

CHAPTER 4  
DEPARTMENTAL AND STAFF RESPONSIBILITIES

- 4-1 The Assistant Secretary (A/S) for Administration has overall responsibility for:
- A. Administering HUD's Personnel Security and Suitability Program in accordance with the provisions of EO 10450, 5 CFR 731, 5 CFR 732, and 5 CFR 736; and
  - B. Collaborating with the General Counsel, or designee, to jointly recommend disposition of a suspension, reassignment, or termination personnel action to the Secretary.
- 4-2 Principal Staff are responsible for:
- A. Insuring that their programs are in compliance with the terms and conditions of this handbook.
- 4-3 The Chief Information Officer, (CIO) is responsible for:
- A. Developing computer systems security policy and related oversight.
  - B. Making final determinations on system sensitivity; and
  - C. Managing the Automated Data Processing Security operations.
- 4-4 The General Counsel (GC), or designee, is responsible for:
- A. Providing advice in connection with any proposed recommendation by the A/S for Administration to the Secretary to suspend, reassign, or terminate an individual occupying a national security position and for notifying that individual of the charges supporting the action;
  - B. Considering any statements or affidavits submitted by the suspended, reassigned, or terminated individual; and
  - C. Collaborating with the A/S for Administration, or designee, to jointly recommend disposition of a suspension, reassignment, or termination personnel action to the Secretary.

4-5 The Personnel Security Officer is responsible for:

- A. Developing and making recommendations concerning Personnel and Information Security programs' policies, standards, and procedures;
- B. Insuring that every of HUD employee and every contractor working on behalf of HUD has, on record, no less than a NACI. For those with above read access to financial systems or other systems designated by the Department a Limited Background Investigation is required;
- C. Initiating all background investigations above the NACI level for HUD employees;
- D. Initiating background investigations above the NACI level for contractors whose employees have not certified that such investigations have been satisfactorily completed and adjudicated;
- E. Conducting pre-appointment/pre-assignment name checks on candidates for SES, Schedule C, and Consultant/Expert positions, and for miscellaneous positions as the need arises;
- F. Reviewing and evaluating the results of all background investigations and NACIs; and referring those with significant adverse information to management for a suitability determination;
- G. Summarizing adverse information from reports of investigation; referring to management through the appropriate servicing HRO in the field or Employee Relations Branch in headquarters for information or a suitability determination; and, after management's closing action, signing the certificate of investigation to record the type and date of investigation for inclusion in the Federal employee's Official Personnel Folder (OPF) and security file;
- H. Issuing required security clearances, Top Secret, Secret, or Confidential; terminating security clearances when the need no longer exists; and in both instances, documenting that action for inclusion in the Federal employee's OPF and security file, and notifying the employee of the actions taken in writing;
- I. Contacting various law enforcement entities for disposition of charges on employees' post-appointment/post-investigation arrest records furnished by the FBI through OPM; and furnishing pertinent results to management for information or determination of continued fitness for duty;

- J. Advising Security Administrators when a background investigation case is closed after having been favorably adjudicated;
- K. Providing consultation, advice, and oral or written instructions or guidance relating to HUD's personnel and document security requirements and procedures, including the HUD Personnel Security Handbook and National Security Information Handbook, to insure that the basic responsibilities of EOs 10450 and 12968, and of 5 CFR 731, 5 CFR 732, and 5 CFR 736 are being met;
- L. Establishing, maintaining, and safeguarding personnel security files for all current employees and contractors whose duties are, or were, sensitive and for those whose NACIs require adjudication;
- M. Establishing internal operating procedures in accordance with OPM policy and 5 CFR 736 for handling and safeguarding reports of investigation to protect the interests of the individual and HUD; and
- N. Logging all classified documents received by HUD; conducting annual inspections of the offices that receive classified documents; insuring that the document custodians have the combination number to their document safe changed by a person with the appropriate security clearance whenever anyone with the combination number leaves; monitoring to assure that at least annually, or when there is knowledge or suspicion that the combination number has been compromised, that a document inventory is provided by the document custodian; and verifying that a document destruction certificate is executed properly and furnished by the custodian whenever documents are destroyed.
- O. Reconciling, as needed, SCATS database with the IT listing of users who require above query access to mission-critical (sensitive) systems;
- P. Insuring that background investigations are updated for HUD employees in critical-sensitive and high risk positions and that certifications of investigations (and update investigating) are obtained from Security Administrators for vendor staff with user access to mission-critical (sensitive) systems, as required;
- Q. Conducting periodic evaluation of policies and procedures of contractors whose employees are users of HUD mission-critical (sensitive) systems to ensure compliance with Federal Government and HUD personnel security requirements.

