



Australian Government  
Department of Defence

# Vetting Risk Model for Vetting Officers

### Clearance Subject Details

ID Number (PV or CSID):  
Full Name:  
Date of Birth:  
Current Clearance Level and Date Granted:

### Security Clearance Application Details

Employer:  
Sponsor Code:  
Level of Clearance: s33, s47E(d)  
Type of Clearance Action: s33, s47E(d)  
Assessment Period:

### Conditional Clearance Details

Conditional Eligibility Waiver: s33, s47E(d)  
Conditional Citizenship Waiver: s33, s47E(d)  
Conditional Grant: s33, s47E(d)

### Psychological Assessment Details

s33, s47E(d) s33, s47E(d)

### Vetting Officer Details

Vetting Officer Name:  
AGSVA Regional Office / IVP Company:  
Date Case Finalised for Delegation:

### Notes for Authorised Decision Maker:

## External Loyalties, Influences and Associations

### The Concerns

All people working on behalf of the Australian Government must have a primary and overriding commitment to the democratic process and a respect for the processes by which the elected government functions. If a clearance subject expresses political or personal views incompatible with Australia's constitutional, democratic system of government, doubts arise about whether they can remain loyal to the Australian Government. Conflicts of view or conscientious objections could arise in some cases. However, the issue is whether a clearance subject recognises their individual responsibilities to their employing entity, the elected government and the public interest.

When a clearance subject acts in such a way as to indicate a preference for a foreign country over Australia, then he/she may be prone to act in a way that is harmful to the national interest of Australia.

Involvement in certain types of outside employment or activities is of security concern if it poses a conflict with a clearance subject's security responsibilities, and could create an increased risk of unauthorised disclosure of security classified information.

A security risk may exist when a clearance subject or their immediate family, including cohabitants, and other persons to whom he or she may be bound by affection, influence, or obligation are not Australian citizens or may be subject to duress. These situations could create the potential for foreign influence that could result in the compromise of security classified information. Contacts with citizens of other countries or financial interests in other countries are also relevant to security determinations if they make the clearance subject potentially vulnerable to coercion, exploitation, or pressure.

### Conditions that could raise a security concern and may be disqualifying

Involvement in, support of, training to commit, or advocacy of any act of:

- espionage
- foreign interference
- sabotage
- urging violence
- terrorism
- treason
- politically motivated violence
- communal violence
- attacks on Australia's defence system, or
- serious threats to Australia's territorial or border integrity

Association or sympathy with persons who are attempting to commit, or who are committing, any of the above acts.

Association or sympathy with persons or organisations that advocate, threaten, or use force or violence, or use any other illegal or unconstitutional means, in an effort to:

- overthrow or influence the Australian Government or any state or local government
- prevent federal, state, or local government personnel from performing their official duties
- gain retribution for perceived wrongs caused by the federal, state, or local government, and/or
- prevent others from exercising their rights under the Constitution, or laws of Australia, or of any state or territory.

Contact with a family member, business or professional associate, friend, or other person who is a citizen of, or resident in, a foreign country, if that contact creates an unacceptably heightened risk of foreign exploitation, inducement, manipulation, pressure, or coercion.

Connections to a foreign person, group, government, or country that create a potential conflict of interest between the clearance subject's obligation to protect Australian Government resources and the clearance subject's desire to help a foreign person, group, or country by providing that information.

Sharing living quarters with a person or persons, regardless of citizenship status, if that relationship creates a heightened risk of foreign or criminal inducement, manipulation, pressure, or coercion.



A substantial business, financial, or property interest in a foreign country, or in any foreign owned or foreign operated business, which could put the clearance subject at heightened risk of foreign influence or exploitation.

Failure to report, when required, association with a foreign national. Unauthorised association with a suspected or known agent, associate, or employee of a foreign intelligence service.

Indications that representatives or nationals from a foreign country are acting to increase the vulnerability of the clearance subject to possible future exploitation, inducement, manipulation, pressure, or coercion.

Conduct, especially while travelling outside Australia, which may make the clearance subject vulnerable to exploitation, pressure, or coercion by a foreign person, group, government or country.

