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## Chapter 4

## REQUESTING PERSONNEL SECURITY INVESTIGATIONS

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## Section A—Authorized Requests for Personnel Security Investigations

**4-1. General Information.** Requests for personnel security investigations must be limited to those absolutely required to accomplish the Air Force and DOD mission. Those requesters designated in paragraph 4-3 must determine when persons under their jurisdiction require a personnel security investigation and also when to submit the requests. Proper planning is necessary to ensure investigative requests are submitted in a timely manner to complete the investigation before it is needed for clearance eligibility and access.

**4-2. Guidelines for Requesting Investigations.** To conserve investigative resources, organizations requesting investigations must give continuing command attention to the investigative request process. Close adherence to the provision of Executive Order 12356 requiring strict limitations on the dissemination of official information and material is particularly important. Also, limit investigations requested for issuing clearances to those instances where an individual has a clear need for access to classified information. The following guidelines were developed to simplify and facilitate the investigative request process:

a. Limit requirements for investigations to those that are essential to current operations and clearly authorized by Air Force and DOD policies. Attempt to utilize individuals who have already met the security standard.

b. Ensure military personnel have a minimum of 12 months retainability before an initial investigation or a periodic reinvestigation is authorized.

c. Ensure proper completion of request forms and prescribed documentation according to instructions.

d. Forward requests for investigations directly to the DIS Personnel Investigations Center (there are exceptions to this policy for some ANG units). The mailing address for each type of investigation is shown in section F of this chapter.

e. Limit access through strict need-to-know, thereby requiring fewer investigations.

NOTE: Close observance of the above will help DIS operate more efficiently and permit more effective, timely, and responsive service in completing investigations.

**4-3. Authorized Requesters.** Only those persons in a through e below may request personnel security investigations:

a. Chief, Air Force Security Clearance Office for personnel assigned to the Office of the Secretary of the Air Force, HQ USAF, and other Air Force members or employees when required for adjudicative purposes.

b. Assistant Chief of Staff for Intelligence (ACS/I), HQ USAF, when the investigation is required for access to Sensitive Compartmented Information.

c. Installation commanders:

(1) Installation commanders should designate the host-base security police unit as the single requester of personnel security investigations for all assigned and supported units to ensure that requests for personnel security investigations are properly completed before submission to DIS. This rule applies in all cases except where circumstances dictate a specific exception by the MAJCOM or SOA (for example the 3507th Airman Classification Squadron at Lackland AFB TX). Examples that do not qualify for exception are: a MAJCOM or SOA headquarters on a base that has an assigned SP unit, a special projects office, or an on-base communication unit. These latter examples and similar organizations must use the services of the host base SP unit to comply with AFR 11-4. Base chiefs of security police may designate military or civilian personnel under their jurisdiction to authenticate request forms and documentation.

(2) CCPO personnel submit NACI investigations for civilian employees directly to the Office of Personnel Management, NACI Center, Boyers PA 16018-0001, for individuals assigned to nonsensitive and noncritical-sensitive positions. Requests for NAC, BI, SBI, SII, and PR investigations are submitted to the host SP unit for review and submission to DIS.

d. Chiefs of recruiting stations. Air Training Command Recruiting Service (ATC/RS) and other organizations involved in the enlistment or appointment of military members.

e. AFOSI Personnel. HQ AFOSI/IMF personnel submit requests for SBIs for all AFOSI personnel to include applicants.

## Section B—Criteria for Requesting Personnel Security Investigations

### 4-4. Accreditation To Defense Investigative Service:

a. DIS is the sole custodian of personnel security investigative files they compile. ~~DIS personnel release reports of investigation for clearance purposes only to AFSCO. Requests for an individual copy of a personnel security investigation are made under the Privacy Act.~~

b. HQ AFOSP/SPI maintains the list of authorized requesters of personnel security investigations and furnishes a copy to DIS. This list is based on AFR 10-4, volume I, Air Force Address Directory, and identifies security police units and other activities specifically designated by MAJCOM or SOA personnel as authorized requesters.

c. MAJCOM, SOA, and DRU personnel must notify HQ AFOSP/SPI, Kirtland AFB NM 87117-6001, of any additions, deletions, or address changes of units requiring accreditation to DIS. They must also send an information copy to AFSCO when the mailing address changes.

d. AFSCO personnel provide DIS investigative reports to commanders and supervisors through authorized (accredited) requesters for suitability purposes. AFSCO directs destruction or return of investigative reports, depending on the case.

4-5. **Justification of Request.** Authorized requesters must use the tables in attachment 4 to determine the types of investigation needed to meet the investigative requirement for the level of access or duty concerned. If additional information is required to justify the request for a BI or SBI, use plain language and place the justification on DD Form 1879 in item 20. If additional space is required, attach a plain sheet of bond paper to DD Form 1879 with the subject's name, SSN, and the statement "Continuation of Item 20, DD Form 1879." Do not list table or rule numbers from attachment 4 on DD Forms 398-2 or 1879.

4-6. **Request Procedures.** The subject of a personnel security investigation must provide

information necessary to prepare acceptable personnel security forms required to complete an investigation.

