



DEPARTMENT OF THE ARMY AND AIR FORCE
JOINT FORCES HEADQUARTERS – NEW YORK
330 OLD NISKAYUNA RD
LATHAM, NY 12110-3514

J2

17 May 2017

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: Letter of Instruction (LOI) - Incident Reporting Requirements and Procedures

1. References.

- a. Department of Defense (DoD) 5200.2-R, Personnel Security Program, Jan 87.
- b. DoD 5220.22-M, National Industrial Security Program Operating Manual, Feb 06.
- c. Rapid Action Revision to AR 380-67, Personnel Security Program, 24 Jan 14.
- d. Memorandum, DAMI-CDS, 2 Dec 13, subject: Incident Reporting Requirements and Procedures.
- e. Memorandum, National Guard Bureau, 2 Feb 17, subject: Incident Reporting Requirements and Procedures.

2. Background.

a. Recent incidents regarding workplace violence and compromise of classified information reveal a persistent systemic problem with the lack of reporting credible derogatory information (adverse information) to the Department of Defense Consolidated Adjudication Facility (DOD CAF). In order to mitigate National Security and Insider Threat risks, it is critical to report derogatory information.

b. All Commanders, Supervisors, and individuals are required to report derogatory information within the scope of AR 380-67, Appendix I (reference 1c) to their commander and the State Security Manager (SSM) within 24 hours of becoming aware of the incident.

3. General. The process for reporting derogatory information is outlined below.

a. Commanders must review the derogatory information based on the security significance. Refer to the Commander's Guide to Incident Reporting (Enclosure 1) to determine if the information is reportable.

b. Commanders must document any and all credible derogatory information on the

J2

SUBJECT: Letter of Instruction (LOI) - Incident Reporting Requirements and Procedures

DA Form 5248-R (Enclosure 2, Report of Unfavorable Information for Security Determination), as well as the serious incident report (SIR). The DA Form 5248-R should be submitted through the SSM to DOD CAF within 7 days after initial notification. The DA Form 5248-R must include the commander's recommendation concerning restoration or revocation of the person's eligibility for a security clearance.

c. Commanders must submit follow-up reports every 90 days to the SSM. Once the incident has been finalized, the final report/disposition must be submitted to the SSM so that the incident report can be closed out and a final determination on the person's security clearance can be made by DOD CAF.

d. Suspending access can be done locally, through an informal suspension; this removes the person's system access. If the commander requests that a formal suspension is done in JPAS, this must be marked on the DA 5248-R. The J2 will then determine whether or not an access suspension should be placed in JPAS based on the incident. While an informal suspension can be lifted immediately, a formal suspension takes anywhere from 6 to 9 months to lift a formally suspended clearance.

4. Continued evaluations are conducted periodically by DOD CAF. If incidents are not reported or not reported in a timely manner, DOD CAF will alert National Guard Bureau G2, who in turn directs the SSM to notify the commander to take the actions stated in paragraph 3a-3d above.

5. The point of contact for this memorandum is SFC Ruth J. DeRenzo, Personnel Security Manager, at (518) 786-4927 or ruth.j.derenzo.mil@mail.mil.

2 Encls

1. Commanders Guide
2. DA FORM 5248-R

DAVID MARTINEZ
COL, LG, NYARNG
Director, J2

DISTRIBUTION:

AA
BB