



## Federal Personnel Vetting Engagement Guidelines

### I. Purpose

This document provides the strategic direction for a Federal personnel vetting process that benefits from transparent, open, honest, and frequent communication necessary to establish and maintain a trusted workforce. A trusted workforce with a strong sense of responsibility lowers the ultimate risk to the Federal Government's people, property, information, and mission. Two-way engagement between the individual and the Government provides a conduit to build and cultivate trust, a culture of personal accountability, and a shared responsibility for the overall success of personnel vetting.

The personnel vetting engagement approach provides opportunities for individuals to stay informed and participate in the process by providing their own personal information and supporting the overall personnel vetting needs of the Federal Government. This approach requires the Government to proactively communicate expectations and guidance to the individuals as they progress through the personnel vetting process. This approach is also aligned with and supportive of the Federal Government's broader efforts to recruit and retain a diverse and talented workforce.

### II. Scope, Applicability, and Review

- A. These Guidelines align with the Federal Personnel Vetting Core Doctrine and the Federal Personnel Vetting Guidelines.
- B. These Guidelines serve as a high-level, outcome-based strategy intended to shape a culture of personal accountability and shared responsibility between individuals and the Federal Government built upon aligned values, clear communication, effective training, and collaborative responsibilities required from all participants.
- C. To the extent permitted by law, these Guidelines apply to the Executive Branch and other entities when participating in Federal personnel vetting for or on behalf of the Federal government, including:
  1. Authorized personnel vetting investigative service providers (ISPs).
  2. Authorized adjudicative agencies.
  3. Trusted Information Providers that corroborate and/or verify data as authorized and commensurate with investigative standards established by the Security Executive Agent and the Suitability and Credentialing Executive Agent (EA).
  4. Executive Branch Shared Service Providers.

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5. Personnel vetting management practitioners.
- D. Personnel vetting engagement is expected to consistently result in efficient and effective practices focused on managing the Government's risk to people, property, information, and mission. These Guidelines serve as a basis for individual engagement throughout the personnel vetting process.
- E. The EAs or their designees will review these Guidelines regularly, at least every five years, to ensure they are current and responsive to evolving threats, societal trends, changes to law or policy, research and innovation, or to accommodate process or technology improvements. Department and Agency (D/A) heads should review their internal policies and procedures periodically to ensure those policies and procedures further the principles, outcomes, and management and policy priorities set forth herein.
- F. These Guidelines remain in effect until revoked in writing by the EAs.

### **III. Personnel Vetting Engagement Outcomes**

Effective communication between individuals and the Government fosters trust in the personnel vetting process, which encourages expeditious information collection and self-reporting, enables D/As to assist individuals in a timely manner, and allows personnel vetting professionals to clarify or better understand information.

The outcomes of successful personnel vetting engagement include:

- A. Clear expectations that provide transparency and consistency of interaction between the individual and the Federal Government.
- B. Two-way communication between the individual and the Federal Government throughout the personnel vetting process.
- C. Improved and timely collaboration between individuals and the Federal Government throughout the personnel vetting process.
- D. Information captured promptly and directly via information technology.
- E. Confidence in the personnel vetting process.

### **IV. Personnel Vetting Engagement Components**

As described in the Federal Personnel Vetting Guidelines, all personnel vetting falls within one of five scenarios—initial vetting, continuous vetting, upgrades, transfer of trust, and re-establishment of trust—with each scenario requiring different levels of awareness, disclosure, and engagement. Frequent communication and engagement with individuals must occur throughout each of these scenarios to support timely trust determinations, the mobility of the Federal workforce, and the protection of the Federal Government's people, property, information, and mission.

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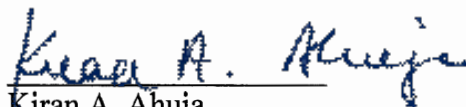
D/As engage with individuals undergoing personnel vetting throughout each of the five personnel vetting scenarios to ensure the individuals have the support they need when providing required documentation and are available to answer questions individuals may have throughout the process. D/As accomplish this by:

- A. Enlisting individuals as active participants in the personnel vetting program.
- B. Keeping the individual apprised of their progress during the vetting process, as appropriate.
- C. Informing the individual when results are unresolved from any investigative scenario, as appropriate.
- D. Ensuring individuals understand what situations they must self-report and encouraging self-reporting in a timely manner.
- E. Identifying individuals who may require additional support or assistance offered under existing programs.
- F. Taking steps to prevent potentially harmful behavior from presenting a serious security concern.

D/As should develop informational materials to ensure that individuals understand their responsibilities and what to expect throughout the personnel vetting process. Informational materials must be consistent with Federal vetting policies but may include, for example, nondiscrimination statements, information specific to the agency's security program (such as notification of the populations that are enrolled in continuous vetting), points of contact, and as applicable, records access procedures, reasonable accommodation procedures, and information about authorizations for releases of information.



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