



POLICY STATEMENT

Policy Statement 4060

Policy Area: Human Resources

Date: September 20, 2005

Approved: 
Susan W. Shaffer, Director

PERSONNEL SECURITY PROGRAM

I. COVERAGE

1. This policy applies to all employees, contractors, consultants, interns, and volunteers of the D. C. Pretrial Services Agency (PSA or Agency).
2. Responsibilities
 - a. The Director of PSA is responsible for setting policy for the Personnel Security Program.
 - b. The Director of Human Resources, Strategic Planning, Analysis and Evaluation (HRSPAЕ) is responsible for ensuring the designation of appropriate sensitivity levels for PSA positions; ensuring pre-employment screening and initiating appropriate background investigations on PSA employees; resolving any derogatory information uncovered during investigations and adjudicating results; and for developing associated policy and procedures.
 - c. The Director, Finance and Administration is responsible for working with HRSPAЕ to ensure that funds are available for background investigations and for processing funds transfers to the Office of Personnel Management (OPM) as needed for investigations.

II. BACKGROUND

The head of each department or agency is responsible for establishing and maintaining an effective personnel security program to ensure that the employment and retention of any employee is clearly consistent with the interests of national security and the efficiency of the federal service. This statement establishes policy for sensitivity requirements and personnel security, suitability, and investigation for PSA employees.

III. POLICY

1. PSA ensures that employment or continued employment of its employees is based upon a background investigation that verifies that potential employees and employees are reliable, trustworthy, exhibit good conduct and character and are loyal to the United States.
2. PSA may inquire into and examine a person's performance, experience, conduct, character, judgment, stability, discretion, integrity, responsibility, and candor to determine suitability for employment and trustworthiness. In the context of determining suitability for sensitive positions,

PSA may investigate and consider any matter that would reasonably subject the applicant or employee to coercion; but no inference concerning susceptibility to coercion may be raised solely on the basis of the race, color, religion, sex, national origin, disability, or sexual orientation of the applicant or employee.

3. Any derogatory information uncovered in an investigation must be favorably resolved before employment offers are made and a decision on continued employment is made. The resolution will require the adjudicator to identify the information, explain why it is considered significant and provide documented resolution.

IV. PROCEDURES

1. Position Sensitivity

HRSPAЕ will assign a position sensitivity level to each position, consistent with OPM guidance, and will document these designations in internal records and on the official position description.

2. Investigations—Applicants, Employees, and Interns

- a. HRSPAЕ will perform a preliminary background check on all applicants who are selected for permanent positions and individuals selected for intern positions. This check, covering law enforcement databases, fingerprint records and security checks with OPM and the Department of Defense, will be conducted and any derogatory information resolved before an official offer of employment is made.
- b. HRSPAЕ will initiate through OPM a background investigation on each employee within 14 days of his/her entry on duty. The level of the investigation will be commensurate with the sensitivity level of the employee's position.
- c. Investigation results will be reviewed and adjudicated as appropriate and required by OPM with every effort made to resolve derogatory information and allow the subject of an investigation due process in explaining issues. If issues cannot be resolved, the employee may be reassigned or removed from his/her position in accordance with PSA Policy Statement 4090.1, "Disciplinary and Adverse Actions

3. Investigations—Contractors and Consultants

- a. HRSPAЕ will ensure identity proofing and perform a preliminary background check on all contractors and consultants before they begin work. This check, covering law enforcement databases, fingerprint records and security checks with OPM and the Department of Defense, will be conducted and any derogatory information resolved before the individual starts working for the Agency.
- b. HRSPAЕ will initiate through OPM a background investigation on each contractor and consultant within 14 days of his/her beginning work. The level of the investigation will be commensurate with the sensitivity level of the employee's position.

4. Reports and Documentation

HRSPAЕ is responsible for maintenance of all files and documentation on position sensitivity, investigations and related materials and for reporting as required to OPM on investigations.

5. Budget

HRSPAЕ will consult when needed and at least annually with the Office of Finance and Administration to ensure that funds are available for investigations by OPM.

V. AUTHORITIES, SUPERSEDURES, REFERENCES AND ATTACHMENTS

Authorities

Executive Order 10450 – “Security Requirements for Government Employees”

Executive Order 12564, “Drug-Free Federal Workplace”

Homeland Security Presidential Directive 12—“Policy for a Common Identification Standard For Federal Employees and Contractors”

5 CFR Part 731, “Suitability,” and Part 736, “Personnel Investigations”

Supersedures

None

References

CSOSA Employee Standards of Conduct (dated August 30, 1999)

PSA Policy Statement 4090.1 “Disciplinary and Adverse Actions,” (dated August, 2003)

PSA Policy Statement 5513, “Information Technology Personnel Security Policy for PSA Business and Mission Critical Systems” (dated March 18, 2005)

Attachments

None