Exercise of any right, privilege or obligation of foreign citizenship after becoming an Australian citizen. This includes but is not limited to:

- possession of a current foreign passport
- military service, or a willingness to bear arms for a foreign country
- accepting educational, medical, retirement, social welfare, or other such benefits from a foreign country

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#### Conditions that could mitigate security concerns

The clearance subject was unaware of the unlawful aims of an individual or organisation and severed ties upon learning of these.

The clearance subject's involvement was only with the lawful or humanitarian aspects of an organisation.

Involvement in activities of concern occurred for only a short period of time and was attributable to curiosity or academic interest.

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 clearance subject's current reliability, trustworthiness, or loyalty.

The nature of the relationships with foreign persons, the country in which these persons are located, or the positions or activities of those persons in that country are such that it is unlikely the clearance subject will be placed in a position of having to choose between the interests of a foreign individual, group, organisation, or government and Australia's national interest.

There is no conflict of interest, either because the clearance subject's sense of loyalty or obligation to the foreign person, group, government, or country is so minimal, or the clearance subject has such deep and longstanding relationships and loyalties in Australia that they can be expected to resolve any conflict of interest in favour of Australia's national interest.

Contact or communication with foreign citizens is casual and infrequent and there is little likelihood that it could create a risk for foreign influence or exploitation.

The foreign contacts and activities are on Australian Government business and/or are approved by the Chief Security Officer or delegate.

The clearance subject has promptly complied with requirements to report contacts, requests, or threats from persons, groups, or organisations from a foreign country.

The value or routine nature of the foreign business, financial, or property interests is such that they are unlikely to result in a conflict and could not be used to influence, manipulate, or pressure the clearance subject.

Where reasons for possession or acquisition of multiple citizenship are not a security concern, including, but not limited to:

- multiple citizenship is based solely on parents' citizenship or birth in a foreign country
- marriage, and
- convenience of travel.

The clearance subject has expressed a willingness to renounce other citizenships.

Exercise of the rights, privileges, or obligations of foreign citizenship occurred before the clearance subject became an Australian citizen or when the clearance subject was a minor.

The use of a foreign passport is approved by the Chief Security Officer or delegate.

The foreign passport has been destroyed, surrendered, or otherwise invalidated.

The vote in a foreign election was encouraged by the Australian Government.

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## Personal Relationships and Conduct

### The Concerns

Conduct involving questionable judgement, dishonesty, or unwillingness to comply with rules and regulations can raise questions about the clearance subject's reliability, trustworthiness and ability to protect Australian Government resources.

Of special interest is any failure to provide truthful and candid answers during the security clearance process, or any other failure to cooperate with the security clearance process. The following will normally result in denial or revocation of a security clearance, or administrative termination of further processing for a security clearance assessment:

- refusal, or failure without reasonable cause, to undergo or cooperate with the security clearance process, including but not limited to meeting with an assessing officer for a security interview, completing security and/or consent forms, and cooperation with supplementary evaluations and period
- refusal to provide full, frank and truthful answers to relevant questions of assessing officers, or other official representatives in connection with a personnel security determination.

Sexual behaviour that involves a criminal offence, indicates a personality or emotional disorder, reflects a gross lack of judgement or discretion, or which may put the clearance subject in a position of undue influence or coercion, exploitation, or duress can raise questions about the clearance subject's reliability, trustworthiness and maturity. Sexual orientation is not relevant to these considerations.

### Conditions that could raise a security concern and may be disqualifying

Deliberate omission, concealment, or falsification of relevant facts from any personnel security questionnaire, personal history statement, or similar form used to determine security clearance suitability, or providing misleading information to assessing officers or other officers involved in the clearance process.

Credible adverse information in several adjudicative issue areas that is not sufficient for an adverse determination under any other single guideline, but when considered in total, supports a whole-of-person assessment of questionable judgement, untrustworthiness, unreliability, lack of candour, unwillingness to comply with rules and regulations, or other characteristics indicating that the person may not properly safeguard official information.

