



APPLYING GUIDELINES: SECURITY, SUITABILITY, AND CREDENTIALING

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Purpose: To illustrate the application of adjudication guidelines to users who are assigned both the Adjudicator and Case Processor roles.

Note: A Case Processor can view the Guidelines tab. An Adjudicator, Appeals Processor, and Component Adjudicator can view, select, and deselect guidelines.

APPLYING ADJUDICATION GUIDELINES TO A CASE

How to Apply Adjudication Guidelines

1. Select **Task Management** from the Left Navigation Menu.
2. Under the Case ID column, select a **Case ID** hyperlink.

The screenshot shows the 'Task Management' interface in the NBIS system. The left navigation menu includes 'Task Management', 'Subject Management', 'Org Management', 'Reports', and 'Error Management'. The main content area is titled 'Task Management' and has tabs for 'My Work', 'My Outstanding Work', 'My Team's Work', 'My Organization's Work', 'My Organization's Outstanding Work', and 'History'. The 'My Work' tab is active, showing a search bar and a table of tasks. The table has columns for Case ID, Case Type, Last Name, Status, Task Age (Days), Case Owner, and Assigned on. The Case ID column contains hyperlinks for each row, and the first row's Case ID is highlighted with a yellow box.

Case ID	Case Type	Last Name	Status	Task Age (Days)	Case Owner	Assigned on
22047DEFF1347409	Tier 1	Defense	OGC Review	34	Joshua Belt	3/18/22
22075BREW1426171	Tier 4	BREWER	Received	6	Jana Zeman	3/18/22
22075PANP1422357	Tier 2	Pan	Received	6	Jana Zeman	3/18/22
21237MAXI2015220	Tier 4	Maximoff	Received	6	Jana Zeman	3/18/22
22068FRAN1647381	Tier 4	FRANCISCO	Received	6	Jana Zeman	3/18/22

3. Select the **Guidelines** tab to view the set of guidelines available.

The screenshot displays the National Background Investigation Services (NBIS) interface. The top navigation bar includes 'Task Management' and a search function for 'Subject by SSN'. The main header identifies the subject as 'BREWER, JOE' with a redacted SSN. Below this, key information is provided: Citizenship (United States), Place of Birth (NILES, Ohio), Date of Birth (07/04/1980), Aliases (N/A), and Contact Info (View). The case details section shows 'Tier 4', Phase 'ADJUDICATION' (dated 03/16/2022), Status 'RECEIVED' (dated 03/16/2022), Case ID '22075BREW1426171', Case Owner 'Jana Zeman', Assigned To 'Jana Zeman', and Assigned On '03/18/2022'. A 'Collapse' link is visible. The 'Guidelines' tab is highlighted with a yellow box. Under 'Adjudication Guidelines', four categories are listed: 'National Security', 'Suitability/Fitness', 'HSPD-12 Credentialing', and 'Summary'. Below these, a list of guidelines is shown under the heading 'Guidelines', with a 'Disqualifiers' column. The guidelines include: (A) Allegiance to the United States, (B) Foreign Influence, (C) Foreign Preference, (D) Sexual Behavior, (E) Personal Conduct, (F) Financial Considerations, (G) Alcohol Consumption, (H) Drug Involvement and Substance Misuse, and (I) Psychological Conditions. Each guideline has a 'See more' link. To the right, the 'Case Actions' section has a 'Choose an Action' dropdown and a 'Continue' button. The 'Add Notes' section has a 'Title' field, a 'Notes' field, and an 'Add' button. At the bottom right, there is an 'Upload Attachments' section.

4. Choose a set of guidelines to select options for disqualifiers, mitigators, or factors.
(**National Security, Suitability/Fitness, or HSPD-12**).

This screenshot is identical to the one above, showing the same NBIS interface. However, the 'National Security', 'Suitability/Fitness', and 'HSPD-12 Credentialing' tabs under 'Adjudication Guidelines' are highlighted with a yellow box, indicating they have been selected for review.

5. Select **Expand All** to open all available selections within the subtab. Select the **See More** hyperlink to expand the individual guidelines. Select **Clear All** to remove all the selected guidelines.

Note: Adjudicators have an option to enter **Justifications**, if applicable.

The screenshot shows the 'National Background Investigation Services' interface. The subject is BREWER, JOE. The case is in the 'ADJUDICATION' phase, received on 03/16/2022. The 'Guidelines' tab is selected, showing 'Adjudication Guidelines' with sub-tabs for National Security, Suitability/Fitness, HSPD-12 Credentialing, and Summary. A 'Clear All' button and an 'Expand All' button (highlighted in yellow) are present. Below, a list of guidelines (A-I) is shown, each with a 'See more' link (also highlighted in yellow). To the right, there are sections for 'Case Actions', 'Add Notes', and 'Upload Attachments'.