4-7. **Priority Requests.** To ensure orderly and efficient personnel security investigations, keep requests for priority of individual investigations or categories of investigations to a minimum. ~~DIS personnel do not assign priority to any personnel security investigation or categories of investigations without written approval of the Deputy Under Secretary of Defense for Policy Review.~~ Priority requests for investigation require full justification. Send them through command channels to HQ AFOSP/SPI, Kirtland AFB NM 87117-6001, for approval and further processing.

### 4-8. Personal Data Provided by the Subject:

a. To conduct the required investigation the investigative agency must have certain relevant data concerning the subject of the investigation. The Privacy Act of 1974 requires obtaining information that may result in adverse determinations affecting an individual's rights, benefits, and privileges under federal programs, to the greatest extent possible, directly from the individual.

b. Accordingly, the subject of each personnel security investigation must provide the personal information required by this regulation. As a minimum, the individual must complete the appropriate investigative forms, provide fingerprints of a quality acceptable to the FBI, submit a signed release (DD Form 2221, Authority for Release of Information and Records) authorizing custodians of police, credit, education, employment, and medical and similar records, to provide relevant record information to the investigative agency.

c. The authorized requester of investigations must furnish each subject of a personnel security investigation conducted under the provisions of this regulation a Privacy Act Statement (supplement to DD Form 398) advising of:

- (1) The authority for obtaining the personal data;
- (2) The principal purposes for obtaining it;
- (3) The routine uses;
- (4) If disclosure is mandatory or voluntary; and
- (5) The effect on the individual if it is not provided.

4-9. **Failure of the Subject To Provide Information.** When the subject of an investigation

refuses to provide or permit access to the relevant information required by this regulation, terminate either the individual's security clearance in accordance with chapter 8 of this regulation or cease administrative processing of the investigation.

**4-10. Refusal To Sign SF 189, Classified Information Nondisclosure Agreement.** Air Force and DOD instructions for completing SF 189 require the denial or revocation of an individual's security clearance for refusal to sign the form. Military commanders and civilian supervisors are responsible for notifying personnel under their control of these requirements. The following procedures must be followed when an individual currently requiring access to classified information refuses to sign SF 189:

a. The commander or supervisor presents the individual with a letter (see figure 4-1) which states a signed SF 189 is a prerequisite for access to classified information. The letter must also state that refusal to sign the SF 189 may result in the revocation of his or her clearance.

b. The affected individual must endorse the letter back to the commander or supervisor confirming his or her refusal to sign the SF 189. The individual's endorsement acknowledges an understanding that refusal to sign the SF 189 may result in the revocation or denial of clearance.

c. The commander or supervisor forwards a copy of the endorsed letter to AFSCO through the servicing security police, debriefs the individual, and completes AF Form 2587, Security Termination Statement.

NOTE: The procedures outlined in a through c above meet the requirements for giving an individual "due process" and for individual notification of the intent to deny or revoke security clearance eligibility.

d. When AFSCO personnel receive the letter, the individual's clearance eligibility will be revoked or denied, as appropriate. The Chief or Deputy Chief of AFSCO will notify the individual of the revocation or denial, in writing, through his or her commander.

e. AFSCO will consider reinstating a security clearance revoked for refusing to sign SF 189, but only after 24 months have elapsed. Refer to chapter 8, paragraph 8-21 for reinstatement procedures.

**4-11. AF Form 2583, Request for Personnel Security Action:**

a. Use AF Form 2583 to conduct a local files check (LFC) to determine the existence or absence of unfavorable information by reviewing local records at an individual's base of assignment (see table 4-1 for instructions on completing AF Form 2583).

b. Evaluate derogatory information uncovered by an LFC before requesting a personnel security investigation (PSI).

(1) Submit specific requirements to the base authorized requester of PSIs;

(2) Transmit results of the personal interview required for initial SCI access; and

(3) Record special access authorizations. Complete the processing of AF Form 2583 before requesting a personnel security investigation for both military and civilian personnel (see figure 4-2).

c. Use the results of a LFC to assist a commander in determining the eligibility of an individual selected for an assignment to a position of additional trust. When unfavorable information is developed, the subject's commander must evaluate the unfavorable information and determine what action to take, if any, in coordination with appropriate staff agency officials (e.g., chief security police (CSP), personnel officials, judge advocate general (JAG) officials, medical officials, etc.).

d. Also use the LFC to verify data on DD Forms 398 and 398-2 or comparable forms. As a minimum, check the following records:

(1) Medical records (checked by the director of base medical services or designee).

(2) Military unit personnel record group (UPRG). The UPRG is checked when the ASCAS roster indicates the subject has a UIF or is on the Control Roster.

(3) The unit ASCAS roster to verify present clearance and determine if the individual has a UIF or is on the Control Roster.

(4) Special Security File. When an SSF exists, do not request a higher level of investigation unless approved by AFSCO personnel.

(5) Civilian Official Personnel Folder.

(6) Base security police files (AF Form 110, Individual Incident Reference Record, AF Form 1313, Driver Record, etc.).

e. Do not conduct the medical records check portion of an LFC if a previous medical records

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FROM: (unit) \_\_\_\_\_ /CC

SUBJECT: Letter of Notification of Intent to Deny or Revoke Security Clearance Because of Refusal to Sign Standard Form 189 (SF-189), Classified Information Nondisclosure Agreement

TO: (Name, Grade, SSN)

1. It has come to my attention that you have declined to sign the SF 189, which is a precondition to being granted or retaining a security clearance. Therefore, you are hereby advised that your declination to sign the form can result in the denial or revocation (as appropriate) of your security clearance or security clearance eligibility. You are further advised that this letter is the first step of the procedure which may result in the decision to deny or revoke your security clearance.

