

FREQUENTLY ASKED QUESTIONS (FAQS) – Personnel Security Investigations (PSI)

(also see page w/ definitions)

(last updated 3/26/09)

QUESTION OR ISSUE	RESPONSE OR EXPLANATION
Why is this necessary and why now?	<ul style="list-style-type: none"> • 9-11; Heightened security requirements • move to DHS • to comply with COMDTINST
What types of PSI's are there?	<ul style="list-style-type: none"> • Fingerprints – basic or entry level • NACLCL – higher level
What is the purpose of the fingerprinting?	To Validate <ul style="list-style-type: none"> • Citizenship • No felony convictions • Determine eligibility for membership.
What is required for fingerprint checks?	<ul style="list-style-type: none"> • (2) FD-258 Fingerprint Card
What is the purpose of the NACLCL?	<ul style="list-style-type: none"> • All that is included in Fingerprint check. • Establishes eligibility for SECRET clearance. • Determine eligibility to participate in direct operational missions of the Auxiliary.
What is required for an NACLCL?	<ul style="list-style-type: none"> • (2) SF-86 (signatures in blue ink) • (2) fingerprint cards (FD-258) • (1) Fair Credit Reporting form DHS (11000-9) • (1) Copy of a Certified Birth Certificate or (New or Expired Passport)
What are the two categories of Auxiliarist participation?	<ul style="list-style-type: none"> • Direct Operational (DO) • Operational Support (OS)
What is Direct Operational (DO)?	Qualifications in <ul style="list-style-type: none"> • Aviators (All levels from Air Observers to Aircraft Commanders) • Fingerprint Technicians • Any staff as determined by the Sector Commanders • Certain District Elected Staff i.e. Commodore and Vice Commodore

What is Operational Support (OS)?	<ul style="list-style-type: none"> The balance of the Auxiliary membership and their activities.
Is it purely by my job, or by my location as well to determine "Direct Operational" or "Operational Support"?	<ul style="list-style-type: none"> The DIRAUX or local Operational Commander will make qualifications and determination of DO.
What is an Auxiliary Security Screener/Processor? (This position may not exist in all regions).	<p>Auxiliary member trained to</p> <ul style="list-style-type: none"> take fingerprints guide other Auxiliarist's in the completion of the NACLCL package and performs quality check of the NACLCL package forward forms to DIRAUX
Will my fingerprint card be sent immediately from the DIRAUX office to the SECCEN, or will there be monthly mailings?	<ul style="list-style-type: none"> The final decision on mailings to the SECCEN will be determined by the DIRAUX. However, the DIRAUX will ensure that timely mailings will be made to the SECCEN.
How will I be notified that my security check was approved?	<ul style="list-style-type: none"> The SECCEN will inform the originating DIRAUX when approved.

How long does the process take?	<ul style="list-style-type: none"> • Fingerprints – up to 60 days after receipt at SECCEN • NACLCL – 120 days after signature <p><u>Caveat:</u> These processes have not been tested with the Auxiliary yet or with this volume. These times may need to be adjusted.</p>
What if I responded I would participate but at the wrong level?	<ul style="list-style-type: none"> • Contact your DIRAUX.
What if I prefer to downgrade to the OS level?	<ul style="list-style-type: none"> • Contact your DIRAUX.
Will I get a clearance as a result of the NACLCL process?	<ul style="list-style-type: none"> • Not Necessarily. • The NACLCL makes an Auxiliarist eligible for a clearance. • Clearances are based on the NEED TO KNOW and access to classified information. Clearance need/request will be determined and processed by the Operational Commander through existing CG policy.
When can I submit my paperwork?	<ul style="list-style-type: none"> • When directed/requested by DIRAUX • This is a three-year process. • The ALCOAST assigns each District a monthly quota of fingerprints to submit to SECCEN and another quota for NACLCL packages. • This quota system is necessary to manage the flow of paperwork into the SECCEN.
When can I be fingerprinted and/or get to complete an NACLCL package?	<ul style="list-style-type: none"> • You may be fingerprinted anytime that is convenient to you and the cards may be forwarded to DIRAUX when requested. • Fingerprint cards are not time sensitive. • The NACLCL package is quite different. The SF-86 must be received by OPM within 120 days of signature. Do not, repeat do NOT complete and sign your forms until you have been told to do so. Member should keep their own copy.

