

Chapter 3

Personnel Security

This chapter covers the security procedures adopted by DOE HQ to implement the requirements of the following DOE directives:

- Privacy Act of 1974
- Title 10, Code of Federal Regulations, Part 707
- Title 10, Code of Federal Regulations, Part 710
- Title 48, Code of Federal Regulations, Part 952.204-2
- DOE Order 470.4B, *Safeguards and Security Program*
- DOE Order 472.2, *Personnel Security*
- DOE Order 475.1, *Counterintelligence Program*

The DOE Personnel Security Program is designed to ensure that individuals authorized to access classified information and Special Nuclear Material (SNM) do not pose a threat to national security interests. This assurance is provided by the process for issuing initial and continuing access authorizations (security clearances), which is intended to ensure that only personnel who meet defined Federal standards for honesty, reliability, and trustworthiness are allowed such access.

- Section 301 covers the procedures for acquiring new security clearances.
- Section 302 covers other actions that affect security clearances such as transfers, extensions, upgrades, downgrades, and cancellations.
- Section 303 covers the requirements for reporting information that may affect the retention of a security clearance.
- Section 304 covers the procedures for accessing the Electronic Questionnaire for Investigations Processing (e-QIP) and completing the e-QIP process required for those seeking a security clearance and an HSPD-12 security badge.
- Section 305 covers the annual process that HSOs must complete to ensure cleared personnel in their element are reinvestigated at the proper interval to verify the continued need for their security clearances.

- Section 306 covers procedures for passing security clearance information to organizations hosting classified meetings.

Section 301

Acquiring New Security Clearances

Certain HQ Federal and contractor employees must have security clearances because their jobs require them to have access to classified matter. A security clearance is a determination by the United States government that a person is eligible for access to classified matter. To obtain a security clearance, a Federal investigative agency must conduct background investigations before employees or contractors are issued security clearances. The Office of HQ Personnel Security Operations (AU-43) handles all security clearance matters at HQ.

NOTE: An equivalent term for “security clearance” is “access authorization;” however, the term “access authorization” has several different meanings at DOE HQ. To avoid confusion, the term “security clearance” is used throughout this section instead of “access authorization.”

Five types of security clearances exist at DOE: a Q clearance, L clearance, TS clearance, S clearance, and C clearance. An employee’s security clearance is determined by the work he/she will perform, his/her position description (if a Federal employee), or the terms of the contract (if a contractor employee).

Security classification is cast into three levels:

- Confidential: The unauthorized disclosure of Confidential information or material can cause measurable damage to national security. The vast majority of military personnel are given this very basic level of clearance. This level is reinvestigated every 15 years.
- Secret: The unauthorized disclosure of Secret information can cause serious damage to national security. This level is reinvestigated every 10 years.
- Top Secret: The unauthorized disclosure of TS information or material can cause grave damage to national security. This level is reinvestigated every 5 years.

In addition, three categories of classified matter are identified: Restricted Data (RD), Formerly Restricted Data (FRD), and National Security Information (NSI). The employee must have a security level clearance consistent with his/her assignment. Common combinations are reflected in the table, below:

Employee Accesses Authorized Based on DOE-Issued Security Clearances

Q	Top Secret	L	Secret	Confidential
TSRD				
SRD				
CRD		CRD		
SNM CAT I - III		SNM CAT II & III		
TSNSI	TSNSI			
SNSI	SNSI	SNSI	SNSI	
CNSI	CNSI	CNSI	CNSI	CNSI
TSFRD	TSFRD			
SFRD	SFRD	SFRD	SFRD	
CFRD	CFRD	CFRD	CFRD	CFRD

This section covers many of the possible variations, but requires close and continuing coordination between those responsible for sponsoring and requesting security clearances and AU-43 to ensure that clearance requests are processed in an effective and timely manner.

HQ Implementation Procedures

Preliminary Considerations:

Before an HQ employee is processed for a security clearance, proper documentation must be in place.

1. Federal Employees – The Position Description (PD) of Federal employees must specify the proper security clearance level to be processed for the assignment. If the employee's PD does not specifically state that a security clearance is required, then that employee cannot be processed for a security clearance.
2. Contractors – The company employing contractors who require a security clearance must possess a Facility Clearance issued by DOE and a contract requiring the proper security clearances for its employees. AU-43 personnel verify that the employers of

contractors have the necessary background documentation in place. If not, the application cannot be processed.

NOTE: The procedures for a contract company to acquire a DOE Facility Clearance are described in Chapter 4, Foreign Ownership, Control or Influence; Facility Clearance; and Classified Contract Registration.

Who Does What?

The applicant's status as a Federal or contractor employee and other considerations determine who is responsible for security clearance application assistance:

1. Newly Hired or Existing Federal Employees – Each HQ element has established its own procedure for assisting Federal employees a requiring security clearance. In some elements, a Human Capital (HC) specialist within the element assists the employee; in other elements, it is the HSO. The proper official contacts the employee when it is time to apply for a clearance.
2. Other Government Agency Detailees – Federal employees employed by another department or agency, such as the Department of Defense, who are detailed to work at DOE must work with the HSO of their sponsoring element to complete the required paperwork for a security clearance.
3. Intergovernmental Personnel Act (IPA) Employees – A person employed by DOE under an IPA agreement is in a unique category. He/she is hired under a contract-like agreement administered by HC. When hired, he/she has the authority of a Federal employee. For the purpose of security clearance processing, IPA employees are treated the same as contractor employees, except HC arranges for a drug test and furnishes a copy of the IPA Agreement (prepared by HC) to include in the security clearance request package. Consequently, HSOs should consult with AU-43 to specify what other documentation may be needed.
4. Newly Hired or Existing Contractor Employees – New or existing HQ contractor employees requiring security clearances must work with their Facility Security Officer (FSO). The FSO coordinates with the element's HSO to obtain the required signatures and submit the security clearance request package.
5. Key Management Personnel (KMPs) – KMPs are top officials of contract companies performing classified work for DOE. KMPs must have a DOE security clearance, commensurate with the classified work being done by their company, in accordance with the DOE Foreign Ownership, Control, or Influence (FOCI) Program. The HQ FOCI Program Manager within AU-42 designates KMPs. KMPs may or may not need access to classified information.

AU-42 notifies the HSO of the HQ element using the company to perform classified work of the names of their KMPs. AU-42 also notifies the contractor of those identified

as KMPs, what security clearances they require, and what HSO will process their security clearance documentation. For contractors holding multiple contracts with many organizations, AU-42 determines the contract requiring the highest security access level via the Safeguards and Security Information Management System (SSIMS). The HQ element with the contract requiring the highest security access level becomes the element responsible for sponsoring KMP clearances.

6. All Others – There are other categories of people who might require a DOE security clearance. In the past, these have included Federal or local law enforcement agency personnel participating in joint task forces, members of Presidential or Congressional commissions, U.S. Congressmen/women representing districts with DOE facilities, and governors of states with DOE facilities. When these special situations occur, the HSO of the affected HQ element must consult with AU-43 to determine the required documentation and who will sponsor the security clearance.

