number of fingerprint cards required to process an LAA. (The number depends on the country involved.)

Initial screen seen by applicant when filling out SF 86 in EPSQ.

Navigation

1. Personal Information (SF86)

999-00-0001 BENNETT, ANTHONY YIP

First Name	Middle	Last	Suffix
ANTHONY	YIP	BENNETT	

Birth Date 1920/12/16

City PASSAIC

State NJ New Jersey

County PASSAIC

Country UNITED STATES

Sex M Male

Next

Previous

Delete

Remarks

Help

Exit

Enter your first name

Initial screen seen by Security Officer when filling out NAC Security sheet in EPSQ.

The screenshot shows a window titled "EPSQ" with a menu bar containing "Create", "Modify", "Validation", "Reports", "Communications", "Utilities", "Help", and "Exit". The main area is titled "Navigation" and contains the following text:

1. Addresses (NAC)
Forward This Request To...
900-62-0200 CHAINS, NEIL ANDREW

Below this, there are several input fields with labels and values:

- Name: DSS
- Address Line 1: PERSONNEL INVESTIGATIONS CENTER
- Address Line 2: P. O. BOX 28989
- City: BALTIMORE
- State/Zip: MD Maryland 21240-8989

To the right of these fields are five buttons: "Next", "Previous", "Delete", "Remarks", and "Exit". At the bottom of the form area, there is a prompt: "Enter the name of the organization where you should send this request".

When requesting a SECRET or CONFIDENTIAL clearance, using EPSQ, the FSO must complete the NAC Security Sheet (replaces Part 1, A-P on the paper SF 86).

PERSONNEL SECURITY CLEARANCE CHANGE NOTIFICATION - DISCO Form 562

When you report an employment termination use of the EPSQ is strongly recommended. **(See Chart 13, Page 5-30)**

A. CONCURRENT. A concurrent clearance applies when the employee already is a DISCO-cleared employee with another cleared contractor and requires a clearance at the same or lower level with your firm. ***The employee shall not have access until the LOC is issued.***

B. CONVERSION. Conversion applies when the person works or previously worked as a cleared employee for the Department of Defense, US military or another federal agency, such as the DOE or NRC. If the clearance was based on equivalent investigative requirements, it can be converted to a DISCO-granted clearance while the other clearance is active or within 24 months of the termination of the clearance. Note the following are DISCO equivalents of clearances issued by the Department of Energy (DOE) and the Nuclear Regulatory Commission (NRC):

- "Q" Clearance = TOP SECRET
- "L" Clearance = SECRET

Obtain a copy of DD Form 214 (if applicant is a former U.S military member) or a copy of SF 50 (if applicant was a US civilian employee). When using EPSQ, the DD 214 or SF 50 need not be sent to DISCO. However, maintain a copy in the employees file until the LOC is issued.

C. REINSTATEMENT. Reinstatement applies when the employee has no clearance, but has had a DISCO-granted clearance within the past 24 months and now requires a clearance at the same or lower level. The last investigation for clearance must have been completed not more than 5 years ago (TS) or 10 years ago (S). The last investigation must have met or exceeded the scope of the investigation required for the level of clearance that is to be reinstated— Single Scope Background Investigation (SSBI) for TOP SECRET clearance, or National Agency Check, Local Agency Check and Credit Check (NACLC) for SECRET clearance. If there is evidence of adverse information regarding the employee, attach a report of the information to the form.

D. MULTIPLE FACILITY TRANSFER. [Only when all PCLs **not** issued to HOF]

In REMARKS, enter:

- name, address and CAGE code of the facility to which the person is to be transferred.
- name and address of the submitting facility if different from information entered for name, address and zip code of employer.

I. DOWNGRADE. In REMARKS, enter "Downgrade without prejudice to (SECRET or CONFIDENTIAL)." To restore the former clearance level when needed, submit a new 562; mark **OTHER** block, and in REMARKS, enter "Upgrade to (TOP SECRET or SECRET)."

L. NAME CHANGE.

- In NAME OF EMPLOYEE, enter the person's former name exactly as shown on the LOC (or the SF 86 if the person is being processed for a clearance).

If all LOCs are issued to HOF/PMF:

- In REMARKS, enter name and address of the receiving HOF or PMF.

Initial screen seen by Security Officer when filling out DISCO Form 562 in EPSQ.

EPSQ

Create Modify Validation Reports Communications Utilities Help Exit

Navigation

1. Type of Action (DISCO562)

353-46-6554 TRUAX, THOMAS REGINALD Entry 1 of 1

Action Type **P Conversion**

Enter the reason why you are preparing this form

Chart 13

Clearance Termination

When is a PCL terminated?

Upon termination of employment
or
when the need for access to classified information presently or in the future is reasonably foreclosed.

How is a PCL terminated?

1. Complete DISCO Form 562.
2. Debrief employee. If the employee is a KMP, have him or her formally excluded from access to classified information via the board of directors meeting.
3. Submit DISCO Form 562 electronically. For KMP, also send a letter report, Change in KMPs along with a copy of the minutes of the board meeting at which the KMP was excluded from access to the DSS Field Office.