2. National Security Decision Directive 84 (NSDD-84) provides the legal basis for implementation of SF 189. The legislative and executive authorities referenced in paragraph 10 of SF 189, as well as the DOD policies and procedures for implementing security directives pertaining to the safeguarding of classified information, are contained in DOD 5200.1-PH-1, July 1985. A copy of this pamphlet is available to you upon request. The directives cited stipulate that SF 189 must be signed as a precondition to granting of access to classified information and that refusal to sign SF 189 will result in the denial or revocation of security clearance eligibility.

3. You are hereby requested to endorse this letter acknowledging receipt and understanding of the fact that your refusal to sign SF 189 can result in the denial or revocation of your security clearance eligibility.

4. You have 30 calendar days in which to provide any written statement or other information you may desire to have considered in conjunction with the adjudication of your security clearance eligibility. This letter, your endorsement, and any other information you may wish to present in your behalf will be forwarded to the Air Force Security Clearance Office (AFSCO), Washington DC 20330-6440 for a final clearance determination. AFSCO personnel will advise you, in writing, of the final determination in your case.

5. Upon receipt of your endorsement, your access to classified information will be suspended, you will be debriefed, and you will be required to execute AF Form 2587, Security Termination Statement.

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 (Commander's Signature Element)

1st Ind (Name, Grade, SSN)

TO: \_\_\_\_\_ /CC

1. I hereby acknowledge receipt and understanding of your letter. I fully understand that my refusal to sign SF 189, can result in the denial or revocation of my security clearance. I also acknowledge that a copy of DOD 5200.1-PH-1, July 1985, has been made available for my review and use.

2. I (have) (have not) attached a written statement or other documents in my behalf that I wish to have considered by AFSCO personnel.

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 (Individual's Signature)

**Figure 4-1. Format for Letter of Notification of Intent to Deny or Revoke Security Clearance Eligibility Because of Refusal to Sign Standard Form 189 (SF 189), Classified Information Nondisclosure Agreement.**

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NOTE: If the individual refuses to execute the acknowledgement, the commander will enter the following on the indorsement:

After an explanation of the consequences of (his) (her) declination to sign the SF 189 and being provided with the Letter of Notification of Intent to Deny or Revoke Security Clearance, the individual refused to sign the indorsement.

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 Commander

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 Witness

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**Figure 4-1. Continued.**


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check conducted for PRP certification was made. However, the PRP medical check must have been favorably conducted within 30 calendar days prior to the initiation of the current AF Form 2583. The unit of assignment must provide a copy of the AF Form 286, Personnel Reliability Certificate showing the PRP medical check with the AF Form 2583 to the authorized requester of investigations.

f. Note that ATC/RS personnel or other authorized requesters of an ENTNAC or NAC are not required to complete AF Form 2583 to meet investigative requirements for enlistment or appointment of individuals in the Air Force when personnel records are unavailable or not created. AF Form 2583 need not be completed for civilian applicants for federal employment when local files are unavailable or have not been developed.

g. Submit completed DD Forms 398 or DD Form 398-2, as appropriate, with the completed

copies of AF Form 2583 to the base authorized requester of investigations when requesting a PSI (see figures 4-2, 4-3, 4-4, and table 4-1 for instructions on how to complete these forms). Upon completion of the action requested by the AF Form 2583, including the LFC, return the form to the originating organization. Dispose of AF Form 2583 according to AFR 12-50, volume II.

#### **Section C—Form Requirements and DIS Addresses**

**4-12. General Information.** The base authorized requester of investigations must ensure requirements of this regulation are met before requesting a personnel security investigation. Forward all requests for personnel security investigations to DIS with the exception of NACI investigations on OPM federal civilian personnel occupying nonsensitive and noncritical-sensitive positions. Forward these to OPM.

