



DEPARTMENT OF THE NAVY  
OFFICE OF THE CHIEF OF NAVAL OPERATIONS  
WASHINGTON, DC 20350-2000

IN REPLY REFER TO

5520  
Ser 09N2/OU532217  
MAY 12 2000

From: Chief of Naval Operations

Subj: PERSONNEL SECURITY CLEARANCE INVESTIGATIONS

Ref: (a) ASD (C3I) memo 14 Jan 2000 (NOTAL)  
(b) CNO (N09N2) memo 5520 Ser 09N2/9U532486 of 19 Nov 99  
(c) SECNAVINST 5510.30A  
(d) CNO msg dtg 062243Z OCT 99  
(e) Navy Department Supplement to  
DoD 5105.21-M-1(NOTAL)

Encl: (1) Billing Codes  
(2) ~~Revised Interim Clearance Procedures~~ OBE  
(3) ~~DCII Clearance Eligibility Codes~~ OBE

1. Reference (a) revised the billing codes forwarded by reference (b) for personnel security clearance investigations requests submitted to the Office of Personnel Management (OPM). Effective immediately, the "Agency Use" block "N" of the Standard Form 86 (SF-86) (or of the supplemental form to the paper Electronic Personnel Security Questionnaire (EPSQ)) will be completed per enclosure (1). In order to expedite compliance with these guidelines, please distribute this memorandum and its' enclosures to your subordinate commands or refer your subordinate commands to our web site at [www.navysecurity.navy.mil](http://www.navysecurity.navy.mil).

2. We note a marked increase in the need to grant interim security clearances while awaiting completion of personnel security investigations requested from the Defense Security Service (DSS). We are also aware of difficulties in tracing electronically submitted EPSQ's at DSS. Enclosure (2) is provided to facilitate reference (c) procedures for granting interim security clearance and to assist in future tracer actions.

3. When an investigation is in a pending status and the subject is released from active duty, resigns, or when circumstances change that negate the need for the investigation, the command will notify DSS or OPM accordingly. The investigative agency will cancel the investigation and notify the Department of the Navy Central Adjudication Facility (DON CAF). The DON CAF will ensure that commands are notified when the cancellation is effective. Commands noting improper or unauthorized case cancellations will notify CNO (N09N2). ✓

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4. To assist in tracking personnel security investigations and clearances, ~~commands are encouraged to request "read-only" access to the Defense Clearance and Investigations Index (DCII).~~ Reference (c), Appendix E provides DCII request procedures. Enclosure (3) provides the DCII codes for clearance eligibility to support local access determinations. The complete list of DCII data codes is available on the CNO (N09N2) web site at [www.navysecurity.navy.mil](http://www.navysecurity.navy.mil).

OBE  
X

5. There are indications that some commands are not appropriately identifying personnel for reinvestigation as directed by reference (d). Reinvestigations are requested to maintain continued access to classified information. As provided by reference (c), paragraph 8-7, reinvestigations are not required to maintain clearance eligibility for individuals assigned to specified ratings unless the current assignment requires access to classified information. Military personnel in intelligence or cryptologic ratings, MOS's or designators are governed by reference (e) requirements for reinvestigation.

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6. The CNO (N09N2) point of contact for this matter is Mrs. Mary Anderson, who can be reached at (202) 433-8854 or DSN 288-8854, email: [manderso@ncis.navy.mil](mailto:manderso@ncis.navy.mil).



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CINCLANTFLT  
CINCPACFLT  
CINCUSNAVEUR  
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COMNAVSEASYS  
COMNAVFACENGCOM  
COMSPAWARSSYS  
COMNAVSPACECOM  
COMNAVSECGRU  
COMMSC  
COMMINWARCOM  
COMNAVRESFOR  
COMNAVOCEANCOM

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COMNAVCOMTELCOM

COMNAVPERSCOM

CNET

CNR

CMDTNDW

CMC (AR)

DIRSSP

DIRNCIS

COM, ONI

DIRNAVIPO

NJAG

SUPTUSNA

SUPTNAVPGSCOL

PRESNAVWARCOL

DIR, DON CAF

## OPM BILLING CODES

When requesting the following type of Investigation from OPM:	<b>USE THE FOLLOWING BILLING CODES:</b>	
ANACI  NACI *	NAVY COMMANDS WILL ENTER:  DOD-NAVY	MARINE CORPS COMMANDS WILL ENTER:  DOD-M C
NAC NACL C SSBI SSBI-PR SII RSI	<del>                     NAVY AND MARINE CORPS COMMANDS WILL ENTER:                       DSS - CIVL                 </del>	

\* NACI'S for Non-Appropriated Child Care Workers will be billed to requesting facilities as agreed with OPM. Contact OPM at (724) 494-5612 to determine billing code.

Encl (1)

## Revised Interim Clearance Procedures

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To facilitate the SECNAVINST 5510.30A, paragraph 8-5 procedures for granting interim security clearance and to assist in future tracer actions, the following procedures are provided:

1. Commands will maintain a paper copy of electronically submitted Electronic Personnel Security Questionnaires (EPSQ's) and a paper copy of the EPSQ receipt (posted at *www.dss.mil*) until the investigation and the Department of the Navy Central Adjudication Facility (DON CAF) adjudication is complete.
2. In the event a member receives orders to transfer while an investigation is pending, commands will ensure the paper copy of the EPSQ and EPSQ receipt are filed in the members service record prior to transfer or are otherwise forwarded to the gaining command's security office.
3. In the meantime, commands may fulfill the SECNAVINST 5510.30A, paragraph 8-5, (interim clearance) requirement for a "favorable review of the completed personnel security questionnaire" by instructing affected members to complete (and sign) the security relevant portions of a Standard Form 86 (SF 86), "Questionnaire for National Security Positions." Security relevant portions include *all of* Part 2 and Part 1 questions: 8. CITIZENSHIP, 15. CITIZENSHIP OF YOUR RELATIVES AND ASSOCIATES, 17. YOUR FOREIGN ACTIVITIES, 18. FOREIGN COUNTRIES YOU HAVE VISITED. The new SF 86 will be maintained locally as a representation of the submitted questionnaire and as a basis for the interim determination, until the investigation and adjudication are complete.
4. Increased case completion times have made the interim clearance tracer procedures provided in SECNAVINST 5510.30A, paragraph 8-5, obsolete. Until further notice, commands with access to the Defense Central Index of Investigations (DCII) may consult the DCII to trace the requested investigation *nine months after submission of the request*. If the DCII has no record of the requested investigation, the interim clearance will be terminated, a new investigation will be requested and a new interim security clearance may be considered. For commands without DCII access, an OPNAV 5510/413 "tracer" will be submitted to DON CAF nine months after submission of the investigative request. DON CAF will respond to these tracers within 75 days.
5. Interim security clearances *may not be continued in excess of 18 months* without DON CAF approval.

All other requirements for granting and removing interim security clearances are addressed in SECNAVINST 5510.30A, paragraph 8-5.

Encl (2)

## DCII Clearance Eligibility Codes

The Defense Clearance and Investigations Index (DCII) is the single, automated repository for Department of Defense clearance and investigation data. The Department of the Navy Central Adjudication Facility (DON CAF) records all clearance eligibility determinations in the DCII. The Defense Security Service (DSS) records all investigations conducted by DSS in the DCII and functions as the executive agency for operation and maintenance of the DCII. SECNAVINST 5510.30A, paragraph 8-4.5, allows "Commands with DCII access (to) use DCII data records in lieu of the DON CAF certification records ... to support local access determinations."

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1. LOCAL ACCESS AUTHORIZED: The following DCII Codes represent Security Clearance Eligibility ("ELIG") established by DON CAF and may be used as the basis for local access determinations up to and including the level specified:

C = CONFIDENTIAL  
M = TOP SECRET ONLY - SCI REVOKED  
N = TOP SECRET ONLY - SCI DENIED  
S = SECRET  
T = TOP SECRET  
V = TOP SECRET - SCI ELIGIBLE  
W = TOP SECRET - SCI REQUIRES ADJUDICATION

Code information is correct

2. TEMPORARY ACCESS AUTHORIZED: Temporary access may be authorized at a higher level than the above listed levels established by DON CAF, if the DCII indicates a favorably completed investigation exists that would support the higher level of eligibility. This includes instances when "4" (meaning - *Clearance administratively withdrawn*) is entered for "ELIG." As in any case where temporary access is authorized, an OPNAV Form 5510/413 must be submitted to DON CAF requesting the required security clearance eligibility determination.

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a. A security clearance eligibility established by an adjudicative entity other than DON CAF (*Clearance Agcy=NCAF*) may be used for temporary access only. Commands must forward a request to DON CAF to establish a Department of the Navy security clearance eligibility record. DON CAF will apply reciprocity standards as appropriate.

b. An "interim" security clearance is in fact an interim or "temporary" access authorization (necessitated by local operational requirements pending completion of full investigative requirements and final clearance adjudication by DON CAF). Although the DCII includes codes indicating "Interim" security clearance eligibility, these determinations do not convey from command to command. If access is temporarily required, the interim clearance procedures in enclosure (2) apply.

Encl (3)

3. ACCESS NOT AUTHORIZED: Temporary access *cannot* be authorized in any case where unfavorable or unadjudicated information exists.

a. The following security clearance eligibility (Elig=) and/or current clearance/access authorized (Access=) codes indicate an **unfavorable** determination has been made and **access is not** authorized:

B = SCI DENIED - INELIGIBLE FOR CLEARANCE  
D = CLEARANCE DENIED  
F = SCI REVOKED - INELIGIBLE FOR CLEARANCE  
L = RESTRICTED TO NONSENSITIVE DUTIES/NOT ELIGIBLE  
R = CLEARANCE REVOKED  
Y = PENDING ADJUDICATION/ACCESS SUSPENDED  
1 = LAA CONFIDENTIAL  
2 = LAA SECRET  
6 = SCI DENIED (NO CLEARANCE DETERMINATION)  
7 = SCI REVOKED (NO CLEARANCE DETERMINATION)

OBE

b. The following security clearance (Elig=) and/or current clearance/access authorized (Access=) codes indicate potentially unfavorable or unadjudicated information that must be adjudicated by DON CAF before access can be authorized:\*

A = NO CLEARANCE - INVESTIGATION REOPENED  
I = CLEARANCE PENDING - INVESTIGATION REOPENED  
J = NO CLEARANCE REQUIRED - FILE CREATED  
X = ACTION PENDING  
Z = ADJUDICATION ACTION INCOMPLETE DUE TO LOSS OF JURISDICTION  
3 = PENDING REPLY TO LOI\*\*

\*Although DON CAF cannot "expedite" a pending investigation, they can give priority adjudication to requests when "unadjudicated" information is present (such as indicated with the "J" and "Z" coding) if operational requirements exist. To request expedited handling for these cases, enter an oversized "J" or "Z" as appropriate in the "Remarks" section of the OPNAV Form 5510/413 request.

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\*\* Pending reply to LOI, commands have the authority to determine whether to suspend access for revocation actions *only*. Once a command makes the determination to suspend access, DON CAF will remove clearance eligibility and commands cannot allow access without DON CAF approval. Interim clearance determinations must be rescinded upon receipt of an LOI and temporary access authorizations must be removed.