

October 9, 1975.

CABINET DIRECTIVE NO.

Personnel Security Clearance

Short Title

1. This directive may be cited as the Personnel Security Clearance Directive.

Interpretation

2. In this directive,
"classified information" means Government information or material classified Top Secret, Secret and Confidential in accordance with the principles set out in Security of Information in the Public Service of Canada; and information or material of a similar nature which is the property of other jurisdictions and in the custody of the Government;
"Confidential information" means information classified in accordance with the classification Confidential as defined in Security of Information in the Public Service of Canada;
"department" means a department or agency of the Government of Canada;
"departmental security officer" (DSO) means the official appointed by the deputy head to assist him in carrying out his responsibility for the departmental security program, including personnel security;

"deputy head" means

- (a) where the person concerned is employed in a department named in Schedule A to the Financial Administration Act, the deputy minister thereof;
- (b) where the person concerned is a member of the Canadian Forces, the Chief of the Defence Staff;
- (c) where the person concerned is a member of the R.C.M. Police, the Commissioner of the R.C.M. Police; and
- (d) where the person concerned is employed in any portion of the public service specified from time to time in Schedule I of the Public Service Staff Relations Act (other than departments named in Schedule A of the Financial Administration Act), the chief executive officer thereof or, if there is no chief executive officer, such person as the Governor in Council may designate as the deputy head for the purposes of this directive.

"field investigation" means inquiry by means of interviews with persons who have had association with a person being considered for personnel security clearance, to elicit information bearing on the person's loyalty and reliability;

"fingerprint record" means the consolidation of criminal charges and their dispositions as maintained by the national security agency which may contain similar information respecting charges dealt with in foreign countries;

"Government" means the Government of Canada;

"national security agency" means the R.C.M. Police;

"personnel security" means the application of the policy and procedures set out in this directive to ensure the loyalty and reliability of persons as indicated;

"personnel security clearance" means the decision of the deputy head to authorize a person to have access to classified information when personnel security is required under the terms of this directive;

"public service" means the several positions in or under any department or other portion of the public service of Canada specified from time to time in Schedule I of the Public Service Staff Relations Act and the Canadian Forces and the R.C.M. Police;

"records check" means inquiry into readily available records such as subversive and fingerprint records of the national security agency, government personnel files, and immigration and citizenship files as appropriate, to elicit information bearing on the loyalty and reliability of a person being considered for personnel security clearance;

"Secret information" means information classified in accordance with the classification Secret as defined in Security of Information in the Public Service of Canada;

"security screening" means the implementation of inquiries to obtain information on the basis of which a judgement can be made as to the loyalty and reliability of a person being considered for personnel security clearance;

"Top Secret information" means information classified in accordance with the classification Top Secret as defined in Security of Information in the Public Service of Canada.

Policy

3. The deputy head is responsible for the administration, within the department, of the personnel security clearance policy and procedures of the Government.

4. The deputy head will appoint a departmental security officer to assist him/her in carrying out these responsibilities. The departmental security officer will be a senior official of the department, and will be the

subject of a personnel security clearance to at least the Top Secret level. The deputy head will notify the Secretary of the Interdepartmental Committee on Security and Intelligence of the appointment and clearance, and the Secretary will maintain a comprehensive listing of departmental security officers.

5. The Government has a responsibility to ensure the loyalty and reliability of persons in positions requiring access to classified information. To this end, personnel security clearance is required for such persons before access is given.

6. Persons who are identified as being persons described in Annex A must not be granted personnel security clearance, and therefore must not:

- (a) when known, be recruited into the public service in positions for which such clearance is required;
- (b) if discovered within the public service, be appointed to or retained in positions for which such clearance is required;
- (c) be employed under contract in positions for which such clearance is required.

7. Personnel security clearance must also not be granted to persons described in Annex A who are:

- (a) employees or persons about to be employed in industrial firms and related establishments with respect to positions where access as indicated in paragraph 5 is required;
- (b) employees or persons about to be employed in the public or private sectors who by the nature of their duties may have unauthorized access.

