



**United States  
Department of  
Agriculture**

**Food Safety  
and Inspection  
Service**

**FSIS Directive  
4732.2**

# **Security Clearances**

# SECURITY CLEARANCES

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**UNITED STATES DEPARTMENT OF AGRICULTURE**  
**FOOD SAFETY AND INSPECTION SERVICE**  
WASHINGTON, DC

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<h1 style="margin: 0;">FSIS DIRECTIVE</h1>	4732.2	11/7/05
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**SECURITY CLEARANCES**

**I. PURPOSE**

This directive sets forth the policy and criteria for requesting security clearances and the procedures for processing requests.

**II. (RESERVED)**

**III. (RESERVED)**

**IV. REFERENCES**

5 CFR 732.101	National Security Positions-Purpose
5 U.S.C. 552a	Privacy Act of 1974
DM 9601-1	USDA Security Policies and Procedures for Biosafety Level 3 Facilities
DR 4600-2	Procedures for Denial or Revocation for Access to National Security Information
Executive Order 10450	Security Requirements for Government Employees
Executive Order 12968	Access to Classified Information

**V. ABBREVIATIONS AND FORMS**

The following will appear in their shortened form in this directive:

AA	Assistant Administrator
e-QIP	Electronic Questionnaires for Investigative Processing
ERB	Employee Relations Branch
HRD	Human Resources Division
LERD	Labor and Employee Relations Division
NFC	National Finance Center
OFDER	Office of Food Defense and Emergency Response
OGE	Office of Government Ethics
OM	Office of Management
OPF	Official Personnel Folder
OPM	Office of Personnel Management

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**DISTRIBUTION:**

All Offices

**OPI:**

HRD – Office of the Director

PDSD	Personnel and Document Security Division, Office of Procurement and Property Management, USDA
TS	Top Secret
TS/SCI	Top Secret/Sensitive Compartmented Information
FSIS Form 4732-1	FSIS Request for Action in Connection with Security Program Requirements
AD-1188	Justification for Requested Security Clearance
AD-1189	Request for Passing Security Clearance
FD-258	Fingerprint Card for Applicants (Contractors)
OF-306	Declaration for Federal Employment
OF-612	Optional Application for Federal Employment
- - -	Fair Credit Release Form
- - -	Request for Personnel Security Services
OGE-450	Confidential Financial Disclosure Statement
SF-86	Questionnaire for National Security Position
SF-86A	Continuation Sheet for SF-86 Questionnaire
SF-87	Fingerprint Card for Federal Employees

## VI. **POLICY**

A. It is FSIS policy to request security clearances for employees when their position function requires access to classified information. FSIS requests for security clearances must meet PDSD criteria.

B. PDSD determines if the background investigation results raise concerns regarding the employee's eligibility for remaining in the position requiring a security clearance.

## VII. **DEFINITIONS**

A. **Employee.** An individual currently working for FSIS, whether full-time, part-time or on a contract basis. Intermittent employees are not included in this definition for the purpose of this Directive.

B. **Security Clearance.** A determination resulting from the adjudication of an OPM background investigation to determine eligibility for access to classified information. Employees are required to have security clearances before they can access classified information.

C. **Classified Information.** Information that is specifically labeled Confidential, Secret, TS, or TS/SCI by an intelligence Agency of the United States Government and is controlled and tracked. Information protected by the Privacy Act of 1974, such as social security numbers or home addresses, while sensitive and personal in nature, are not classified information for the purpose of this Directive.

D. **Background Investigation.** An investigation conducted by OPM into a Federal employee's background to determine suitability for access to classified information or to perform the duties of a position. The scope of background investigations varies depending upon the assessed risk level or security clearance required for the position.

E. **National Security Position.** A position requiring access to classified information or that involves duties related to national defense.

F. **Agency Security Officer.** An HRD employee who is delegated authority to approve and forward requests to PDSD for background investigations or security clearances.

G. **Random Drug Testing.** The testing method used to detect drugs in an individual. Employees with TS or TS/SCI access level security clearances are subject to random drug testing.

H. **Periodic Reinvestigation.** Scheduled re-investigations of employees in positions requiring security clearances. Confidential level clearances require reinvestigation every 15 years, Secret level every 10 years, and TS and TS/SCI levels every 5 years.

I. **Electronic Questionnaires for Investigations Processing (e-QIP).** An OPM e-government initiative that allows applicants to electronically enter, update, and transmit their personal investigative data over a secure Internet connection to their employing Agency for review and approval.