<p>Many of the Auxiliary received the e-letter from the Chief Director's office that stated the form was already on the web for downloading but not to do anything until further notice from your DIRAUX. Should members start filling them out?</p>	<ul style="list-style-type: none"> • You may fill out the form(s), but must wait until directed by DIRAUX to sign and date the SF-86. • However, you must ensure that at the time of signing and dating, all of the information you provided is current and accurate.
<p>Where will forms be available?</p>	<ul style="list-style-type: none"> • Auxiliary National Supply Center (ANSC) • Some local CG Commands • DIRAUX • Auxiliary Security Processor (if position exists in your district) • http://forms.cgaux.org/security_forms.html (with the exception of Fingerprint cards)
<p>If I'm Direct Operational but won't submit an NACLIC until next year, should I be fingerprinted when I have the opportunity?</p>	<ul style="list-style-type: none"> • You may be fingerprinted anytime that is convenient to you and the cards may be forwarded to DIRAUX when directed. • Two (02) fingerprint cards are required for the Direct Operational PSI. • You must wait until directed by DIRAUX to submit your completed, signed and dated SF-86 or SF-86C.
<p>I'm concerned about the financial disclosure. Why is it necessary for them to look into my credit?</p>	<ul style="list-style-type: none"> • This is a requirement for all members of the Coast Guard to ensure that there are no financial matters that could cause you to be influenced by someone or do something due your need for money. • The Privacy Act applies to all personal information and will not be disclosed except as agreed upon by you when submitting your paperwork.
<p>What is a credit check?</p>	<ul style="list-style-type: none"> • Credit search of National Credit Bureau (7 years). • This consists of a credit check with Equifax, TRW & Trans Union, just like at a car dealership or a job application.
<p>If I have poor credit will I be disenrolled?</p>	<ul style="list-style-type: none"> • No, but it may influence your ability to participate at the DO level.

<p>What if I have some "skeletons" in my closet?</p>	<ul style="list-style-type: none"> • Be completely honest on all questions/all forms. • 80% of all NACLCS have "issues" that require adjudication. (see definition of Adjudication in the definition section) • Of those investigations that have "issues", only 1% of the 80% result in being considered by the SECCEN as being an unacceptable security risk. (e. g. : Unfavorable)
<p>Who are the adjudicators, where are they located and what do they do?</p>	<ul style="list-style-type: none"> • CG Active Duty, Civilian employees and government contractors who have been trained and certified, just as is done for active duty and civilian investigations. • SECCEN, Chesapeake, VA. • Adjudicators research each case, request additional information/documents and evaluate the circumstances of each case. • Adjudicators may contact you direct to resolve any issues.
<p>What if I commit a felony after these initial checks?</p>	<ul style="list-style-type: none"> • SECCEN is notified by the FBI on all felony charges/warrants/arrests. • DIRAUX will be advised for appropriate action in accordance with current directives.
<p>What if I already have an investigation/clearance from a Federal Agency?</p>	<ul style="list-style-type: none"> • SECCEN will pursue obtaining your current investigation. This applies primarily to current or recent Federal clearances. Coordinate this with your DIRAUX.
<p>What if I live an hour and half away from my local Flotilla and don't get to the meetings when the fingerprints are done?</p>	<ul style="list-style-type: none"> • Please notify your Division's Auxiliary Security Processor (optional position) or chain of leadership and management who will work with DIRAUX.
<p>Why the thoroughness/depth of the "check"?</p>	<ul style="list-style-type: none"> • The thoroughness/depth is to ensure compliance with Executive Orders and DHS standards to help ensure the security of the United States and the reliability of those that serve such as Auxiliarists, CG, DHS, DoD etc....