Requesting a Security Clearance:

Processing an application for a security clearance involves several steps and multiple officials:

1. Determining Sponsorship – All applicants for a security clearance must have a sponsor. The sponsor is the HQ element assigning the classified work. The Federal employee's Position Description (PD) must include the need for the work specified, as well as the proper security clearance level. For contractors, the contract between the HQ element and the contractor must detail the need for the classified work. The assigned sponsor provides all clearance related actions, including reinvestigations, completion of security refresher briefings, etc.
2. Obtaining Documentation from the Applicant
 - a. **Federal Employees:** The element's HC specialist or HSO must acquire the necessary documents from the applicant, including:
 - DOE F 5631.18, *Security Acknowledgement*
 - DOE F 206.4, *Information Sheet for Sponsorship of HSPD-12 Credential*
 - OF 306, *Declaration for Federal Employment*
 - A copy of the applicant's current resume
 - b. **Contractor Employees:** The contractor's FSO must obtain and prepare the required application documentation from the employee, including:
 - DOE F 5631.18, *Security Acknowledgement*
 - DOE F 206.4, *Information Sheet for Sponsorship of HSPD-12 Credential*
 - DOE F 473.2, *Security Badge Request* (if entry to HQ facilities is required at least 3 times per week for 45 days or more).

3. Contractor Preemployment Screening – The contracting company is required to conduct preemployment screenings and evaluate the results in accordance with their personnel policies. This requirement, as well as the drug testing requirement described below, is defined in 48 CFR 904.

The preemployment screening must include:

- Verifying the applicant’s educational background, including a high school diploma obtained within the past 5 years, and degrees or diplomas granted by an institution of higher learning
- Contacting the applicant’s employer(s) of the past 3 years
- Contacting the applicant’s listed personal references
- Conducting local law enforcement checks when such checks are not prohibited by state or local law or regulation
- Conducting a credit check
- Conducting other checks appropriate for the applicant.

The FSO assembling the applicant’s security clearance application package must provide the preemployment screening results in a letter (see Attachment 301-1) to AU-43 stating that:

- A preemployment review was conducted
- The date(s) the review was conducted
- The identity of each entity providing information about the applicant
- Certification that the information was reviewed by the employing contractor in accordance with all applicable laws, regulations, and Executive Orders, including those governing the processing and privacy of an applicant’s information collected during the review
- Certification that all information collected during the review was reviewed and evaluated in accordance with the contractor’s personnel policies.

DOE can reimburse contractors for the cost of preemployment screening of security clearance applicants.

4. Drug Testing – Both Federal and contractor employees applying for a security clearance must undergo a urinalysis drug screening for the use of illegal substances. Drug test results must be dated within 60 days of the date the applicant certifies his/her SF-86.

- a. **Federal and IPA Employees:** The HC Specialist coordinates the drug test for applicants and receives the results which are attached to the applicant's security clearance request package.
- b. **Contractor Employees:** Contractors must establish their own drug testing programs, as required by 10 CFR 707, *Workplace Substance Abuse Programs at DOE Sites*. The contractor must arrange for the security clearance applicant to take a drug test and must also provide the results to the FSO who is preparing the applicant's security clearance request package.

Drug test results must be included in a letter to AU-43. Results of the contractor's drug screening are reported in one of two ways: an attached copy of the laboratory report showing the results of the drug test, or a statement within the letter attesting to the date, location, and results. The sample letter in Attachment 301-1 may be used to report drug test results.

DOE can reimburse contractors for the cost of drug testing security clearance applicants.

NOTE: DOE does not process security clearance requests from any applicant who tested "positive" for illegal drugs. The applicant/sponsor must wait at least one year before re-submitting a security clearance application.

- 5. Preparing a Request for a Security Clearance – Once the documents listed in paragraph 2 above, have been signed by the applicant and the preemployment and drug test results have been documented as described in paragraphs 3. and 4., above, they are assembled and attached to an HQ F 5631.2, *U.S. Department of Energy (DOE) Headquarters Clearance Request and Notification*. The HQ F 5631.2 is the official request for AU-43 to process the security clearance application.
 - a. **Federal and IPA Employees:** The element's HC specialist or HSO prepares the HQ F 5631.2. The element's HSO and HC specialist must sign the HQ F 5631.2. In addition, a copy of the employee's PD and the Position Designation Record (PDR) must be obtained.
 - b. **Contractor Employees:** The employing company's FSO prepares the HQ F 5631.2 and submits it to the servicing HSO for processing. The HSO must ensure the applicant's contract is registered in SSIMS before signing the HQ F 5631.2 and routing it to the element's responsible Contracting Officer Representative (COR) to sign.

The HQ F 5631.2 must be completed properly (see Attachment 301-2 for instructions).

Block 9, Special Processing, of the HQ F 5631.2 permits the sponsoring element to alert AU-43 to special circumstances that may allow the applicant to receive expedited processing. These two circumstances, “Reciprocity” and “Interim,” are discussed in Attachment 301-2.

The element’s HC specialist or HSO must ensure that block 11 satisfactorily justifies the need for the security clearance. The justification must specify the highest classification level and category of matter to be accessed and detail the duties requiring access at that level.

NOTE: A justification such as “The applicant is a rocket scientist and will need a Q in order to perform her duties” is inadequate and will not be accepted by AU-43. A proper justification would be: “The applicant will support the Office of Energy Science in the development of cold nuclear fusion. This will require unescorted access to LAs, where applicant will come in contact with classified information or materials up to the S/RD level.”

6. Sponsorship in USAccess

- a. **Federal and IPA Employees:** The HC specialist sponsors and enrolls the applicant in USAccess. See Section 102 for information about USAccess processing.
- b. **Contractor Employees:** The HSO coordinates with the designated person in his/her element to sponsor and enroll the contractor into USAccess. See Section 102 for information about USAccess processing.

The applicant must enroll in USAccess to have fingerprints captured.

7. Submitting the HQ F 5631.2 and Enclosures

- a. **Federal and IPA Employees:** When the HSO and HC specialist have signed the HQ F 5631.2 and the applicant has enrolled in USAccess, the HQ F 5631.2 and its enclosures must be submitted to AU-43 for further review and processing.
- b. **Contractor Employees:** When the HSO and COR have signed the HQ F 5631.2 and the applicant has enrolled in USAccess, the HQ F 5631.2 and its enclosures must be submitted to AU-43 for further review and processing.

NOTE: For all personnel security requests, the transmittal email to AU-43 must contain the element’s Purchase Order and Treasury Account Symbol (TAS) codes for billing purposes (please refer to HSO Spotlight No. 02-2018, Charging Program Offices for Personnel Security Investigations). If this billing information is not provided, the clearance request package will be returned to the HSO with no further action taken by AU-43.

8. AU-43 Review of Documentation Submitted – AU-43 reviews the documents to verify they are complete. If the documents are filled out incorrectly, information is missing, or the required documentation is not attached, AU-43 returns the paperwork to either HC or the HSO for the necessary corrections. When the corrections are made, the documents are resubmitted to AU-43.

NOTE: AU-43 is authorized to refrain from taking action on security clearance requests involving persons on parole or probation for a felony offense until they have completed their period of parole or probation.

When the documents are complete, the applicant will complete the SF-86, Questionnaire for National Security Positions via e-QIP.