TABLE 4-1

## HOW TO COMPLETE AF FORM 2583

L I N E	A	B	C
	To Complete		Enter
	Section	Item	
1	I	1	last, first, middle, and maiden name to agree with military or employment records; if not, explain in Section VII. If no middle name, or initial only, enter "NMN" or "IO," respectively. Also, enter the maiden name for female personnel.
2		2	the unit designation shown in AFR 10-4, volume I. When the form pertains to non-DOD personnel, enter the unit designation of the sponsoring activity.
3		3	grade. Do not change this entry after the form is filed and a change in grade occurs.
4		4	social security number.
5		5	an "X" in only one block.
6		6	day, month, and year of birth, in that order. For example: 10 Feb 1952 or 10 Feb 52; not 10/2/52 or 2/10/52.
7		7	city, state, and country of place of birth.
8	II	8	an "X" in only one block.
9		9	an "X" in applicable blocks. Check only the highest level of clearance, access or entry requirement. (See note 1 for LAA requests)
10	III	10	activities required to search their records for possible derogatory information from a personnel security standpoint. Medical and security police activities are usually the agencies required to take this action (see notes 2 and 3).
11		11	unit of assignment. Also include the telephone number of the requester, to ensure that immediate contact can be made in the event questions should arise.
12		12	date when requester signs the form.
13		13	typed name, grade, and title of the unit commander or staff agency chief, or security manager when delegated this authority.
14		14	self-explanatory. The signature certifies actions in note 4 have been complied with.
15	IV	15	self-explanatory (see note 3).
16		16	date when the check is completed.
17		17	typed name and grade of base director of medical services (See note 5).
18		18	self-explanatory.
19	V	19	see notes 2 and 6.
20		20	date when the check is completed.
21		21	typed name and grade of the chief of security police, or designees, in the security clearance function or reports and analysis section.
22		22	self-explanatory.
23	VI	23	an "X" in applicable blocks. In spaces provided, also include the classification level the member requires access to. Except for Sensitive Compartmented Information (SCI) and the PRP, use Section VII to add any other special access program not covered. SCI is not entered, because the MAJCOM or SOA SCI billet manager centrally manages personnel authorized this access. PRP is not entered, since separate forms are used to administer this program.
24		24	self-explanatory.
25		25	enter name, grade and title of one-time access approving official. (Must be a general officer)
26		26	self-explanatory.
27		27	date when access to special program information is granted.

TABLE 4-1. Continued			
HOW TO COMPLETE AF FORM 2583			
L I N E	A	B	C
	To Complete		Enter
	Section	Item	
28		28	typed name, grade, and title of special access program certifying official. Only officials authorized by the governing directive may certify this entry. Use Section VII to show coordination action when two or more special access programs are involved, and the same official grant all access requirements. Refer to chapter 3, section F, for instructions on specific programs.
29		29	self-explanatory.
30	VII	30	self-explanatory (see note 7 for SCI).

## NOTES:

1. Send a letter of request through channels to the approving authority when non-US nationals or immigrant alien personnel require limited access to Secret or Confidential defense information or unescorted entry to Priority "A", "B", or "C" restricted areas.
2. Complete items 10 through 14 when an investigation or a security clearance is required. The LFC is not required when recording special access program authorizations, unless specified in the governing directive. This guidance also applies to sections IV and V.
3. Make sure the persons completing each portion of a LFC enters any derogatory information in Section VII, and promptly notify the requester and special security file (SSF) custodians. This action determines if AFSCO personnel must make further central adjudication of the information. This guidance also applies to Section V.
4. Ensure the request process includes a review of the ASCAS roster for evidence of an UIF concerning the member. Also, review personnel records to determine if derogatory information exists from a personnel security standpoint. Check personnel records to confirm other data,

such as employment or military service as listed on DD Forms 398, when necessary. Persons designated to sign Item 14 of the form must take or confirm these actions. Enter results of these reviews in Section VII.

5. Note that this authority may be delegated to other medical staff personnel who may review medical records and form professional opinions based on the information being evaluated. If no medical records are on file (as for many civil service employees) annotate the form to that effect. The DD Form 1879 then shows no local medical records were checked and DIS agents check the records.

6. Review the records of the security clearance function and reports and analysis section. If an SSF exists, deny the requested personnel security action pending completion of adjudication actions. In these cases, also enter in Section VII that an SSF exists. Also, review the remarks section for any other derogatory information reported and evaluate the need to establish an SSF for further adjudication. Enter results of this evaluation in Section VII.

7. Annotate Section VII to reflect the name, title, and date the personal interview was conducted when a SBI for SCI access is being requested.

**4-13. ENTNAC, NAC, and DNACI:**

a. For ENTNAC, NAC, or DNACI requests (do not request a DNACI until HQ AFOSP/SPI authorizes it) forward one original of DD Form 398-2 (Personnel Security Questionnaire (National Agency Check)) and one copy of DD Form 2280 (ENTNAC) or FD 258 (NAC or DNACI) to:

Personnel Investigations Center  
 Defense Investigative Service  
 P.O. Box 1083  
 Baltimore Maryland 21203-1083

The requester keeps a copy of the DD Form 398-2 and any ASCAS printouts pertaining to the investigation in a suspense file until the investigation has been completed and for any required tracer action.

b. For a permanent change of station (PCS), the requester must send the suspense copy of the DD Form 398-2 and ASCAS printouts to the subject's gaining base authorized requester of investigations. Use AFR 10-4, volume I to obtain the mailing address of the gaining base authorized requester.

**1. General Instructions.** AF Form 2583 is initiated at the member's unit of assignment. The form must be typed or legibly printed in dark reproducible ink. Incomplete or illegible forms are returned without action, and delay the requested personnel security action. AF Form 2583 is normally prepared for these reasons:

**a. Investigation or Clearance Action.** Prepare when requesting an investigation or when one-time access is required.

**b. Unescorted Entry.** Prepare when a local files check is required to document the investigative requirements for unescorted entry to restricted areas.

**c. Special Access Program.** Prepare the form when recording special access program authorizations.

**2. Detailed Instructions.** Although many items on the AF Form 2583 are self-explanatory, table 4-1 provides additional guidance for completion of the form.

**3. Processing and Maintenance.** Process AF Form 2583 as explained below and dispose of according to AFR 12-50, volume II:

**a. Prepare an original and two copies of the form when an investigation is required for a security clearance or unescorted entry to restricted areas.**

(1) Hold one copy in the unit's suspense file and destroy it on return of the original.

