Getting and keeping a clearance.....

Annual Security Awareness Presentation
• A security clearance is a privilege, not a right.
• When you accept the privilege of access to classified information, you are also accepting the responsibilities that accompany this privilege.
• This is a lifelong responsibility
  – You sign a non-disclosure agreement
    • Kept for 70 years
What we’ll discuss...

• The investigative and adjudicative process.
• Behavior that might jeopardize your clearance.
• Personal activities that must be reported to your security officer.
• Refresher of the basics
Investigative and Adjudicative Process

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

- Conducted by the Office of Personnel Management (OPM)
  - Financial
  - Criminal
  - Residences
  - Travel
  - Medical
  - Education
  - Drug
  - Alcohol
  - FBI/CIA
  - References
Second Step: Adjudication

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

• Nature, extent, and seriousness;
• You voluntarily report the information;
• You are truthful and complete in responding to questions;
• You sought help and followed professional guidance.
• You’ve demonstrated positive changes in your behavior
So, you’ve got your clearance. Now, how to keep it!

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

• To maintain access, you must recognize and avoid behavior that might jeopardize your clearance.

• Recognize behaviors in yourself or others that may need to be reported to your security officer and may signal that you or a co-worker may need assistance.

• **Early intervention** is often the key to quick, effective resolution of problems without harming you or the organization.

• Linked to the 13 adjudication guidelines.
Financial Considerations

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

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

- Habitual or binge drinking
- Going “on and off the wagon”
- Underage drinking
Criminal Conduct

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

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

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

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

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

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

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

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

- Criminal sexual behavior
- Pattern of compulsive, self-destructive and high risk sexual behavior that you are unable to stop
Allegiance to the U.S.

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

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

• Ref: Security Executive Agent Directive 6
  – Personnel security investigative process to review background of a covered individual who has been determined to be eligible for access to classified information or hold a sensitive position at any time during the period of eligibility.
    • Leverages a set of automated records checks and business rules to assist in the ongoing assessment of an individual’s continued eligibility
    • Supplements—but does not replace— the established personnel security program for scheduled periodic reinvestigations for continuing eligibility
Covered Individual

- A person who performs work for or on behalf of the executive branch or who seeks to perform work for on behalf of the executive branch
  - Does not include
    - the President
    - Employees of the President under 3 U.S.C. 105 or 107
    - The Vice President
    - Employees of the Vice President under 3 U.S.C 106 or annual legislative branch appropriations acts
• CE will be conducted on covered individuals with national security eligibility by the head, or designee, of the agency sponsoring the covered individual

• Automated records checks will be conducted to identify adjudicatively relevant information to assist in assessing the continue eligibility of a covered individual at any time during the period of eligibility

• Includes checks of commercial databases, U.S. Government (USG) databases, and other information lawfully available to security officials at any time during the period of eligibility
• Technical & security safeguards will be implemented to ensure CE is conducted only on covered individual to protect privacy, civil liberties, and personally identifiable information of covered individuals and any other individual whose information is inadvertently collected as part of the CE process.

• Absent a national security concern, criminal reporting requirement, or other legal requirement, information pertaining to individuals other than the covered individual will not be retained unless that information is relevant to a security determination of the covered individual.
• Information gathered by CE will be forwarded to the sponsoring agency for analysis of adjudicative relevance and a determination if the information meets thresholds for further investigation and/or adjudication

• Investigative agencies will make reasonably exhaustive efforts to verify that any information collected that is discrepant or potentially disqualifying pertains to the covered individual

• Any potentially disqualifying issue(s) will be adjudicated using the National Security Adjudicative Guidelines.

• No unfavorable personnel security actions will be taken solely on uncorroborated or unverified discrepant information.