Can a terminated PCL be reactivated?

Reinstatement of a Terminated PCL

Terminated PCLs may be reinstated within 24 months when there is no known adverse information regarding the individual, the last investigation was not more than 5 years ago (TS) or 10 years ago (S), and the last investigation meets or exceeds the scope of the investigation required for the level of the PCL that is to be reinstated. Single Scope Background Investigation (SSBI) for TS or National Agency Check, Local Agency Check and Credit Check (NACLC) for S. To have the PCL reinstated, complete DISCO Form 562. Choose REINSTATEMENT. If adverse information is known regarding the individual, submit a report of the information to DISCO. Transmit the DISCO Form 562 to DISCO. **Deny the employee access until receipt of a new LOC.**

Procedures for Immigrant Alien LAA

Upon completion of the last contract for which access was authorized, terminate the LAA for the immigrant alien by submitting a DISCO Form 562 to DSS. If access is necessary under a new contract, submit an SF 86 to DSS along with the endorsement of the pertinent User Agency GCA (see chart 3). Deny the employee access until receipt of a new LOC from DISCO.

SAMPLE OF COMPLETED NAC SECURITY INFORMATION SHEET

SAMPLE OF COMPLETED NAC SECURITY INFORMATION SHEET

National Agency Check Security Information

Date: 1999/10/19

CHAINS

NEIL, ANDREW

EPSQ Version 2.1

Time: 14:34:14

SSN: 900-62-0200

Page: 1

1. Addresses

Forward This Request To:

DSS

PERSONNEL INVESTIGATIONS CENTER

P. O. BOX 28989

BALTIMORE, MD 21240-8989

RETURN RESULTS TO:

DISCO

2780 Airport Drive, Suite 400

Columbus, OH 43219-2268

Requester

Organization Code/Type E4T4TRG//CAGE

FROM:

DSS

244

ELKRIDGE LANDING RD

LINTHICUM, MD 21234

2. Type of Investigation

NAC - Industrial (3)

3. Local Files Check

YES Were the results of local files check favorable?

4. Current Status

What is the subject's current status? Consultant

5. Citizenship Verified

YES Was the subject's U.S. citizenship verified?

6. Reason for Request

Secret

Other

Remarks: Special project code r44445456

7. Investigation Validity Certification I certify that the information provided on this form is true to the best of my knowledge and that the above named individual has -he need for the indicated clearance to perform assigned duties.

Name of Certifier CASE
JUSTIN, LOUIS

Title of Certifier SECURITY MANAGER
Certifier's Phone 390490D

Certifier's Signature

Date

CERTIFICATION NOTICE

JUSTIN LOUIS CASE, SECURITY MANAGER, DSS, 244, ELKRIDGE LANDING RD, LINTHICUM, MD 21234 has certified to the Defense Security Service that NEIL ANDREW CHAINS has signed an Authority for Release of Information and Records authorizing any duly accredited representative of the Department of Defense (including those from the Defense Security Service) to obtain information relating to his/her activities. This Authority for Release of Information and Records will be maintained by DS3 until the security determination process has been completed.

An exact copy of the text of this Authority for Release of Information and Records, including all information provided on the form by NEIL ANDREW CHAINS (to include the name(s), date of birth, social security number, current home address, home telephone number, name signed on the release form, and date the release form was signed), is provided as an attachment to this notice and may be retained by the records repository or individual providing information concerning NEIL ANDREW CHAINS.

SAMPLE OF COMPLETED DISCO FORM 562 CLEARANCE CHANGE NOTIFICATION

EPSQ Version 2.1
O.M.B. No. 0704-0275
Time: 12:48:41

TRUAX

SSN: 353-46-6554

THOMAS, REGINALD

Page: 1

1. Type of Action

1. **Type of Change** P - Conversion
Separation Date 2003/05/30
Verifying Agency DEPARTMENT OF THE ARMY
PENTAGON
WASHINGTON, DC 20220

Did the subject receive an honorable discharge? Yes
NO Do you need to attach a DD214/SF50?

2. Personal Information

Name TRUAX
THOMAS, REGINALD
Maiden Name ****

DOB 1977/04/30 **POB** IRVINGTON, NJ
County ESSEX
Current Status
Citizenship UNITED STATES

3. Other Names

NO Was this subject known by any other names?

4. Employer Information

POLITENESS INC
244 ELKRIDGE LANDING RD
LINTHICUM, MD 21234
Phone Number 410 555 1333 **Cage Code** X4V345

5. Clearance Information

Level of Clearance Requested Top Secret
Current Clearance Information Top Secret
Date of Current Clearance 2001/11/08
Cleared By US ARMY

6. General Remarks

NO Do you have any remarks to enter regarding this change form?

7. Security Officer Information

I certify that the entries made above are true, complete, and correct to the best of my knowledge and belief.

