

ATTACHMENT No. 5

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CHARACTER INVESTIGATIONS
SECURITY SCREENING -
APPLICANTS AND EMPLOYEES OF PUBLIC SERVICE

1. In order to appreciate the need for character investigations as a part of security screening, each member should have some background knowledge of this phase of the Force's operations. The Federal Government, by means of a Cabinet Directive, has laid down minimum security requirements respecting applicants for and employees of the Public Service who will have access to Top Secret, Secret or Confidential information. Briefly, the Directive makes completion of a Personal History Form mandatory in all cases and provides for the following specific procedures:

CONFIDENTIAL - A fingerprint and subversive indices check.

SECRET - A fingerprint and subversive indices check. If derogatory information is developed during the record check which is not clearly identifiable with the applicant or employee, a background investigation will be conducted to the extent necessary to arrive at a reasonable determination in the case. Additionally, if the authorized representative of the Government department or agency considers that an investigation is necessary to satisfy him as to an applicant's or employee's loyalty, integrity or discretion, he may request that enquiries be made concerning the individual's background by means of a field investigation.

TOP SECRET - A fingerprint check, a subversive indices check and a field investigation.

(Provision is made by Cabinet Directive for comparable procedures to meet the above standards, with the exception of fingerprinting, to apply to persons employed in defence industry and certain related services.)

(Special Activity)

S.A. STANDARDS - This is identical to a Top Secret clearance, except that the investigation must cover the 20 year period immediately preceding the application or go back to the subject's eighteenth birthday, whichever is the earlier.

NOTE: A request to clarify adverse traces only, should not be interpreted as a request for field investigation.

2. The role of the R.C.M.P. is described in the Cabinet Directive as follows - "The function of an investigating agency is only to provide all available information pertinent to both loyalty and character in the form of evaluated factual reports." However, because of Canada's participation in NATO and close alliance with the United States and the United Kingdom in defence and research, the Force has certain commitments in the security screening field that allows more latitude in the scope of our operations.

3. While it must be assumed that the applicant will be aware that he is subject to screening, neither the person under investigation nor his relatives are to be interviewed except on specific instructions from Headquarters, Ottawa.

4. It should be remembered that the security status of an individual is determined not only by his political reliability but also by his character.

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5. Interviews shall be conducted in person, however, under certain circumstances it may be necessary to telephone the intended source for an appointment for a future interview. In such cases the source should not be informed of the identity of the person being screened and if an explanation is unavoidable, it will be sufficient to state that the enquiry relates to a security matter which cannot be discussed by telephone. At the start of an interview with any person for information relating to an applicant or employee, the investigator should first identify himself as a member of the Force and explain frankly that the subject of the enquiry is being considered for a responsible position which may have a bearing on the security of the country. Then he should ask the person to respect the confidential nature of the enquiry. During the interview it is essential that the investigator maintain a serious, mature and businesslike manner. The person being interviewed should also be informed that a routine security enquiry should not be construed as a reflection on the status or character of the applicant or employee. The investigator must always remember that he is seeking information and that he must not reveal details of any information already in his possession. Questions put to all sources must be carefully phrased to elicit the information required without suggestion to the source that the candidate may be suspect. Every precaution shall be taken to avoid gossip arising from our investigations. These procedures are designed to gain the confidence of the person being interviewed and to minimize the possibility of criticism of the Force.

6. When it has been determined that the person being interviewed is someone who has a comprehensive knowledge of the background and activities of the subject or his relatives, he should be asked for a frank assessment of their loyalty and character.

7. During security enquiries, the most thorough investigation possible shall be made into the character and background of the applicant or employee and the information obtained shall be reported in such a manner that the interested department may have a factual basis on which to determine his suitability for employment. Such investigation shall be sufficient to determine whether or not the individual is of unquestionable loyalty, integrity and trustworthiness; and of such character, habits and associations as would cast no doubt upon his discretion or good judgment in handling classified information. There is no objection to interviewing the references listed by the applicant or employee on his Personal History Form, however, for the purpose of these enquiries, independent and knowledgeable sources should be utilized, when possible.