9. e-QIP Processing – See Section 304 of HQFMSP for information regarding e-QIP processing.
10. Background Investigation – Once the e-QIP process is completed, the applicant's information is automatically forwarded to the National Background Investigations Bureau (NBIB). NBIB provides the results of the background investigation to AU-43 for review.
11. Grant of Security Clearance – AU-43 reviews the applicant's investigative report and provides unbiased adjudication in accordance with the National Security Adjudicative Guidelines issued by Security Executive Agent Directive 4, National Security Adjudicative Guidelines dated 6/8/2017/. If the background investigation is favorable, AU-43 grants the security clearance, updates the Central Personnel Clearance Index (CPCI) database, and annotates the HQ F 5631.2 with the date of approval and the level (Q, L, TS, S or C) of the clearance. A copy of the HQ F 5631.2 for Federal employees is provided to HC and the HQ security badge office. For contractor employees, a copy of the HQ F 5631.2 is provided to the HSO and the badge card, if applicable, is forwarded to the HQ badge office.

AU-43 cannot approve applicants with unresolved security concerns, as identified by the National Security Adjudicative Guidelines. Instead, the application must be processed through the Administrative Review procedures contained in 10 CFR 710, as described in the subsection below.

12. Issuance of a Security Badge and Completion of Standard Form 312, *Classified Information Nondisclosure Agreement* – The servicing badge office contacts the servicing HSO by e-mail notifying him/her that the applicant's security badge has been prepared. See Section 102 for important information on when to pick up the security badge and what documents the applicant needs to bring to the badge office.

The badge office has the applicant complete a Comprehensive Security Briefing, which describes the applicant's responsibilities for protecting classified information. The badge

office then has the applicant complete an SF-312, *Classified Information Nondisclosure Agreement*. The badge office retains the SF-312 for a period of 70 years.

Reciprocity:

Block 9 of the HQ F 5631.2 permits the sponsoring HQ element to select “Reciprocity” as a special processing option when the applicant has an active security clearance granted or has been determined eligible for a security clearance by another Federal agency. In addition, the applicant must have a favorably adjudicated background investigation completed at the level to support the security clearance requested and within the required timeframe.

Reciprocity does not apply if an existing security clearance or eligibility cannot be verified, the applicant’s most recent favorably adjudicated background investigation is out of scope or does not support the level of clearance requested, or AU-43 is in possession of derogatory information that has not been covered by the applicant’s most recent background investigation.

Interim Access Authorization (IAA):

Block 9 of the HQ F 5631.2 also permits the sponsoring HQ element to select “Interim” as a special processing option. Under exceptional circumstances and when such action is clearly consistent with Departmental and national interests, an uncleared applicant may, pending completion of the appropriate background investigation, be permitted to have an interim security clearance. The Federal Head of Element must prepare a memorandum request to the Director, AU-40, that includes a detailed justification which explains why:

- A serious delay of, or interference in, to an operation or project essential to a DOE program will occur unless the person for whom the IAA is requested is granted access to classified information or Special Nuclear Material (SNM) before completion of the normal security clearance process, and.
- The services of a qualified person who is currently cleared to access the necessary classified information or SNM cannot be obtained.

The applicant must complete all the steps required for a security clearance as noted above before an interim security clearance request will be processed by AU-43. Requests submitted with justifications that do not meet the requirements as specified above will be returned with no action taken by AU-43.

It is important to note that the submission of a request for an interim clearance does not guarantee the applicant will be granted one. All interim clearance requests undergo a rigorous review process. Both the applicant and Federal Head of Element will be notified in writing of the final decision.

NOTE: Interim security clearances may be extended or transferred for another purpose within the DOE complex only.

Administrative Review (AR) Processing:

AU-43 initiates AR, outlined in 10 CFR 710, when an individual's eligibility for security clearance has been suspended or cannot be granted because of unresolved security concerns. AR gives the individual the opportunity to submit written information and/or to appear before a DOE hearing officer. AU-43 sends individuals processed under 10 CFR 710 explicit written information and instructions, including a point of contact to obtain further information.

When an individual's security clearance is denied or revoked following AR, granting or reinstating security clearance eligibility is reconsidered only under the following circumstances:

- When a minimum of one year has elapsed since the date of the Manager's, Administrative Judge's or Secretary's final decision, or of a previous denial of a reconsideration request.
- When requested by the individual
- When a bona fide offer of employment exists requiring access to RD, NSI, or SNM
- When either: (1) material and relevant new evidence exists, or (2) convincing evidence of rehabilitation or reformation exists.

The request for reconsideration must be submitted in writing to the Director, Office of Departmental Personnel Security (AU-53), and accompanied by an affidavit detailing the new evidence or evidence of rehabilitation or reformation. AU-53 notifies the individual if his/her security clearance eligibility will be reconsidered, and what actions will need to be taken before the decision regarding eligibility for a security clearance can be made..

Protection of Personnel Security Information:

Because security clearance forms contain Personally Identifiable Information (PII), the forms must be protected in accordance with the Privacy Act of 1974. PII is considered Official Use Only and is included within the meaning of controlled Unclassified Information. PII must be stored in a locked drawer, file cabinet, or a GSA-approved container, and may be discussed only with authorized persons in connection with the processing or adjudication of a security clearance, Federal employment suitability determination, security inquiry, or criminal investigation.

Refer to Chapter 13, Controlled Unclassified Information, for specific guidance on the transmission and destruction of PII.

Applicant Tracking System (ATS):

Applicants may use the ATS to check the general status of their security clearance requests if a new investigation has been requested from the NBIB. The *Applicant Tracking System Quick Reference Guide* describes how to access ATS (see Attachment 301-3). The Helpful Website subsection below provides the ATS website link. ATS offers three items of information:

- The Investigation Requested Date (the date AU-43 submitted the request for the applicant's security clearance to the NBIB)
- The Investigation Results Received Date (the date AU-43 received the applicant's background investigation report from the NBIB)
- The Clearance Action Date (the date AU-43 acted on the applicant's security clearance request).

Points of Contact

For the names and contact information for those occupying the AU-40 positions identified in this chapter, call (202) 586-7887 or (301) 903-9990

For the names and contact information for those occupying the AU-43 positions identified in this chapter, call (301) 903-4175.

For the names and contact information for those occupying the AU-53 positions identified in this chapter, call (202) 586-3249.

