INTELLIGENCE COMMUNITY POLICY GUIDANCE

NUMBER 704.1

PERSONNEL SECURITY INVESTIGATIVE STANDARDS AND PROCEDURES GOVERNING ELIGIBILITY FOR ACCESS TO SENSITIVE COMPARTMENTED INFORMATION AND OTHER CONTROLLED ACCESS PROGRAM INFORMATION

(EFFECTIVE: 02 OCTOBER 2008)

A. AUTHORITY: The National Security Act of 1947, as amended; the Counterintelligence Enhancement Act of 2002, as amended; Executive Order (EO) 12333, as amended; EO 12958, as amended; EO 12968, EO 13355, and other applicable provisions of law.

B. APPLICABILITY: This directive applies to the Intelligence Community (IC), as defined by the National Security Act of 1947, as amended; and other departments or agencies that may be designated by the President, or designated jointly by the Director of National Intelligence (DNI), and the head of the department or agency concerned, as an element of the IC or those government entities designated to determine eligibility for access to Sensitive Compartmented Information (SCI) and other Controlled Access Program information.

C. SCOPE: The following investigative standards shall be used as the basis for conducting: National Agency Check with Local Agency Checks and Credit Check (NACLC); Single Scope Background Investigations (SSBI), to include access to SCI and other Controlled Access Programs, described herein, and periodic reinvestigations (PR). NACLCs, SSBIs, and PRs shall be conducted in a comprehensive manner to collect and develop complete information, both favorable and unfavorable, from applicable sources. Sources may include federal and commercial databases, other data repositories, and knowledgeable individuals. Investigations shall employ the "whole person concept" and shall be the basis for evaluating individual backgrounds and granting initial or continued access to classified national intelligence.

D. ALL SOURCE COLLECTION

1. Subjects interviewed shall be advised of the purpose of the investigation and their right to privacy under the provisions of the Privacy Act of 1974, unless otherwise waived. The investigator shall strive to develop trust and rapport with the source to achieve a high level of

cooperation. The source's full name, identifying data, contact information, and relationship to the subject shall be included in the investigative report. To the extent possible, additional origins for potential information shall be developed from each source interviewed. Interviews shall be conducted privately and in person. Telephonic or video-teleconference interviews may be conducted only when exigent circumstances dictate. The investigative report shall include reasons for conducting such interviews.

2. In addition to relevant indices checks, a sufficient number of listed and developed references shall be interviewed to address all areas of investigative coverage. All relevant background information shall be verified to definitively determine and assess a subject's unquestioned suitability for access to classified national security information. These relevant traits include, but are not limited to: unquestionable loyalty to the United States (U.S.); strength of character, reliability, judgment, and trustworthiness. The investigative report shall also include information concerning any personal animosity or bias that a source demonstrates toward the subject, and any questionable behavior on the part of the subject.

E. INVESTIGATIVE STANDARDS

1. Background investigations shall be conducted in accordance with one of the three following investigative protocols:

a. Standard A: Shall be used for all initial investigations and periodic reinvestigations for "L" access authorizations, CONFIDENTIAL, SECRET, and SECRET-level Controlled Access Programs.

b. Standard B: Shall be used for initial investigations for "Q" access, TOP SECRET, SCI, and TOP SECRET-level Controlled Access Programs.

c. Standard C: Shall be used for all PRs for "Q" access, TOP SECRET, SCI, and TOP SECRET-level Controlled Access Programs.

2. The following Decision Tables summarize the protocol for initial and periodic investigations:

DECISION TABLES

TABLE 1: INVESTIGATION REQUIREMENTS

STANDARD	ACCESS LEVEL REQUIRED	INVESTIGATION REQUIRED
A	CONFIDENTIAL; SECRET; "L" *	NACLC **
B	TOP SECRET, SCI; "Q" ***	SSBI ***
C		SSBI-PR

* Under Investigative Standards and Adjudicative Guidelines issued pursuant to EO 12968, Department of Energy "Q" and "L" clearance investigative requirements are equivalent to those required for TOP SECRET and SECRET, respectively.