8. Reports should be confined, insofar as possible, to facts and any opinions regarding the suitability of an employee or applicant should be those of the persons interviewed, and not opinions based on hearsay. It is important to distinguish clearly between statements of fact and statements of opinion. When an opinion is expressed, it should be shown as an opinion and the sources' supporting reasons given. An opinion not identified as such is worthless and misleading. Police opinions should be confined to that portion of the report dealing with 'Investigator's Comments' and, when necessary, to forwarding minutes.

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9. Character enquiries for security screening shall be carried out in plain clothes, except when local conditions are such that the confidential nature of the investigation can be better protected, and less public speculation aroused, by the member conducting the enquiry in uniform.

10. Headquarters, Ottawa, is responsible for:

- (a) accepting screening requests from and replying to Government Departments and agencies;
- (b) checking Headquarters' subversive indices, and general indices when required;
- (c) confirming citizenship, when necessary;
- (d) confirming military service of applicant and relatives;
- (e) controlling all security screening correspondence with foreign agencies;
- (f) instituting enquiries to clarify any information, either foreign or domestic, that may have a bearing on the security status of the applicant or employee; and
- (g) checking directly with the appropriate Credit Bureaus in security screening cases, except in extenuating circumstances or as required by para. 38.

11. Divisions shall be responsible for:

- (a) checking Divisional general indices on the candidate and the spouse and checking Divisional subversive indices on the candidate, the spouse and all adult relatives *residing in the Divisional area*, and developing any subversive information which comes to light during the investigation. (Subversive information will include that which is related to Communism, extreme nationalism or of ultra right wing character.) Divisional subversive indices should also be checked on those persons who, through a close continuing association, may be in a position to influence the candidate.
- (b) checking local police records on the candidate and spouse when the enquiry is being conducted on behalf of a foreign agency. In the case of Canadian Government screening, such checks need only be undertaken when investigation uncovers adverse information, when in the investigator's opinion such action may contribute to the investigation, or when specifically requested by Headquarters, Ottawa; (For security screening of R.C.M.P. personnel, see paras. 31 to 44.)
- (c) determining the extent and purpose of any connection the applicant or employee has had, either in Canada, or abroad, with persons from areas which are Communist dominated or with groups or organizations considered to be of an extreme nationalist or ultra right wing character; (Information will also be sought concerning the purpose for any travel to such areas except in the service of the Government.)

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11. (d) conducting neighbourhood enquiries relating to the subject's past and present places of residence;
- (e) interviewing the present and past employers of the subject as listed on the Personal History Form, giving special attention to performance and reliability; (Remarks as to general conduct while employed and reasons for termination of employment, should be obtained. Immediate supervisors or co-workers who might reasonably be expected to have personal knowledge of the individual should be interviewed. If an applicant requests that no approach be made to his present employer, additional care should be taken to determine character and reliability from alternate sources. *In addition, the candidates' activities are to be covered during periods of unemployment which are listed on the Personal History Form or are disclosed during the investigation.* If a candidate is a member of the Armed Forces it will be unnecessary for the investigator to conduct enquiries at military establishments. Although this avenue of enquiry is a Headquarters' responsibility, as specified in para. 10, the instruction is not intended to prohibit the investigator from conducting enquiries at local Armed Forces establishments should such action appear necessary to resolve or supplement information developed during an investigation.)
- (f) determining if the subject or his spouse drink to excess or if they are inordinate users of drugs, narcotic or otherwise;
- (g) determining if there is any illness, mental condition or hereditary weakness of a nature which might cause a significant impairment of the judgement or reliability of the candidate;
- (h) verifying date and place of birth through available sources;
- (i) determining if there is any indication of sexual deviation, particularly homosexuality, on the part of the applicant or spouse; (Sexual deviates are potential targets for blackmail and, as such, poor security risks.)
- (j) determining if there is any indication of financial instability such as chronic indebtedness; (Habitual failure to honour financial obligations might conceivably constitute a security risk by reason of the individual's vulnerability to coercion or pressures.)
- (k) determining the degree of influence on the candidate when an adverse trace comes to light on a relative;
- (l) determining if there are any facts which furnish reason to believe that the candidate or spouse may be subject to coercion, influence or pressure which may precipitate action contrary to the interest of security;
- (m) determining, to a satisfactory degree, if the candidate is considered discreet and trustworthy;
- (n) ensuring that, whenever possible, adverse information is corroborated by at least one other source; and