4-6 Servicing Human Resources Offices (HROs) are Responsible For:

- A. Insuring that vacancy announcements for competitive personnel actions include a statement that the position is a public trust position and that appointment is subject to investigation and favorable adjudication;
- B. Issuing the proper security questionnaire and SF 87 - Fingerprint Chart to HUD employees, and insuring that these documents are accurately and properly completed;
- C. Issuing OF-306, Declaration for Federal Employment to job finalists who have met all qualifications requirements;
- D. Referring any competitive applicant situation where there is evidence of intentional false statement, deception, or fraud in the examination or appointment process, identified on the OF-306, to OPM's Federal Investigations Processing Center for a suitability determination or advisory;
- E. Referring unfavorable personnel security and suitability information identified on the OF-306 or the SF -75, to the servicing HRO in the field, the Employee Relations Branch in Headquarters, and/or OGC legal counsel for suitability determination or advisory and coordination actions with the pertinent supervisor, as necessary;
- F. Assisting applicants, employees, and supervisors in understanding and/or preparing any required personnel forms and investigative questionnaires;
- G. Insuring that employees who require investigations are fingerprinted, and reprinted when necessary;
- H. Insuring that all pertinent personnel actions are documented and modified to reflect appropriate sensitivity levels and that the SF-50-B, Notification of Personnel Action contains a statement that the action is subject to investigation and favorable adjudication;
- I. Insuring that the automated personnel system contains properly documented position sensitivity codes for positions;

- J. Forwarding completed personnel and investigative forms, a copy of employee's

job application, and other forms necessary for scheduling background investigation to the Employee Service Center for initiation of NACI's within two (2) working days of the employee's entrance on duty date;

- K. Insuring that the decision to reemploy a person who resigned from another Federal agency is based upon complete and pertinent personnel security information; and
- L. Notifying the PS staff of employee accessions and departures on a bi-weekly basis.

4-7 The Employee Service Center (ESC) is responsible for:

- A. Initiating required request for NACI's directly to OPM on all non-sensitive HUD positions. PS staff requests investigations for all other candidates. OPM returns all investigations to the PS staff;
- B. Reviewing the OPF of HUD employees assigned to LOCCS to insure that they have completed security questionnaire form (SF-85P). Forwarding appropriate investigative forms to the PS staff; and
- C. Insuring that the Certification of Investigation notice and approved waiver forms are filed in the OPF when required.

4-8. Security Administrators are responsible for:

- A. Referring initial determinations on system sensitivity to the Chief Information Officer;
- B. Periodically reviewing all access rights to determine if access is still required;
- C. Identifying positions whose duties and responsibilities require their incumbents to undergo background investigations above the NACI level (See Appendix A);
- D. Insuring that investigative requirements for each position that requires the use of a mission-critical (sensitive) system above query access are met and that any required waiver has been approved;

- E. Insuring that HUD employees and contractors who require above query access on a mission-critical (sensitive) system provide them with proper investigative forms containing completed and current information, along with completed fingerprinting cards (SF-87 for HUD employees and FD-285 for contractors);
- F. Collecting and forwarding completed investigative packages to PS within two (2) working days of a new HUD employee's entrance on duty date or the commencement of work on a mission-critical (sensitive) system above query access for other HUD employees or contractors;
- G. Referring adverse security/suitability information on HUD employees to the PS staff for a suitability determination or advisory and coordination actions with Headquarters, Labor and Employee Relations staff, and/or OGC legal counsel;
- H. Notifying the Office of Information Technology (OIT), CIO when access should be denied to an HUD employee who requires user access to a mission-critical (sensitive) system above query, and who has failed to submit new investigative forms or failed to provide additional information necessary for an investigation to be conducted, as required;
- I. Collecting background investigation certifications from COTRs/GTRs for vendor
- J. Notifying OIT when continued access should be denied to vendor staff who have failed to obtain re-certification for user access to a mission-critical (sensitive) system above query, or whose employment has been terminated.