** National Agency Check with Local Agency Checks and Credit Checks

*** Single Scope Background Investigation

TABLE 2: REINVESTIGATION REQUIREMENTS

ACCESS LEVEL REQUIRED	AGE OF THE INVESTIGATION	TYPE REQUIRED DUE TO BREAK IN SERVICE OF	
		Less than (<) 24 months	More than (>) 24 months
CONFIDENTIAL	< 15 years	None	NACLC
	>15 years	NACLC	
SECRET; "L"	< 10 years	None	NACLC
	>10 years	NACLC	
TOP SECRET, SCI; "Q"	< 5 years	None	SSBI-PR
	>5 years	SSBI-PR	

F. INVESTIGATIVE COVERAGE

1. Subject Interview: (Standards B and C): Subjects shall be interviewed, preferably at the outset of the investigation, to validate and supplement the data contained in the subject's Standard Form 86 (SF 86), "Questionnaire for National Security Positions," and to clarify or collect additional information relevant to the subject's background, character, reliability, judgment, and trustworthiness. Additional subject interviews shall be conducted as needed. Sworn statements and other declarations may be taken to assist in resolving issues.

2. Citizenship: (Standards A, B and C): The U.S. citizenship of any subject requiring access to national intelligence information shall be verified. United States citizenship for subjects born abroad shall be verified directly from the appropriate registration authority. Only the DNI or designee may waive the U.S. citizenship requirement for the subject. The citizenship of immediate family members shall also be verified.

3. Date and Place of Birth: (Standards A and B): The date and place of birth of any subject requiring access to national intelligence information shall be verified through appropriate indices checks. If this information was not verified in any previous investigation, or when any discrepancy exists, a record check of the Bureau of Vital Statistics shall be conducted.

4. Education: (Standards B and C): All degrees and diplomas shall be verified, to include the most recent attendance at any educational institution. If education is a primary activity in the most recent three years, interviews with individuals having direct knowledge of subject's involvement shall be conducted.

5. Employment: (Standards B and C): All employment during the most recent seven years for Standard B, or since the date of the last investigation for Standard C shall be verified. Regardless of the applicable Standard, supervisors and coworkers at each employment of six months or longer shall be interviewed. All periods of unemployment exceeding 60 days shall be corroborated through records and sources. All Federal and military service, to include discharge type, shall be verified. All service performed within one branch of the armed forces will be considered as one employment, regardless of multiple assignments.

6. Financial Status: (Standards B and C): Verification of a subject's financial status shall include credit bureau checks and shall cover all locations where a subject has resided, been employed, and/or attended school for six months or longer during the most recent seven years or since the date of the last investigation.

7. Former Spouse: (Standards B and C): Interviews with former spouse(s) will be conducted if the divorce occurred within the 10-year time frame for an initial investigation or since the date of the latest investigation.

8. Forms Submittal: (Standards A, B, and C): A completed SF 86 or equivalent that is current within 90 days, to include but not limited to applicable releases and supporting documentation, is required. Fingerprint cards will be required only if there has not been a previous valid technical check of Federal Bureau of Investigation indices.

9. Local Agency Checks:

a. (Standard A): Checks of criminal history records of law enforcement agencies in all jurisdictions for the most recent five years where the subject has lived, worked, and attended school, for six months or more, including the current residence.

b. (Standard B): Check of criminal history records of law enforcement agencies in all jurisdictions for the most recent 10 years, where the subject has resided, been employed, or attended school, for 6 months or more, including the current residence.

c. (Standard C): Checks of criminal history records of law enforcement agencies in all jurisdictions, for the period covered by the reinvestigation, where the subject has resided, has been employed, or has attended school, for six months or more, including the current residence.

10. National Agency Checks:

a. (Standards A, B and C): At a minimum, the indices of the following U.S. Government organizations shall be queried:

- Central Intelligence Agency;
- Department of Defense Clearance and Investigations Index;
- Department of Defense Joint Personnel Adjudication System;
- Director of National Intelligence Scattered Castles Database;
- Federal Bureau of Investigation;
- Office of Personnel Management (Security/Suitability Investigations Index); and
- Depending on the subject's background, other U.S. Government, commercial or private organizations, and databases may be queried.

b. (Standards A, B and C): The indices of the following U.S. Government organizations shall be queried as applicable to the individual's background, including verification of relevant immigration records:

- Department of Homeland Security;
- Department of State; and
- Director of National Intelligence Signal Flag Database.

c. (Standard B and C): National Agency Checks, without fingerprint cards, shall be completed for spouses or cohabitants (if applicable) except if already completed in conjunction with a previous investigation or reinvestigation.

11. Neighborhoods:

a. (Standard B): Verification of all residences for the most recent three years, through a minimum of two interviews with neighbors and records reviews.

b. (Standard C): Confirmation of current residence regardless of length of residency. Interviews of a minimum of two neighbors in the vicinity of the subject's most recent residence of six months or more, since the date of the last investigation.

