

Army Regulation 600–78

Personnel-General

Army Suitability Program

**Headquarters
Department of the Army
Washington, DC
25 October 2018**

UNCLASSIFIED

SUMMARY

AR 600–78
Army Suitability Program

This new Department of the Army regulation, dated 25 October 2018—

- o Provides Army guidance and assigns responsibilities for the implementation of Homeland Security Presidential Directive–12 (throughout).
- o Supersedes Army Directive 2011–08, Army Implementation of Homeland Security Presidential Directive–12, dated 26 May 2011 (throughout).

Personnel-General
Army Suitability Program

By Order of the Secretary of the Army:

MARK A. MILLEY
General, United States Army
Chief of Staff

Official:


MARK F. AVERILL
Acting Administrative Assistant
to the Secretary of the Army

History. This is a new Department of the Army regulation.

Summary. This regulation provides Army guidance and assigns responsibilities for the implementation of Homeland Security Presidential Directive–12, which mandates a Government-wide standard for secure and reliable forms of identification issued by the Federal Government for physical access to federally-controlled facilities and/or logical access to federally-controlled information systems.

Applicability. This regulation applies to the Regular Army, the Army National Guard/Army National Guard of the United States, and the U.S. Army Reserve, unless otherwise stated. Also, it applies to civilian, contractor, and volunteer personnel.

Proponent and exception authority. The proponent of this regulation is the Deputy Chief of Staff, G–1. The proponent has the authority to approve exceptions or waivers to this regulation that are consistent with controlling law and regulations. The proponent may delegate this approval authority, in writing, to a division chief within the proponent agency or its direct reporting unit or field operating agency, in the grade of colonel or the civilian equivalent. Activities may request a waiver to this regulation by providing justification that includes a full analysis of the expected benefits and must include formal review by the activity’s senior legal officer. All waiver requests will be endorsed by the commander or senior leader of the requesting activity and forwarded through their higher headquarters to the policy proponent. Refer to AR 25–30 for specific guidance.

Army internal control process. This regulation contains internal control provisions in accordance with AR 11–2 and identifies key internal controls that must be evaluated (see appendix B).

Supplementation. Supplementation of this regulation and establishment of command and local forms are prohibited without prior approval from the Deputy Chief of Staff, G–1 (DAPE–MPS), 300 Army Pentagon, Washington, DC 20310–0300.

Suggested improvements. Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) directly to the Deputy Chief of Staff, G–1 (DAPE–MPS), 300 Army Pentagon, Washington, DC 20310–0300.

Distribution. This regulation is available in electronic media only and is intended for the Regular Army, the Army National Guard/Army National Guard of the United States, and the U.S. Army Reserve.

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Glossary

Chapter 1 Introduction

1–1. Purpose

This regulation sets forth policies and responsibilities for implementation of the President’s homeland security policy. Homeland Security Presidential Directive–12 (HSPD–12) mandates a Government-wide standard for secure and reliable forms of identification issued by the Federal Government to its employees and contractor personnel.

1–2. References and forms

See appendix A.

1–3. Explanation of abbreviations and terms

See the glossary.

1–4. Responsibilities

See chapter 2.

1–5. Records management requirements

The records management requirements for all record numbers, associated forms, and reports required by this regulation are addressed in the Records Retention Schedule–Army (RRS–A). Detailed information for all related record numbers, forms, and reports are located in Army Records Information Management System (ARIMS)/RRS–A at <https://www.arims.army.mil>. If any record numbers, forms, and reports are not current, addressed, and/or published correctly in ARIMS/RRS–A, see DA Pam 25–403 for guidance.

Chapter 2 Responsibilities

2–1. Assistant Secretary of the Army (Acquisition, Logistics and Technology)

The ASA (ALT) will—

- a.* Issue, in coordination with the Deputy Chief of Staff (DCS), G–1; DCS, G–2; and DCS, G–3/5/7, regulatory guidance for HSPD–12 implementation within Army contracts.
- b.* Ensure that all Army contracts, through the performance work statement or statement of work, require contractors to adhere to HSPD–12 policy.
- c.* Communicate HSPD–12 requirements to the Army acquisition community.
- d.* Report quarterly, in coordination with the DCS, G–1 and DCS, G–2, HSPD–12 compliant credential statistics for contractor personnel to the Office of the Assistant Secretary of the Army (Manpower and Reserve Affairs) (ASA (M&RA)), or as otherwise directed.
- e.* Provide subject matter expertise to HSPD–12 implementation working groups and councils of colonels.