8. The national security agency is responsible for conducting field investigations, records checks and checks of fingerprint records and providing such other assistance and advice as may be required for personnel security in this directive. This does not limit in any way the right of the Canadian Forces to conduct field investigations, through their own resources, of personnel employed with or on behalf of the Department of National Defence.

9. Personnel security clearance will not be granted to an alien or former alien with less than ten years' residence in Canada, unless in the opinion of the deputy head:

- (a) it is possible for inquiries meeting Canadian standards to be conducted; and
- (b) after careful consideration of the circumstances, including the value of the person's services, the risk involved seems justified.

10. To enable the Government to review and assess the policy and procedures set out in this directive, the national security agency and departments will submit quarterly reports addressed to the Secretary of the Interdepartmental Committee on Security and Intelligence outlining action taken in cases where personnel security clearance has been withheld or withdrawn.

Procedure

11. To carry out their responsibility in granting personnel security clearances, departments must first obtain sufficient information about the person concerned to make a reasonable judgement as to his/her loyalty and reliability. In making this judgement, it must always be borne in mind that, while the interests of the national

security must take precedence where there is a reasonable doubt, every effort must be made to safeguard the interests of the individual.

12. Information about persons who are being considered for personnel security clearance must be obtained:

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- (a) from the persons themselves, who, to this end, must complete a copy of the Personnel Security Clearance Questionnaire (Annex B), and must be fingerprinted;
 - (b) where appropriate, from other individuals having knowledge of the persons; and
 - (c) from investigations conducted by and on behalf of the national security agency.

Departments will inform persons who are being considered for personnel security clearance of the reasons for seeking such information about them.

13. Information obtained for purposes of personnel security clearance:

- (a) will be classified at a level not less than Confidential;
- (b) will not be placed on the person's personnel file;
- (c) will be made available only to the deputy head, the departmental security officer, or persons designated by them;
- (d) will be administered in such a way that its personal and private character are maintained;
- (e) if it relates to doubt concerning the person's loyalty or reliability, will be returned to the national security agency for review in the case of a person to be employed in another department or for disposal in the case of termination of employment;

- (f) if doubt is not involved, will be provided to the department in which the person is to be employed.

14. Each department will be responsible for ensuring that security screening is undertaken in accordance with the minimum standards set out in Annex C.

15. Security screening procedures will be initiated by:

- (a) the responsible staffing officer in the case of persons about to be employed;
- (b) the departmental security officer in the case of persons already in the public service, and in the case of persons to be employed under government contract, except those in (c);
- (c) the Department of Supply and Services, in the case of employees or persons about to be employed in industrial firms and related establishments who require access to classified information.

16. The duration and level of a personnel security clearance will be determined by the granting department, but the clearance will

- (a) terminate with employment;
- (b) be reviewed and assessed by the receiving department in the event of an employee's transfer, on the basis of existing information or updated information provided as a result of referral to the national security agency;
- (c) be reviewed and updated when
 - (i) a change occurs in an employee's marital status;

(ii) at any time that the department receives information indicating, or for other reasons considers, there is a reasonable doubt concerning an employee's loyalty or reliability.

17. Where it appears that requests directed by a department to the national security agency as the investigative agency exceed what seems to be a reasonable requirement, the national security agency may ask the Security Advisory Committee to determine needs and allot priorities.

18. The national security agency will inform departments of the results of its investigations by means of fingerprint records and reports in which the sources and the information have been evaluated, and, where appropriate, will comment on the significance of the information to the granting or withholding of a personnel security clearance.

19. On the basis of these reports and such other pertinent information as has been obtained, the department will arrive at a judgement of the person's loyalty and reliability, and of the degree of confidence that can be placed in him/her.

20. If a favourable determination is made, the department may grant a personnel security clearance to the level required for the performance of the duties of the position concerned. If, on the other hand, there is, in the judgement of the deputy head concerned, a reasonable doubt as to the degree of confidence which can be placed in the subject, the granting of a personnel security clearance will be withheld until the doubt has been resolved to the satisfaction of the deputy head.

