

Personnel Vetting Policy Index

The personnel vetting policy index contains documents that are fundamental to the Federal personnel vetting mission.

The Trusted Workforce 2.0 initiative established a new uniform policy framework that requires a review and update of existing policies and regulations to ensure alignment.

As new policies are issued and existing policies are revised, this policy repository will be updated to include them.

Policies

| Document Title | Date | Description |
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| Presidential Memo: Security Clearances | 2/5/2008 | Directs OPM, DoD, ODNI and OMB to establish and execute policies and procedures to reform security clearance, Federal employment suitability, and related determinations for the Executive Branch within a framework that maximizes efficiency and effectiveness while protecting the information collected from unauthorized use or disclosure. |
| SEAD-1: Security Executive Agent Authorities and Responsibilities | 3/13/2012 | Outlines authorities and responsibilities of the Security Executive Agent. |
| SEAD-2: Use of Polygraph in Support of Personnel Security Determinations for Initial or Continued Eligibility for Access to Classified Information or Eligibility to Hold a Sensitive Position | 9/14/2014 | Establishes policy and responsibilities associated with the use of polygraph exams for access to classified information. |
| SEAD-5: Collection, Use, and Retention of Publicly Available Social Media Information in Personnel Security Background Investigations and Adjudications | 5/12/2016 | Provides guidance for the collection, use and retention of publicly available social media information for initial and continued eligibility for access to classified information or eligibility to hold a sensitive position. |
| SEAD-4: National Security Adjudicative Guidelines | 6/8/2017 | Establishes national security adjudicative guidelines for determining eligibility for access to classified information and eligibility for a sensitive position. |
| SEAD-3: Reporting Requirements for Personnel with Access to Classified Information or Who Hold a Sensitive Position | 6/12/2017 | Defines reporting requirements for individuals with eligibility for access to classified information or eligibility to hold a sensitive position. |
| SEAD-6: Continuous Evaluation | 1/12/2018 | Establishes policy and requirements for the continuous evaluation of individuals who require eligibility for access to classified information or to occupy a national security position. |
| SEAD-7: Reciprocity of Background Investigations and Adjudications | 11/9/2018 | Establishes guidelines for reciprocal acceptance of eligibility for access to classified information and sensitive positions and reporting standards. |
| SEAD-8: Temporary Eligibility | 5/18/2020 | Establishes policy and requirements for authorizing temporary eligibility for access to classified information or temporary eligibility to occupy a sensitive position, or to a higher level. |
| SEAD-9: Whistleblower Protection | 5/28/2022 | Appellate review of retaliation regarding security clearance and access determinations. |
| Joint Executive Agent Memo: Transforming Personnel Vetting: Measures to Expedite Reform and Further Reduce the Federal Government's Background Investigation Inventory | 2/6/2020 | Provides risk-based measures to clarify and adjust certain elements of the 2012 Federal Investigative Standards; and introduces steps for agencies to prepare for TW 2.0 implementation. |

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| Federal Personnel Vetting Core Doctrine | 1/13/2021 | Guides transformative efforts to reform the U.S. Government personnel security vetting processes. Aligns, to the greatest extent practicable, the Federal workforce vetting processes to promote mobility, improve efficiencies and move towards an enhanced risk management approach. |
| Federal Personnel Vetting Engagement Guidelines | 2/10/2022 | Provides opportunities for individual 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. |
| Federal Personnel Vetting Guidelines | 2/10/2022 | Describes the high-level outcomes for the Federal personnel vetting risk management framework, how an individual is assessed against the characteristics of a trusted person, the successful outcomes for five personnel vetting scenarios, and the central elements of Federal personnel vetting. |
| Federal Personnel Vetting Performance Management Guidelines | 2/10/2022 | Provides fundamental performance management principles and defines desired outcomes for measuring the efficiency and effectiveness of Federal personnel vetting programs in managing both enterprise and human risk. |
| Federal Personnel Vetting Investigative Standards and Appendices <i>(To be posted soon)</i> | 5/17/2022 | Creates a risk-management approach to investigations that maximizes uniformity across all Federal personnel vetting domains and focuses on the efficient collection of information needed to make informed decisions on an individual's trustworthiness. |
| Federal Investigative Notice 22-01 | 6/30/2022 | Announces final pricing for DCSA products and services for FY 2023 and initial estimated prices for FY 2024. |
| Common Principles for Applying Federal Personnel Vetting Adjudicative Standards <i>(To be posted soon)</i> | 7/19/2022 | Provides the framework through which agencies render trust determinations based on a thorough evaluation of an individual's conduct and perceived indications of vulnerabilities. |