(2) Send the original and one copy, in turn, to activities required to search their file for possible derogatory information. Authorized requesters of investigation (usually the security police) enter in Section VII the date the investigation request was sent to the DIS. The original is then returned to the member's unit of assignment.

(3) Make sure the unit of assignment keeps the original until the requested action has been completed.

(4) Make sure the base authorized requester of investigations retains a copy until the requested action is completed, then destroys this copy.

**b. Prepare only an original when recording special access program authorizations and keep it at the member's unit of assignment. Do not transfer the form when the member is reassigned to another unit or staff agency.**

**Figure 4-2. When To Prepare AF Form 2583.**

**1. General Instructions.** Military members or civilian employee requiring a BI or SBI completes DD Form 398. However, an SII, a Postadjudicative Investigation, etc., also requires a completed DD Form 398.

**a. A privacy act statement and general instructions are on the front of the form. Provide DIS five completed copies of the DD Form 398 when an investigation is required.**

**NOTE:** Also use DD Form 398 to complete the NAC portion of a BI and SBI.

**b. All questions and statements must be completed. If the answer is "None," so state. Do not use "Unknown" for dates of schooling, employment, or residence. If the information is not known precisely, indicate by qualifying language, such as "date estimated" or "do not recall."**

**c. Nine-digit ZIP Codes must be included with all addresses.**

**d. All information about a foreign name, address, education or employment both in English and in the Oriental character (ideographs) or the Arabic script, if applicable and known must be included.**

**e. All intervals of time must be accounted for. If summer activities or similar periods are not reflected under employment, education, military service, or other category, list the period as "unemployment" in Item 13.**

**f. Before signing DD Form 398, check all entries against the detailed instructions in attachment 3. Errors and incomplete entries on the form delay assignment or employment in a sensitive position which requires investigation and a security clearance.**

**Figure 4-3. General Instructions for Completing DD Form 398.**



2. **Detailed Instructions.** Although many items on the DD Form 398 are self-explanatory, attachment 3 provides instructions to aid in accurately completing the form.

3. **Abbreviated Forms.** Abbreviated or "no change" DD Forms 398 are not authorized. All entries on the form require completion.

**Figure 4-3. Continued.**

1. **General Instructions.** Only authorized requesters may submit DD Form 398-2. 2. The subject of the investigation must complete all items, except those headed "for requester use only" and "reason for request." Detailed instructions for the subject's use in completing the form are in attachment 3. Forms may be typed or legibly printed in black reproducible ink. DIS personnel will not process unreadable and incomplete forms, resulting in assignment action delays. Complete an original and one copy of DD 398-2 for a NAC or ENTNAC request. Submit the original to DIS PIC and retain the copy in suspense pending completion of the check and for tracer action. Attach a sheet of plain bond paper, clearly identified by the subject's name and SSN when additional space is required. Refer to the specific item from DD Form 398-2 when listing additional information.

a. **Request Date.** Enter the date the request is sent to DIS. This date determines the minimum waiting period for receipt of notification from DIS (for military personnel) that the investigation was initiated. If the opening transaction notification is not received in 60 calendar days, trace to AFSCO before resubmitting the request.

b. **Code.** Enter the Personnel Security Investigation (PSI) Requester Code assigned by HQ AFOSP/SPI. See chapter 4 for instructions on how to obtain the code from the US Air Force program manager. Units or agencies that do not fit the criteria in paragraph 4-3 may not submit requests for investigation.

c. **Return Results To.** Enter the words "THRU AFSCO" in capital letters directly above the address of the organization that requires the results of the investigation.

d. **Nine-digit ZIP Codes.** ZIP codes are mandatory in all addresses.

e. **Opening Codes.** DIS personnel send a notice through ASCAS when a NAC or ENTNAC request is received and the investigation is opened. A code is required for the DIS computer to recognize Air Force requests and to send the notification to the proper address. Air Force requesters must provide this information for NAC or ENTNAC requests for military personnel by printing the proper code in the "Return Results To" block on DD Form 398-2. Print this code with a black felt-tip pen, not a typewriter, to ensure the code is easily indentifiable. Opening codes for military are as follows:

ENTNAC and NAC—all military	-1
NAC-Precommission-AFROTC	-2
NAC-Precommission-AF Academy	-3

NOTE: Only use the number codes on military requests for initial ENTNACs and NACs. Do not use codes on nonmilitary requests or when a NAC is part of a BI, SBI, or PR.

f. **Citizenship Verification.** All US citizens must show proof of US citizenship when applying for a PSI (refer to paragraph 2-23c).

2. **Detailed Instructions.** Although most items on the DD Form 398-2 are self-explanatory, attachment 3 tells how to properly complete the form.

3. **DD Form 398-2 on Members of the Subject's Family:**

a. Complete DD Form 398-2 on members of an individual's family when an SBI is requested or after the SBI has been completed if the individual subsequently marries.

b. Disregard the heading in Block 10, DD Form 398-2 and insert the following statement: "Request single agency check (SAC); individual is the (relationship) of (name, grade, SSN) who is the subject of attached SBI request (or SBI completed (date)). SAC authorized for completion of SBI."