6. If a disqualifier has a **See More** link, select it to expand a list of sub-disqualifiers. Select any applicable disqualifier via the checkbox next to the corresponding standard.

This screenshot shows the 'Disqualifiers' section of the interface. It lists three main disqualifiers (a, b, c) with checkboxes in the 'Disqualifying' column (highlighted in yellow). Disqualifier (c) is expanded to show four sub-disqualifiers (1-4) with checkboxes in the 'Sub-disqualifying' column. The right side of the interface shows the 'Add Notes' and 'Upload Attachments' sections.

7. Select the **Mitigating** checkbox to mitigate or resolve a concern, if applicable.

The screenshot shows the 'National Background Investigation Services' interface. The subject is 'BREWER, JOE' with SSN '0000-11-11796'. The case is 'Tier 4' with Phase 'ADJUDICATION' and Status 'RECEIVED'. The 'Mitigating' checkbox is highlighted in a yellow box. The interface includes a sidebar with 'Task Management', 'Subject Management', 'Org Management', 'Reports', and 'Error Management'. The main content area shows case details and a list of mitigators.

Description	Mitigating
(a) The individual was unaware of the unlawful aims of the individual or organization and severed ties upon learning of these	<input type="checkbox"/>
(b) The individual's involvement was humanitarian and permitted under U.S. law	<input type="checkbox"/>
(c) Involvement in the above activities occurred for only a short period of time and was attributable to curiosity or academic interest	<input type="checkbox"/>
(d) The involvement or association with such activities occurred under such unusual circumstances, or so much time has elapsed, that it is unlikely to recur and does not cast doubt on the individual's current reliability, trustworthiness, or allegiance	<input type="checkbox"/>

8. To apply suitability guidelines selections, select the **Suitability/Fitness** subtab.

The screenshot shows the 'National Background Investigation Services' interface with the 'Guidelines' subtab selected. The 'Suitability/Fitness' subtab is highlighted in a yellow box. The interface includes a sidebar with 'Task Management', 'Subject Management', 'Org Management', 'Reports', and 'Error Management'. The main content area shows 'Adjudication Guidelines' and 'Disqualifiers'.

Adjudication Guidelines

- National Security
- Suitability/Fitness**
- HSPD-12 Credentialing
- Summary

Disqualifiers

- (A) Allegiance to the United States
- (B) Foreign Influence
- (C) Foreign Preference
- (D) Sexual Behavior
- (E) Personal Conduct
- (F) Financial Considerations
- (G) Alcohol Consumption
- (H) Drug Involvement and Substance Misuse
- (I) Psychological Conditions

9. To apply HSPD-12 Credentialing, select the **HSPD-12 Credentialing** subtab.

National Background Investigation Services

BREWER, JOE

Citizenship: United States Place of Birth: NILES, Ohio Date of Birth: 07/04/1980 Aliases: N/A Contact Info: View

Tier 4 Phase: ADJUDICATION 03/16/2022 Status: RECEIVED 03/16/2022

Case ID: 22075BREW1426171 Case Owner: Jana Zeman Assigned To: Jana Zeman Assigned On: 03/18/2022

National Security Suitability/Fitness **HSPD-12 Credentialing** Summary

Adjudicative Standards Disqualifiers

- (A) Terrorism See more
- (B) Identity Verification See more
- (C) Fraudulent Identity See more
- (D) Unauthorized Access See more
- (E) Misuse Of Identity Credentials See more
- (F) Misuse Of Federally-Controlled Information Systems See more
- (G) Employment Misconduct Or Negligence See more
- (H) Criminal Or Dishonest Conduct See more
- (I) Federal Or Contact Employment Falsification See more
- (J) Alcohol Abuse See more
- (K) Drug Use See more

Choose an Action Select Action... Continue

Add Notes Title Enter Title... Notes Enter Notes... Add

Upload Attachments Drag attachment here

10. Select the **No disqualifying conditions** checkbox at the bottom of each guidelines subtab if the subject has no disqualifying conditions.

11. Select the **Previously adjudicated and documented information has been reviewed** checkbox if previously adjudicated in a prior investigation.