Credible adverse information that is not explicitly covered under any other guideline and may not be sufficient by itself for an adverse determination, but when combined with all available information supports a whole-of-person assessment of questionable loyalty, trustworthiness, honesty, maturity, tolerance or vulnerability to coercion or influence. This includes but is not limited to consideration of:

- untrustworthy or unreliable behaviour including breach of client confidentiality, release of proprietary information, unauthorised release of sensitive corporate or other official government information
- disruptive, violent, or other inappropriate behaviour in the workplace
- a pattern of dishonesty or rule violations, or
- evidence of significant misuse of government or other employer's time or resources.

Sexual behaviour of a criminal nature, whether or not the clearance subject has been prosecuted.

A pattern of compulsive, self-destructive, or high risk sexual behaviour that the person is unable to stop or that may be symptomatic of a personality disorder.

Sexual behaviour that causes the clearance subject to be vulnerable to coercion, exploitation, or duress.

Personal conduct, or concealment of information about one's conduct, that creates a vulnerability to exploitation, manipulation, or duress, such as:

- engaging in activities which, if known, may affect the person's personal, professional, or community standing, or
- while in another country, engaging in any activity that is illegal in that country or that is legal in that country but illegal in Australia and may serve as a basis for exploitation or pressure by the foreign security or intelligence service or other group.

Violation of a written or recorded commitment made by the clearance subject to the employer as a condition of employment.



Association with persons involved in criminal activity.

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**Conditions that could mitigate security concerns**

The behaviour occurred prior to or during adolescence, and there is no evidence of subsequent conduct of a similar nature.

The behaviour no longer serves as a basis for coercion, exploitation, or influence.

The clearance subject made prompt, good faith efforts to correct the omission, concealment, or falsification before being confronted with the facts.

The refusal or failure to cooperate, omission, or concealment was caused by or associated with improper or inadequate advice of government officers or legal counsel. Upon being made aware of the requirement to cooperate or provide the information, the clearance subject cooperated fully and truthfully.

The behaviour or offence is so minor, or so much time has passed, or the behaviour is so infrequent, or it happened under such unique circumstances that it is unlikely to recur and does not cast doubt on the clearance subject's current reliability, trustworthiness, or good judgement.

The clearance subject has acknowledged the behaviour and obtained counselling to change the behaviour or taken other positive steps to alleviate the stressors, circumstances, or factors that caused untrustworthy, unreliable, or other inappropriate behaviour. There is evidence that this treatment has been effective and such behaviour is unlikely to recur.

The clearance subject has taken positive steps to reduce or eliminate vulnerability to exploitation, manipulation, or duress.

The information was unsubstantiated or from a source of questionable reliability.

Association with persons involved in criminal activity has ceased or occurs under circumstances that do not cast doubt upon the clearance subject's reliability, trustworthiness, judgement, or willingness to comply with rules and regulations.

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## Financial Considerations

### The Concerns

Failure or inability to live within one's means, satisfy debts, or meet financial obligations may indicate poor self-control, lack of judgement, or unwillingness to abide by rules and regulations. This may raise questions about a clearance subject's honesty, trustworthiness, maturity, and vulnerability to coercion or influence.

A clearance subject who is financially overextended may be at a heightened risk of engaging in illegal acts including espionage to generate funds. This risk is further heightened if the financial difficulties have arisen from compulsive behaviour, e.g. gambling.

Unwillingness to pay debts where means are available may indicate untrustworthiness or lack of conscience regarding obligations.

Affluence that cannot be explained by known sources of income is also a concern as it may indicate proceeds from financially profitable criminal acts.

### Conditions that could raise a security concern and may be disqualifying

Inability or unwillingness to satisfy debts.

Indebtedness caused by frivolous or irresponsible spending, and the absence of any evidence of willingness or intent to pay the debt or establish a realistic plan to pay the debt.

A history of not meeting financial obligations.

Deceptive or illegal financial practices such as embezzlement, theft, fraud, tax evasion or other intentional breaches of trust.