**Figure 4-4. General Instructions for Completing DD Form 398-2.**

c. Complete Items 1 through 6, and applicable parts of Item 8. Leave Items 7, 9 through 16, and the signature block blank.

d. Attach required DD Forms 398-2 to DD Form 1879 when requesting an SBI or send them directly to the DIS Personnel Investigations Center when an SBI has been completed and the subject subsequently marries.

4. Requester Identification. All authorized requesters of ENTNACs or NACs must enter their AFR 10-4, volume I unit designation on the DD Form 398-2. Place it in the block marked "For Requester Use Only."

5. Annotation of Request Forms to Identify PRP Investigations. AF Reserve and ANG duties are considered a break in service for PRP purposes. When requesting a NAC for PRP on an individual who enters active duty from the AF Reserve or ANG include an explanation as a part of the request package to show the reason for an investigation. Attach a sheet of bond paper and write "NAC Required, Prior ANG or AFR (as appropriate) Service is a Break in Service for PRP Purposes. See DOD Directive 5210.42." (This directive may be obtained through normal publishing channels.)

NOTE: Use the DOD reference for the benefit of DIS personnel. They do not have access to Air Force regulations.

**Figure 4-4. Continued.**

**4-14. Background and Special Background Investigations.** For BI or SBI requests, forward one original and four copies of DD Form 398 (DD Form 398-2 may be required when requesting an SBI), one original and two copies of DD Form 1879, one original DD Form 2221, and one original FD 258 to:

Personnel Investigations Center  
Defense Investigative Service  
P.O. Box 454  
Baltimore Maryland 21203-0454

NOTE: Table 4-2 shows the type and number of forms required for each category of background investigation.

a. The requester must retain a copy of DD Form 398, DD Form 398-2, (if used), DD Form 1879, and any ASCAS printouts pertaining to the investigation in an authorized requester's suspense file for tracer action until the investigation has been completed and the clearance eligibility is reflected on the unit ASCAS roster. The suspense copy of DD Form 398 is returned to the subject of the investigation when the ASCAS roster is updated.

b. When a PCS occurs, the requester must send the suspense copies of the DD Form 1879, DD Form 398, DD Forms 398-2 (if used), and any ASCAS printouts pertaining to the investigation to the gaining base authorized requester. Use AFR 10-4, volume I to obtain the mailing address of the gaining base authorized requester.

c. The requester forwards the suspense files of BI and SBI packages submitted at Basic

Military Training, Officer Training School (OTS), technical training centers, or pilot or navigator training schools to the gaining base authorized requester of investigations for monitoring, reaccomplishment, or tracing purposes should the need arise.

**4-15. Periodic Reinvestigation.** Form requirements for a PR are the same for a BI-PR and SBI-PR. Forward one original and four copies of DD Form 398, original and two copies of DD Form 1879 (place "PR" in letters approximately 1-inch high in item 20, DD Form 1879 to help DIS personnel identify PR requests), one original DD Form 2221, and one original FD 258 to:

Personnel Investigations Center  
Defense Investigative Service  
P.O. Box 454  
Baltimore Maryland 21203-0454

a. The requester keeps a copy of DD Form 398, DD Form 398-2 (if used), DD Form 1879, and any ASCAS printouts pertaining to the investigation in a suspense file until the investigation has been completed, the requested clearance is granted and then return the form to the employee.

b. When a PCS occurs, the requester must send the suspense copy of the DD Form 1879, DD Form 398, DD Forms 398-2 (if used), and any ASCAS printouts pertaining to the investigation to the gaining base authorized requester. Use AFR 10-4, volume I to obtain the mailing address of the gaining base authorized requester.

L I N E	A  Type of Investigation	B  DD Form 1879 (see note 1)	C  DD Form 398-2	D  FD Form 258	E  DD Form 2221	F  DD Form 398
1	Entrance National Agency Check (ENTNAC)		Original	See note 2 (DD Form 2280)		
2	National Agency Check (NAC)					
3	NAC when an ENTNAC is less than 1 year old (Precommissioning)					
4	DNACI					
5	Background Investigation (BI) when a NAC or ENTNAC has not been conducted	Original and 2 copies	See note 3 for YANKEE WHITE personnel		1 signed copy	Original and 4 copies
6	BI when a NAC has been conducted					
7	BI when an ENTNAC has been conducted					
8	Special Background Investigation (SBI) with no NAC or ENTNAC					
9	SBI when NAC is less than 1 year old	Original and 2 copies	Original on the subject's spouse and appropriate family members (see notes 3 & 4)	1 signed copy if the NAC is more than 1 year old	1 signed copy	Original and 4 copies
10	BI when an ENTNAC has been conducted					
11	BI periodic reinvestigation					
12	SBI periodic reinvestigation					
13	Special Investigative Inquiry (SII)	Original and 2 copies. Indicate the specific areas or issues requiring investigation in item 20		1 signed copy if FBI/ID fingerprint check desired		1 copy

## NOTES:

1. Submit DD Form 2221, Authority for Release of Information and Records, with every DD Form 1879 and DD Form 398-2 used to request a DNACI.
2. Use DD Form 2280 to request an ENTNAC. Do not use FD Form 258.
3. Presidential Support BIs and all SBI requests must

include an original of DD Form 398-2 on each member of the subject's immediate family who is 18 years of age or older and is a naturalized US citizen or a non-US citizen.