Forms/Samples/Graphics

Sample Letter Reporting Results of Contractor Preemployment Checks and Drug Testing (see Attachment 301-1)

General Procedures for Completing HQ F 5631.2, Headquarters Clearance Request and Notification (see Attachment 301-2)

Applicant Tracking System Quick Reference Guide (see Attachment 301-3)

DOE F 206.4, *Information Sheet for Sponsorship of HSPD-12 Credential* (go to <http://energy.gov/cio/downloads/information-sheet-sponsorship-hspd-12-credential> for a copy of this form)

OF 306, *Declaration for Federal Employment* (go to http://www.opm.gov/forms/pdf_fill/of0306.pdf for a copy of this form)

SF-312, *Classified Information Nondisclosure Agreement* (furnished by an HQ badge office upon issuance of a security badge with a security clearance listed)

DOE F 473.2, *Security Badge Request* (go to <http://energy.gov/cio/downloads/security-badge-request> for a copy of this form)

HQ F 5631.2, *Headquarters Clearance Request and Notification* (go to <http://energy.gov/cio/downloads/headquarters-clearance-request-and-notification> for a copy of this form)

DOE F 5631.18, *Security Acknowledgement* (go to <http://energy.gov/cio/downloads/security-acknowledgement-0> for a copy of this form)

Helpful Website

To access ATS, go to: <https://ats.doe.gov/>

ATTACHMENT 301-1

Sample Letter Reporting Results of Contractor Preemployment Checks and Drug Testing

Contractor Letterhead

Date

Director, Office of Headquarters Personnel Security Operations
Office of Headquarters Security Operations
Office of Environment, Health, Safety and Security
U.S. Department of Energy
1000 Independence Avenue, SW
Washington, DC 20585

Dear Sir/Madam:

This letter is to inform you that (name of person) is an employee of this company and is applying for a Department of Energy security clearance. He/she has successfully completed preemployment screening and drug testing requirements described in Title 10, Code of Federal Regulations (CFR), Part 707, and Title 48, CFR, Part 952.204-2.

The preemployment checks were conducted by (name of company providing preemployment screening services) and included verification of the employee's educational background, contact with his/her employer(s) for the past 3 years, contact with listed personal references, permissible local law enforcement checks, a credit check, and other checks routinely performed by our company. These checks were conducted in accordance with all applicable laws, regulations, and Executive Orders, including those governing the processing and privacy of the employee's information collected during the review. The results of these checks were reviewed on (date of review) and evaluated in accordance with our company personnel policies. (Name of person) was determined to be eligible for employment in a position that would require a security clearance.

(Name of person) was tested for the use of illegal substances. A copy of the laboratory report with favorable test results is enclosed with this letter.

If you have any questions concerning these matters, please call me at (202) 555-5555.

Sincerely,

Name
Facility Security Officer (or other official)
Name of company

Enclosure (drug testing laboratory report)

ATTACHMENT 301-2

General Procedures for Completing HQ F 5631.2, HQ Clearance Request and Notification

Following are the procedures used for completing the HQ F 5631.2. The form can be found at <http://energy.gov/cio/downloads/headquarters-clearance-request-and-notification>

- a. Block 1, Requester:
 - When an HC specialist requests clearance for a Federal employee within his/her element, select "Human Resources."
 - When an HSO submits the request, select "Headquarters Program Office."
 - When the DOE Office of Inspector General submits the request, select "Inspector General."
 - b. Block 2, Applicant Job Title/Grade: Describe as appropriate.
 - c. Block 3, Applicant Routing Symbol: Enter the routing symbol of the office where the applicant will work, such as NA-70, AU-14, S-4, etc.
 - d. Block 4, Date of Request: Enter the appropriate date.
 - e. Block 5, Applicant Data: Enter required data.
 - f. Block 6, Applicant Status: Select the proper applicant status.
 - g. Block 7, Contract information: If applicant is a contractor/subcontractor, provide the contractor's name in the appropriate place. Enter contract number and expiration dates in the appropriate places.
 - h. Block 8, Clearance Requested: Select clearance level, consistent with the applicant's duties.
 - i. Block 9, Special Processing:
 - Select "Reciprocity" if applicable.
 - Select "Interim" if this request is for an IAA.
 - DO NOT select "AAP" as this program no longer exists.
 - Leave blank if none of the above apply.
 - j. Block 10, Action Requested: Select appropriate block from the following categories:
 - "Initial" means the applicant needs a new DOE security clearance. (This includes reciprocity).
 - "Upgrade" means the applicant already has a DOE C, S, or L clearance, but needs a TS or Q clearance.
 - "Reinstatement" means the applicant's DOE clearance was terminated, but needs to be reactivated.
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- “Downgrade” means the applicant already has a DOE TS or Q clearance, but needs a C, S, or L clearance.
 - “Extension” means the applicant has an active DOE clearance, but needs to support another DOE site or HQ element concurrently.
 - “Transfer” means the applicant has a clearance with one DOE organization that no longer sponsors him/her. Sponsorship of the clearance must be transferred to another HQ element.
 - “Downgrade to BAO” means the applicant has an unneeded clearance, but still needs entry to a HQ facility.
 - “Reinvestigation” means the applicant has a clearance, but 5 years have elapsed since it was granted, and the applicant must be reinvestigated.
 - “Cancellation” means that during clearance processing it is determined that an applicant no longer needs the clearance.
- k. Block 11, Justification: The justification specifies the highest classification level and category of matter to be accessed and details the duties required at that level. Select the proper combination of level and category of classified information that the applicant will need to access. Select the proper HQ facility where the applicant will be assigned.
- l. Block 12, Enclosures: Select all that apply to an applicant.

For Federal employees, the following boxes should be checked and the corresponding documents enclosed with the HQ F 5631.2:

- DOE F 5631.18, *Security Acknowledgement*
- Other: Drug Test Result
- Other: DOE F 206.4, *Information Sheet for Sponsorship of HSPD-12 Credential*
- Other: Current resume
- Other: Position Description and Position Designation Record

NOTE: The above forms apply to an applicant for an initial DOE Q, TS, L, S or C clearance that has not been investigated previously.

For IPA employees, the following boxes should be checked and the corresponding documents enclosed with the HQ F 5631.2:

- DOE F 5631.18, *Security Acknowledgement*
- DOE 473.2, *Security Badge Request* (if entry to HQ facilities is required at least 3 times per week for 45 days or more)
- Other: Drug Test Result
- Other: DOE F 206.4, *Information Sheet for Sponsorship of HSPD-12 Credential*
- Other: Copy of IPA Agreement with signatures and approvals

For contractors, including KMPs, the following boxes should be checked and the corresponding documents enclosed with the HQ F 5631.2:

- DOE F 5631.18, *Security Acknowledgement*
- Results of Preemployment Checks
- DOE F 473.2, *Security Badge Request* (if entry to HQ facilities is required at least 3 times per week for 45 days or more)
- Other: Drug Test Result
- Other: DOE F 206.4, *Information Sheet for Sponsorship of HSPD-12 Credential*

For all others, the HSO determines from AU-43 the documents required, checks the appropriate boxes, and encloses the corresponding documents with the HQ F 5631.2.

- m. Block 13, Certification: Must be signed by the element's HSO and either the HC specialist or COR. Names must be typed or printed legibly.

ATTACHMENT 301-3

Applicant Tracking System Quick Reference Guide

What is ATS

The Applicant Tracking System (ATS) is a secure web page that allows a clearance applicant to see when the clearance investigation was scheduled, when DOE received the investigation results, and when a determination was made concerning the clearance request. This system will only track the status of an investigation that was requested by DOE. It will not show a status for an investigation that was requested by any other Federal agency or Department.

Getting Started

There are three basic steps in using ATS:

1. Open Internet Explorer (the web browser)
2. Create an ATS account
3. View the investigation date data

Step 1: Opening Internet Explorer

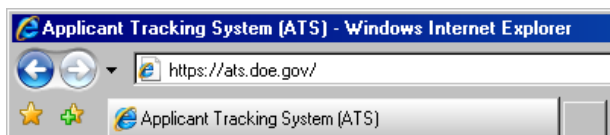
Start Internet Explorer by double clicking its icon. The browser home page opens.