21. Where an applicant for employment in the public service, as opposed to a person already employed, is being considered for appointment to a position requiring a personnel security clearance, and doubt has arisen as to his/her suitability, the following courses of action may be taken with a view to resolving that doubt:

- (a) further specific investigation may be requested of the national security agency; and
- (b) the deputy head may:
 - (i) request the Chairman of the Interdepartmental Committee on Security and Intelligence to make available assistance to provide appraisal and analysis of information in the light of relevant precedents; and
 - (ii) seek the advice of the Interdepartmental Committee on Security and Intelligence.

If the doubt cannot be resolved, the applicant shall not be accepted for a position requiring a personnel security clearance.

22. Where a doubt has arisen as to the suitability of a person already employed in the public service who is being considered for, or has been granted a personnel security clearance, the department must take such action as is necessary to preserve security, including withholding or suspension of personnel security clearance if necessary, and may take the courses of action referred to in paragraph 21 above with a view to resolving the doubt. Should these actions fail, or appear to the department to be inexpedient, the assistance of the employee shall be sought in an attempt to resolve the doubt. The departmental security officer shall, after appropriate consultation with the national security agency or other source of the information which

raised the doubt, interview the subject and inform him/her, to the fullest extent that is possible without jeopardizing sensitive sources of security information, of the reasons for doubt, and shall give the employee an opportunity to resolve it.

23. Should none of the courses set out in paragraph 22 above result in a satisfactory resolution of doubt concerning a government employee, the deputy head or a senior official acting on his/her behalf will make a complete review of the case, and himself/herself will interview the employee, in a further attempt to resolve any reasonable doubt.

He/she will decide

- (a) whether the employee might safely and usefully be appointed to a less sensitive position in the department or elsewhere in the public service, the reasons for the change having been explained to the employee to the degree possible;
- (b) if appointment elsewhere is not possible, whether the employee should be provided the opportunity to resign from the public service; or
- (c) if the employee does not resign, whether a proposal should be made that the employee be dismissed from the public service.

24. In arriving at a decision as to whether to propose dismissal on grounds of security, the deputy head will take into account all the relevant information and advice that has been provided.

25. The procedures set out in paragraphs 20 to 24 will be applied as fully as possible in the case of persons outside the Public Service employed in positions for which personnel security clearance, as defined in this Directive, is required, and departments entering into agreements for work to be performed by persons or organizations outside the Public Service will ensure that this is done and, in any case, that the security of classified information is protected.

26. If the deputy head decides that dismissal should be proposed, he/she will so recommend to the Minister responsible, who, if he agrees, will recommend to the Governor in Council that an inquiry be conducted in accordance with the Public Service Security Inquiry Regulations made pursuant to Section 7(7) of the Financial Administration Act.

ANNEX A

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Criteria for determining personnel security clearance

A personnel security clearance must not be granted to a person:

I. whose loyalty is in doubt because there are reasonable grounds to believe the person:

(a) is or has engaged in or is planning to engage in, or

(b) is or has been a member of an organization or, by his/her words or actions, supports or supported an organization engaged in or planning to engage in:

(i) acts of espionage or sabotage;

(ii) activities directed toward gathering intelligence relating to and contrary to the best interests of Canada;

(iii) activities directed toward accomplishing governmental change within Canada or elsewhere by force or violence or any criminal means;

(iv) activities directed toward actual or potential attack or other hostile acts against Canada;

(v) activities directed toward the commission of terrorist acts in or against Canada;

(vi) activities of a kind which are detrimental to Canada because of such factors as a commitment to an ideology, a cause, a movement, a foreign government, or an economic interest;

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ANNEX A

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(vii) activities directed toward the creation of civil disorder in relation to any of the activities referred to in sections (i) to (vi) above;

II. whose reliability is in doubt because the person may be indiscreet, or vulnerable to blackmail or coercion, as a result of:

(a) features of character such as those relating to greed, indebtedness, sexual behaviour, alcohol or drug abuse, mental instability or criminal activity; or

(b) family or other close relationship with

(i) persons who are persons as described in I above, or

(ii) persons who are living in countries whose governments may use such relationship for purposes prejudicial to the safety or security of Canada;

unless, after careful consideration of the circumstances, including the value of the person's services, the risk involved seems justified in the opinion of the deputy head.