Security Officer Name JACKSON
SAMUEL, V
Signature Date 2003/10/19

Security Officer's Signature

Date

SAMPLE OF COMPLETED SF 86 IN EPSQ

Office of Personnel Management
SECURITY CLEARANCE APPLICATION
Date: 1999/10/19
Standard Form 86, Sep. 95

EPSQ Version 2.1
O.M.B. No. 3206-0007
Time: 10:52:27

BENNETT
ANTHONY, YIP

SSN: 999-00-0001
Page: 1

1. Personal Information

Name BENNETT
ANTHONY, YIP
Birth Date 1920/12/16 Sex Male
Place Of Birth PASSAIC, NJ
County PASSAIC
UNITED STATES
Work/Day Phone 937-290-0880 Home/Evening Phone 937-372-0529
Height 5-11 Weight 219 Hair Color GRAY Eye Color BLUE

2. Other Names Used

YES Have you ever used or been known by another name?

FROM	TO	OTHER NAME
1. 1920/12/16	PRES	BENNETT TONY, YIP

3. Citizenship

Current Citizenship U.S. Citizen
Mother's Maiden Name GOOCH
MARY, GUIDA
Citizenship Type Born in the U.S.
NO Are you now or were you a dual citizen of the U.S. and another country?

4. Where You Have Lived

FROM	TO	ADDRESS
1. 1988/11/12	PRES	4 PALAMINO WAY FREDERICK, MD 21234

Person Who Knows You

NEWTON
WAYNE, FIG
7
PALAMINO WAY
LAS VEGAS, NV 89070
Phone 816-954-4952

NO Is this residence address hard to find?

5. Where You Went To School

NO Have you attended school beyond Junior High School within the last 10 years?
YES Have you attended school beyond high school? (If all education occurred more than 10 years ago, list most recent education beyond high school regardless of date.)

FROM	TO	TYPE/ADDRESS
1. 1988/10/20	1989/10/18	College/University/Military College WIGGINS COLLEGE BA COLLEGE LANE Award Date 2000/01/19 YORK, PA 17791

6. Your Employment Activities

FROM	TO	TYPE OF EMPLOYMENT
1998/01/01	PRES	Federal Contractor

Your Position/Title

Employer Name LYTE INC
Employer Phone 410 929 2929
Job Address 22 W. 58TH STREET
TOWSON, MD 89907
Supervisor's Name YERBY

6. Your Employment Activities (Continued)

EDGAR, T

Supervisor Phone 410 992 2211

NO Is the employer's address different from the job location address?

NoAns Is the supervisor's address different from the job location address?

2. 1994/02/23 1998/01/23 Other Federal Employment

Your Position/Title HEAD WAITER

Employer Name HEADACHES DEPT

Employer Phone 409438543

Job Address 12 E WATER STREET
BALTIMORE, MD 21234

Supervisor's Name LAMP
TOM, K

Supervisor Phone 47746

NO Is the employer's address different from the job location address?

NO Is the supervisor's address different from the job location address?

NO Were you in the Federal Civil Service prior to the last 10 years?

7. People Who Know You Well

FROM	TO	REFERENCE NAME/ADDRESS
1. 1984/10/04	PRES	REDDING VERN, QUINCY Home Address 45 TREEHOUSE WAY TOLEDO, OH 43260 Evening Phone 445-548-5444
2. 1990/11/13	PRES	RD-FE DONNY, Q Home Address 12322 RAT ROAD NIKE, RI 04345 Day Phone 547-708-7866
3. 1982/10/13	PRES	EAST WALLY, W Work Address 632 JAZZ LANE NEW ORLEANS, LA 65340 Day Phone 434 434 4344

8. Your Spouse

What is your current marital status? Never Married

9. Your Relatives and Associates

RELATIONSHIP	NAME/PLACE OF BIRTH
1. Mother	GOOCH MARY, GUIDA DOB 1902/12/13 POB UNITED STATES NO Is the family/associate you listed deceased? Current Address 33 BROWN STREET POCOMOKE, MD 21232 Country(ies) of Citizenship UNITED STATES
2. Father	BENNETT ALDO, YEDI DOB 1903/11/01 POB UNITED STATES NO Is the family/associate you listed deceased? Current Address 7 SURGERY ST

9. Your Relatives and Associates (Continued)

TAMPA, FL 39423
Country(ies) of Citizenship UNITED STATES

10. Citizenship of Your Relatives and Associates

RELATIONSHIP	NAME
--------------	------

11. Your Military History

NO Have you ever served in the military? (If yes, provide in chronological order your military history: begin with the most recent period and include Reserves, National Guard, Merchant Marines, and Foreign Military service.)

12. Your Foreign Activities - Property

NO Do you have any foreign property, business connections, or financial interests?

13. Your Foreign Activities - Employment

NO Are you now or have you ever been employed by or acted as a consultant for a foreign government, firm, or agency?

14. Your Foreign Activities - Contact with Foreign Government

NO Have you ever had any contact with a foreign government, its establishments (embassies or consulates), or its representatives, whether inside or outside the U.S., other than on official U.S. Government business? (Does not include routine visa applications and border crossing contacts.)