Step 2: Creating an ATS Account

In the **Address** field, type <https://ats.doe.gov> and then press the **Enter** button.

*Note: Make sure that you type the **s** in **https**:*



The ATS Log In page opens.

Applicant Tracking System (ATS)

(ATS) The PSDB production database will be down for maintenance on Saturday, May 26th from 10:00am to 4:00pm. All applications that connect to the PSDB database will be unavailable during this time (CPL, PSDB Admin, YADB/WDAC, ATS.) Please make note of this. We apologize for any inconvenience this may cause.

Enter User ID and Password to log onto eDSS+ ATS

User ID:

Password:

WARNING: To protect the system from unauthorized use and to ensure that the system is functioning properly, activities on this system are monitored and recorded and are subject to audit. Use of this system is expressed consent to such monitoring and recording. Any unauthorized access or use of this system is prohibited and could be subject to criminal and civil penalties.

Help Desk: (201) 903-8790 U.S. Department of Energy Email Address: dss-helpdesk@hq.doe.gov

Click on the **New User** button. The logon page changes to the new user registration page.

Fill in the following data on the page:

- Your first and last name
- Last 4 digits of your SSN
- Your Email address
- Your user ID – there are no restrictions; you can enter whatever you want
- Your password – the restrictions are listed at the bottom of the page

Click on the **Submit** button. A message appears on the registration page stating that your account was created. You also will receive a confirmation email that contains your user ID and the ATS URL.

Click on the **Back to Login** button. The ATS Logon page opens.

Enter the user ID and password you created, and then click on the **Login** button.

The **Rules of Behavior** window opens.

Applicant Tracking System (ATS)

Rules of Behavior

To use this system, you must agree to all of the following rules.

This is a Federal Government system hosted by the U.S. Department of Energy. Users will be held accountable for their actions while using the ATS application. Any unauthorized access or inappropriate use of this application is prohibited and could be subject to criminal or civil penalties.

Users are to create and use passwords that comply with DOE policy, protect their passwords as sensitive unclassified information and are not to share their passwords with anyone.

Users are granted access to the ATS application based on a need to access specific information. Users are not to attempt to access information to which access has not been authorized.

ALL attempts to access this system are logged and unauthorized access will be prosecuted.

Select 'I Agree' to access the ATS application if you agree to these terms. Select 'I do not Agree' if you DO NOT agree to these terms.

Click on the I Agree button. The Clearance Status window opens._____

Step 3: Viewing Investigation Dates

Explorer

Step 3: Viewing Investigation Dates

The **Clearance Status** window lists your name and three date fields:

- **Investigation Requested Date:** This is the date DOE has asked the investigating agency to start the investigation.

- **Investigation Results Received Date:** This is the date DOE received all investigation results from the investigating agency.
- **Clearance Action Date:** This is the date DOE made a determination on your clearance request (granted/reinstated L or Q access, upgraded L access to Q, canceled/terminated the request).

If the **Investigation Results Received Date** or the **Clearance Action Date** is blank, that stage of the process has not occurred.

You can see the information shown in this window during the following time frame: from 1 day after the **Investigation Requested Date** is entered into DOE's Personnel Security Database (PSDB) through 30 days after the **Clearance Action Date**.

The **Clearance Status** window contains three drop-down menus:

- **File:** Select **File/Exit** (or click on the icon) to close the Clearance Status window and return to the ATS Logon window.
- **File:** Select **File/Print Screen** (or click on the icon) to print the Clearance Status window.
- **Tools:** Select **Tools/Change Password** to change your password.
- **Help:** Select **Help/Content** (or click on the icon) to view the help file.

Select **Help/Rules** to view the ATS Rules of Behavior.

Select **Help/About** to view the current version number and release date of the ATS software.

You can see the information shown in this window during the following time frame: from 1 day after the **Investigation Requested Date** is entered into DOE's Personnel Security Database (PSDB) through 30 days after the **Clearance Action Date**.

Additional Information

If you have specific questions about the investigation process or time frame, contact the security officer who has been handling your clearance request.

For questions or problems concerning this web site, contact the eDISS+ Help Desk.

- Our phone number is (301) 903-8790.
- Our fax number is (301) 903-8724.
- Our e-mail address is diss-helpdesk@hq.doe.gov.

Section 302

Other Security Clearance Actions

A DOE security clearance is granted based upon the individual's need to perform certain classified duties. Over time, the individual may change jobs, need a different security clearance, or no longer require a security clearance. These situations directly impact the individual's security clearance. The individual's servicing HSO must assist the individual in maintaining the integrity of his/her security clearance.

Many possible variations can occur because of the complicated nature of security clearance actions. To ensure that the transactions are processed in an effective and timely manner, AU-43 must coordinate with those responsible for requesting security clearance transactions.

HQ Implementation Procedures

When circumstances affecting an individual's security clearance change, the servicing HSO must notify AU-43 by completing and submitting a new HQ F 5631.2, *U.S. Department of Energy (DOE) Headquarters Clearance Request and Notification*. Circumstances that require submittal of a new HQ F 5631.2 include:

1. The Individual Accepted a Job in a Different HQ Element – The losing element must terminate the individual's security clearance because he/she is no longer performing duties requiring such a clearance. The HSO of the losing organization should outprocess the individual (see Chapter 15, Outprocessing); have the individual complete a DOE F 5631.29, *Security Termination Statement*; and hand write "This individual is transferring to (Name of Element)" on the DOE F 5631.29. The element HSO must deliver the DOE F 5631.29 to AU-43.

If the gaining HQ element requires the individual to perform classified work, the HSO of the gaining element must submit a HQ F 5631.2 with a request for "Transfer" in block 9 and a new justification in block 11 of the HQ F 5631.2. If a Federal employee is involved, the PD and PDR are also required. The HSOs of the two organizations should coordinate so that the clearance is not terminated by AU-43 before the transfer paperwork is received. If the person affected is a contractor, the HSO must also complete and submit to AU-43 a new DOE F 473.2, *Security Badge Request*.

If the gaining HQ element does not require the individual to perform classified work, please refer to paragraph 3.

2. An Individual with a Security Clearance is Departing DOE – The individual's security clearance must be terminated. The HSO should outprocess the individual (see Chapter 15, Outprocessing) and have the individual complete DOE F 5631.29. The completed form must be delivered to AU-43.