<p>If I am outside of my area, Dist or Div. (e. g.: snowbirds) will that make a difference in submitting the form?</p>	<ul style="list-style-type: none"> • Auxiliaries should be processed by their home district/DIRAUX but may be assisted by the local Division. • This is a three-year process. If you are going to be out of your home area for more than three years, please contact your DIRAUX to make alternative arrangements.
<p>Do I have to have a picture ID before I can submit the form?</p>	<ul style="list-style-type: none"> • A valid picture ID must be available upon request.
<p>What if I have traveled extensively over the past 7 years and there is not adequate space to report this on the form.</p>	<ul style="list-style-type: none"> • On the SF-86, page 9 has a continuation section to include information that did not fit in that particular block.
<p>As a prospective member do I pay my dues prior to having an approved security check?</p>	<ul style="list-style-type: none"> • Yes, the check will be retained at the flotilla level until the check has been completed and approved.
<p>Should I buy and wear a CG AUX uniform prior to receiving my approved security background check? What can I do as a prospective member?</p>	<ul style="list-style-type: none"> • No, you may participate in all non-operational Auxiliary activities and can attend all meetings and public education training sessions, but you may not wear a uniform until you have a completed and approved security background check.
<p>Before I receive my approved security background check, will I be processed by the DIRAUX for things such as a member number?</p>	<ul style="list-style-type: none"> • Yes, you will receive a member number.
<p>After Feb 1, what kind of interim status can I (as a prospective member) be given while the DIRAUX office awaits the results of my fingerprints (FP) from SECCEN? Can I get an interim ID, participate in training, get underway, etc?</p>	<ul style="list-style-type: none"> • You can participate in all non-operational Auxiliary activities/in processing etc.... No ID card will be issued until FP check is completed.
<p>After February 1, can I be qualified/certified as air/boat crew (or other DO) prior to the SECCEN adjudicating my security pkg? (According to the ALCOAST, the answer is no).</p>	<ul style="list-style-type: none"> • A new member, who has a favorable finger print check and has properly submitted all paperwork for a PSI, may receive an interim certification as an operational air/boat crewmember (and other DO) upon completion of appropriate qualifications by the DirAux/Operational CO. This interim certification is at the discretion of the DIRAUX upon favorable review of the member's SF-86 with no glaring issues.

<p>We understand that SECCEN will put the results of the adjudication of the PSI in AuxData, and that Director's will get the information from there. But will that be a completely passive, "pull" system, or will some kind of file be sent to DIRAUX?</p>	<ul style="list-style-type: none"> • <i>Will be determined at AUXDATA/PSI Tiger Team that will meet on 24-26 Feb 2004. Desire is for anything possible to be automated in terms of email notification etc...</i>
<p>If my fingerprints are submitted for FP Check purposes and are favorable, then I go Direct Operational, do fingerprints need to be submitted with SF-86?</p>	<ul style="list-style-type: none"> • In most cases no, since the SECCEN already holds your fingerprints on file they will submit with the SF-86 and DOT 1631.
<p>Why does the CG need fingerprints? Why can't the CG just run an NCIC check using name/SSN/DOB?</p>	<ul style="list-style-type: none"> • There may be persons who have "unknown" fingerprints in the FBI's system that will be identified by these checks. • The information provided on the Fingerprint card will also be used for citizenship verification.
<p>Can SECCEN accept fingerprints sent electronically?</p>	<ul style="list-style-type: none"> • NO, there is no mechanism in place to accept cards or prints electronically.
<p>Are budget resources being diverted from other Auxiliary needs to pay for the checks? Where is the funding coming from?</p>	<ul style="list-style-type: none"> • NO, special funding is being provided by the Coast Guard.
<p>How long is my signature valid on the SF-86?</p>	<ul style="list-style-type: none"> • The signature is indefinite if received by OPM within 120 days. Submission will be directed by DIRAUX. • Do not complete the SF-86 until directed to do so by DIRAUX. Do not sign or date the form until directed to do so by DIRAUX. • Completion of the SF-86 and the signing & dating should occur at the nearly the same time to ensure the form information is still current at time of signing.
<p>Are new members being included in the monthly quota?</p>	<ul style="list-style-type: none"> • NO, they will be processed as they join.
<p>Can the fingerprint card be folded to fit into an envelope?</p>	<ul style="list-style-type: none"> • NO, the card cannot be folded.