6 - List your addresses for past 10 years giving present address first.

City, Town, Village and Province Country if Other than Canada	Number, Street and Apt. No. (Lot, concession, R.R. etc. if applicable)	From		To	
		Month	Year	Month	Year
			19		19
			19		19
			19		19
			19		19
			19		19
			19		19
			19		19
			19		19
			19		19

7 - Your occupations during past 10 years - Account for total period including unemployment. Give name and address of present employer first. Give name of school, university or college attended during this period:

Occupation	Name and Address of Employer/Schools If Fed, Govt. state Dept., Br./Sect. & Bldg.	Supervisor	From		To	
			Month	Year	Month	Year
				19		19
				19		19
				19		19
				19		19
				19		19
				19		19
				19		19
				19		19
				19		19

8 - Have you ever been dismissed from any position?

Yes - If "Yes" give details including name of employer

No

9 - If you have served in the armed forces of Canada or any other country state:

Country	Service
Corps/Branch	Unit
Rank and Trade/Classification	Service No.
From - Period - To	

10 - Have you ever been convicted of a criminal offence for which you have not been granted a pardon?

Yes (Give dates - Places - Charges and sentences including courts m...)

No

11 - List 3 character references, giving complete addresses, excluding relatives, former employers and persons not residing in Canada. (Indicate years known - Minimum 2)

Name	Address	Years Known

12 - For completion by persons born outside Canada

Date of entry into Canada	Port of Entry	Present Citizenship
Day Month Year		
Current Status in Canada		<input type="checkbox"/> Landed Immigrant
Canadian Citizenship Certificate No.		<input type="checkbox"/> Visitor

13 - If not a Canadian Citizen, give the following national identity card and/or passport particulars and citizenship

No.	Date of Issue	Country of Issue	Expiry Date	Citizenship

I certify that my answers to these questions are complete, true and correct to the best of my knowledge. I consent to the disclosure to the investigating agency such other information as is required including my educational, employment and credit records.

FOR OFFICIAL USE ONLY

Signature of Applicant/Employee _____ Date _____

FOR OFFICIAL USE ONLY

6 - List your addresses for past 10 years giving present address first.

City, Town, Village and Province Country if Other than Canada	Number, Street and Apt. No. (Lot, concession, R.R. etc. if applicable)

7 - Your occupations during past 10 years - Account for total period including unemployment. Give name and address of present employer first. Give name of school, university or college attended during this period.

Occupation	Name and Address of Employer/Schools If Fed., Govt. state Dept., Br./Sect. & Bldg.	Supervisor

8 - Have you ever been dismissed from any position?
 Yes - If "Yes" give details including name of employer
 No

9 - If you have served in the armed forces of Canada or any other country state:

Country	Service
Corps/Branch	Unit
Rank and Trade/Classification	Service No.

**PLEASE READ THESE INSTRUCTIONS CAREFULLY
BEFORE COMPLETING QUESTIONNAIRE**

1. THE SECURITY CLEARANCE QUESTIONNAIRE IS TO BE COMPLETED ONLY BY APPLICANTS OR EMPLOYEES WHO ARE BEING CONSIDERED FOR DUTIES WHICH REQUIRE ACCESS TO CLASSIFIED INFORMATION. IT IS NOT AN EMPLOYMENT RECORD AND IS ADMINISTERED EXCLUSIVELY BY SECURITY OFFICIALS. IT WILL BE DESTROYED WHEN IT NO LONGER SERVES THE PURPOSE FOR WHICH IT WAS COMPLETED.