3. An Individual No Longer Requires Access to Classified Information but Requires Regular Access to a HQ Facility – The servicing HSO must have the individual complete a DOE F 5631.29. In addition, the HSO must submit a HQ F 5631.2 with a request for “Downgrade to BAO” in block 9 and a justification in block 11. If a contractor no longer requires the clearance, the HSO must also complete and submit to AU-43 a new DOE F 473.2 attached to the HQ F 5631.2. AU-43 will contact the HSO if any additional paperwork is needed.
4. An Individual Had a Clearance that Was Terminated and Now Needs to be Reinstated – The sponsoring HSO of the element should submit a HQ F 5631.2 with a request for “Reinstatement” in block 9 and a justification in block 11. DOE F 5631.18, and drug test results are needed for all reinstatement actions. For Federal employees, the PD and PDR are required. If the individual is a contractor, the HSO must verify through a SSIMS check that the employing company has a facility clearance and that the classified contract with the sponsoring HQ element is registered. The HSO must also complete and submit to AU-43 a new DOE F 473.2 for contractor employees only.
5. An Individual Has a DOE L, S, or C Clearance but Requires a Q or TS Clearance – The presumption is that the individual now has a need for access up to TS/RD or TS/NSI. The HSO servicing the individual must submit a HQ F 5631.2 with a request for “Upgrade” in block 9 and a justification in block 11. If the individual is a Federal employee, the PD and PDR are also required. When a contractor seeks the upgrade, the HSO must also complete and submit to AU-43 a new DOE F 473.2 attached to the HQ F 5631.2.
6. An Individual Has a Q or TS Clearance but Requires an L, S, or C Clearance – The individual no longer requires access up to TS/RD or NSI, but requires access up to C/RD, S/NSI, or C/NSI. The servicing HSO must submit an HQ F 5631.2 with a request for “Downgrade” in block 9 and a justification in block 11. If the individual is a Federal employee, the PD and PDR are also required. When a contractor seeks the downgrade, the HSO must also complete and submit to AU-43 a new DOE F 473.2 attached to the HQ F 5631.2.
7. An Individual with a Security Clearance Needs to Support an Additional HQ Element – The HSO of the element requiring the individual’s new services must submit a HQ F 5631.2 with a request for “Extension” in block 9 and a justification in block 11 of the HQ F 5631.2. The extension allows AU-43 to identify all the HQ elements that may have an interest in maintaining the individual’s security clearance. Unless the individual will be working for more than one contractor, a security clearance extension is unnecessary if the individual is taking on additional duties within his/her sponsoring element.
8. An Individual No Longer Requires a Security Clearance after the Request was Submitted to AU-43 – The servicing HSO of an individual who is being processed for a security clearance but no longer needs it must submit an HQ F 5631.2 with a request for “Cancellation” in block 9 and an explanation in block 11 of the HQ F 5631.2.

For a summary of how to complete an HQ F 5631.2 see Attachment 302-1.

Once a DOE security clearance is granted, the individual must undergo a background reinvestigation every 5 years. Section 305, Security Clearance Reinvestigations and Verifications, contains details on processing reinvestigation requests.

Actions related to the termination of security clearances are described in Chapter 15, Outprocessing, of the HQFMSP.

Points of Contact

For the names and contact information for those occupying the AU-43 positions identified in this chapter, call (301) 903-7189 or (301) 903-2644.

Forms/Samples/Graphics

General Procedures for Completing HQ F 5631.2, *Headquarters Clearance Request and Notification* (see Attachment 302-1)

DOE F 473.2, *Security Badge Request* (go to <http://energy.gov/cio/downloads/security-badge-request> for a copy of this form)

HQ F 5631.2, *Headquarters Clearance Request and Notification* (go to <http://energy.gov/cio/downloads/headquarters-clearance-request-and-notification> for a copy of this form)

ATTACHMENT 302-1

General Procedures for Completing HQ F 5631.2, HQ Clearance Request and Notification

Following are the procedures used for completing the HQ F 5631.2. The form can be found at <http://energy.gov/cio/downloads/headquarters-clearance-request-and-notification>.

- a. Block 1, Requester:
 - When an HC specialist requests an employee within his/her element, select “Human Resources.”
 - When an HSO submits the request, select "Headquarters Program Office."
 - When the DOE Office of Inspector General submits the request, select “Inspector General.”
- b. Block 2, Applicant Job Title/Grade: Describe as appropriate.
- c. Block 3, Applicant Routing Symbol: Enter the routing symbol of the office where the applicant will work, such as NA-70, AU-14, S-4, etc.
- d. Block 4, Date of Request: Enter the appropriate date.
- e. Block 5, Applicant Data: Enter required data.
- f. Block 6, Applicant Status: Select the proper applicant status.
- g. Block 7, Contract information: If the applicant is a contractor/subcontractor, provide the contractor's name in the appropriate place. Enter contract number and expiration dates in the appropriate places.
- h. Block 8, Clearance Requested: Select clearance level consistent with applicant’s duties.
- i. Block 9, Special Processing:
 - Select “Reciprocity” if applicable.
 - Select “Interim” if this request is for an IAA.
 - DO NOT select “AAAP” as this program no longer exists.
 - Leave blank if none of the above apply.
- j. Block 10, Action Requested: Select appropriate block from the following categories:
 - “Initial” means the applicant needs a new DOE security clearance. (This includes reciprocity).
 - “Upgrade” means the applicant already has a DOE C, S, or L clearance, but needs a TS or Q clearance.

- “Reinstatement” means the applicant’s DOE clearance was terminated, but needs to be reactivated.
 - “Downgrade” means the applicant already has a DOE TS or Q clearance, but needs a C, S, or L clearance.
 - “Extension” means the applicant has an active DOE, but needs to support another DOE site or HQ element concurrently.
 - “Transfer” means the applicant has a clearance with one DOE organization that no longer sponsors him/her. Sponsorship of the clearance must be transferred to another HQ element.
 - “Downgrade to BAO” means the applicant has an unneeded clearance, but still needs entry to a HQ facility.
 - “Reinvestigation” means the applicant has a clearance, but 5 years have elapsed since it was granted, and the applicant must be reinvestigated.
 - “Cancellation” means that during clearance processing it is determined an applicant no longer needs the clearance.
- k. Block 11, Justification: The justification specifies the highest classification level and category of matter to be accessed and details the duties required at that level. Select the proper combination of level and category of classified information that the applicant will need to access. Select the proper HQ facility where the applicant will be assigned.
- l. Block 12, Enclosures: Select all that apply to the applicant.
- m. Block 13, Certification: Must be signed by the element’s HSO and either the HC specialist or COR. Names must be typed or printed legibly.

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Section 303

Reporting Requirements for Personnel Holding Security Clearances

This section sets forth HQ procedures for reporting significant matters affecting a person's security clearance. Information that may affect a person's continued eligibility for access to DOE facilities, material, or classified information must be reported to AU-43.

HQ Implementation Procedures

Reportable Information:

All individuals have a specific obligation to report personnel security-related matters as they occur, whether related to themselves or to other individuals applying for or holding a DOE security clearance. Such matters, listed below, must be reported verbally and directly to AU-43 immediately upon the individual becoming aware of the situation or incident, and in no event later than two (2) WORKING DAYS AFTER THE EVENT. Thereafter, written confirmation of the information must be provided by the individual to the Office of Headquarters Personnel Security within three (3) additional working days.

NOTE: Federal management officials must report any condition affecting the status of an applicant's or employee's security clearance, including death, employment termination, or change in need for access to classified information. Contractors must report an employee who declines an offer of employment, fails to report to duty, is terminated, dies, no longer requires access to classified information, or has his/her access restricted or withdrawn.