<p>How long are the PSI's good for?</p>	<p>Operational Support: (Fingerprint Check): Lifetime Direct Operational (NACLC)</p> <ul style="list-style-type: none"> • Basic Security Check for direct operational – lifetime. • Clearance Issued – every 10 years.
<p>What, if any, Privacy Act considerations are there/should there be with letting the Auxiliary leadership know: (a) who failed to respond, and (b) who declined on the Jan 15 form?</p>	<ul style="list-style-type: none"> • None. There are no Privacy Act considerations.
<p>If I didn't mail the form in as my way of "opting out" can I be advised of this for disenrollment purposes?</p>	<ul style="list-style-type: none"> • YES
<p>Where do I send fingerprint cards for new applications?</p>	<ul style="list-style-type: none"> • To your DIRAUX, and the DIRAUX will send it directly to the SECCEN
<p>Could I be IQ (Initially Qualified) and not BQ (Basically Qualified) until after the security check is done?</p>	<ul style="list-style-type: none"> • Prospective members can participate in only non-operational activities until the fingerprint check is completed. • full membership is contingent upon favorable check.
<p>How long will it really take for me to get a response?</p>	<ul style="list-style-type: none"> • We hope fingerprint checks will be completed with results returned within 60 days.
<p>If I were a coxswain on a lake 300 miles from a CG station? Do I have to do the SF-86?</p>	<ul style="list-style-type: none"> • No, you just need an OS (Operational Support) clearance.
<p>I am worried about ensuring the care, custody and control of my fingerprint card once the prints have been taken. What guidance is the CG giving on ensuring care, custody, and control of fingerprint cards once the prints have been taken? A basic security check key person in the district has stated that he does not believe the individual should be allowed to mail the cards in, as there is potential for fraud in the arrangement. He said this is a big issue for police departments.</p>	<p>DIRAUXs can send out guidance stating:</p> <ul style="list-style-type: none"> • Individuals taking the prints must put the cards in the envelopes, not the member getting fingerprinted. Otherwise this issue has not been deemed to be of significant problem by the Director of CG Security (CG-86) • SECCEN has never had an issue with any of the tens of thousands of active, reserve, or civilian packages they have processed to date. • The DIRAUX and the SECCEN will work together to ensure that security is maximized.

<p>What is the possibility of fraud if unknown persons (police officers or other non-Auxiliarists) take my prints, especially one-on-one?</p>	<ul style="list-style-type: none"> • There is always that possibility, but if a person is going to a local police department, there has to be a certain level of trust established by the position entrusted to those law enforcement officials. • Positive ID is required by the authority taking prints.
<p>Is there any chance of ID theft in this process once it gets into the Coast Guard's hands?</p>	<ul style="list-style-type: none"> • There are many opportunities to be a victim of identity theft, this process should be the least of anyone's worries – there are many internal safeguards. • The people that handle the data are themselves vetted to a high standard, we've never had an issue with one of the tens of thousands of active, reserve, and civilian folks we have processed to date.
<p>Do I have to pay to get my fingerprints taken? Should I pay?</p>	<ul style="list-style-type: none"> • Absolutely not. The National Commodore and the Chief Director have declared that their intention is for no Auxiliarist to have to pay to get the fingerprinting accomplished. • Nearly \$10K worth of fingerprinting kits are being distributed throughout the nation to the DIRAUX offices for further allocation within the District. • Other Law Enforcement agencies may take prints for free after being contacted by the local Auxiliary leadership or CG DIRAUX staff. Coordinating w/ local LE agencies or their "Police Auxiliary" to get fingerprints accomplished at no cost has been an integral "part" of the overall fingerprint plan.