2–2. Assistant Secretary of the Army (Manpower and Reserve Affairs)

The ASA (M&RA) will—

- a.* Oversee the implementation efforts of HSPD–12.
- b.* Prescribe HSPD–12 policy.
- c.* Develop and prescribe Army suitability standards, to include HSPD–12 credentialing standards, in accordance with OPM Memorandum (31 Jul 08).
- d.* Provide guidance and functional oversight over the ASA (ALT); DCS, G–1; Army Chief Information Officer/G–6 (CIO/G–6); DCS, G–2; and the Provost Marshal General as they develop supplemental HSPD–12 guidance and procedures to ensure Army compliance with the Federal Information Processing Standards Publication (FIPS) 201–2.
- e.* Provide guidance and functional oversight, in coordination with the ASA (ALT) and DCS, G–3/5/7, for HSPD–12 policy, ensuring that HSPD–12 requirements are included in the security requirements section of all Army contracts.
- f.* Ensure, in coordination with the DCS, G–3/5/7, that operations security requirements are developed for contracts and individuals who will maintain access to sensitive unclassified information.

- g. Publish, in conjunction with the Chief, Public Affairs, a strategic communication plan that disseminates the policy, procedures, and rationale for the implementation of HSPD–12 requirements.
- h. Establish HSPD–12 implementation working groups and councils of colonels, as needed.

2–3. Chief Information Officer/G–6

The CIO/G–6 will—

- a. Establish information technology interface and technical interoperability guidelines to ensure Army compliance with FIPS Publication 201–2 and Department of Defense (DOD) identity protection and management guidance (see DODI 5200.02).
- b. Serve as the Army's designated approval authority for personal identity verification system certification and accreditation of electronic fingerprint capture systems and other systems that require accreditation in accordance with FIPS Publication 201–2 mandates.
- c. Oversee the privacy-related matters associated with implementing this regulation.
- d. Provide subject matter expertise for HSPD–12 implementation working groups and councils of colonels.

2–4. Deputy Chief of Staff, G–1

The DCS, G–1 will—

- a. Ensure that civilian employment policies are adjusted to incorporate Federal, DOD, and emerging Army HSPD–12 requirements.
- b. Work with DCS, G–2 to integrate and fuse HSPD–12 adjudicative recommendations and determinations processes. Ensure that the process results in timely, efficient, and complete HSPD–12 credentialing decisions while operating within current resource limitations.
- c. Coordinate with the DCS, G–2 for the centralized submission and review of all HSPD–12 military service, contractor, and federal employment investigations to the Department of Defense Consolidated Adjudications Facility (CAF). The CAF will make suitability determinations for military service, contractor employment, and federal employment.
- d. Validate resource requirements for the centralized submission, investigation, and adjudication of suitability, fitness, and HSPD–12 background investigations. Assign them to the appropriate management decision package.
- e. Ensure that guidance includes provisions for collection of common access cards (CACs) upon separation, discharge, retirement, termination, contract termination or expiration, or CAC revocation.

2–5. Deputy Chief of Staff, G–2

The DCS, G–2 will—

- a. Assist in developing, in coordination with DCS, G–1 and other appropriate Headquarters, Department of the Army Principal Officials, supplemental guidance and procedures to centralize—
 - (1) The submission and receipt of all Army background investigations.
 - (2) Personnel security and HSPD–12 adjudications.
 - (3) The review and referral of suitability recommendations.
- b. Assist in developing a reconsideration (appeal) process to review requests by persons who have been denied a CAC or have had their CAC revoked.
- c. Assist DCS, G–1 to develop resource requirements for the centralized submission, investigation, and adjudication of HSPD–12 background investigations and for the centralized review and referral of suitability recommendations.
- d. Provide subject matter expertise to HSPD–12 implementation working groups and councils of colonels.