Other reportable information includes, but is not limited to:

1. Legal action effected for a name change.
2. Change in citizenship.
3. Any use of an illegal drug, or use of a legal drug in a manner that deviates from approved medical direction.
4. Parent(s), brother(s), sister(s), spouse, or offspring assuming residence in a sensitive country. See the Sensitive Countries List, which is OOU, available from the Office of Counterintelligence (IN-20).
5. Observing or having knowledge of the presence of a situation or incident involving an individual holding or applying for a DOE security clearance that involves any of the matters identified in this section.

6. Any arrests, criminal charges (including charges that are dismissed), citations, tickets, summons or detentions by Federal, State, or other law enforcement authorities for violations of law within or outside of the U.S. Traffic violations for which a fine of up to \$300 was imposed need not be reported, unless the violation was alcohol or drug-related.
7. Hospitalization for mental health reasons or treatment for drug or alcohol abuse.
8. Employment by, representation of, or other business-related association with a foreign or foreign-owned interest or non-U.S. citizen or other individual who is both a U.S. citizen and a citizen of a foreign country.
9. Personal or business-related filing for bankruptcy.
10. Garnishment of wages.
11. Any contact with persons, including foreign nationals, who seek in any way to obtain unauthorized access to classified information or SNM.
12. Any unofficial contact with a foreign national from a sensitive country, as well as any association with any foreign national that is close and continuing, or more than casual in nature, whether in a business or social setting, or in any way raises a security concern. This includes a belief that a foreign national is inappropriately trying to obtain sensitive or classified information from the DOE cleared individual.
13. Suspension or termination of accesses either administratively or for cause.
14. Marriage or cohabitation (see further guidance below).
15. Foreign nationals who share living quarters with the cleared individual.
16. Proposed travel to a sensitive country must be reported to the Office of Intelligence and Counterintelligence in accordance with the requirements of that office.

Reporting 90 Day Absences:

Cleared personnel must report a leave of absence or extended leave lasting 90 days or more. The individual's access authorization may be terminated during the time he/she does not require access to classified information. The report must be made directly to AU-43 using the *Sample 90 Day Absence Report* (see Attachment 303-1).

Reporting Marriage and Cohabitation:

A Federal or contractor employee granted an access authorization must report his/her marriage or cohabitation. DOE F 5631.34, *Data Report on Spouse/Cohabitant*, must be used to make the report to AU-43 and submitted within 45 days of the marriage or

cohabitation. A National Agency Check (without fingerprints) is conducted on the spouse or cohabitant if he/she is not a U.S. citizen.

Reporting Name Changes:

When a DOE-cleared individual has a name change, he/she must notify AU-43, in writing, to ensure that the appropriate change is made to the security clearance record. AU-43 coordinates with the individual's servicing badge office and HSO to obtain a corrected security badge.

Points of Contact

For the names and contact information for those occupying the AU-43 positions identified in this chapter, call (301) 903-7189 or (301) 903-2644.

To acquire a copy of the Sensitive Countries List, call (202) 586-1378 or (301) 903-2039.

Forms/Samples/Graphics

DOE F 5631.34, *Data Report on Spouse/Cohabitant* (go to <http://energy.gov/cio/downloads/data-report-spousecohabitant> for a copy of this form)

Sample 90-Day Absence Report (see Attachment 303-1)

ATTACHMENT 303-1

Sample 90-Day Absence Report

MEMORANDUM FOR (NAME), DIRECTOR
OFFICE OF HEADQUARTERS PERSONNEL SECURITY OPERATIONS
OFFICE OF HEADQUARTERS SECURITY OPERATIONS

FROM: (NAME)
DIRECTOR OR HEADQUARTERS SECURITY OFFICER
NAME OF ELEMENT

SUBJECT: Reporting 90-Day Absence

In accordance with 4.r.(2), of DOE Order 470.2.2, PERSONNEL SECURITY our office is reporting that (Subject's name) will be absent from duty in excess of 90 days or more and will not require access to classified material or information during this absence. Your office will be notified when he/she returns to duty.

If you have any questions regarding the above, please contact me at _____.

Section 304

Electronic Questionnaires for Investigations Processing

This section supplements the procedures described in Section 102, HSPD-12 Badges and the PIV Process, and Section 301, Acquiring New Security Clearances, and the process for data collection for background investigations.

DOE uses the e-QIP web application to collect, review, and coordinate the information required by the Federal government to conduct background investigations. The National Background Investigations Bureau (NBIB) manages the e-QIP system on behalf of all Federal agencies, including DOE. e-QIP must be used by every HQ employee or contractor applying for an HSPD-12 security badge and/or a security clearance.

e-QIP is a database application located on a secure website. As with all secure websites, several authentication actions are required before an applicant can use e-QIP. These actions ensure that only authorized personnel can gain access to e-QIP and the applicant's personal information. The procedures described in this section must be followed to access e-QIP, properly complete the appropriate security questionnaire, and ensure protection of the applicant's privacy.

The e-QIP system has several advantages over the former paper process for gathering and retaining the information required for background investigations. These advantages include:

- The applicant can access his/her security questionnaire at the e-QIP website from any computer, thereby allowing the applicant to work from home, while travelling, etc.
- Once the applicant completes his/her security questionnaire, most of the information remains in the system. When the applicant has been initiated again at a future date he/she has access to the information previously provided and only needs to update it.
- The data is available to the applicant wherever his/her career places him/her in the Federal government, whether as a Federal employee or as a contractor.
- e-QIP contains automatic audit features that reduce the opportunity for errors in the security questionnaire to go undetected.
- An applicant can save his/her work and take the time needed to properly complete the security questionnaire.
- Information from an applicant's security questionnaire is transmitted electronically, which reduces processing time.

AU-43 is responsible for managing e-QIP activities for all DOE security clearances processed at HQ.

HQ Implementation Procedures

What Must Be Done:

An applicant or employee needing to complete the SF-85, SF-85P, or SF-86 form will have an e-QIP request initiated which allows him/her to access the e-QIP system. The individual will receive a notification email containing important instructions about registration, the link to the e-QIP website, and a due date for when the form must be completed and transmitted to AU-43 for review. Applicants should be given no more than 2 weeks to complete the form. It is the applicant's responsibility to make every effort to complete the form by the due date given in the notification email. However, if more time is needed due to extenuating circumstances (i.e., medical emergency, death in the family, extended travel, etc), he/she should contact the individual who sent the notification email to request more time and explain the reason. Otherwise, applicants are expected to comply and have the form completed by the due date. Reminders will not be sent.

Applicants who fail to comply and allow the e-QIP request to expire must contact the individual who sent the notification email and provide an explanation for the noncompliance. If the explanation is plausible, another e-QIP request will be initiated for the applicant allowing him/her another opportunity to complete the form. If the applicant fails to comply a second time, the HSO and the HC specialist (for Federal applicants) will be contacted and the clearance request paperwork will be returned with no further action taken by AU-43.

e-QIP Registration:

Most applicants will need to register for an e-QIP username and password. The registration process requires the applicant to answer three "golden questions," which include the applicant's last name, year of birth, and city of birth, and enter a 14 digit registration code. The applicant receives this registration code via email from the NBIB or within the notification email. If the "golden questions" and registration code are entered correctly, the applicant will be prompted to create a username and password. Passwords must be at least 14 characters in length and contain a mixture of special characters, upper and lowercase letters, and numbers. If the username and password created are acceptable, the applicant will be prompted to select three "challenge" questions and answers. The "challenge questions" allow the applicant to reset his/her password should it be forgotten. The applicant is encouraged to view the answers as he/she types them to catch typing or spelling errors.