National Background Investigation Services

Bahama, Tomme

Citizenship: United States Place of Birth: Margaritaville, California Date of Birth: 12/10/1963 Aliases: N/A Contact Info: View

Tier 5 Reinvestigation Phase: ADJUDICATION 12/22/2020 Status: TECT REVIEW 01/05/2021

Case ID: 20357BAHA0859546 Case Owner: Jason Chaffin / Team 4-6 Assigned To: Chad Rainey Assigned On: 02/03/2022

- (G) Alcohol Consumption See more
- (H) Drug Involvement and Substance Misuse See more
- (I) Psychological Conditions See more
- (J) Criminal Conduct See more
- (K) Handling Protected Information See more
- (L) Outside Activities See more
- (M) Use of Information Technology See more

Other Considerations

- No disqualifying conditions
- Previously adjudicated and documented information has been reviewed

Upload Attachments Drag attachment here

+ Select Attachments PDF, TIF, TIFF, JPG, JPEG, DOC, DOCX and PNG file types only

No attachments added. Upload

12. Select the **Summary** subtab to view the guideline entries made by the user.

The screenshot displays the 'National Background Investigation Services' interface for a subject named BREWER, JOE. The interface includes a sidebar with navigation options: Task Management, Subject Management, Org Management, Reports, and Error Management. The main content area shows the subject's profile information, including citizenship (United States), place of birth (NILES, Ohio), date of birth (07/04/1980), and aliases (N/A). The case is identified as Tier 4, with a phase of ADJUDICATION, status of RECEIVED, and assigned to Jana Zeman. The 'Adjudication Guidelines' section is active, with the 'Summary' subtab highlighted in a yellow box. Below this, the 'National Security' and 'HSPD-12 Credentialing' sections are visible. The 'National Security' section shows a guideline '(A) Allegiance to the United States' with a red 'Unmitigated' status and a 'See More' link. The 'HSPD-12 Credentialing' section shows 'No disqualifying conditions.' To the right, there are sections for 'Case Actions' (with a 'Continue' button), 'Add Notes' (with 'Enter Title...' and 'Enter Notes...' fields and an 'Add' button), and 'Upload Attachments'.

13. Select **See More** to view a summary of selected guidelines or factors.

This screenshot is identical to the one above, but with the 'See More' link in the 'National Security' section highlighted in a yellow box. The 'See More' link is located next to the 'Unmitigated' status of the '(A) Allegiance to the United States' guideline. The rest of the interface, including the sidebar, subject information, and other guideline sections, remains the same.

14. Selecting **See More** will expand the summary item.

National Background Investigation Services

Search Subject by SSN

BREWER, JOE (0000-11-1179)

Program Tags:

Citizenship: United States Place of Birth: NILES, Ohio Date of Birth: 07/04/1980 Aliases: N/A Contact Info: [View](#)

Tier 4 Phase: **ADJUDICATION** 03/16/2022 Status: **RECEIVED** 03/16/2022 [Collapse](#)

Case ID: 22075BREW1426171 Case Owner: Jana Zeman Assigned To: Jana Zeman Assigned On: 03/18/2022

Profile Attachments Notes **Guidelines**

Adjudication Guidelines

National Security Suitability/Fitness HSPD-12 Credentialing Summary

National Security **Disqualifiers** [Expand All](#)

(A) Allegiance to the United States **Unmitigated**

Disqualifiers
(a) Involvement in, support of, training to commit, or advocacy of any act of sabotage, espionage, treason, terrorism, or sedition against the United States

Mitigators
No Mitigators.

Justification
Justification not entered.

[See Less](#)

Case Actions

Choose an Action
Select Action... [Continue](#)

Add Notes

Title
Enter Title...

Notes
Enter Notes... [Add](#)

Upload Attachments

15. Select **Save** to continue.

Note: A user is not required to enter guidelines to proceed with actions on the case, but if any guideline selections were made, the user must select **Save** before taking a new action on the case.

National Background Investigation Services

Search Subject by SSN

BREWER, JOE (0000-11-1179)

Program Tags:

Citizenship: United States Place of Birth: NILES, Ohio Date of Birth: 07/04/1980 Aliases: N/A Contact Info: [View](#)

Tier 4 Phase: **ADJUDICATION** 03/16/2022 Status: **RECEIVED** 03/16/2022 [Collapse](#)

Case ID: 22075BREW1426171 Case Owner: Jana Zeman Assigned To: Jana Zeman Assigned On: 03/18/2022

Drag attachment here

[+ Select Attachments](#)

PDF, TIF, TIFF, JPG, JPEG, DOC, DOCX and PNG file types only

No attachments added.

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[Close](#) [Save](#)

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