4. A spouse or cohabitant NAC is required to complete an SBI for all married or cohabitating personnel, providing a NAC has not been previously conducted.

**4-16. Additional Investigation To Resolve Derogatory or Adverse Information.** Normally, only AFSCO personnel request additional investigations required to resolve derogatory or adverse information developed through personnel security investigations (including actions incident to PRs prescribed above) by DD Form 1879 to the:

Defense Investigative Service  
Personnel Investigations Center  
P.O. Box 454  
Baltimore Maryland 21203-0454

Such requests must identify the basis for additional investigation and describe the specific matter requiring substantiation or disapproval. Accompany the request with an original DD Form 398 and a completed fingerprint card unless such documentation was submitted within the last 12 months to DIS as part of a personnel security investigation. If pertinent, send the results of a recently completed NACI or other available related non-DIS investigative reports with the request.

**4-17. Obtaining Results of Prior Investigations:**

a. AFSCO personnel request copies of prior DIS investigations by letter addressed to:

Defense Investigative Service  
Investigative Files Division  
P.O. Box 1211  
Baltimore Maryland 21203-1211

The request includes subject's name, grade, social security number, date and place of birth, and DIS case control number, if known.

b. Air Force personnel must submit requests for prior investigations to AFSCO with sufficient justification to allow them to determine the validity of the request. If required, AFSCO personnel order the investigation from DIS.

**4-18. Requesting Postadjudication Investigations.** DIS centrally controls personnel security investigations from the Personnel Investigations Center, Fort Holabird Maryland 21203-1211. Accordingly:

a. Address initial requests for investigation or requests pertaining to issues arising after adjudication of an investigation (post adjudication cases) to DIS PIC, P.O. Box 454, Baltimore MD 21203-0454 on DD Form 1879 with appropriate forms attached.

b. Submit all requests for initial investigations to DIS PIC as indicated above regardless of their urgency. However, if urgent need for a

postadjudication investigation exists or the mailing of a request to DIS PIC for initiation of a postadjudication case would prejudice timely investigative action, send these requests on DD Forms 1879 for initiation to the nearest CONUS DIS Field Office. In overseas locations, send investigation requests to AFOSI or the military investigative service element supporting the requester. The field element (either DIS, AFOSI, or the military investigative agency) subsequently forwards the DD Form 1879 and attached forms to DIS PIC. Completed investigations are returned only to AFSCO for adjudication. A fully completed DD Form 1879 and appropriate supporting documents may not be immediately available. Further, a case based on sensitive security issues may be compromised by requesting the subject to submit a DD Form 398. A brief explanation must appear on DD Form 1879, but do not include complete supporting documents.

**4-19. Responsibility for Proper Documentation of Requests.** The official signing the request for investigation (DD Form 1879) must ensure all documentation is completed in accordance with these instructions and that the prescribed number and type of forms are included.

**4-20. Requesting Postinvestigative NACs on Spouse:**

a. Each Air Force member or employee in a Category One, Presidential Support position, or requiring access to SIOP-ESI or SCI, who marries a non-US national or acquires a spouse of any nationality after completion of the personal history statement, must report the marriage to their immediate commander.

b. The immediate commander must:

(1) Initiate a request for a NAC on the individual's spouse if the member or employee has been the subject of an SBI. When the spouse already has a current ENTNAC, NAC, or higher investigation on record, another NAC is not required.

(2) Refer the matter to the special access program monitor who determines the effect of such marriage on the individual's eligibility for special access.

**4-21. Requesting Catch'Em In CONUS Investigations.** An analysis of overdue cases and case completion times by DIS personnel indicates significant delays are created when investigative cases or case leads are sent to overseas areas for

completion. The majority of the cases involved are BIs and PRs on service members who depart the continental United States (CONUS) shortly after requesting the investigation. DIS personnel instituted the "Catch'Em In CONUS" (CEIC) program in 1984 to combat this problem. Both the BI and the PR require a subject interview as an important part of the investigation. CEIC investigation request identifies individuals to DIS personnel in sufficient time to complete the BI or PR subject interview and other necessary local leads prior to the subject's departure to an overseas location. Personnel requiring a BI or PR and are scheduled for an overseas PCS move within 90 calendar days are eligible for CEIC. Procedures for requesting CEIC investigations are outlined below:

a. CBPO personnel and commanders or security managers must identify personnel eligible for CEIC BI or PR investigations as soon as possible. Complete and process AF Form 2583 to allow initiation of the required investigation.

b. The individual scheduled to PCS overseas completes DD Form 398 to request a BI or PR. Following local procedures, forward AF Form 2583 and DD Form 398 requesting the BI or PR to the base authorized requester of investigations for processing and initiation of the BI or PR investigation.

c. The base authorized requester of investigations initiates a CEIC request for investigation by:

(1) Notifying the local DIS agent by telephone of a CEIC request. The DIS agent picks-up the BI or PR request from the authorized requester. Do no mail the request.

(2) Providing a complete request packet; three copies of DD Form 1879; five copies of DD Form 398; one copy of DD Form 2221; and one copy of FD 258 to the local DIS agent. Retain a suspense copy of all request forms for mailing to the gaining activity in the event the BI or PR is not completed before the subject's PCS move.

d. The DIS agent conducts the subject interview, completes local leads, and forwards the BI or PR request packet to DIS PIC.

