

# AREA DEFENSE COUNSEL DYESS AIR FORCE BASE



## Security Information File (SIF) Guide

### 1. WHAT IS A SECURITY INFORMATION FILE?

a. It is a documented history of unfavorable information concerning an individual's conduct or behavior, which indicates the granting, or retention of security clearance eligibility may not be clearly consistent with the intent of **national security**. A SIF is **not** intended to be used as an administrative action or punishment.

(1) A SIF is a collection of documents generated as a result of the discovery or development of unfavorable information having a bearing on an individual's loyalty, reliability, or trustworthiness with respect to eligibility for access to classified information and/or Special Compartmented Information (SCI) access. It may be established by a commander, staff agency chief or Air Force Central Adjudication Facility (AFCAF) representatives as a result of a personal security investigation (PSI) conducted by Defense Security Service (DSS), Office of Personnel Management (OPM) or other investigative agencies. A SIF serves as a repository for unfavorable information, which must be mitigated by further investigative, administrative, or adjudicative actions.

(2) SIFs can be established regardless of whether individual currently has access to classified information or unescorted entry authority since future clearance eligibility may be affected. EXCEPTION: Do not establish an SIF on federal civilian employee's occupying nonsensitive positions.

### 2. CRITERIA FOR ESTABLISHING A SIF

a. Examples of reasons to establish a SIF are outlined in DOD 5200.2-R, *Personnel Security Program*, some examples are:

(1) Repeated statements of pro-Communist, pro-terrorist, or anti-government in nature.

(2) Financial irresponsibility or unexplained affluence.

(3) Arrest by civil/military authorities if criminal conduct reflects on individual's honesty, loyalty, reliability or trustworthiness. For example, incidents of theft; embezzlement; bad checks; sexual misconduct, sexual misconduct with a minor; child or spouse abuse; illegal activity such as sale, transfer, or distribution of marijuana, narcotics, or controlled substances; assault; use of

firearms, explosives, dangerous weapons, or unauthorized sale of weapons; misuse or improper disposition of government property; and illegal drug involvement.

(4) Mental or emotional illness if a psychiatrist or clinical psychologist states illness may cause a significant defect in person's judgment or reliability, or if a previous condition may exist.

(5) Alcohol abuse that results in impairment of an individual's ability to perform assigned duties or to adequately safeguard classified information.

(6) Falsification or deception on enlistment application and related official documents, personnel history forms, or employment applications.

(7) Refusal or intentional failure by individuals who require an investigation or periodic reinvestigation to provide the Personnel Security Questionnaire (PSQ) documentation, release statements for review of medical, financial, or employment records; or refusal to be interviewed in connection with a Personnel Security Investigation (PSI) regardless of whether information is requested by investigative agency or the AFCAF.

(8) Conscientious objector status, if there is any indication of disloyalty.

(9) Two security violations within a 12-month period.

(10) Information leading to permanent decertification from Personnel Reliability Program (PRP) for other than physical reasons.

b. Examples of reasons that may not warrant establishment of an SIF:

(1) Minor traffic violation.

(2) Minor one-time alcohol related incident.

(3) Permanent decertification from PRP related to medical reasons of a physical nature.

(4) Disciplinary issues such as failure to repair; poor duty performance; failure to maintain weight standards; and any single isolated incident of poor judgment based on immaturity or extenuating circumstances which does not impact on the individual's ability to safeguard classified information.

(5) When Federal civilian employees occupy nonsensitive positions.

(6) Incidents where a SIF has already been established by the AFCAF based on unfavorable information.

### **3. ESTABLISHING A SIF**

a. If a unit commander/staff agency chief determines a SIF is necessary, certain actions are required:

(1) Notify individual involved in writing that a SIF has been established and reason for establishment, unless such notification would compromise an ongoing AFOSI or other agency investigation.

(2) If decision is made to suspend individual's access to classified information the same

decision automatically applies to the SCI and SAP access. The access to classified information and SCI is considered one under the DoD personnel security common adjudicative guidelines. Additionally, the commander/staff agency chief determines suspension of unescorted entry to restricted areas and access to the unclassified LAN system if applicable. The determination to suspend should be based on a thorough review of facts and an assessment of the risk to national security.

(3) Notify AAC/ASIC within 30 days if an individual having a SIF establishment is scheduled for reassignment, pending separation action, change of status, or any other personnel action.

(4) When a SIF is warranted, and an individual will be discharged within near future, commander/staff agency chief can delay establishment of SIF and forward all derogatory information along with a copy of discharge orders/retirement orders and his/her recommendation to grant or deny future security clearance eligibility to AFCAF for establishment of a "Z" code. This action alerts personnel of the existence of significant unadjudicated derogatory information at time of discharge.

(5) SIFs will be closed within 120 days from date of establishment. This is possible in most cases and a final determination should be made in the interest of national security. If a SIF cannot be closed within 120 days from date of establishment the unit commander/staff agency chief can request an extension up to and including 90 days.

#### **4. SIF CONTENTS**

a. The SIF should contain, but is not limited to:

(1) All copies of AFOSI reports of investigation, civil police or child advocacy reports, etc., pertaining to issue. Handle classified reports according to AFI 31-401 and AFOSI reports according to AFI 71-101.

(2) Copies of all pertinent Security Forces Incident/Complaint reports.

(3) A summary of UIF entries.

(4) A copy of all pertinent medical or Life Skills Support health evaluations which indicate significant impairment of individual's judgment or reliability. Report of evaluations must contain a diagnosis, its affect on individual's judgment or reliability, prognosis and likelihood of recurrence along with any additional instructions or restrictions on the use of information by appropriate medical authority.

(5) All pertinent information taken by Life Skills Support, such as: When an individual was enrolled in an alcohol/drug program, why enrolled, how program personnel classified individual, and date of successful completion or date termed a rehabilitative failure. Provide interim progress reports when applicable. If diagnosis is alcoholism, SIF must contain a copy of Intervention Committee's prognosis and recommendation regarding clearance eligibility.

(6) All copies of administrative or disciplinary actions to include; record of counseling, or reprimand, Article 15, court-martial orders, bankruptcy petitions, discharge orders (AF Form 100 for military personnel and AF Form 50b for civilian personnel), or copies of letters of indebtedness.

(7) All copies of available orders or other written notification changing status and location of individuals placed in retraining, appellate leave, rehabilitation or confinement status.

(8) All correspondence or forms relating to withdrawal of access (AF Form 2587, Security Termination Statement), including special access programs (AF Form 2583, Request for Personnel Security Action), unescorted entry (AF Form 2586, Unescorted Entry Authorization Certificate) and temporary or permanent decertification from PRP.

(9) All copies of correspondence from staff agencies as applicable (Director of Personnel, Security Forces, Judge Advocate, Surgeon General and Life Skills Support) relating to SIF reviews.