

HSPD-12 Credentialing Standards

Introduction to DOD HSPD-12 CAC Credentialing

Basic Standards

The six basic credentialing standards apply to *all* HSPD-12 adjudications. Adjudicators use the basic standards to determine if an individual is a known or reasonably suspected terrorist, provides an avenue for terrorism, or poses an unacceptable risk to DOD assets.

Basic Standard 1: Terrorism

Concern	Disqualifying Conditions	Mitigating Conditions
HSPD-12 adjudications aim to prevent individuals involved with domestic or international terrorism from gaining access to facilities and information.	<ul style="list-style-type: none">• Evidence of reportable domestic or international terrorism:<ul style="list-style-type: none">○ Contacts○ Activities○ Indicators○ Behaviors• International terrorism indicators in DODD 5240.06	<ul style="list-style-type: none">• Not knowingly and willfully engaged in violent activities• Involved when organization was not engaged in terrorist activities• Involved long ago, in a minor way, or under unusual circumstances

Basic Standard 2: Problems with Identity Verification

Concern	Disqualifying Conditions	Mitigating Conditions
<p>A CAC must not be issued if the agency employing the individual is unable to verify the claimed identity.</p>	<p>Applicant</p> <ul style="list-style-type: none"> • Failed to provide two i-9 identity source documents or a valid unexpired passport • Did not appear in person • Refused to cooperate with the documentation and investigative requirements • Was not the same individual who appeared at another time <p>Fingerprints</p> <ul style="list-style-type: none"> • Did not belong to the identity associated with the application <p>Investigation</p> <ul style="list-style-type: none"> • Failed to confirm the individual's claimed identity 	<ul style="list-style-type: none"> • None

Basic Standard 3: Fraudulent Identity Information

Concern	Disqualifying Conditions	Mitigating Conditions
<p>If the adjudicator has a reasonable basis to believe an individual has submitted fraudulent information concerning their identity, they must deny issuance of a CAC.</p>	<ul style="list-style-type: none"> • Fraudulent information concerning their identity • Official documentation or credentials that have been: <ul style="list-style-type: none"> ○ Falsely made ○ Forged ○ Counterfeited ○ Altered ○ Tampered with 	<ul style="list-style-type: none"> • None

Basic Standard 4: Unauthorized Access Concerns

Concern	Disqualifying Conditions	Mitigating Conditions
<p>Attempting to gain unauthorized access to classified documents or other sensitive or protected information poses a significant risk to national security, individual privacy, and proprietary information.</p>	<ul style="list-style-type: none"> • Failure to comply with rules for safeguarding information considered: <ul style="list-style-type: none"> ○ Classified ○ Sensitive ○ Otherwise protected • Any attempt to gain unauthorized access to information considered: <ul style="list-style-type: none"> ○ Classified ○ Sensitive ○ Otherwise protected 	<ul style="list-style-type: none"> • Individual displays a: <ul style="list-style-type: none"> ○ Favorable change in behavior ○ Favorable response to counseling or remedial training • Behavior happened long ago, was minor, or occurred under circumstances unlikely to recur

Basic Standard 5: Unlawful or Inappropriate Use of Identity Credentials

Concern	Disqualifying Conditions	Mitigating Conditions
<p>A history of conduct involving fraudulent credentials or documentation may pose a threat to the U.S. government's physical assets and to employees' personal property on a U.S. government facility.</p>	<ul style="list-style-type: none"> • Fraudulent requests for credentials or documentation • Credentials or documentation used to circumvent rules or regulations • History of incidents that put physical assets or personal property at risk 	<ul style="list-style-type: none"> • Individual displays favorable change in behavior • Incident occurred long ago or under unusual circumstances, or was minor • Conduct unintentionally or inadvertently, and followed by prompt corrective effort