**4-22. Requests Procedures for Personnel Not in the Personnel Data System (PDS) or Personnel Data System for Civilian (PDSC).** The records of some personnel are not in the PDS. Requests for investigations on these personnel must be clearly identified to AFSCO personnel for

issuance of an AF Form 2584, Record of Personnel Security Investigation and Clearance. This form provides notification of clearance eligibility and favorable completion of the investigation to the requester. Two examples of personnel in this category are civilian applicants selected for sensitive positions and non-prior service ANG personnel applying for a commission. Notification of a favorable investigation must be received before appointment procedures may be completed. To identify personnel who are not in the PDS or PDSC:

a. Include in item 20, DD Form 1879 used to request a BI or an SBI for an applicant for a critical-sensitive position the following statement: "SUBJECT IS AN APPLICANT FOR A CRITICAL-SENSITIVE POSITION. AF FORM 2584 REQUIRED FOR NOTIFICATION OF CLEARANCE ELIGIBILITY." This statement alerts AFSCO personnel of the need for an AF Form 2584.

b. Annotate DD Form 398-2 used to request a NAC on non-prior service ANG applicants for commissioning on the top and bottom borders of the reverse side with: "AF FORM 2584 REQUIRED. ANG COMMISSIONING APPLICANT." Conspicuously annotate investigation requests on personnel whose records would normally, but are not in the PDS to permit issuance of AF Form 2584 by AFSCO personnel.

#### **Section D—Actions by DIS Upon Receipt of an Investigative Request**

##### **4-23. DIS Processing:**

a. DIS personnel honor authorized requests for personnel security investigations provided available files do not show a prior investigation which meets the requirements of the request. DIS personnel:

(1) Review the report when a prior investigation exists.

(2) Return a copy of the prior investigation with the current request for investigation to AFSCO when it meets the currency and scope requirements stated on the request.

(3) Conduct an investigation to satisfy the current request when the prior investigation does not meet currency and scope requirements. Both the current and the prior investigations are forwarded to AFSCO.

(4) Return the current request for investigation along with a copy of the prior investigation

to AFSCO when the prior investigation contains substantial derogatory information. AFSCO personnel resubmit the request when additional investigation is required to evaluate unresolved allegations.

b. DIS personnel send a preliminary report to AFSCO when significant derogatory information is developed during an investigation that could negatively affect security clearance eligibility. DIS agents continue the investigation unless AFSCO personnel advise otherwise. Investigations are expanded to substantiate or disprove allegations which reflect negatively on the character and trustworthiness of the subject.

c. DIS personnel send the results of all investigations to AFSCO. AFSCO personnel forward SBIs conducted for SCI access to HQ USAF/INSB after their clearance eligibility determination.

**4-24. Reopening of Investigations.** DIS personnel close an investigation and return the results to AFSCO when the FBI cannot complete a technical fingerprint check due to unclassifiable prints. AFSCO personnel forward the rejected FD 258 and associated forms to the authorized requester when reopening is required. Request reopenings expeditiously to avoid delays in clearance, commissioning, or appointment actions.

#### **Section E—Tracers for Status of DIS Investigations**

##### **4-25. PDS and Letter Tracers:**

a. **Personnel in the PDS.** Send PTI 41B ASCAS tracers to AFSCO to determine the status of open DIS investigations.

b. **Personnel not in the PDS.** Send letter tracers to AFSCO to determine the status of open DIS investigations. Categories of personnel not in the PDS include: civilian applicants, NAF personnel, contractor personnel, some ANG applicants for commissioning, foreign nationals, DODDS educators, etc. This list is not inclusive.

NOTE: Tracers are not authorized to determine the status of PRs.

##### **4-26. Time Limits for Tracer Submission:**

a. HQ AFOSP/SPIA personnel periodically publish the time limits for tracer submissions. The time required for DIS to complete different categories of investigations varies, which does not allow for publication of standard time limits for tracer submission. Time limits for tracer submission are reflected as minimum and maximum times. For instance, a tracer may be submitted no earlier than 100 calendar days after an investigation is opened and no later than 120 calendar days. This provides requesters of investigations a "window" to submit tracer transactions.

b. AFSCO personnel accept telephone tracers from MAJCOM, SOA, and DRU SPI staff members at any time.

#### **Section F—Canceling Personnel Security Investigations**

##### **4-27. General Information:**

a. Unit commanders, including the individual's commander at a temporary duty (TDY) location, must immediately notify the authorized requester when a pending personnel security investigation is no longer required.

b. The authorized requester must promptly notify the Air Force Liaison Officer at DIS Personnel Investigation Center (PIC) to cancel the investigation. The mail address is DIS/PIC (AF Liaison Officer), PO Box 1211, Baltimore, MD 21203-1211. The message address is DIS PIC BALTIMORE MD//AF LIAISON OFFICER//.

**4-28. Required Information for Cancellations or Changes.** Cancellation letters or messages must include the subject's name, grade, social security number (SSN), date and type of request for investigation, specific reason for cancellation, and current location and organization of assignment of the individual. The unit must submit all other changes for requested investigations such as change of investigation (BI to SBI), reason for investigation, return addressee, etc., to the authorized requester. The authorized requester submits required forms and DD Form 1879 to DIS requesting the change.