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11. (o) ensuring that sources of information are properly assessed. Most sources will be providing information for the first time and will be unknown to Headquarters' personnel who are required to assess their reliability. It is essential, therefore, that field personnel provide the necessary facts and opinions in order to permit such assessment being made, i.e., all available information on source, identification, motivation and particularly access to information. The identity of the source, will not, of course, be revealed.

12. Enquiries at educational institutions attended by the subject, to verify scholastic attainment and character shall only be carried out on instructions from Headquarters, Ottawa. This does not prohibit interviewing former teachers or professors if relevant character information might be expected from such sources.

CREDIT BUREAUS

13. The Force has entered into a national contract with the Associated Credit Bureaus of Canada which has its Head Office in Toronto, Ontario, and a hundred and twenty-one affiliated offices across Canada from which information relative to credit ratings will be sought. This organization can provide us with an efficient means of determining a person's financial stability, since it maintains twelve million permanent credit bureau files on residents of Canada who have applied for credit from its merchant members. In addition to the information provided by these sources, the files contain information from newspapers, items of public record, court judgements, and from investigations carried out through the Association's collection department.

14. The Association's Head Office has issued instructions to its associated bureaus across Canada with which Headquarters, Ottawa will correspond and on occasion field personnel will deal. These instructions are quoted hereunder for the information of those field personnel who may deal with local credit bureaus within the terms of our national contract.

SERVICE

"In every case service will be requested in person by a member of the Royal Canadian Mounted Police who will present identification issued by that Force.

The R.C.M.P. member will request a file report - Code No. 62580, on and will provide the name, address and employment of the subject of the report.

COMPLETE file data is to be provided verbally. Under no circumstances is a Written Report to be provided under the National Association Service Agreement with this National Member.

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14. (Continued)

NO FILE RECORD

In such cases, it is not desirable or necessary that a record be kept on the subject's permanent Credit Bureau file. Therefore, the usual procedure of noting the date and enquiring Member's Code Number does not apply to these cases.

SERVICE REQUEST COUPON

When a member of the Force comes into the Credit Bureau to obtain a report, please complete the service request coupon, three part I.B.M. form, and have him sign on the line "name of requestor" and give him the white (original) copy of the coupon. This will become authorization to pay the redemption copy of the coupon when it comes through with the Association's statement of account. No National Account address is required in this case, just the Code No. 62580.

SERVICE AGREEMENT

Your National Association has a signed Service Agreement with this National Account to cover the services requested.

NO TELEPHONE REQUESTS

The basic requirement of this arrangement is that a Representative come into the Credit Bureau, in each case where information is desired. In no case is a request by any other means to be recognized."

Although these instructions state that the information on file will be provided verbally we have been assured that our members will be allowed to read and make notes from these files personally. Should any difficulty be encountered in this respect, notify Headquarters, Ottawa, so that remedial action may be taken.

15. The term Code No. 62580 signifies the code number of our contract and the investigator must ensure that it has been placed on the coupon when he signs it. One Service Request Coupon will be completed for each file check requested. The original copy of the coupon shall be forwarded to Headquarters, Ottawa with the report covering the credit check. All Headquarters' file numbers shall be placed on these coupons when they are being made up. Because accounts are verified and paid from Headquarters, Ottawa, the name and file numbers must be legible on all copies of the coupon. (Under no circumstances is payment to be effected by way of Form F-93.)