Basic Standard 6: Unauthorized Use of Information Systems

Concern	Disqualifying Conditions	Mitigating Conditions
Information technology systems underlie many essential government and military functions, so failure to comply with the regulations governing them raises serious concerns about an individual's reliability and trustworthiness.	<ul style="list-style-type: none"> • Illegal, unauthorized, or inappropriate use of an IT system • Unauthorized information, software, hardware, or firmware: <ul style="list-style-type: none"> ○ Modification ○ Destruction ○ Manipulation ○ Corruption 	<ul style="list-style-type: none"> • Individual demonstrated favorable behavior change • Incident occurred long ago, or under unusual circumstances, or was minor • Conduct performed unintentionally or inadvertently, and followed by prompt corrective effort

Supplemental Standards

Supplemental Standards are intended to ensure that the issuance of a CAC to an individual does not create unacceptable risk to DOD assets.

Supplemental Standards examine the conduct and behavior of an individual. They generally apply to individuals who are not subject to additional adjudications for national security, suitability, or fitness.

Supplemental Standard 1: Misconduct or Negligence in Employment

Concern	Disqualifying Conditions	Mitigating Conditions
Misconduct or negligence in an individual's employment history could be a risk to DOD assets.	<ul style="list-style-type: none"> • History of intentional wrongdoing or acts that pose a risk to people, property, or information systems • Pattern of dishonesty or rule violations • Disruptive, violent, or other inappropriate behavior • Violation of written or recorded commitments to protect information • Misuse of employer's time or resources 	<ul style="list-style-type: none"> • Incident occurred long ago, or under unusual circumstances, or was minor • Individual did not receive appropriate warning that the conduct was unacceptable • Prompt corrective effort

Supplemental Standard 2: Criminal or Dishonest Conduct

Concern	Disqualifying Conditions	Mitigating Conditions
<p>Criminal activity creates doubt about an individual’s judgment, reliability, and trustworthiness, and calls into question an individual’s ability or willingness to comply with laws, rules, and regulations.</p>	<ul style="list-style-type: none"> • Single serious crime or multiple lesser offenses • Charge or admission of criminal conduct, regardless of formal charge, prosecution, or conviction • Dishonest acts • Deceptive or illegal financial practices • Actions involving violence or criminal sexual behavior • Use of workplace information systems to distribute pornography • Financial irresponsibility (NOT solely financial debt, but consistent failure to repay significant debts) • Omission, concealment, or falsification of relevant facts deliberately 	<p>Behavior</p> <ul style="list-style-type: none"> • Occurred long ago • Happened under unusual circumstances • Was minor in nature <p>Evidence:</p> <ul style="list-style-type: none"> • That the individual did not commit the act • Of improper or inadequate advice from authorized personnel or legal counsel • Of efforts to correct the omission, concealment, or falsification • Of successful rehabilitation • Remorse or restitution • Job training, higher education, or good employment record • Constructive community involvement • Passage of time

Supplemental Standard 3: Material, Intentional False Statement, Deception, or Fraud in Connection with Federal or Contract Employment

Concern	Disqualifying Conditions	Mitigating Conditions
<p>Attempts to circumvent the fair and open competition involved in the federal hiring process through deception, fraud, or intentional false statements could risk DOD assets.</p>	<ul style="list-style-type: none"> • Material, intentional falsification of experience, education, or other qualifications provided during current or prior hiring process for: <ul style="list-style-type: none"> ○ Federal employment ○ Contract work 	<ul style="list-style-type: none"> • Incident occurred long ago, or under unusual circumstances, or was minor • Incident performed unintentionally or inadvertently, and followed by prompt corrective effort