## VIII. **CRITERIA REQUIRED FOR REQUESTING A SECURITY CLEARANCE**

Certain criteria must be met before PDSD approves and forwards a request for a security clearance investigation to OPM. Address the criteria on AD-1188. (See Attachment 1 for Instructions to complete AD-1188.)

## IX. **FORMS REQUIRED FOR A SECURITY CLEARANCE REQUEST**

The SF-86 security clearance form is available on e-QIP for completion and transmission. Contact the servicing personnel office for information on other available forms and access to online forms. Submit the following forms or information with a security clearance request:

<b>Form Number</b>	<b>Form Description</b>	<b>Completed By</b>
AD-1188	Justification for Requested Security Clearance	Employee and Supervisor
FD-258	Fingerprint Card for Applicants (Contract Employees)	Contract Employee and HRD or local law enforcement official
OF-306	Declaration of Federal Employment	Employee
OF-612	Optional Application for Federal Employment	Employee
SF-86	Questionnaire for National Security Positions	Employee
SF-86A	Continuation Sheet for SF-86 Questionnaire	Employee
SF-87	Fingerprint Card for Federal Employees (specially coded); <b>Headquarters</b> --HRD personnel take fingerprints; <b>Field</b> --local law enforcement officials take fingerprints	Employee and HRD or local law enforcement official
- - -	Fair Credit Release Form	Employee
- - -	Request for Personnel Security Services	Agency Security Officer
- - -	Resume	Employee

**X. RESPONSIBILITIES**

**A. Employees.**

1. Notify the supervisor when they become aware a certain security clearance level is required to perform one or more of their duties. The type of security clearance needed is aligned with the level of classified information an employee will access -- Confidential, Secret, TS or TS/SCI.

2. Fill out the AD-1188 (Attachment 1) addressing each criteria.

3. Sign the AD-1188, have the supervisor sign it, and transmit the form to the appropriate servicing personnel office.

4. Promptly, accurately, and completely fill out the remaining forms (see Paragraph IX.) received from the servicing personnel office. SF-86 indicates information is only required for the past 7 years, however Items 9, 10, 11, 12, 21, 22, 23 and 29 require a **10 year period**.

5. Attend PDSD's security indoctrination briefing for responsibilities associated with access to classified information upon completion and adjudication of results of the background investigation.

6. Sign the certification document of their security clearance level. (PDSD will forward it to the servicing personnel office for placement in the employee's OPF.)

**B. Supervisors.**

1. Verify the employee's need for a security clearance by signing the AD-1188 (see Attachment 1).

2. Ensure the employee completes all the required forms for processing a security clearance and promptly transmits the forms to the appropriate servicing personnel office.

**C. HRD.**

1. Forwards AD-1188 to the AA, OFDER for concurrence that the position is a National Security position requiring access to Confidential, Secret, TS or TS/SCI information.

2. Notifies the employee or the program contact in the field of concurrence and provides the necessary forms and instructions for requesting a security clearance.

3. Enters the security clearance request information into the HRD tracking system.

4. Initiates the employee into the e-QIP system.

5. Reviews all hardcopy forms submitted by the employee for completeness and accuracy. Contacts the employee for additional information.

6. Scans and uploads all hardcopy forms into the e-QIP system.

7. Completes Agency Use Block.

8. Releases completed e-QIP application to the Agency Security Officer for approval and closes the matter in the HRD tracking system.

9. Forwards all original hardcopy forms to the Agency Security Officer.

10. Revises the position sensitivity designation record and updates the NFC's Position Management System Online codes to reflect the level of clearance required and whether the position is subject to confidential financial disclosure.

11. Revises the employee's position description to reflect the position sensitivity designation level of security clearance required. If it is a TS or TS/SCI clearance, updates the position description to reflect that the position is subject to random drug testing.

12. Notifies employees with TS and TS/SCI clearances of the fact that they are now subject to random drug testing.

13. Notifies the Agency Ethics Officer, AA, OM, of an employee security clearance designation if the employee was not previously required to file a financial disclosure statement.

14. Places the signed Certification of Security Clearance, Certificate of Investigation and Nondisclosure Agreement on the right side of the employee's OPF. Transmits the completed forms received back from the employee to the Agency Security Officer and closes the matter in the HRD tracking system.

**D. OFDER.**

1. Reviews the AD-1188 for the security clearance request to ensure that the request is supported and the level of clearance sought is appropriate.