12. Public Records:

(Standard A, B and C): Verification of divorces, bankruptcies and other civil and criminal court actions as part of an initial investigation or since the date of the last reinvestigation.

13. References:

a. (Standard B): Interviews shall be conducted with no less than four character references, at least two of whom are developed (not listed by the subject). At least two of the references shall have familiarity with the subject in social settings. Interviews should collectively span at least the last seven years.

b. (Standard C): Interviews shall be conducted with no less than two character references, at least one of whom is a developed reference. If possible, both should be familiar with the subject in social settings. Interviews should collectively span the entire period of the reinvestigation. As appropriate, additional interviews may also be conducted with cohabitants and relatives.

14. U.S. Department of Treasury's Financial Database:

(Standards A, B, and C): Agencies may request that the Department of Treasury search automated databases consisting of reports of currency transactions by financial institutions, international transportation of currency or monetary instruments, foreign bank and financial accounts, and transactions under $10,000 that are reported as possible money laundering violations.

G. INVESTIGATIVE ELEMENTS

1. References: Solicited information from all listed or developed references and neighbors shall include, but are not limited to, the subject's:

- loyalty to the U.S.;
- family, citizenship, education, employment, residence history, and military service;
- reputation, character, honesty, trustworthiness, integrity, discretion, reliability, judgment, and temperament;
- financial problems or unexplained affluence;
- outside activities;
- psychological conditions;
- alcohol consumption;
- involvement with illegal drugs or abuse of prescription or over-the-counter drugs;
- handling of protected information;
- criminal activity, legal issues or problems with the police or courts;
- foreign travel; and
- close and/or continuing association with foreign nationals.

2. Employers: Employment verification shall consist of record reviews and interviews with the subject's immediate supervisor(s), coworker(s), and others with whom there has been professional association. Covered topics include, but are not limited to, the subject's:

- reputation for loyalty, reliability, and trustworthiness for U.S. Government positions;

- reputation, character, honesty, integrity, discretion, judgment, and temperament;
- observance of organization policies, procedures and regulations;
- safeguarding of an employer's proprietary or sensitive information;
- financial problems or unexplained affluence;
- alcohol consumption;
- involvement with illegal drugs or abuse of prescription or over-the-counter drugs;
- criminal activity, legal issues or problems with the police or courts;
- eligibility for re-hire if no longer employed by the company;
- handling of protected information;
- foreign travel; and
- close and/or continuing association with foreign nationals.

3. Subject Interview: Subjects shall be interviewed, preferably at the start of the investigation, to validate and supplement the data contained in the subject's SF 86, to clarify or collect additional information relevant to the subject's background, loyalty, reliability, and trustworthiness, to meet adjudicative guidelines as described in Intelligence Community Policy Guidance (ICPG) 704.2 and expand on any derogatory information provided in the application or other sources. In seeking clarity on derogatory information, the questioning shall include, but not be limited to, the following factors:

- nature, extent, and seriousness of the conduct;
- circumstances surrounding the conduct to include knowledgeable participation;
- frequency and date(s) of the conduct;
- subject's age and maturity at the time of the conduct;
- extent to which participation is voluntary;
- presence or absence of rehabilitation and other permanent behavioral changes;
- motivation for the conduct;
- potential pressure, coercion, exploitation or duress;
- likelihood of continuation or recurrence; and
- identification of others who could provide additional information.

H. TIME PERIODS OF INVESTIGATIVE COVERAGE:

The period of coverage of an investigation is depicted in Table 3. The standards specify periods of investigative coverage, e.g., five years, ten years. If the subject's eighteenth birthday falls within the period of coverage, the investigation shall cover the period back to the eighteenth birthday. Regardless of when the eighteenth birthday falls within the specified period of coverage, no investigation shall cover less than two years. In the event derogatory information is discovered, the period of an investigation may be expanded.

TABLE 3: PERIODS OF INVESTIGATIVE COVERAGE

Age of Subject	Standard A	Standard B	Standard C
Older than 25	5 years	10 years	Since last SSBI or PR
25 or younger	5 years or since age 18, 2-year minimum	Since age 18, 2-year minimum	Since last SSBI or PR

Any investigation, regardless of protocol applied, should be expanded in order to resolve issues to include, but not be limited to, interviews with cohabitants, relatives, psychiatrists, psychologists, medical professionals, law enforcement professionals, security and counterintelligence specialists, and others who may provide information to resolve issues.