15. Your Foreign Activities - Passport

NO In the last 7 years, have you had an active passport that was issued by a foreign government?

16. Foreign Countries You Have Visited

NO Have you traveled outside the United States on other than official U.S. Government orders in the last 7 years? (Travel as a dependent or contractor must be listed.) Do not repeat travel covered in modules 4, 5, and 6.

17. Your Military Record

NO Have you ever received other than an honorable discharge from the military?

18. Your Selective Service Record

NO Are you a male born after December 31, 1959?

19. Your Medical Record

NO In the last 7 years, have you consulted a mental health professional (psychiatrist, psychologist, counselor, etc.) or have you consulted with another health care provider about a mental health related condition?

20. Your Employment Record

NO Has any of the following happened to you in the last 10 years?

- Fired from job
- Quit a job after being told you'd be fired
- Left a job by mutual agreement following allegations of misconduct
- Left a job by mutual agreement following allegations of

20. Your Employment Record (Continued)

unsatisfactory performance

- Left a job for other reason under unfavorable circumstances

21. Your Police Record - Felony Offenses

NO Have you ever been charged with or convicted of any felony offense?

(Include those under the Uniform Code of Military Justice.) For this item, report information regardless of whether the record in your case has been "sealed" or otherwise stricken from the record. The single exception to this requirement is for certain convictions under the Federal Controlled Substances Act for which the court issued an expungement order under the authority of 21 U.S.C. 844 or 18 U.S.C. 3607.

22. Your Police Record - Firearms/Explosives Offenses

NO Have you ever been charged with or convicted of a firearms or explosives offense? For this item, report information regardless of whether the record in your case has been "sealed" or otherwise stricken from the court record. The single exception to this requirement is for certain convictions under the Federal Controlled Substances Act for which the court issued an expungement order under the authority of 21 U.S.C. 844 or 18 U.S.C. 3607.

23. Your Police Record - Pending Charges

NO Are there currently any charges pending against you for any criminal offense? For this item, report information regardless of whether the record in your case has been "sealed" or otherwise stricken from the record. The single exception to this requirement is for certain convictions under the Federal Controlled Substances Act for which the court issued an expungement order under the authority of 21 U.S.C. 844 or 18 U.S.C. 3607.

24. Your Police Record - Alcohol/Drug Offenses

NO Have you ever been charged with or convicted of any offense(s) related to alcohol or drugs? For this item, report information regardless of whether the record in your case has been "sealed" or otherwise stricken from the record. The single exception to this requirement is for certain convictions under the Federal Controlled Substances Act for which the court issued an expungement order under the authority of 21 U.S.C. 844 or 18 U.S.C. 3607.

25. Your Police Record - Military Court

NO In the last 7 years, have you been subject to court martial or other disciplinary proceedings under the Uniform Code of Military Justice? (include non-judicial, Captain's mast, etc.) For this item, report information regardless of whether the record in your case has been "sealed" or otherwise stricken from the record. The single exception to this requirement is for certain convictions under the Federal Controlled Substances Act for which the court issued an expungement order under the authority of 21 U.S.C. 844 or 18 U.S.C. 3607.

26. Your Police Record - Other Offenses

NO In the last 7 years, have you been arrested for, charged with, or convicted of any offense(s) not listed in modules 21, 22, 23, 24, or 25? (Leave out traffic fines of less than \$150 unless the violation was alcohol or drug related.) For this item, report information regardless of whether the record in your case has been "sealed" or otherwise stricken from the record. The single exception to this requirement is for certain convictions under the Federal Controlled Substances Act for which the court

26. Your Police Record - Other Offenses (Continued)

issued an expungement order under the authority of 21 U.S.C. 844 or 18 U.S.C. 3607.

27. Your Use of Illegal Drugs and Drug Activity-Illegal Use of Drugs

NO Since the age of 16 or in the last 7 years, whichever is shorter, have you illegally used any controlled substance, for example, marijuana, cocaine, crack cocaine, hashish, narcotics (opium, morphine, codeine, heroin, etc.), amphetamines, depressants (barbiturates, methaqualone, tranquilizers, etc.), hallucinogenics (LSD, PCP, etc.), or prescription drugs?

28. Your Use of Illegal Drugs and Drug Activity-Use in Sensitive Positions

NO Have you EVER illegally used a controlled substance while employed as a law enforcement officer, prosecutor, or courtroom official; while possessing a security clearance; or while in a position directly and immediately affecting public safety?

29. Your Use of Illegal Drugs and Drug Activity-Drug Activity

NO In the last 7 years, have you been involved in the illegal purchase, manufacture, trafficking, production, transfer, shipping, receiving, or sale of any narcotic, depressant, stimulant, hallucinogen, or cannabis for your own intended profit or that of another?

30. Your Use of Alcohol

NO In the last 7 years has your use of alcoholic beverages (such as liquor, beer, wine) resulted in any alcohol-related treatment or counseling (such as for alcohol abuse or alcoholism)? Do not repeat information reported in module 21 on form SF86 (Your Medical Record).