16. Credit Bureau checks made under the terms of our contract are for security screening cases exclusively and shall be undertaken only on specific instructions from Headquarters, Ottawa. The exception will be when the Division institutes enquiries for those prospective employees of the Force who will have access to Secret and Top Secret information. The Association has given assurance that existing arrangements between our members and its affiliates by which checks are obtained gratis for other purposes will not be adversely affected. Members who request checks at a Credit Bureau for other than security screening purposes are required to advise the manager or staff member that such checks are not covered by the contract.

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17. Information concerning large unpaid debts which could obviously reflect adversely on a subject's financial responsibility may be referred to the field by Headquarters, Ottawa for confirmation with the local credit bureau or through other available sources to develop background information of such indebtedness.

18. Before making use of the facilities of any of the Association's credit bureaus, the reliability of the manager and such staff members as may be contacted shall be established. Should circumstances develop which suggest that the reliability of any of these persons is questionable, details shall be reported to Headquarters, Ottawa.

19. All Departments and Agencies of the Government which avail themselves of our security screening service have appointed security officers. Therefore, should only local representative of a Government Department or Crown Company request information concerning an employee or applicant, he should be asked to direct his request to his head office. Any request for screening from an individual or private concern should be returned to the originator, advising that the request should be directed to the Government Department with which he is dealing or to R.C.M.P. Headquarters, Ottawa. Fingerprinting of non-criminals - See IDE-fin.)

20. RESERVED.

SECURITY SCREENING -
PERSONNEL AND APPLICANTS - DEPARTMENT OF
NATIONAL DEFENCE

21. The results of security checks on personnel of the Armed Forces, and their families, in answer to requests from local investigation units of the Armed Forces, may be supplied only when no adverse record exists. Should an adverse record be held, the units will thereupon be advised to address their enquiries to their respective Headquarters at Ottawa. As a further guide to co-operation with the investigation units, additional information may be given within the following general terms:

(a) When investigation units request advice as to the suitability of any proposed contacts they may be advised, where no adverse information is available, that there is no known reason why such persons should not be approached. If adverse facts are known the unit may be advised that for the purpose of furthering security inquiries such persons are not considered suitable as contacts.

(b) The unit should be so informed when it is considered that a particular service enquiry would conflict with an investigation under way or contemplated by the Force.

22. In addition to security checks, the Canadian Forces desire to know the local police record, if any, of applicants for enlistment. Members in charge of Detachments will, therefore, at the request of any recruiting officer of the Canadian Forces, issue a certificate in the following form and return it direct to the recruiting officer concerned. No opinion as to the character of the applicant shall be shown on the certificate but where there is a known criminal record

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22. (Continued)

it may be shown. A copy of this certificate shall be retained on Detachment file. No report is required unless there are unusual factors relating to the request.

**ROYAL CANADIAN MOUNTED POLICE
CERTIFICATE**

This is to certify that(name)
as of
(date) has no (has the following)
criminal record at Detachment.

.....
i/c Detachment

23. Reports related to security screening investigations should be submitted in accordance with paras 76 & 77 of CORR - and appendices thereto.

24 - 30. RESERVED.

**SECURITY SCREENING AND CHARACTER INVESTIGATIONS
OF REGULAR MEMBER, CIVILIAN MEMBER AND SPECIAL
CONSTABLE APPLICANTS FOR THE FORCE**

31. Security screening and character enquiries on prospective recruits shall be carried out as detailed in para. 32 et seq., and reported by headings in the order listed on Form C-237. Reports shall be submitted by Detachments direct to Division Headquarters in sufficient copies to enable Division Headquarters to make the following distribution:

- original - to Commissioner
- duplicate - to Division

triplicate - to other Division(s) concerned when
etc. applicable.

Detachments shall retain a copy of such reports for their file record except as otherwise provided in para. 44.

RECORDS

32. Local and Divisional indices shall be checked including all municipal and provincial records in each locality where the applicant has lived for the past 10 years or since his 13th birthday.