Supplemental Standard 4: Alcohol Abuse

Concern	Disqualifying Conditions	Mitigating Conditions
<p>Excessive alcohol consumption often leads to the exercise of questionable judgment, unreliability, and failure to control impulses.</p>	<ul style="list-style-type: none"> • An alcohol-related pattern of arrests • Alcohol-related incidents at work <ul style="list-style-type: none"> ○ Reporting for work while intoxicated ○ Drinking on the job • Current continuing abuse or excessive consumption of alcohol • Continued failure to follow court orders regarding alcohol education, evaluation, treatment, or abstinence 	<ul style="list-style-type: none"> • Individual acknowledges and overcomes problem <ul style="list-style-type: none"> ○ Abstains, if AUD (Alcohol Use Disorder) ○ Uses responsibly, if alcohol abuser • Individual participates in counseling or rehabilitation <ul style="list-style-type: none"> ○ Shows no prior history of treatment and relapse ○ Makes successful progress • Individual completes counseling or rehabilitation and required aftercare successfully <ul style="list-style-type: none"> ○ Changed behavior ○ Received favorable prognosis

Supplemental Standard 5: Drug Use

Concern	Disqualifying Conditions	Mitigating Conditions
<p>The abuse of illegal drugs or prescription drugs can pose a risk to DOD assets.</p>	<ul style="list-style-type: none"> • Current or recent illegal drug use • Pattern of drug-related arrests or problems in employment • Illegal drug possession <ul style="list-style-type: none"> ○ Cultivation, processing, or manufacture ○ Purchase, sale, or distribution ○ Possession of drug paraphernalia • Diagnosis of drug abuse or dependence by a qualified medical professional • Evaluation of drug abuse or dependence by a clinical social worker • Continued or ongoing failure to successfully complete a drug treatment program • Continued drug use after formally agreeing to comply with rules or regulations prohibiting drug use • Any illegal use or abuse of prescription or over-the-counter drugs 	<ul style="list-style-type: none"> • Behavior occurred long ago, infrequently or under unusual circumstances • Individual demonstrates intent not to abuse drugs by: <ul style="list-style-type: none"> ○ Abstaining from drug use ○ Disassociating from drug-using associates and contacts ○ Changing or avoiding the environment where the drugs were used • Abuse of prescription drugs <ul style="list-style-type: none"> ○ Prescribed during severe illness ○ But abuse has since ended • Individual has completed a drug treatment program including: <ul style="list-style-type: none"> ○ Successfully completed rehabilitation and aftercare ○ No recurrence of abuse ○ Favorable prognosis by qualified medical professional

Supplemental Standard 6: Statutory or Regulatory Bar

Concern	Disqualifying Conditions	Mitigating Conditions
<p>This standard serves to verify whether an existing debarment is in place and if granting a CAC poses an unacceptable risk to individuals, property, and assets in U.S. government facilities.</p>	<ul style="list-style-type: none"> • Debarment was imposed by OPM, DOD, or other federal agency • Suitability debarment was based on the presence of serious suitability issues • Individual failed to register for the Selective Service, if required 	<ul style="list-style-type: none"> • Applicant proves that : <ul style="list-style-type: none"> ○ They are no longer under debarment ○ The reason for debarment no longer exists • Debarment is job or position-specific and is not applicable to the job currently under consideration

Supplemental Standard 7: Treasonous Acts or Activities

Concern	Disqualifying Conditions	Mitigating Conditions
<p>An individual wants to bring about change through unconstitutional, unlawful, or violent means.</p>	<ul style="list-style-type: none"> • Involvement, training, support, or advocacy of any act of: <ul style="list-style-type: none"> ○ Sabotage ○ Espionage ○ Treason ○ Terrorism ○ Sedition • Association or agreement with individuals attempting to commit any of the above acts • Association or agreement with individuals or organizations that advocate, threaten, or use violence or unconstitutional means to: <ul style="list-style-type: none"> ○ Overthrow the government ○ Prevent government personnel from performing their duties ○ Gain retribution for perceived government wrongs • Prevent others from exercising their constitutional rights 	<ul style="list-style-type: none"> • Incident occurred long ago, was minor, or happened under unusual circumstances • Unaware of illegal, treasonous, or seditious activities • Did not intend to engage in violence or illegal activities or to incite others • Only involved for an official purpose • Only involved for a short time, due to curiosity or academic interest