• If an adjudicative determination is made to deny or revoke national security eligibility, review proceeding, to the extent they are made available in EO 12968, shall be afforded covered individuals at a minimum
Controlled Unclassified Information (CUI)

- Reference: DODM 5200.01 Volume 4
- CUI is unclassified information that requires safeguarding or dissemination control, pursuant to and consistent with applicable law, regulations, and Government-wide policies
  - Enclosure (3) identifies the controls and protective measures developed for DoD CUI
Controlled Unclassified Information (CUI)

- DOD CUI
  - For Official Use Only (FOUO)
  - Law Enforcement Sensitive (LES)
  - DoD Unclassified Controlled Nuclear Information (DoD UCNI)
    - Limited Distribution
  - Other Executive Branch agencies also have CUI
- Enclosure (3) also addresses handling of certain foreign government information and the use of distribution statements on unclassified technical documents as a means to facility control, distribution, and release of such documents.
Controlled Unclassified Information (CUI)

• Information may not be designated CUI to
  – Conceal violations law, inefficiency, or administrative error
  – Prevent embarrassment to a person, organization, or agency
  – Restrain competition; or
• Prevent or delay the release of information that does not require protection
• Information shall not be designated CUI
  – To prevent or avoid its proper classification
  – If there is significant doubt concerning the need for such designation
• Information that has been disclosed to the public under proper authority may not subsequently designated or redesignated CUI
  – on under statute or regulation
Controlled Unclassified Information (CUI)

• Originator of document is responsible for determining at origination whether information qualifies for CUI status, and if so, for applying the appropriate CUI markings

• All DoD unclassified information MUST BE REVIEWED AND APPROVED FOR RELEASE before it is provided to the public

• Some CUI is export-controlled information which may additionally be protected by law, Executive order, regulation, or contract.

• DoD official must pay particular attention to export control regulations and to access restrictions on each type of CUI to ensure compliance with export requirements, especially when non-U.S. citizens are assigned to or visit their organizations
Self-reporting...Knowing what and when to report
Self-reporting on your Personal Activities

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

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

- **Media Contacts**
  - Inquiries about your job or organization.
  - Ongoing personal contacts with media representatives who cover your organization.

- **Prepublication Review**
  - SCI – mandatory
  - Technical paper, book, magazine article, or newspaper prepared for posting on internet, or lecture or speech that you prepare to give, must be cleared if it contains information or knowledge you gained during your current or any previous classified job.
  - Resumes
Self-reporting…

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

- **Financial Problems**
  - Filing for bankruptcy
  - Garnishment of wages
  - Have a lien placed upon your property for failing to pay a creditor
  - Eviction from a residence for failure to pay rent

- **Arrests**
  - Any, regardless of whether or not you were convicted or charges were dropped.
  - Other Involvement with the Legal System: Target of legal action such as being sued. Possibility you might be required to discuss your job under oath.
Self-reporting....

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

- At some time in your life, you may face problems with inter-personal relationships, depression, alcohol, family issues, or similar difficulties.
- Vast majority of those seeking professional help do not suffer damage to their career.
- On the contrary, it enables one to get help with an unmanageable problem in order to get on with life.
- Early intervention is often a key to early resolution.
Where to go for help

• Employee Assistance Program
• Chaplain
• Financial counselors
• DAPA
• Supervisor
• Community Mental Health Centers
• Credit Unions
• Legal Services
• Navy Relief
Summary

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

• Transporting outside a secure facility requires either a courier card or courier letter issued by the SSO or Security Manager.
• Advance coordination/permission to courier aboard commercial aircraft.
• Do:
  – Double wrap; courier pouch
• Do not:
  – Stop for lunch;
  – Go shopping;
  – Go to restaurants, bars;
  – Take it home.
Prohibited Items Inside a SCIF or other secure facility

- Personal cellular telephones Two-way pagers;
- Recording devices (audio/visual);
- Personal computer equipment.
- PDAs
- Smart watches
- Fitbits or other activity trackers
Telephone Security

• Discuss classified only on:
  – STE/Secure VOIP
  – Remember! STE phones are only secure when they’ve been switched to secure voice mode.

• When using a commercial phone, remember:
  – Do NOT discuss classified…do NOT attempt to “talk around” classified information;
  – Terminate a call if the caller attempts to discuss classified;
  – Be alert to classified discussions around you;
  – Be aware that your non-secure phone call can be monitored!
OPSEC and the Internet

• “Using public sources openly and without resorting to illegal means, it is possible to gather at least 80% of information about the enemy.”
  Al Qaeda Training Manual

• How may the information you include in an e-mail or post on a web site help an adversary…?
  – Our intentions
  – How we operate and our plans (CONOPS, OPLANS, SOP)
  – Movement of forces
  – Travel Itinerary

• “Limiting details is an easily applied countermeasure that can decrease vulnerabilities while still conveying the essential information.” Secretary Rumsfeld
Questions???

Contact the Security Manager at 656-2450 or email Securitymgr@nps.edu