31. Your Investigation Record - Investigations/Clearances Granted

NO Has the United States Government ever investigated your background and/or granted you a security clearance? (If you can't recall the investigating agency and/or the security clearance received, enter (Y)es and follow instructions in the help text for the fields on the next screen. If you can't recall whether you've been investigated or cleared, enter (N)o.)

32. Your Investigation Record - Clearance Actions

NO To your knowledge have you ever had a clearance or access authorization denied, suspended, or revoked, or have you ever been debarred from government employment? (Note: An administrative downgrade or termination a security clearance is not a revocation.)

33. Your Financial Record - Bankruptcy

NO In the last 7 years, have you filed a petition under any chapter of the bankruptcy code (to include Chapter 13)? of

34. Your Financial Record - Wage Garnishments

NO In the last 7 years, have you had your wages garnished for any reason?

35. Your Financial Record - Repossessions

NO In the last 7 years, have you had any property repossessed for any reason?

36. Your Financial Record - Tax Lien

NO In the last 7 years, have you had a lien placed against your property for failing to pay taxes or other debts?

37. Your Financial Record - Unpaid Judgements

YES In the last 7 years, have you had any judgements against you that have not been paid?

<u>DATE</u>	<u>AMOUNT/NAME ACTION OCCURRED UNDER</u>
1. 1994/05/22	709 RHANATIC PHIL, LEE

Court Name DISTRICT COURT
Address PHILADELPHIA, PA 17793

38. Your Financial Delinquencies - 180 Days

NO In the last 7 years, have you been over 180 days delinquent on any debt(s)?

39. Your Financial Delinquencies - 90 Days

NO Are you currently over 90 days delinquent on any debt(s)?

40. Public Record Civil Court Actions

NO In the last 7 years, have you been a party to any public record civil court actions not listed elsewhere on this form?

41. Your Association Record - Membership

NO Have you ever been an officer or a member or made a contribution to an organization dedicated to the violent overthrow of the United States Government and which engages in illegal activities to that end, knowing that the organization engages in such activities with the specific intent to further such activities?

42. Your Association Record - Activities

NO Have you ever knowingly engaged in any acts or activities designed to overthrow the United States Government by force?

43. General Remarks

NO Do you have any additional remarks to enter in your application?

CERTIFICATION BY PERSON COMPLETING FORM

My statements on this form, and any attachments to it, 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 can be punished by fine or imprisonment or both. (See section 1001 of title 18, United States Code).

Name BENNETT
ANTHONY, YIP
SSN 999-00-0001

Signature (Sign in ink)

Date

UNITED STATES OF AMERICA

Authorization for Release of *Information*

Carefully read this authorization to release information about you, then sign and date it in ink.

I Authorize any investigator, special agent, or other duly accredited representative of the authorized Federal agency conducting my background *investigation*, to obtain any information relating to my activities from individuals, schools, residential management agents, employers, criminal justice agencies, credit bureaus, consumer reporting agencies, collection agencies, retail business establishments, or other sources of information. This information may include, but is not limited to, my academic, residential, achievement, performance, attendance, disciplinary, employment history, criminal history record *information*, and financial and credit *information*. I authorize the Federal agency conducting my investigation to disclose the record of my background investigation to the requesting agency for the purpose of making a determination of suitability or eligibility for a security clearance.

I Understand that, for financial or lending institutions, medical *institutions*, hospitals, health care professionals, and other sources of *information*, a separate specific release will be needed, and I may be contacted for such a release at a later date. Where a separate release is requested for information relating to mental health treatment or counseling, the release will contain a list of the specific questions, relevant to the job description, which the doctor or therapist will be asked.

I Further Authorize any investigator, special agent, or other duly accredited representative of the U.S. Office of Personnel Management, the Federal Bureau of Investigation, the Department of Defense, the Defense Investigative Service, and any other authorized Federal agency, to request criminal record *information* about me from criminal justice agencies for the purpose of determining my eligibility for access to classified *information* and/or for *assignment* to, or retention in, a sensitive National Security position, in accordance with 5 U.S.C. 9101. I understand that I may request a copy of such records as may be available to me under the law.

I Authorize custodians of records and other sources of *information pertaining* to me to release such *information* upon request of the investigator, special agent, or other duly accredited representative of any Federal agency authorized above regardless of any previous agreement to the contrary.

I Understand that the information released by records custodians and sources of information is for official use by the Federal Government only for the purposes provided in this Standard Form 86, and that it may be redisclosed by the Government only as authorized by law.

Copies of this authorization that show my signature are as valid as the original release signed by me. This authorization is valid for five (5) years from the date signed or upon the *termination* of my affiliation with the Federal Government, whichever is sooner. Read, sign, and date the release on the next page if you answered "Yes" to question 21.

