



NATIONAL SECURITY AGENCY
FORT GEORGE G. MEADE, MARYLAND

SFRN

Serial: N 0998

22 MAR 1961

MEMORANDUM FOR THE SECRETARY OF DEFENSE

(ATTN: General G. B. Erskine, USMC-Ret,
Assistant to the Secretary of Defense,
Special Operations)

SUBJECT: Personnel Security Background Investigations (u)

1. Re-examination of the clearance and other security procedures within the National Security Agency following the defection of two civilian employees during the summer of 1960 has resulted in numerous changes. One of these has been the elimination of interim clearances at this Agency. Under our present concepts, a new employee must have a final clearance before his services may be utilized in a fully productive capacity. Since all positions at the National Security Agency are sensitive, this requires the evaluation of a completed background investigation before the necessary clearance may be granted.
2. Normally, as soon as an applicant completes initial processing and it has been determined that he will be hired, one of the Military Services is requested to conduct an investigation into his background. The Military Services conduct such investigations on Agency civilian employees in accordance with support agreements executed under the terms of Department of Defense Directive S-5100.20, "The National Security Agency", dated 19 March 1959. Experience has shown that these investigations consume from two to nine months or more, during which time the employee is being fully compensated but is only partially productive at best.
3. In many instances, the time required for completion of the investigative phase of processing is unduly lengthened because the investigations did not meet the scope required by the United States Intelligence Board. The scope for investigations, as outlined by USIB in determining the basis for access to cryptologic information is not identical with that imposed upon the investigative arms of the three Services by their respective regulations.

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4. The United States Intelligence Board also requires that those individuals who have a broad knowledge of U. S. cryptologic activities shall be re-investigated at intervals not to exceed five years. The National Security Agency initiates re-investigation requests approximately four years from the date of the last investigation in order to provide adequate time to complete the re-investigation and the necessary evaluation.

5. In view of the current critical needs of this Agency for personnel, particularly those with critical skills, and the cost to the Government in salaries of personnel awaiting clearance processing, it is respectfully requested that the Secretaries of the Military Departments be asked to give priority handling to investigations on behalf of the National Security Agency. It is also requested that initial investigations and re-investigations of Agency employees be conducted under the broader scope outlined by the U. S. Intelligence Board. A draft of proposed correspondence to the Secretaries of the Military Departments on this matter is inclosed.



L. H. FROST
Vice Admiral, USN
Director

Incl:
a/s

cc: DIR ←
AG
Reading File
SEC

M/R: Self-explanatory.

A. F. Mathisen
A. F. MATHISEN, SEC-01, 3195, 21 Mar 61, ebc

D R A F T

MEMORANDUM FOR THE SECRETARY OF THE ARMY
SECRETARY OF THE NAVY
SECRETARY OF THE AIR FORCE

SUBJECT: Background Investigations Conducted on Behalf of the
National Security Agency

1. As part of the support rendered to the National Security Agency in accordance with agreements executed under the terms of Department of Defense Directive S-5100.20, "The National Security Agency", dated 19 March 1959, the investigative organizations under your cognizance conduct background investigations on that Agency's civilian employees. In view of changes in clearance and other procedures placed in effect at the National Security Agency to strengthen security following the defection of two employees during the summer of 1960, Agency employees may no longer be fully utilized in a productive capacity until they have been granted a clearance based upon a completed background investigation. Unless expeditious handling can be given to these investigations, a considerable cost accrues to the Government in the salaries of these personnel while they are awaiting the completion of investigations. Also, the Agency is restricted in its ability to satisfy requirements for the employment of individuals possessing critical skills.

2. The United States Intelligence Board has established investigative requirements for determining the eligibility of individuals whose duties entail access to special intelligence information and materials. These requirements which are published in Director of Central Intelligence Directive 6/3, Communications Intelligence Regulations, dated 29 December 1959, are necessary to insure that such individuals are of excellent character and discretion, and are of unquestioned loyalty to the United States. In addition, this Directive requires that those individuals who have a broad knowledge of the special intelligence activities of the United States shall be re-investigated at intervals not to exceed five years. The National Security Agency initiates requests to the Military Departments for such re-investigations approximately four years from the date of the last investigation, in order to provide sufficient time to complete the re-investigation and the necessary evaluation.