<p>Is there a difference between a PSI and a security clearance?</p>	<ul style="list-style-type: none"> • YES. A PSI is the actual investigation that will be performed on Auxiliaries as a result of their status as either "operational support" or "direct operational." • The PSI for operational support personnel will be based on the fingerprint check to basically verify citizenship and potential felony history. • The PSI for direct Operational personnel will be based on the fingerprint check and the NACLIC to verify citizenship and felony history, as well as, history with law enforcement, national agencies and credit agencies.
<p>What is the CG Security Center (SECCEN)?</p>	<ul style="list-style-type: none"> • The CG SECCEN serves as the Central Adjudicating Facility (CAF) for the processing, determination and maintenance of all CG personnel security files.
<p>Am I required to supply a Social Security Number for the background check?</p>	<ul style="list-style-type: none"> • Yes. OPM will not process the form without a SSN, there is too much opportunity to mistake the identity using just names. • The "laws" and federal regs that govern the background checks do, in fact, require SSNs for the legitimate reason stated.
<p>What is the acceptable form of ID for me as a member or prospective member?</p>	<ul style="list-style-type: none"> • A driver's license, retired military ID, or other form of recognized ID.
<p>Will my approved background security check be entered into AUXDATA?</p>	<ul style="list-style-type: none"> • Yes.
<p>I heard I must provide my mother's maiden name? Where?</p>	<ul style="list-style-type: none"> • Your mother's full maiden name must be printed legibly on the reverse side at the bottom of the fingerprint card.
<p>I heard that the Special Agreement Check (SAC) (OFI FORM 86C) has to be completed with the Operational Support Fingerprint Card submittal. What is this form, and do I need to do it?</p>	<ul style="list-style-type: none"> • No. You do not need to complete this form SECCEN will do it. You just need to ensure that you have put your mother's full maiden name on the reverse side of the fingerprint card. • Any fingerprint cards that have already been collected without this information will have to be annotated with that information by the DIRAUX.

<p>Even though the SECCEN will be following up on whether the Auxiliarist has a clearance on file with another federal agency, does the DIRAUX need to forward anything on to the SECCEN?</p>	<ul style="list-style-type: none"> • No, unless additional documentation beyond the acceptance/denial form is needed and requested by the SECCEN.
<p>Besides the likely disenrollment if some sufficiently negative information turns up as a result of my personnel security check, are there any other potential impacts for me? For example, if the person holds a merchant mariner license, would any negative information be shared with the licensing community (possibly resulting in the revocation of my license)? Or, put another way, will the results of this background check effort be used solely, strictly, and confidentially for Auxiliary purposes?</p>	<ul style="list-style-type: none"> • Derogatory (derog) information will be passed in MEMO form from the SECCEN to the Aux mbr's DIRAUX. • Additionally, the CG is obligated to pass that derog info on to the MBI (Marine Bureau Index) that feeds back to the CG for the tracking of MMD (Merchant Mariner Document) cards. • Depending on the "derog" it could result in the suspension of their license. Common sense should apply - that if the information attained is derogatory and results in a revocation (after due process), the member probably is not suitable for the Auxiliary. • All personnel must remember that submission and completion of FP cards, SF-86, etc enters the person into the federal system/data base. Auxiliarists like others who go through this process should have no expectation that the CG will keep this info just to itself. • All info is eligible for official sharing to other federal agencies for official purposes if and as needed.
<p>Will the deadline be pushed back for the fingerprint cards in order to ensure my mother's maiden name is on the back?</p>	<ul style="list-style-type: none"> • No, the deadline will remain the same. However, we do keep in mind that everyone will do the best they can as we proceed to be as efficient and accurate as possible.