Signature (Sign in ink) SSN 999-00-0001

Date

Name BENNETT
ANTHONY, YIP
Other **Names Used** BENNETT
TONY, YIP
Address 4 PALAMINO WAY

FREDERICK, MD 21234
SSN 999-00-0001 **Home**
Phone 937-372-0529

Standard Form 86
Revised September 1995
I.S. Office of Personnel Management
CFR Parts 731, 732, and 736

Form approved:
O.M.B. No. 3206-0007
NSN 7540-00-634-4036
86-111

UNITED STATES OF AMERICA
AUTHORIZATION FOR RELEASE OF MEDICAL INFORMATION

(Carefully read this authorization to release information about you, then sign and date it in ink.)

Instructions for Completing this Release

This is a release for the investigator to ask your health practitioner(s) the three questions below concerning your mental health consultations. Your signature will allow the practitioner(s) to answer only these questions.

I am seeking assignment to or retention in a position with the Federal government which requires access to classified national security information or special nuclear information or material. As part of the clearance process, I hereby authorize the investigator, special agent, or duly accredited representative of the authorized Federal agency *conducting* my background investigation, to obtain the following *information* relating to my mental health consultations:

Does the person under investigation have a condition or treatment that could impair his/her judgement or reliability, particularly in the context of safeguarding classified national security information or special nuclear information or material?

If so, please describe the nature of the condition and the extent and duration of the impairment or treatment.

What is the prognosis?

I understand the information released pursuant to this release is for use by the Federal Government only for purposes provided in the Standard Form 86 and that it may be redisclosed by the Government only as authorized by law.

Copies of this authorization that show my signature are as valid as the original release signed by me. This authorization is valid for 1 year from the date signed or upon termination of my affiliation with the Federal Government, whichever is sooner.

Signature (Sign in ink) SSN 999-00-0001 Date

Name BENNETT
ANTHONY, YIP
Other Names Used BENNETT
TONY, YIP
Address 4 PALAMINO WAY

FREDERICK, MD 21234
SSN 999-00-0001 **Home Phone**
937-372-0529

* ----- *

2. Request For . . . Information

Request Type: Single Scope Background Investigation (SSBI)

3. Application Status

Select the highest level of classified material to which the subject of the investigation will have access: Top Secret
TS Billet Number: 112124

**4. Investigation Status Reason
for Access: OODEP**

5. Citizenship Verification

YES Was the subject's U.S. citizenship verified?
Document: Birth certificate

6. Files Verification

FILE VERIFIED	DATE	FINDING (FAV, NAV, NOR, UNF)
PERSONNEL	1999/10/10	FAV
MEDICAL	1999/10/11	FAV
SECURITY	1999/10/12	FAV
BASE/MILITARY POLICE	1999/10/14	NAV
PRE SCREENING INTERVIEW	1999/10/16	FAV
EMPLOYMENT	1999/04/21	FAV

7. Prior Investigations

Select the highest level of classified material to which the subject of the investigation will have access: Top Secret
TYPE Top Secret **DATE** 19900321 **REQ FILE NUMBER** 1028
AGENCY DIS

8. Title or Position of Subject

Remarks: Head Deal Maker

9. List of Enclosures **Remarks:** None

10. Reason for Access to Classified Material

Remarks: Will be viewing classified contract documents.

11. History of Government/Military Employment

How would you characterize the accuracy of the Government Employment and/or Military Service History indicated by the subject's form? Correct

12. General Remarks

13. Investigation Validity Certification

I certify that the information provided on this form is true to the best of my knowledge and that the above named individual has the need for the indicated clearance to perform assigned duties.

Name of Certifier REDMAN
EDWARD, T
Title of Certifier CERTIFIER
Certifier's Phone 3467 64634

13. Investigation Validity Certification (Continued)
Certifier's Signature

Date

14. Supervisor's Certification

The immediate supervisor is NOT aware of adverse information concerning the individual named within this form.

Immediate Supervisor EDWARDS
ERIC, W
Supervisor Title SUPERVISOR
Supervisor's Phone 3467457
Signature Date 1999/04/11

Supervisor's Signature

Date

CERTIFICATION NOTICE

EDWARD T REDMAN , CERTIFIER, DSS, 244, ELKRIDGE LANDING RD, LINTHICUM, MD 21234 has certified to the Defense Investigative Service that ANTHONY YIP BENNETT has signed an Authority for Release of Information and Records authorizing any duly accredited representative of the Department of Defense (including those from the Defense Investigative Service) to obtain information relating to his/her activities. This Authority for Release of Information and Records will be maintained by DSS until the security determination process has been completed.

An exact copy of the text of this Authority for Release of Information and Records, including all information provided on the form by ANTHONY YIP BENNETT (to include the name(s), date of birth, social security number, current home address, home telephone number, name signed on the release form, and date the release form was signed), is provided as an attachment to this notice and may be retained by the records repository or individual providing information concerning ANTHONY YIP BENNETT .

Industry Customers Can Now Fax Releases to DSS

DSS is now able to accept faxed releases from Industrial customers concurrent with the submission of EPSQs. Faxing the general releases makes them immediately available to our field investigators and facilitates initial investigative work as soon as the case is opened. You may begin faxing releases immediately. While faxing the release is optional, we strongly encourage you to utilize the service. Please be assured that to protect privacy information, only authorized DSS personnel will receive and process faxed releases.