Consistent spending beyond one's means, which may be indicated by excessive indebtedness, significant negative cash flow, high debt-to-income ratio, and/or other financial analysis.

Financial problems that are linked to drug abuse, alcoholism, gambling addiction, or other matters indicating compulsive behaviour or emotional or psychological instability that may have implications for the clearance subject's maturity, trustworthiness and vulnerability to coercion or influence (refer to C.4 - Alcohol and drug usage and C.7 - Emotional and mental health issues).

Repeated failure to meet Australian taxation requirements.

Unexplained affluence, as shown by a lifestyle or standard of living, increase in net worth, or money transfers that cannot be explained by the subject's known legal sources of income.

Compulsive or addictive gambling as indicated by an unsuccessful attempt to stop gambling, 'chasing losses' (i.e. increasing the bets or returning another day in an effort to get even), concealment of gambling losses, borrowing money to fund gambling or pay gambling debts, family conflict or other problems caused by gambling.

s33, s47E(d)

### Conditions that could mitigate security concerns

The behaviour happened so long ago, was so infrequent, or occurred under such circumstances that it is unlikely to recur and does not cast doubt on the clearance subject's current reliability, trustworthiness, or good judgement.

The conditions that resulted in the financial problem were largely beyond the person's control (e.g. loss of employment, a business downturn, unexpected medical emergency, or a death, divorce or separation), and

the clearance subject acted responsibly.

The person has received or is receiving counselling for the problem and/or there are clear indications that the problem is being resolved and/or is under control.

The clearance subject initiated good faith efforts to repay overdue creditors or otherwise resolve debts.

The clearance subject has a reasonable basis to dispute the legitimacy of the debt and provides evidence of actions to resolve the issue.

The affluence resulted from a legal source of income.

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## Alcohol and Drug Usage

### The Concerns

Excessive alcohol consumption often leads to the exercise of questionable judgement or the failure to control impulses, and can raise questions about a clearance subject's reliability and trustworthiness and ability to maintain discretion.

Use of illegal drugs or misuse of prescription drugs can raise questions about a clearance subject's trustworthiness and honesty, both because it may impair judgement and because it raises questions about a person's ability or willingness to comply with laws, rules, and regulations. Use of illegal drugs or misuse of prescription drugs may also make the clearance subject vulnerable to coercion or influence.

Drugs are mood and behaviour altering substances. They include but are not limited to, drugs, materials, and other chemical compounds identified and listed in Schedule 4 of the Customs (Prohibited Imports) Regulations 1956, and inhalants and other similar substances.

Drug abuse is the use of an illegal drug, or use of a legal drug in a manner that deviates from approved medical direction.

### Conditions that could raise a security concern and may be disqualifying

Alcohol related incidents away from work, such as driving while under the influence, fighting, child or spouse abuse, disturbing the peace, or other incidents of concern, regardless of whether the clearance subject has been diagnosed as an alcohol abuser or alcohol dependent.

Alcohol related incidents at work, such as reporting for duty in an intoxicated or impaired condition, or excessive drinking while at work.

Habitual or binge consumption of alcohol to the point of impaired judgement.

Diagnosis by a duly qualified medical professional (e.g. physician, clinical psychologist, or psychiatrist) of alcohol, or drug abuse or dependence.

Identification of alcohol or drug abuse or dependence by an accredited clinical social worker who is a staff member of a recognised alcohol or drug treatment program.

Relapse after diagnosis of alcohol or drug abuse or dependence and completion of an alcohol or drug rehabilitation program.

Criminal charges relating to alcohol or drug abuse or possession.

Failure to follow any court order regarding alcohol or drug education, evaluation, treatment, or abstinence.

Any drug abuse.

Testing positive for illegal drug use.

Illegal drug possession, including cultivation, processing, manufacture, purchase, sale, or distribution, or possession of drug paraphernalia.

Expressed intent to continue illegal drug use, or failure to clearly and convincingly commit to discontinue drug use.

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### Conditions that could mitigate security concerns

So much time has passed, or the behaviour was so infrequent, or it happened under such unusual circumstances that it is unlikely to recur or does not cast doubt on the clearance subject's current reliability, trustworthiness, or good judgement.