2–6. Deputy Chief of Staff, G–3/5/7

The DCS, G–3/5/7 will—

- a. Ensure that the Army's operations security program supports HSPD–12 implementation.
- b. Integrate HSPD–12 implementation into force protection policies and programs to ensure the widest dissemination of requirements.
- c. Coordinate with DCS, G–1; CIO/G–6; DCS, G–2; and Provost Marshal General to develop supplemental guidance and procedures for leveraging biometrics in support of HSPD–12 implementation.
- d. Provide subject matter expertise to HSPD–12 implementation working groups and councils of colonels.

2–7. Provost Marshal General

The PMG will—

a. Establish uniform Armywide guidance for electronically verifying the authenticity of and continuously vetting Federal and Army issued credentials against Defense Manpower Data Center (DMDC)-hosted authoritative databases for physical access.

b. Establish guidance for visual and electronic authentication of credentials within the physical security community to—

(1) Develop Army standards for electronic physical access control systems with the capability to connect to DMDC's Identity Matching Security and Assessment database to continuously vet all personnel against DOD/Federal authoritative databases.

(2) Initially vet visitors and issue credentials for unescorted access.

(3) Read, authenticate, and enroll CACs.

c. Establish guidance and process for cross-acceptance and electronic interoperability of FIPS Publication 201–2 compliant credentials of other DOD Components and Federal agencies whose personnel request to visit Army installations or controlled spaces.

d. Provide policy on physical security equipment standards necessary to support the acquisition community for FIPS Publication 201–2 credentialing and badge requirements.

e. Provide subject matter expertise to HSPD–12 implementation working groups and councils of colonels.

Chapter 3

Exemptions

3–1. National Security Systems

National Security Systems (as defined in 44 USC 3552(b)(6)(a)) are exempt from the policy herein.

3–2. Special-risk security provisions

Special-risk security provisions (as defined in FIPS Publication 201–2) are exempt from the policy herein.

Appendix A

References

Section I

Required Publications

FIPS Publication 201–2

Personal Identity Verification (PIV) of Federal Employees and Contractors (Available at <https://nvlpubs.nist.gov/>) (Cited in para 2–2*d*.)

Homeland Security Presidential Directive–12

Policies for a Common Identification Standard for Federal Employees and Contractors (Available at <https://www.dhs.gov/>) (Cited on the title page.)

OPM Memorandum, 31 July 2008

Final Credentialing Standards for Issuing Personal Identity Verification Cards under HSPD–12 (Available at <https://www.opm.gov/>) (Cited in para 2–2*c*.)

Section II

Related Publications

A related publication is a source of additional information. The user does not have to read it to understand this publication.

AR 11–2

Managers' Internal Control Program

AR 25–30

Army Publishing Program

DA Pam 25–403

Guide to Recordkeeping in the Army

Directive–Type Memorandum (DTM) 09–012

Interim Policy Guidance for DOD Physical Access Control

DODI 1000.13

Identification (ID) Cards for Members of the Uniformed Services, Their Dependents, and Other Eligible Individuals

DODI 1400.25

Identification (ID) Cards for Members of the Uniformed Services, Their Dependents, and Other Eligible Individuals

DODI 5200.02

DOD Personnel Security Program (PSP)

DODI 5200.08

Security of DOD Installations and Resources and the DOD Physical Security Review Board (PSRB)

DODI 5200.46

DOD Investigative and Adjudicative Guidance for Issuing the Common Access Card (CAC)

DODM 1000.13, Volume 1

DOD Identification (ID) Cards: ID Card Lifecycle

DODM 5200.02

Procedures For the DOD Personnel Security Program (PSP)

EO 13467

Reforming Processes Related to Suitability for Government Employment, Fitness for Contractor Employees, and Eligibility for Access to Classified National Security Information

EO 13488

Granting Reciprocity on Excepted Service and Federal Contractor Employee Fitness and Reinvestigating Individuals in Positions of Public Trust

EO 13741

Amending Executive Order 13467 to Establish the Roles and Responsibilities of the National Background Investigations Bureau and Related Matters

EO 13764

Amending the Civil Service Rules, Executive Order 13488, and Executive Order 13467 to Modernize the Executive Branch-Wide Governance Structure and Processes for Security Clearances, Suitability and Fitness for Employment, and Credentialing and Related Matters

Memorandum, Deputy Secretary of Defense, 3 May 12

DOD Central Adjudications Facilities (CAF) Consolidation

OPM Memorandum, 14 January 2008

Introduction of Credentialing, Suitability, and Security Clearance Decision-Making Guide (Available at <https://www.opm.gov/>.)