Regulations

| Document Title | Date | Description |
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| 5 CFR, Part 2 : Appointment through the Competitive Service | 9/14/1963 | Describes requirements for appointment through the competitive service and related matters. |
| 5 CFR, Part 2.1 : Competitive examinations and eligible registers; suitability and fitness for civil service employment | 9/14/1963 | Establishes OPM's responsibilities for examinations and qualifications, suitability, and fitness standards for civil service employment |
| 5 CFR, Part 5.2(a) : Investigation and evaluations | 1/23/2017 | Establishes the Director of OPM's responsibilities for investigations into the qualifications, suitability, and fitness of applicants for which the Director of OPM has standard-setting responsibilities. This includes position designations and prescribing standards for reciprocal acceptance by agencies of investigations and adjudications of suitability and fitness. |
| 5 CFR, Part 5.3(a) : Enforcement | 1/23/2017 | Authorizes the Director of OPM to ensure enforcement of civil service laws, rules, and regulations, and all applicable Executive Orders by instructing agencies to take actions when OPM finds an employee is unsuitable, instructing agencies to take corrective actions necessary based on the results of evaluations and investigations, requiring heads of agencies to comply with the Director's specific instructions, and related instruction. |
| 5 CFR, Part 6.3(b) : Method of filling excepted positions and status of incumbents | 7/13/2018 | Establishes that to the extent permitted by law and subject to the suitability and fitness requirements of the applicable Civil Service Rules and Regulations, appointments and position changes in the |

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| | | excepted service shall be made in accordance with such regulations and practices as the head of the agency concerned finds necessary. |
| 5 CFR, Part 736 : Personnel Investigations | 4/23/1991 | Establishes requirements for personnel investigations conducted by OPM, and for those conducted under delegated authority from OPM. |
| 5 CFR, Part 731 : Suitability | 4/15/2008 | Establishes criteria and procedures for making determinations of suitability and for taking suitability actions regarding employment in covered positions. |
| 5 CFR, Part 752 : Adverse Actions | 12/4/2009 | Describes requirements and procedures for taking adverse actions. |
| 5 CFR, Part 1400 : Designation of National Security Positions | 6/5/2015 | Clarifies requirements and procedures agencies should observe when designating, as national security positions, positions in the competitive service, positions in the excepted service where the incumbent can be noncompetitively converted to the competitive service, and Senior Executive Service (SES) positions held by career appointees in the SES within the Executive Branch. |

Executive Orders

| Document Title | Date | Description |
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| Executive Order 10865 : Safeguarding Classified Information Within Industry | 2/20/1960 | Establishes appeal rights and procedures for industry applicants determined ineligible for access to classified information. |
| Executive Order 12333 : US Intelligence Activities | 12/4/1988 | Establishes roles, responsibilities and guidance related to the Intelligence Community and intelligence activities. |
| Executive Order 12829 : National Industrial Security Program | 1/6/1993 | Establishes the National Industrial Security Program and outlines associated roles, responsibilities and requirements for operations and maintenance. |
| Executive Order 12968, as amended : Access to Classified Information | 8/2/1995 | Establishes a uniform Federal personnel security program for individuals considered for initial or continued eligibility for access to classified information or eligibility for a sensitive position. |
| Executive Order 13467, as amended : Reforming Processes Related to Suitability for Government Employment, Fitness for Contractor Employees, and Eligibility for Access to Classified National Security Information | 6/30/2008 updated | Establishes personnel vetting policy and procedures for vetting individuals who work for or on behalf of the Federal Government. (Note: Scroll down to “Ex. Ord. No. 13467”) |
| Executive Order 13488, as amended : Granting Reciprocity on Excepted Service and Federal Contractor Employee Fitness and Reinvestigating Individuals in Positions of Public Trust | 1/16/2009 | Establishes reinvestigation requirements for public trust positions and reciprocal acceptance of fitness determinations. |
| Executive Order 13587 : Structural Reforms to Improve the Security of Classified Networks and the Responsible Sharing and Safeguarding of Classified Information | 10/7/2011 | Directs structural reforms to ensure responsible sharing and safeguarding of classified information on computer networks. |
| Executive Order 13741 : Amending Executive Order 13467 To Establish the Roles and Responsibilities of the National Background Investigations Bureau and Related Matters | 9/29/2016 | Amends EO 13467 to establish the roles and responsibilities of the National Background Investigations Bureau and establish the Credentialing Executive Agent. |

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| Executive Order 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 | 1/17/2017 | Amends EO 13488 and EO 13467 to modify language related to competitive service appointments and fitness standards and modernize the Executive Branch-wide governance structure. |
| Executive Order 13869 : Transferring Responsibility for Background Investigations to the Department of Defense | 4/24/2019 | Transfers NBIB investigative functions, personnel and resources to DoD/DCSA; establishes DCSA roles and responsibilities, and other amendments to Executive Order 13467. |
| Executive Order 14035 : Diversity, Equity, Inclusion, and Accessibility in the Federal Workforce | 6/25/2021 | Advances equity within the Federal Government and strengthens the Federal workforce by promoting diversity, equity, inclusion, and accessibility to cultivate a workforce that draws from the full diversity of the Nation. |