Procedural Instructions for Faxing Releases to DSS

- Releases should be faxed at the same time investigative requests are transmitted via EPSQ to DSS. The toll-free number to fax your release(s) is **1-888-369-2812**.
- It is extremely important to use *only* the coversheet provided with these instructions when faxing releases. Please *do not* create your own coversheet(s), modify the coversheet provided **OR** fax release(s) without a coversheet. The coversheet furnished will be directly utilized by our automated scanning system to process the releases and has already been tested and approved for compatibility.
- Ensure that all releases are signed and reflect a legible social security number.
- Ensure that all coversheets are completely annotated.
- Please send **one coversheet** per applicant. If you are faxing multiple releases related to one applicant, only use one coversheet (i.e., do not create a separate coversheet for each release related to the same Subject).
- When sending releases on multiple applicants at once, please ensure that all coversheets and releases are faxed in order. Doing so is important for accountability in the automation process at DSS.
- It is not necessary to contact DSS subsequent to faxing releases to ensure that they have been received. If there was a problem with the fax transmission (i.e., a garbled fax or page(s) missing), DSS personnel will call the point of contact indicated on the coversheet.

IMPORTANT: Please do not mail releases subsequent to faxing them. Doing so will create duplicate entries and slow the process down.

Company/Command Name: _____

Address: _____

RELEASE FAX COVER SHEET

Date: _____

SUBJECT: _____

SSN: _____

Comment:

Defense Security Service
Records Management Group
FAX: 1-866-369-2812

The following release(s) attached:

_____ General Release(s)

_____ Medical Release(s)

_____ Other

If the release(s) are not complete/legible or if there are transmission problems,
please contact:

Name _____

Phone/Cell Phone _____

This cover sheet is Page 1 of _____ pages.

WARNING

Information attached is U.S. Government Property. If you are not the intended recipient of this information, disclosure, reproduction, distribution, or use of this information is prohibited (18.U.S.C. 641). Please notify the originator or the local DSS Office immediately to arrange for proper disposition.

FOR OFFICIAL USE ONLY

SUMMARY

Based on the status of the applicant and on the level of access required, various forms and other documents are submitted to DISCO to apply for industrial personnel security clearances (PCLs) or limited access authorizations (LAAs). PCLs are granted by DISCO at the TOP SECRET, SECRET, or CONFIDENTIAL level to US citizens only. LAAs may be granted by DISCO at the SECRET or CONFIDENTIAL level to immigrant aliens and foreign nationals. Application for an initial TOP SECRET clearance is by submission of SF 86, DD Form 1879, and FD Form 258 (fingerprint card) to DISCO. These forms are also submitted for any level of clearance when the applicant is a representative of a foreign interest (RFI), or the applicant is an immigrant alien or foreign national (LAA applicant). Application for an initial SECRET or CONFIDENTIAL clearance is by submission of SF 86 and FD Form 258 to DISCO. FSOs must ensure that PCL or LAA applications are strictly limited to the minimum required for performance of the facility's classified contract(s).

FSOs and employees must use the EPSQ Version 2.2 software for all actions which require completion of the SF 86, DD Form 1879 and DISCO Form 562. This **free** software can be downloaded from the DSS website – www.dss.mil. EPSQ software will be replaced sometime in 2004 by E-QIP software. Information about E-QIP software is available at www.opm.gov/e-qip.

Besides initial clearance actions, the NISPOM provides for concurrent clearances, clearance transfers within a multiple-facility organization (MFO) when an alternative to issuing all clearances to the Home Office Facility (HOF) has been approved, clearance reinstatements, and clearance

conversions. All of these actions require the submission of DISCO Form 562 to DISCO.

The FSO should act to have clearances that are no longer required terminated by debriefing the employee and notifying DISCO of the action by sending a DISCO Form 562.

Introduction of the JPAS system in 2004 will significantly change the procedures presented in this lesson.

5 - Review Exercises

Complete the following exercises for review and practice.

Multiple-choice questions may have one or more correct choices.



Answer the first seven questions using the charts found in this lesson.

1. Roberta Baloon is cleared SECRET at EWS. She works as a service person on classified jobs at Air Force sites. Getting Roberta cleared was a relatively simple matter. She's a US citizen with no foreign connections and no problems of any kind in her background.

What forms did Harriet need to prepare for the clearance application?

2. When Wanda Fishtank was made the FSO at EWS, she only held the post for two weeks, she had to be cleared at the level of EWS's facility clearance.

What forms did she use?

3. Mr. Wilbersnoot has recommended Ozbak Pleebo, an immigrant alien from Freedonia, for a CONFIDENTIAL LAA. Ozbak is one of the few people in this country capable of doing extremely detailed repair work on a certain classified widget, and the others are unavailable to perform on the repair contract.