Incl # 1

3. It is requested; therefore, that the investigative organizations under your direction be required to give priority handling to investigations conducted on behalf of the National Security Agency. Further, it is requested that in order for the National Security Agency to fulfill its responsibilities under the provisions of Director of Central Intelligence Directive 6/3, that these investigations contain the coverage described in the inclosure to this Memorandum.

Incl:

Scope Requirements for
Investigations Conducted
on Behalf of the National
Security Agency

SCOPE REQUIREMENTS FOR INVESTIGATIONS CONDUCTED ON BEHALF OF THE
NATIONAL SECURITY AGENCY

A. INITIAL INVESTIGATION.

1. It is essential that the scope of the background investigations conducted on National Security Agency personnel cover the period of the last 15 years of the individual's life, or the period since his 18th birthday, as a minimum. These investigations must include investigative checks listed below, and, where indicated, extend beyond the 15 year period.

2. National Agency Check. The National Agency Check in connection with an initial background investigation will be conducted by the Civil Service Commission.

3. Citizenship. The United States citizenship of the individual must be verified. Where citizenship is acquired by birth, verification should be made through review of records of the appropriate Bureau of Vital Statistics, when possible. In addition, it is necessary that United States citizenship, by naturalization, of any member of the individual's immediate family, or his spouse's family, be verified when foreign birth is indicated. Included in the immediate family are mother, father, sisters, brothers, children, step-sisters, step-brothers, half-sisters, half-brothers, and adopted children over 18 years of age. When information indicates that a member of the immediate family was born in the Soviet Union or in a country under its control or influence, appropriate Government records which might provide information reflecting upon the loyalty of that relative should be reviewed in addition to the naturalization records.

4. Education. The records of all educational institutions, attended during the 15 year period, must be reviewed. In addition, interviews of school personnel with a knowledge of the individual should be conducted. The last secondary school or college attended, as appropriate, must be checked regardless of the time period.

5. Employment. Each employment by the individual during the period of the investigation must be verified by check of employer's records, where possible. In addition, an attempt should be made to interview at least one supervisor and two co-workers at each previous place of employment. Records of former Military or Civil Service must be reviewed when such service is indicated.

6. Residences. All places of residence during the period covered by the investigation must be verified and at least two neighbors who knew the individual at each place of residence should be interviewed. Only those military residences within the last five years wherein family-assigned quarters were utilized need be verified.

7. Associations. When information indicates the individual associates with foreign nationals, employees of a foreign country, or employees of a foreign commercial organization, the nature and degree of such association must be determined.

8. Police and Credit Records. Records of appropriate Police Departments and credit organizations should be reviewed for each area in which the individual has resided during the period covered by the investigation.

9. Divorce Records. Where there is an indication that a divorce has taken place, the appropriate court records should be reviewed for information pertinent to the investigation.

10. References. At least three persons listed as character references by the individual should be interviewed, and at least two other persons not so listed who are in a position to comment on the individual's character, loyalty and discretion should be interviewed.

B. RE-INVESTIGATIONS.

1. The re-investigation should encompass the period of time in the individual's life since the period covered by the last background investigation.

2. Education. Records of educational institutions attended by the individual must be reviewed and school personnel with knowledge of the individual should be interviewed.

3. Employment. Records of employment by the National Security Agency need not be reviewed. However, records of all other employers during the period covered by the investigation must be reviewed and at least one supervisor and two co-workers at each place of employment, including the National Security Agency, should be interviewed. This coverage must be applied to part-time employments.

4. Residences. All residences must be verified and at least two neighbors interviewed at each area of residence.

5. Police and Credit Records. The records of local Police and credit organizations in each area of residence must be checked.

6. Military Service. Records of Military Service subsequent to the period covered by the last investigation must be reviewed.

7. Divorce Records. When applicable, records of divorce action must be reviewed.

8. References. At least two persons listed by the individual as character references, and at least two other persons, not so listed, who are in a position to comment on the employee's character, loyalty and discretion must be interviewed.