2. Signs the AD-1188 indicating concurrence with the request and returns the form to HRD for further processing.

3. Notifies the employee's supervisor when a security clearance sought is not necessary and returns the AD-1188 to HRD with an indication that OFDER did not concur.

**E. Agency Security Officer, HRD.**

1. Serves as the Agency liaison and principle point of contact to PDSD concerning questions regarding security clearance requests.

2. Reviews and releases approved e-QIP applications and attached forms to PDSD.

3. Completes and attaches a Request for Personnel Security Services form) to each request, along with original hardcopy forms and ensures the delivery of the complete package to PDSD.

4. Enters the security clearance request information into the Agency's security clearance database.



5. Enters completion information into the security clearance tracking database after PDSD issues a security clearance.

6. Refers background investigation cases containing derogatory information to the Chief, ERB, LERD.

7. Tracks and advises employees with security clearances when their periodic reinvestigation needs to be conducted and provides them with appropriate instructions.

8. Periodically reviews the Agency's security clearance database contents to maintain its accuracy.

9. Periodically reviews HRD records (OPFs, control copies of position descriptions, position sensitivity designation records, etc.) for accurate recording of security clearance requirements.

**F. Chief, ERB.**

1. Acts as the Agency liaison with the Department regarding the random drug testing program. Notifies employees, randomly selected, of the date and where to report for the test.

2. Takes appropriate action against an employee when derogatory information is disclosed in the background investigation or when a drug test is failed.

3. Takes appropriate action against an employee who fails to follow instructions for requesting a security clearance deemed necessary to perform the position's duties.

**G. Agency Ethics Officer, AA, OM.**

1. Reviews the position description of an employee requiring a security clearance, who was not previously required to file a Confidential Financial Disclosure Statement, to determine if the employee is now required to file.

2. Provides the employee with official notification of a filing requirement determination, filing instructions, and Form OGE-450.

**XI. REQUEST FOR PASSING SECURITY CLEARANCE**

Employees with security clearances may be called on to verify such clearance before attending a meeting or receiving certain information. The Department's PDSD handles the "passing security clearance" process. Employees may obtain a AD-1189 from the following website: <http://www.usda.gov/da/pdsd/Web-pass.pdf>. The form requires the signature of the employee's supervisor. Fax the form to PDSD at the fax number on the form. (See Attachment 2 for a sample copy of this form.)

XII. **CHANGES TO POLICY AND PROCEDURES**

A. Changes in the policy and procedures in this Directive require AA, OM approval.

B. For further information on the contents of this Directive, contact your servicing personnel office or the Agency Security Officer.

A handwritten signature in black ink, appearing to read "William P. Milroy". The signature is fluid and cursive, with a large, stylized initial "W".

Assistant Administrator  
Office of Management

Attachment

- 1 Sample Form AD-1188, Justification for Requested Security Clearance
- 2 Sample Form AD-1189, Request for Passing Security Clearance

**SAMPLE FORM AD-1188, JUSTIFICATION FOR REQUESTED  
SECURITY CLEARANCE**



UNITED STATES DEPARTMENT OF

**AGRICULTURE**

**JUSTIFICATION FOR REQUESTED SECURITY CLEARANCE**

***Instructions:** This form is to be prepared and submitted for each security clearance requested. The justification statement must specifically explain the need for access to classified national security information and the highest level of access required. See the following instructions for additional help.*

**EMPLOYEE NAME:**

**AGENCY & OFFICIAL POSITION  
TITLE:**

**DATE OF BIRTH:**

**SSN:**

**STATUS:**

☐ Employee ☐ Contractor ☐ Other

**POSITION SENSITIVITY LEVEL:**

- ☐ Special Sensitive (4)  
☐ Critical Sensitive (3)  
☐ Non-Critical Sensitive (2)

**CLEARANCE LEVEL REQUESTED:**

- ☐ TS/Secret (4)  
☐ Top Secret (3)  
☐ Secret (2)  
☐ Confidential (1)

**CLEARANCE JUSTIFICATION:**

*(Please read the attached instructions for acceptable justifications and further instruction. If a Temporary clearance is needed due to exceptional circumstances, please indicate in your justification.)*

**DATE OF  
REQUEST:**

**REQUESTING OFFICIAL:**  
(printed)

**REQUESTING OFFICIAL:**  
(signature)

*I have read the justification statement above relating to the need for a security clearance. If granted, I will be required to sign a Nondisclosure Agreement at the time of my initial security briefing. I am also aware that if this clearance is granted at the Top Secret level that I will be subject to random drug testing.*

**EMPLOYEE'S SIGNATURE:**

**DATE:**

Form AD-1188 (11/04)

## **JUSTIFICATION FOR REQUESTED SECURITY CLEARANCE FORM** **INSTRUCTIONS**

All requests for security clearances require specific justification explaining the need for access to classified national security information as it relates to an employee/contractor's duties. Eligibility for access to classified information shall only be granted based on a demonstrated, foreseeable need for access.