CONVICTIONS

33. All convictions shall be recorded. When investigation reveals that the applicant himself has a record not previously reported upon initially, a further explanation shall be submitted in accordance with C.S.O. 1004(2)(g).

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MILITARY SERVICE

34. An applicant's record of service in the Reserve, Militia or Cadets shall be obtained from the local unit wherein he served. Enquiries covering members who are serving on a regular basis with the Canadian Forces may be obtained from their Service and Medical File at their present post. Enquiries respecting a Discharged member of the Canadian Forces who has served on a regular basis are to be directed to the Commanding Officer "A" Division for investigation. When the applicant is the son of a serving member of the Canadian Forces who has served overseas, information respecting the applicant during his stay overseas may be obtained from his father's Service File at the father's present post. If the father is a discharged member of the Canadian Forces, and the applicant had resided with him during a tour of duty overseas, such requests are to be directed to the Commanding Officer "A" Division for investigation.

SOURCES

35. All sources of information are to be named and their reliability established to a reasonable degree. On the first occasion that any person is named in a report, he must be identified by name in full, address and occupation.

EDUCATION

36. His standing, attitude, behaviour and participation in organized athletics and student body functions at each school attended during the last three years, together with grade completed and a list of marks attained during his last successful year, shall be ascertained.

EMPLOYMENT

37. Enquiries shall be conducted at all places of employment during past 10 years or from his 16th birthday whichever is less. The opinions of employers or fellow workers, periods of employment, attitude towards work and fellow employees, as well as reason for termination and if rehirable, shall be ascertained. When an applicant has indicated that enquiries may jeopardize his present employment if made through his employer, they should be made elsewhere provided the same results can be obtained.

RESIDENCE

38. Neighbourhood enquiries shall be conducted at each point where he has resided during the past 10 years or to his 13th birthday whichever is less. All aspects of his conduct, character, appearance, acceptance by the community, subversive tendencies and whether he has any outstanding debts shall be covered. To assist in this regard a credit bureau check shall be conducted concerning the applicant and the credit bureau coupon is to be attached to the report. (See para. 15.)

RELATIVES

39. All relatives listed on the application document, except aunts and uncles, shall be checked through Divisional indices, and the local police records where they reside. If any adverse traces are found, such relatives should be completely reported upon with particular emphasis on the degree of influence on, or association with, the applicant together with comments from employers and neighbours.

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SPONSORS

40. The two sponsors listed on the Form A-114 shall be contacted and it shall be determined that they are adult Canadian citizens or British subjects, not related to the applicant and who know the applicant well enough to provide a worthwhile assessment. Their opinions shall be recorded.

INVESTIGATOR'S COMMENTS

41. The investigator shall include a general resume of his findings, including his own opinion of the applicant's suitability for service in the Force. When detrimental information has been obtained, it shall be stated whether or not the prestige of the Force would suffer if the applicant was engaged. The investigation shall tactfully delve into and specifically report on the emotional stability of the applicant. Additionally, bearing in mind the contents of para. 39, information regarding the mental stability of immediate relatives must be reported on in a like manner. As much detail as possible should be reported as this may have a bearing on ultimate acceptance or rejection.

42. Except when the prospective recruit is a son of a serving member, the investigator should visit his home. If possible, the applicant should be in attendance during this visit and any questions that he or his family may have concerning the Force should be answered.

43. If the prospective recruit is a son of a serving member, his parents should not be investigated, and the remainder of the investigation shall be conducted by a senior N.C.O.

ASSISTANCE - APPLICANT ENQUIRIES

44. (1) When enquiries are made to assist another detachment or division, a temporary holding file shall be opened and numbered numerically under the 402 CIB Classification. All levels shall destroy their holding file when the report has been submitted. (See para. 31, for number of copies of reports.) This will leave the ledger entry as the only record.

(2) If further action is necessary, the originating division shall provide sufficient data.

45 - 51. RESERVED.