I. INVESTIGATION TRAINING

All investigative personnel shall receive initial and ongoing training to include:

- investigation techniques;
- interviewing and fact finding;
- counterintelligence issues;
- personnel security research;
- adjudication processes and standards;
- sources of information for security investigations; and
- legal issues.

J. INVESTIGATION QUALITY CONTROL

1. Investigative agency supervisors shall ensure that investigations are professionally conducted, with complete coverage, quality interviews, accurate reporting and timely case closures.

2. Quality-control measures shall also be used to ensure that investigative techniques have been employed, and that prescribed policies and procedures were followed.

3. Quality control methods may include, but are not limited to, accompanying investigators during the investigation or contacting sources via written correspondence or telephone contact to obtain feedback.

K. PERIODIC REINVESTIGATIONS

1. Periodic reinvestigations shall be initiated no later than five years from the date of the previous investigation for TOP SECRET or SCI access, ten years for SECRET and fifteen years for CONFIDENTIAL clearances.

2. Reinvestigations may be initiated within the prescribed time frames randomly or to resolve personnel security concerns.

3. Phased Periodic Reinvestigation: Heads of IC Elements may, in their discretion, exclude neighborhood and references requirements from the reinvestigation when no information of security concern is developed by the other investigative sources identified in Paragraph F. If these sources yield information of security concern, the references, and neighborhood requirements must be met. Also, requirements may be expanded to include interviews with anyone able to provide information or to resolve issues. Interviewees may include, but are not limited to, cohabitants, relatives, psychiatrists, psychologists, other medical professionals, and law enforcement professionals.

L. PROTOCOLS FOR TEMPORARY ACCESS APPROVAL(S)

1. Heads of IC Elements or designees may approve temporary access before the investigation and adjudication processes are completed during periods of national emergency; hostilities involving U.S. personnel; or in exceptional circumstances when official functions must be performed pursuant to EO 12968. Concurrently, the background investigations and adjudications shall be conducted as expeditiously as possible.

2. Heads of IC Elements or designees shall ensure that subjects granted temporary access approvals are limited in exposure to classified national intelligence and indoctrinated only to the level necessary to perform authorized functions.

3. Temporary access approvals shall remain valid until the emergency, hostilities, or exceptional circumstance has abated or the access is rescinded. In any case, temporary accesses shall not exceed one year. They shall be valid only with the granting organization and may be revoked or suspended at any time if unfavorable information is received.

- Temporary Approvals for CONFIDENTIAL, SECRET and "L" Access: Approvals require favorable reviews of completed SF 86 packets by the adjudicating authorities; completion of subject interviews by qualified investigators; and the initiation of expedited NACLCs.

- Temporary Approvals for TOP SECRET, SCI and "Q" Access (for individuals without a clearance or with a clearance that does not meet the investigative protocols previously set forth): Approvals require favorable reviews of completed SF 86 packets by the adjudicating authorities; completion of subject interviews by qualified investigators; completion of National Agency Checks; and the initiation of expedited SSBIs.

4. All temporary access approvals shall follow the previously presented investigative protocols. However, Heads of IC Elements may establish, with DNI approval, additional but non-duplicative requirements based on unique mission objectives. Without such circumstances, the standards and limitations for background investigations developed and specified in Section 2.4(d), 3.2(b), and 3.3 of EO 12968 shall not be exceeded.

5. Certifications regarding a subject with temporary access approvals shall explicitly emphasize their temporary nature. Other organizations, in exceptional circumstances, may agree to accept these temporary access approvals. Temporary access approvals at any level shall be so identified in the Scattered Castles database.

M. EFFECTIVE DATE: This ICPG is effective on the date of signature.

David R. Shedd

Deputy Director of National Intelligence for
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Date

APPENDIX A – ACRONYMS

ICPG 704.1 -- PERSONNEL SECURITY INVESTIGATIVE STANDARDS AND PROCEDURES GOVERNING ELIGIBILITY FOR ACCESS TO SENSITIVE COMPARTMENTED INFORMATION AND OTHER CONTROLLED ACCESS PROGRAM INFORMATION

IC	Intelligence Community
DNI	Director of National Intelligence
EO	Executive Order
ICPG	Intelligence Community Policy Guidance
NACLC	National Agency Check with Local Agency Checks and Credit Check
PR	Periodic Reinvestigation
SCI	Sensitive Compartmented Information
SSBI	Single Scope Background Investigation
SF 86	Standard Form 86