THE PERSONAL INFORMATION REQUESTED IN THIS FORM IS USED TO INITIATE AND FACILITATE SECURITY CLEARANCE INVESTIGATIONS WITH A MINIMUM OF EMBARRASSMENT TO THE APPLICANT OR EMPLOYEE, A MINIMUM OF DELAY, A MAXIMUM OF OBJECTIVITY THROUGHOUT THE INVESTIGATIVE PROCESS; AND TO ENSURE THE CORRECT IDENTIFICATION OF ALL PERSONS LISTED WHEN COMPARED AGAINST CENTRAL RECORDS.
2. COMPLETE FORM BY TYPEWRITER OR IN BLOCK LETTERS (USING A PEN)
3. ILLEGIBLE OR INCOMPLETE FORMS WILL NOT BE ACCEPTED.
4. IF ADDITIONAL SPACE IS REQUIRED, ATTACH AN ADDITIONAL COPY OF THIS FORM, COMPLETING THE APPROPRIATE QUESTIONS, AS WELL AS YOUR NAME, SOCIAL INSURANCE NUMBER AND SIGNATURE.
5. FALSE STATEMENTS OR OMISSIONS MAY BE CONSIDERED AN OFFENCE UNDER SECTION 5 OF THE OFFICIAL SECRETS ACT.
6. ALL QUESTIONS MUST BE ANSWERED - QUESTIONS WHICH DO NOT APPLY SHOULD BE MARKED "N/A". WHEN YOU DO NOT KNOW THE ANSWER AND CANNOT OBTAIN THE INFORMATION, WRITE "UNKNOWN". WHEN EXACT DATES ARE UNKNOWN INDICATE APPROXIMATE YEAR.

ANNEX C

Minimum standards for personnel security clearance

The following are minimum standards * for personnel security assessment and clearance:

(a) Persons to have access to Top Secret information

Before a person is employed in a position requiring access to Top Secret information he/she must be the subject of a field investigation and a records check, and he/she must be the subject of a check of fingerprint records by the national security agency.

(b) Persons to have access to Secret and Confidential information

Before a person is employed in a position requiring access to Secret or Confidential information he/she must be the subject of a records check, and he/she must be the subject of a check of fingerprint records by the national security agency. Where, in the case of a person to have access to Secret information, such checks raise doubt, additional inquiries will be made to resolve it.

* Personnel security clearance is not required for access to Restricted information.

Revised Annex "B" in English and French to Cab. Doc. 661-75 entitled "Proposal for a Revised Cabinet Directive on Personnel Security Clearance".

Annexe "B" révisée en anglais et français au Doc. du Cab. 661-75 intitulé "Projet de révision de la directive du Cabinet concernant l'habilitation au secret".

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		Month	Year	Month	Year
			19		19
			19		19
			19		19
			19		19
			19		19
			19		19
			19		19
			19		19
			19		19

7 - Your occupations during past 10 years - Account for total period including unemployment. Give name and address of present employer first. Give name of school, university or college attended during this period.

Occupation	Name and Address of Employer/Schools If Fed. Govt. state Dept.-Br./Sect. & Bldg.	Supervisor	From		To	
			Month	Year	Month	Year
				19		19
				19		19
				19		19
				19		19
				19		19
				19		19
				19		19
				19		19
				19		19

8 - Have you ever been dismissed from any position?

Yes - If "Yes" give details including name of employer

No

9 - If you have served in the armed forces of Canada or any other country state:

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From - Period - To	

10 - Have you ever been convicted of a criminal offence for which you have not been granted a pardon?

Yes - (Give dates - Places - Charges and sentences including courts martial.)

No

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Name	Address	Years Known

12 - For completion by persons born outside Canada

Date of entry into Canada	Port of Entry	Present Citizenship
Day Month Year		

Current Status in Canada

Canadian Citizenship Certificate No. Landed Immigrant

Visitor

13 - If not a Canadian Citizen, give the following national identity card and/or passport particulars and citizenship

No.	Date of Issue	Country of Issue	Expiry Date	Citizenship

I certify that my answers to these questions are complete, true and correct to the best of my knowledge. I consent to the disclosure to the investigating agency such other information as is required including my educational, employment and credit records.

FOR OFFICIAL USE ONLY

Signature of Applicant/Employee _____ Date _____

FOR OFFICIAL USE ONLY

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Occupation	Name and Address of Employer/Schools If Fed. Govt, state Dept., Br./Sect. & Bldg.	Supervisor

8 - Have you ever been dismissed from any position?
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