5 CFR

Administrative Personnel

5 CFR Part 731

Suitability

5 CFR Part 736

Personnel Investigations

32 CFR Part 157

DOD Investigative and Adjudicative Guidance for Issuing the CAC

44 USC 3552

Definitions

Section III**Prescribed Forms**

This section contains no entries.

Section IV**Referenced Forms**

Unless otherwise indicated, DA forms are available on the Army Publishing Directorate (APD) website (<https://armypubs.army.mil/>).

DA Form 11-2

Internal Control Evaluation Certification

DA Form 2028

Recommended Changes to Publications and Blank Forms

Appendix B

Internal Control Evaluation

B–1. Function

The function covered by this evaluation is the administration of the Manager’s Internal Control Program.

B–2. Purpose

The purpose of this evaluation is to provide Army guidance for the implementation of HSPD–12.

B–3. Instructions

Answers must be based upon the actual testing of controls (for example, document analysis, direct observation, sampling, simulation, and/or others). Answers that indicate deficiencies must be explained and the corrective action indicated in the supporting documentation. These key internal controls must be evaluated at least once every five years. Certification that this evaluation has been conducted must be accomplished on DA Form 11–2 (Internal Control Evaluation Certification).

B–4. Test questions

- a.* Does this policy support the Presidential Directive on Homeland Security?
- b.* Does this policy specifically support the mandated Government-wide standard for secure and reliable forms of identification issued by the Federal Government to its employees and contractor personnel?

B–5. Supersession

Not applicable.

B–6. Comments

To make this evaluation a more useful tool for evaluating management controls, submit comments to the DCS, G–1 (DAPE–MPS), 300 Army Pentagon, Washington, DC 20310–0300.

Glossary

Section I

Abbreviations

ARIMS

Army Records Information Management System

ASA (ALT)

Assistant Secretary of the Army (Acquisition, Logistics and Technology)

ASA (M&RA)

Assistant Secretary of the Army (Manpower and Reserve Affairs)

CAC

common access card

CAF

Department of Defense Consolidated Adjudications Facility

CIO/G-6

Chief Information Officer/G-6

DCS

Deputy Chief of Staff

DMDC

Defense Manpower Data Center

DOD

Department of Defense

DODI

Department of Defense instruction

DODM

Department of Defense manual

FIPS

Federal Information Processing Standards

HSPD-12

Homeland Security Presidential Directive-12

OPM

Office of Personnel Management

PMG

Provost Marshal General

Section II

Terms

Adjudication

The evaluation of pertinent data in a background investigation and any other available information to determine whether an individual is suitable for Government employment; eligible for regular access to federally-controlled facilities or information systems; eligible for access to classified information; eligible to hold a sensitive position; or fit to perform work for or on behalf of the Government as a contractor employee.

Army suitability

The term “Army suitability” specifically encompasses all suitability, fitness, and HSPD-12 common access card credentialing functions, the Personnel Reliability Program, information technology vetting of privileged users, health care personnel, Army civilian police and security guards, continued reliability of personnel holding positions having duties and responsibilities associated with law enforcement and security, unescorted access to arms, ammunition and explosives, and other access to credentials.

CAC

The DOD Federal personal identity verification credential.

Fitness

Refers to the level of character and conduct determined necessary for an individual to perform work for, or on behalf of, a Federal agency as an employee (other than in a position subject to suitability), as a volunteer, or as a contractor. Fitness is distinguishable from a person's ability to fulfill the requirements of a job as measured by experience, education, knowledge, and skills.

Homeland Security Presidential Directive–12

HSPD–12 mandates a Government-wide standard for secure and reliable forms of identification issued by the Federal Government for physical access to federally-controlled facilities and/or logical access to federally-controlled information systems. The common access card is the DOD Federal personal identity verification credential.

UNCLASSIFIED

PIN 203423-000