What should she do to obtain an LAA for Ozbak? _____

4. Jimbo Duggins left EWS for a try at freelance widget repair. This endeavor did not prove as profitable as he had hoped and he returned to the economic security of his old job before eight months had passed. He had held a SECRET clearance before leaving and required it again upon his return.

What form did Harriet submit to reinstate his clearance?_____.

5. Monica Zilla is a seventeen year old whiz kid who graduated last year from M.I.T. Gizmo Corporation wants her on their TOP SECRET research project.

Can she be an applicant for a TOP SECRET clearance? _____.

6. Jimbo Duggins, having returned to his old job at EWS, has an opportunity to earn additional income by working evenings as a security guard at Digital Widgets, Inc. (DWI). This second job also requires a SECRET security clearance.

What form has to be submitted to allow Jimbo to hold a concurrent clearance?_____.

7. Felicia Picklesby worked as a civilian for the Army, grade GS-9, until her retirement five months ago. Now she's going to work as a government contract specialist at Digital Widgets (DW). She was cleared SECRET during her entire government career and will require a SECRET clearance at DW.

What can be done to convert her prior clearance?_____

8. If you do not know someone's middle name leave it blank.

True False.

9. FD Form 258, Fingerprint Card, is submitted with SF 86 for an initial clearance.

True False.

10. The cause of the most significant delays in DISCO's processing of Personnel Security Questionnaires is:

- a. failure to submit fingerprint cards with application.
- b. failure of the applicant to complete the signature block.
- c. failure to use EPSQ
- d. illegible forms.

11. Duncan Undersides, a serviceman cleared SECRET at EWS, doesn't require his clearance any longer. He still works for EWS, but not on classified projects.

After Harriet has debriefed Duncan, what form does she use to notify DISCO of the termination of his security clearance?

12. Harriet may apply to have Duncan's clearance reinstated if he again requires it within _____ months.

13. Match the form(s) that are typically used in applying for the level of clearance indicated or in taking the clearance action described.

_____ Clearance/Clearance Action	Form
_____ CONFIDENTIAL clearance	
_____ Transfer within a multiple facility organization *	a. SF 86
_____ SECRET Clearance	b. FD Form 258
_____ Conversion of a prior military clearance within 24 months	c. DISCO Form 562
_____ Reinstatement of a clearance that was terminated less than 24 months ago	d. SF 50
_____ TOP SECRET Clearance	e. DD Form 1879
_____ Concurrent Clearance	f. DD Form 214
_____ Clearance Termination	h. Electronic Letter of Consent
_____ Conversion of a prior civilian clearance within 24 months	

*When an alternative arrangement approved so that all PCLs are **not** issued to HOF.

14. What does the acronym JPAS stand for and what current administrative security actions will JPAS replace? _____

5- Solutions & References



1. Harriet transmitted the SF 86 using EPSQ and FD Form 258 (fingerprint card) for Roberta to PIC. (Charts 1, 2, 8, & 10) (Pgs. 5-4, 5-5, 5-11, & 5-13)
2. Since EWS's facility clearance is at the SECRET level, she transmitted the SF 86 using EPSQ and mailed the FD Form 258 to PIC. (pgs. 5-2 & 5-3) (Charts 1 & 10)
3. She must ensure that all requirements of 2-210, NISPOM are met. Then she should transmit the SF 86, DD Form 1879, mail the FD Form 258 to PIC, and mail the original User Agency (GCA) endorsement and any other supporting documentation to DISCO. (Pg 5-5 & 5-6) (Charts 2, & 3)
4. DISCO Form 562. (chart 6) (Pg. 5-9)
5. Yes, there is no minimum age requirement for a clearance. (charts 1,2,8 & 9) Pgs. 5-4,5-5, 5-11,5-12 & 5-19)
6. DISCO Form 562. (chart 4) (Pg. 5-7)
7. Transmit DISCO Form 562 to DSS maintain a copy of the SF 50. (Chart 7) (Pg. 5-10)
8. False. (Pg. 5-21)
9. True.(Charts 9 & 10) (Pgs. 5-12 & 13)
10. c. (Pg. 5-21)
11. Harriet will transmit a DISCO Form 562 to DSS. (chart 13 (Pg. 5-30)

12. 24. Should Duncan again need his clearance within 24 months of the termination, it can be reinstated using a DISCO Form 562, provided there is no adverse information. (Chart 6)

13. a, b CONFIDENTIAL clearance
 c Transfer within a multiple facility organization
 a, b, SECRET clearance
 c, f Conversion of military clearance
 c Reinstatement of a SECRET clearance
 a, b, e TOP SECRET clearance
 c Concurrent clearance
 c Clearance termination
 c, d Conversion of civilian clearance

(Charts, 1 & 7) Pages 5-4 & 5-10.

14. The acronym JPAS stands for, Joint Personnel Adjudication System. JPAS is the system of the future that will handle all transactions such as, terminations, PCL upgrades, downgrades, reinstatements and maintaining non-disclosure signature dates. JPAS will be used extensively by contractors participating in the National Industrial Security Program (NISP). (Page 5-1, and DoD ISL 02L-1, dated 22 April 2002)