



## Federal Personnel Vetting Performance Management Guidelines

### I. Purpose

This document provides the strategic direction for a successful Federal personnel vetting program which depends on a systematic and continuous approach to evaluate the effectiveness and efficiency of suitability, fitness, national security, and credentialing products, systems, and services to perform personnel vetting functions. Effective performance management requires strategic goals, with measures and metrics, to enable ongoing personnel vetting policy and business process assessments, inform solutions, generate data-driven decisions, and drive enterprise performance improvements. This document is also aligned with and supportive of the Federal Government's broader efforts to recruit and retain a diverse and talented workforce.

These Guidelines serve as a high-level, outcome-based strategy to provide overarching direction for performance management within the Federal personnel vetting enterprise, including its people, systems, services, and tools. This document 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. The detailed components of performance management are defined in the subordinate Performance Management Standards and Appendices.

### II. Scope, Applicability, and Review

- A. 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 (EAs).
  4. Executive Branch shared service providers.
  5. Personnel vetting program management offices and suitability, fitness, national security, and credentialing programs.
  6. Personnel vetting oversight entities (e.g., those that conduct program management reviews, assessments, and audits).

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7. Any other entities that support Federal personnel vetting for or on behalf of the Executive Branch.
  - B. Departments and Agencies (D/As) will ensure internal-level policy documents outcomes are consistent with these Guidelines and the subordinate Performance Management Standards absent D/A-specific legal obligations or EA approvals of exemptions.
  - C. 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. 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.
  - D. These Guidelines remain in effect until revoked in writing by the EAs.

### **III. Performance Management Outcomes**

Executive Branch D/As must ensure their personnel vetting programs align with and support the following performance management outcomes:

- A. Policy and operational decision-making are informed by performance data, trend analysis, and continuous performance improvement principles.
- B. Performance goals are objective, justifiable, and measurable and contribute to the quality, efficiency, and effectiveness of each element of the Federal personnel vetting enterprise.
- C. Performance data is leveraged to enable efficient, effective, and risk-managed personnel vetting processes for each of the five personnel vetting scenarios.
- D. Information technology identifies, captures, and ensures the availability of relevant information to support end-to-end analysis.
- E. Mechanisms gather continuous performance improvement feedback from policy officials, personnel vetting practitioners, individuals, and key stakeholders.
- F. Early detection of performance concerns and impediments, early identification of best practices, and the ability to measure impacts of corrective action over time improve D/A personnel vetting processes across the enterprise.
- G. Risk and threat management practices are embedded and aligned within Executive Branch personnel vetting processes across all domains (suitability, fitness, national security, and credentialing).

### **IV. Performance Management Components**

Executive Branch D/As, shared service providers, ISPs, and authorized adjudicative agencies must implement three major performance management components as outlined below:

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- A. Performance Measurement Framework – Performance measures are collections of data and information that describe the state of the Federal personnel vetting enterprise based on their results and include the following:
1. Efficiency Measures – Focus on whether an activity is being performed in a manner that optimizes timeliness, volume, level of effort, and cost.
  2. Effectiveness Measures – Focus on whether an activity achieves the intended or expected results, including issue resolution, and whether the activity is aligned with the intent of Federal personnel vetting policy. These measures encompass quality, standardization, satisfaction, outcomes, and results.
  3. Risk Measures – Focus on whether the processes are prone to vulnerabilities and threats, the impacts of any vulnerabilities and threats, and the efforts to address them. These measures encompass system risk to the health of the Federal personnel vetting enterprise.
- B. Information Collection Framework – D/As must establish a process and schedule for capturing the required performance metrics and measures as outlined in the Performance Management Standards.
- C. Analysis and Reporting Framework – D/As must establish a process for analyzing and reporting the relevant performance information to oversight organizations<sup>1</sup>, as required, to continuously improve the Federal personnel vetting program. The analysis and reporting framework focus areas include the following:
1. Analysis – Information leveraged to develop data-driven, evidence-based policy and business process changes.
  2. Reporting – Information provided to oversight organizations for the purposes of oversight, monitoring enterprise performance, maintaining compliance with statutory reporting requirements, and ensuring transparency across the Executive Branch and publicly.
  3. Internal Performance Management – D/As monitor performance information and take corrective action to improve efficiency, effectiveness, and risk management within the parameters of the Guidelines and Standards.
  4. Government-wide Performance Management – Oversight organizations monitor agency-specific or aggregated performance information and monitor corrective action plans to improve efficiency, effectiveness, and risk management enterprise-wide.

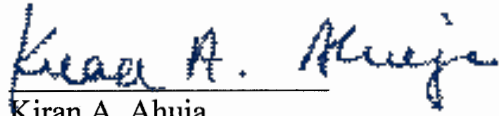
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<sup>1</sup> Oversight organizations may include but are not limited to the EAs in their oversight role, D/A oversight offices, such as Offices of Inspectors General, or external entities.

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Avril D. Haines  
Director of National Intelligence  
Office of the Director of National Intelligence  
Security Executive Agent



Kiran A. Ahuja  
Director  
Office of Personnel Management  
Suitability and Credentialing Executive Agent

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