The clearance subject is participating in an alcohol counselling or treatment program, has no history of previous treatment and relapse, and is making satisfactory progress:

- the clearance subject acknowledges his or her alcohol dependence or abuse and has successfully completed inpatient or outpatient alcohol counselling or rehabilitation along with any required aftercare
- has demonstrated a clear and established pattern of modified consumption or abstinence in accordance with treatment recommendations, such as adherence to a program, such as Alcoholics Anonymous or a similar organisation, and
- has received a favourable prognosis by a duly qualified medical professional or an accredited clinical social worker who is a staff member of a recognised alcohol treatment program.

A demonstrated intent not to abuse any drugs in the future, such as:

- disassociation from drug using associates and contacts
- changing or avoiding the environment where drugs were used
- an appropriate period of abstinence, and
- a signed statement of intent with automatic review for cause of clearance for any violation.

Abuse of prescription drugs was after a severe or prolonged illness during which these drugs were prescribed, and the abuse has since ended.

Satisfactory completion of a prescribed drug treatment program, including but not limited to, rehabilitation and aftercare requirements, without recurrence of abuse, and a favourable prognosis by a duly qualified medical professional or an accredited clinical social worker who is a staff member of a recognised drug treatment program.

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## Criminal History

### The Concerns

Criminal activity creates doubt about a person's judgement, reliability, trustworthiness, maturity and honesty. By its very nature, it calls into question a person's ability or willingness to comply with laws, rules and regulations.

### Conditions that could raise a security concern and may be disqualifying

A criminal offence, or multiple lesser offences, or a conviction in an Australian or foreign court, including a military court-martial, for a crime.

Discharge or dismissal from the Australian Defence Force or police force under adverse conditions.

Credible allegation or admission of criminal conduct, regardless of whether the person was formally charged, formally prosecuted or convicted.

The clearance subject is currently on parole or probation.

Violation of parole or probation, or failure to complete a court mandated rehabilitation program.

Voluntary association with criminals.

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### Conditions that could mitigate security concerns

So much time has elapsed since the criminal behaviour happened, or it happened under such unusual circumstances that it is unlikely to recur and does not cast doubt on the clearance subject's reliability, honesty, trustworthiness or good judgement.

The person was pressured or coerced into committing the act and those pressures are no longer present in the person's life.

Persuasive evidence that the person did not commit the offence or the conviction for the offence was subsequently overturned.

There is evidence of successful rehabilitation, including but not limited to the passage of time without recurrence of criminal activity, evidence of remorse or restitution, job training or higher education, good employment record, or constructive community involvement.

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## Security Violations

### The Concerns

Deliberate or negligent failure to comply with procedures, rules and regulations for protecting classified official information or other sensitive information, including on information and communications technology (ICT) systems, raises doubt about a clearance subject's trustworthiness, judgement, reliability, or willingness and ability to safeguard such information, and is a serious security concern.

ICT systems include all related computer hardware, software, firmware, and data used for the communication, transmission, processing, manipulation, storage, or protection of classified official information.

### Conditions that could raise a security concern and may be disqualifying

#### The unauthorised:

- viewing
- disclosure
- collecting
- storing
- handling
- destruction
- manipulation, and/or
- modification of official or personal information.

Deliberate disregard of entity procedures or guidelines for the handling, use and storage of official or personal information.

Copying official or personal information in a manner designed to conceal or remove classification or other document control markings.

Viewing or downloading information from a secure system beyond the clearance subject's need to know.

Any failure to comply with rules for the protection of security classified or other sensitive information.

Negligence or lax security habits that persist despite counselling by management.

Failure to comply with rules or regulations that results in damage to national security, regardless of whether it was deliberate or negligent.

#### Illegal or unauthorised:

- entry into any ICT system
- modification
- destruction
- manipulation, and/or
- denial of access to information, software, firmware, or hardware in an ICT system.

Use of any ICT system to gain unauthorised access to another system or to a compartmented area within the same system.

