

Guide to clearance paperwork

Background Clearance Information Table

Contractors or employees new to FSA, or those that will be changing their job position level, need different levels of investigation and paperwork appropriate to their job risk levels. This document describes the different position risk levels of the jobs in FSA, including a description of each level, a description of the criteria for how to determine which risk level that position is, investigation required and forms required. Department of Education employees will undertake the activities in the investigation column. The contractor/employee is responsible for completing the forms and turning them in to the FSA Personnel Security Officer, Monica Glee. Each form is hyperlinked to the actual form itself, so all that is necessary is to go to the links, download the forms, complete and return them.

Position Risk Level	Description	Criteria for Determining Position Risk Level	Investigation Required (Performed by Department personnel)	Forms Required (click on each document for a link to the form)
<p>High Risk (HR) (6 or 6C)</p>	<p>Potential for <u>exceptionally serious impact</u> involving duties especially critical to the agency mission, with broad scope of authority, with major program responsibilities, which affect a major IT system. Examples include, but not limited to, project manager, deputy project manager, lead system administrator, security administrators, system development lead,</p>	<p>Position involves one or more of the following attributes:</p> <ol style="list-style-type: none"> 1. Responsibility for the development, direction, implementation, and administration of Department computer security programs, including direction and control of risk analysis or threat assessment. 2. Significant involvement in mission-critical systems. 3. Responsibility for preparing or approving data for input into a system which does not necessarily 	<ul style="list-style-type: none"> • BI (Background Investigation) <p>And</p> <ul style="list-style-type: none"> • PRIR (Periodic Reinvestigation) <p>After 5 years, and each succeeding 5 years</p>	<ul style="list-style-type: none"> • SF85P • SF85P-S • Limited OF306 items** • FD 258 • Fair Credit Reporting Act Release form • How to Complete 6C paperwork checklist (note somehow)

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	<p>system testing lead production, data entry team leader, select security officers, firewall administrators, and web server administrators.</p>	<p>involve personal access to the system, but which creates a high risk for effecting grave damage or realizing significant personal gain.</p> <p>4. Assignments associated with or directly involving the accounting, disbursement, or authorization for disbursement from systems of amounts of \$10 million per year or greater, or lesser amounts if the activities of the individual are not subject to technical review by higher authority to insure the integrity of the system.</p> <p>5. Major responsibility for the direction, planning, design, testing, maintenance, operation, monitoring, or management of systems hardware and software.</p> <p>6. Access to a system during the operation or maintenance in a way that bypasses incorporated controls, to permit high risk for causing grave damage or realizing a significant personal gain.</p>		<p>hyperlink to Monica's document)</p>

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Position Risk Level	Description	Criteria for Determining Position Risk Level	Investigation Required (Performed by Department personnel)	Forms Required (click on each document for a link to the form)
		<p>7. Any other positions that involve high risk for effecting grave damage or significant personal gain.</p>		
<p>Moderate Risk (MR) (5 or 5C)</p>	<p>Potential for <u>moderate to serious impact</u> involving duties of considerable importance to the agency mission, with significant program responsibilities that affect large portions of an IT system, or duties that require individuals to view or use Privacy Act-protected information. Examples are, but not limited to, lead system administrator backup, select system development team members, select system testing team members, data entry clerks or supervisors.</p>	<p>A position whose work is technically reviewed by a higher authority at the High Risk level to ensure the integrity of the system.</p> <p>Position involves one or more of the following attributes:</p> <ol style="list-style-type: none"> 1. Access to or processing of proprietary data or information protected under the Privacy Act of 1974. 2. Accounting, disbursement, or authorization for disbursement from systems with amounts less than \$10 million per year. 3. Other positions that involve a degree of access to a system that creates a significant potential for damage or personal gain less than that in High Risk positions. 	<ul style="list-style-type: none"> • NACIC (National Agency Checks with Written Inquiries and Credit) <p>Note: If a contractor NACIC investigation develops potentially actionable information the background screening will be expanded to a Limited Background Investigation (LBI).</p>	<ul style="list-style-type: none"> • SF85P • Limited OF306 items** • FD 258 • Fair Credit Reporting Act Release form • How to Complete 5C paperwork checklist (note somehow hyperlink to Monica's document)

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Low Risk (LR) (1 or 1C)	Potential for impact involving duties of <u>limited relation</u> to the agency mission through the use of IT systems. Examples are, but not limited to, select system development team members, data entry staff.	Includes all IT positions not falling into one of the above risk levels.	<ul style="list-style-type: none"> • NACI (National Agency Check with Inquiries) 	<ul style="list-style-type: none"> • SF85P • Limited OF306 items** • FD 258 • How to Complete 1C paperwork checklist (note somehow hyperlink to Monica's document)

* Description of the Investigative Forms Required. To access the documents click on each description.

1. [SF 85P, Questionnaire for Public Trust Positions](#) (Revised 9/95)
2. [SF 85P-S, Supplemental Questionnaire for Select Positions](#)
3. [OF 306, Declaration for Federal Employment](#)
4. FD 258, Fingerprint Chart (The FSA Personnel Security Officer, Monica Glee, is the only one that has these forms. See her for them. Fingerprinting is done at UCP 22B2 on Monday through Friday from 1:30 pm until 3:30 pm.)
5. [Fair Credit Reporting Act Release](#)

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Note: Forms must be completed to cover a period of not less than 7 years where specified.

** The contractor employee will complete items 1, 2, 8 through 13, 16 and 17a. If the official form is not available, the specific questions may be duplicated on a separate attachment and completed by the contractor employee.

This document is based upon guidance from Departmental Directive Contractor Employee Personnel Security Screenings Policy Supplement, Implementing Procedures and Responsibilities, dated 6/26/2003.