Requests such as "...requires a security clearance in the performance of his duties..." without additional detail will not be accepted. All unacceptable requests will be returned for clarification. An appropriate and specific justification for access to classified information should clearly state:

1. *The level of clearance required*
2. *The specific duties that require access to classified information*
3. *Include where the access will occur and the frequency of access*

**Employees requiring access to TS/SCI must provide detailed information to the following questions:**

1. What SCI compartment levels are needed for this position?
2. On what will you be working that requires SCI access?
3. With whom will you be interacting?
4. What type of documents will you need to review?
5. What systems will you be accessing?
6. What other relevant information can you provide regarding the need for SCI access as it relates to your duties and your agencies mission?

In addition, a **SES level supervisor must sign all SCI requests**. If you have any questions, or if you need further assistance, please contact Susan Gulbranson, Chief of the Personnel Security Branch, at 202/205-9345.

**NOTICE:** The Privacy Act, 5 U.S.C. 552a, requires that federal agencies inform individuals at the time information is solicited from them, whether the disclosure is mandatory or voluntary, by what authority such information is solicited, and what uses will be made of the information. You are hereby advised that authority for soliciting your Social Security Number (SSN) is Executive Order 9397. Your SSN is needed to keep records accurate because other people many have the same name and birth date. Your SSN will be used to identify you precisely when it is necessary to 1) certify that you need to have access as indicated above or 2) determine that your access to such information is no longer needed. Although disclosure of your SSN is not mandatory, your failure to do so may impede the processing of such certifications or determinations, or possibly result in the denial of your being granted access to classified information.

**SAMPLE FORM AD-1189, REQUEST FOR PASSING SECURITY  
CLEARANCE**



United States Department of Agriculture  
*Personnel Security Branch*

**REQUEST FOR PASSING A SECURITY CLEARANCE**

**Name of Requestor:** \_\_\_\_\_ **Agency:** \_\_\_\_\_

**Date:** \_\_\_\_\_ **Phone #:** \_\_\_\_\_

Please complete the information below in its entirety and fax it to (202) 720-7708. You should submit requests as soon as possible, allowing at least 48 hours for processing.

**Name:** \_\_\_\_\_ **SSN:** \_\_\_\_\_

**Date of Birth:** \_\_\_\_\_ **Place of Birth:** \_\_\_\_\_

**USDA Agency:** \_\_\_\_\_

**Location of Event (Agency Name):** \_\_\_\_\_

**Date/Time of Event:** \_\_\_\_\_

**Reason for Event (meeting, training or conference title):** \_\_\_\_\_

**Clearance Level Required to Attend Event:** ☐ Secret ☐ Top Secret ☐ TS/SCI

**Event Sponsor/Point-of-Contact Name & Phone #:** \_\_\_\_\_

**Event Security Office Point-of-Contact & Phone #:** \_\_\_\_\_

**Event Security Office Fax #:** \_\_\_\_\_

**Will you be making frequent visits to this facility this year?** ☐ Yes ☐ No

*To be completed by the above employee's supervisor:*

This is to certify that this employee is authorized to attend the event discussed above and have his/her clearance passed.

**Supervisor's Name and Title:** \_\_\_\_\_

**Date:** \_\_\_\_\_

**NOTICE:** The Privacy Act, 5 U.S.C. 552a, requires that federal agencies inform individuals at the time information is solicited from them, whether the disclosure is mandatory or voluntary, by what authority such information is solicited, and what uses will be made of the information. You are hereby advised that authority for soliciting your Social Security Number (SSN) is Executive Order 9397. Your SSN is needed to keep records accurate because other people may have the same name and birth date. Your SSN will be used to identify you precisely when it is necessary to 1) certify that you have access as indicated above or 2) determine that your access to such events is no longer needed. Although disclosure of your SSN is not mandatory, your failure to do so may impede the processing of such certifications, or possibly result in the denial of your being granted access to attend the requested event.

Form AD-1189 (11/04)