Downloading, storing, or transmitting security classified information on or to any unauthorised software, hardware, or ICT system.

Unauthorised use of a government or other ICT system.

Introduction, removal, or duplication of hardware, firmware, software, or media to or from any ICT system without authorisation, when prohibited by rules, procedures, guidelines or regulations.

Any misuse of ICT, whether deliberate or negligent, that results in damage to national security.

Misuse of both government and private information and ICT systems are of concern.

s33, s47E(d)



s33, s47E(d)

**Conditions that could mitigate security concerns**

So much time has elapsed since the behaviour, or it has happened so infrequently or under such unusual circumstances, that it is unlikely to recur and does not cast doubt on the clearance subject's current reliability, honesty, trustworthiness, or good judgement.

The clearance subject responded favourably to counselling or remedial security training and now demonstrates a positive attitude toward the discharge of security responsibilities.

The security violations were due to improper or inadequate training.

The misuse was minor and done only in the interest of a bona fide emergency or operational imperative when no other timely alternative was readily available.

The conduct was unintentional or inadvertent and was followed by a prompt, good faith effort to correct the situation and notify a supervisor.

s33, s47E(d)

## Emotional/Mental health issues

### The Concerns

Certain emotional, mental, and personality conditions can impair judgement, reliability, or trustworthiness. A formal diagnosis of a disorder is not required for there to be a concern under this guideline.

A duly qualified mental health professional (eg clinical psychologist or psychiatrist) employed by, or acceptable to and approved by the entity, must be consulted when evaluating potentially disqualifying and mitigating information under this guideline.

No negative inference concerning the standards in these guidelines may be raised solely based on seeking mental health counselling.

### Conditions that could raise a security concern and may be disqualifying

Behaviour that casts doubt on a clearance subject's judgement, reliability, or trustworthiness that is not covered under any other guideline, including but not limited to emotionally unstable, irresponsible, dysfunctional, violent, paranoid, or bizarre behaviour.

An opinion by a duly qualified mental health professional that the clearance subject has a condition not covered under any other guideline that may impair judgement, reliability, or trustworthiness.

The clearance subject has failed to follow treatment advice related to a diagnosed emotional, mental, or personality condition, eg failure to take prescribed medication.

s33, s47E(d)

### Conditions that could mitigate security concerns

The identified condition is readily controllable with treatment, and the clearance subject has demonstrated ongoing and consistent compliance with the treatment plan.

The clearance subject has voluntarily entered a counselling or treatment program for a condition that is amenable to treatment, and the clearance subject is currently receiving counselling or treatment with a favourable prognosis by a duly qualified mental health professional.

Recent opinion by a duly qualified mental health professional employed by, or acceptable to and approved by the entity seeking the clearance that a clearance subject's previous condition is under control or in remission, and has a low probability of recurrence or exacerbation.

The past emotional instability was a temporary condition (eg one caused by death, illness, or marital break-up), the situation has been resolved, and the clearance subject no longer shows indications of emotional instability.

There is no indication of a current problem.

s33, s47E(d)



s33, s47E(d)



## Whole of Person Analysis

CSID	Name	Sponsor Code	Employer
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s33, s47E(d)





## Recommendation for Security Clearance Suitability

s33, s47E(d)

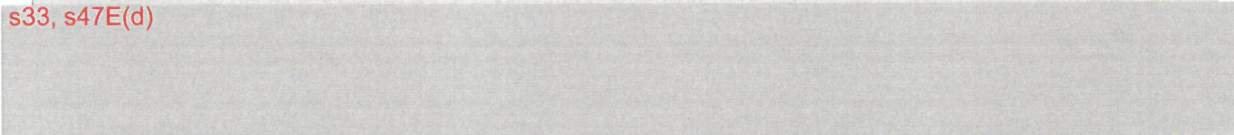


**Recommendation**

**Action Required**

Please select a recommendation

s33, s47E(d)



The core PSPF responsibilities for the ongoing assessment of personnel by the sponsoring entity are required.

**Recommending Vetting Officer's Name**

**Date of Recommendation**

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**Vetting Officer's Signature**

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