4-9 Contracting Officer Technical Representatives (COTR) Government Technical Representatives, (GTR) are responsible for:

- A. Insuring that the vendor staff establish personnel security procedures that meet, as a minimum, the requirements of this handbook. The vendor staff shall provide a copy of such procedures and any reviews made during the period of the contract to the COTR/GTR;
- B. Collecting certifications from vendor staff who require mission-critical (sensitive) systems above query access and forwarding them through Security Administrators to OIT so that access can be granted;

- C. Notifying Security Administrators when continued access should be denied for vendor staff who have failed to obtain re-certification for above query access to a mission-critical (sensitive) system;
  - D. Insuring that contractors comply with the personnel security requirements of this handbook; and
  - E. Notifying Security Administrators when a contract terminates or when contractors separate, and there is no longer a need for access to mission-critical (sensitive) systems.
- 4-10 The Office of Information Technology, CIO is responsible for:
- A. Coordinating with Security Administrators to grant access to sensitive computer systems as appropriate;
  - B. In conjunction with program Security Administrators, identifying individuals, HUD employees and contractors, who require background investigations based on their access to sensitive systems. (See Appendix A);
  - C. Providing PS staff with a quarterly list of all individuals who require sensitive access to mission-critical systems within three (3) working days following the end of each fiscal quarter;
  - D. Granting access or terminating access of individuals who fail to submit their investigative forms in a timely manner or who no longer need access to mission-critical (sensitive) systems above query level; and
  - E. Periodically reviewing all access rights to determine if access is still required.
- 4-11 Supervisors/Managers are responsible for:
- A. Consulting with the appropriate servicing HRO or the PS staff as to the minimum public trust designation and minimum investigation required when initiating a personnel action for a vacant position;
  - B. Insuring that employees promptly submit any required investigative forms to the servicing HRO, the PS staff, or the Security Administrator, as appropriate;

- C. Promptly providing to the appropriate servicing HRO, the PS staff, or Security Administrator acquired unfavorable information regarding the conduct or behavior of a employee or contractor which indicate possible suitability or national security concerns; and
- D. Insuring that positions under their purview are designated at the proper sensitivity level and informing the servicing HRO and Security Administrator when there has been a change in duties that could increase or change in the designation.
- E. Informing the services HRO and Security Administrator when there has been a change in job duties and responsibilities that could increase or change the position sensitivity designation.

4-12 Employee responsibilities:

- A. New HUD employees are responsible for accurately completing appropriate personnel and investigative forms, and for submitting them to the appropriate servicing HRO within two (2) working days of their entrance on duty date.

4-13 Contractors are responsible for:

- A. Developing personnel security policies and procedures that comply with OPM regulations and meet the requirements of this handbook. The vendor staff shall provide a copy of such procedures and any revisions made during the period of the contract to the GTR/COTR;
- B. Obtaining appropriate background investigations for their employees who require user access to HUD mission-critical (sensitive) systems above query access;
- C. Providing background investigation certifications to GTRs/COTRs for vendor staff who require access to HUD mission-critical (sensitive) systems, in writing. The certification shall include, at a minimum, the following format. Last name, first name, middle initial,
- D. Notifying GTRs/COTRs when there is no longer a need for vendor staff to access mission-critical (sensitive) systems.

4-14 Office of the Chief Procurement Officer (CPO) is responsible for:

- A. Insuring that HUD contracts that require contractors to certify that the staff they provide have undergone background investigations as appropriate.