Some applicants who have recently accessed e-QIP will have a username and password. If the individual cannot remember their password, he/she should enter the username and click on the "Forgot Password" link. The individual's challenge questions created during registration will appear. If the individual answers the questions correctly, he/she will be prompted to create a new password. If the individual cannot remember the answers to the challenge questions or

cannot remember the username, he/she should contact the person who sent the notification email and ask for assistance.

Completing the SF-85, SF-85P, or SF-86 form in e-QIP:

After logging in, the applicant is automatically directed to either the SF-85, SF-85P, or SF-86 form. The applicant must enter his/her personal data into the proper form. The data can be saved if the applicant cannot complete it all at one time. To save the data, the applicant must click on the “logout” button at the top, left-hand corner of the screen. The process continues until the form is completed. e-QIP detects some, but not all, errors as they occur. If a required field is not completed, e-QIP stops the applicant from proceeding to the next section. All errors must be corrected and all warnings must contain an explanation before the system will allow the applicant to certify their form.

When all data is entered and all validation errors corrected, the applicant certifies that his/her answers are correct, prints a copy of the form for his/her records, digitally signs the signature pages, and releases the form to AU-43 for review. AU-43 reviews the form for completeness and accuracy. If corrections are needed, AU-43 will return the form directly to the applicant and send an email with a detailed explanation of the corrections/clarifications needed. The HSO will also be informed of this action, if possible. AU-43 gives the applicant up to 5 days to make the corrections in e-QIP, certify the form, digitally sign the signature pages, and release the form for AU-43 to review. AU-43 reviews the form for completeness and accuracy again. If acceptable, AU-43 releases the form to NBIB to start the background investigation. AU-43 has 14 days from the time the applicant certifies the form to submit to NBIB.

AU-43 will return forms for corrections/clarifications two times. After the second time, the HSO and/or HC representative will be notified for assistance.

Notification of Completion:

It is the responsibility of the applicant to notify AU-43 when he/she has completed the form and released it for review. There is no automatic notification in e-QIP that alerts AU-43 when an e-QIP request is waiting for review. If an applicant fails to notify AU-43, it is possible that the form could sit in a waiting state in e-QIP for longer than 14 days resulting in AU-43 not meeting the required submission goal. If this happens, AU-43 will return the form to the applicant who will then be required to review the entire form, make any updates needed, certify the form, digitally sign the signature pages, release the form, and notify AU-43 that these actions are complete.

Continuation of HSPD-12 Badge or Security Clearance Processing:

Completing the e-QIP process is just one of many steps required to obtain an HSPD-12 badge or a security clearance. For those applying for an HSPD-12 badge, refer to Section 102 for required additional processing actions. For those applying for a security clearance, refer to Section 301 for required additional actions.

Points of Contact

For the names and contact information for those occupying the positions identified in this chapter or more information about HSPD-12 badges, call (301) 903-7189 or (301) 903-2644.

Helpful Website

<https://nbib.opm.gov/e-qip-background-investigations/>

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Section 305

Security Clearance Reinvestigations and Verifications

Each fiscal year, AU-43 sends a list of HQ Federal and contractor employees and consultants due for reinvestigation to the HSO of the HQ element sponsoring the security clearances. The list is transmitted via memorandum and contains processing instructions. The majority of the packages are scanned and transmitted via encrypted e-mail.

AU-43 also provides the HSO a list of all clearance holders currently sponsored by their element. The list is accompanied by a memorandum from AU-43 requesting the HSO verify that the information on the list is correct. Verification ensures that unneeded security clearances are terminated and office symbols and sponsorship records of each cleared individual are correct.

NOTE: AU-43 can request reinvestigation paperwork for an individual and submit an investigation request to NBIB at any time if in possession of information that creates a security concern.

HQ Implementation Procedures

Reinvestigations:

Each fiscal year, AU-43 runs a report from the Central Personnel Clearance Index (CPCI) identifying all clearance holders in each HQ element due for reinvestigation. The report is sent to the HSO of the sponsoring element as an attachment to a memorandum requesting certain actions, which include:

- Ensuring that all personnel on the “due for reinvestigation” list still require a security clearance
- Ensuring that the clearance level for each person on the list is consistent with the person’s actual access to classified information
- Processing the required documents for reinvestigation.

The memorandum transmitting the list to the HSO contains specific instructions. The HSO should contact the supervisor of each person on the reinvestigation list to ensure the person is still employed and still requires his/her security clearance.

If the person is no longer employed, has left the element, or no longer needs a security clearance, his/her security clearance must be terminated. The actions required for each scenario are:

1. The Individual Is No Longer at DOE – When the employee is unavailable to sign the DOE F 5631.29, *Security Termination Statement*, the HSO must complete and sign the form, stating in handwriting, that “This individual is no longer employed by DOE and is not available to sign this termination statement,” and submit it to AU-43.
2. The Individual Has Transferred to Another HQ Element – The HSO of the losing element must complete and sign the DOE F 5631.29, stating in handwriting, that “This individual transferred to (name of gaining HQ element).” To fully comply with processing procedures, the transferring individual must also sign the form before the HSO of the losing element submits it to AU-43.
3. The Individual Is Still Supporting the Element but No Longer Requires a Security Clearance – The HSO must have the individual complete a DOE F 5631.29. In addition, the HSO must submit a HQ F 5631.2 with a request for “Downgrade to BAO” in block 9 and a justification in block 11. If a contractor no longer requires the clearance, the HSO must also complete and submit to AU-43 a new DOE F 473.2 attached to the HQ F 5631.2. AU-43 will contact the HSO if any additional paperwork is needed.

When the individual has a Q or TS security clearance and needs an L, S, or C clearance, or vice versa, the HSO must submit the documentation required to “Upgrade” or “Downgrade” the clearance in accordance with the instructions contained in Section 302, Other Security Clearance Actions, of the HQFMSP.

When the individual needs to retain his/her current security clearance, the employee must complete a DOE F 5631.18, *Security Acknowledgement*, and submit it to his/her HSO.

The HSO prepares a new HQ F 5631.2, *U.S. Department of Energy (DOE) Headquarters Clearance Request and Notification*, with block 10 marked as a “Reinvestigation,” and ensures that the justification adequately explains the continued need for the security clearance (see Section 301, Attachment 301-2). The HSO verifies that Box 13 is complete, indicating whether another agency is also investigating the individual. For Federal employees only, a copy of the employee’s Position Description (PD) and Position Designation Record (PDR) are required. In addition, the element’s HC specialist must sign the HQ F 5631.2. All of the required forms and documentation are submitted to AU-43 for review and approval. If acceptable, an e-QIP request is initiated for the employee. See Section 304 for information on what actions the employee must take to complete e-QIP processing.

When the individual fails to submit the documentation required for his/her reinvestigation or does not complete the e-QIP process within the prescribed timeframe, the individual is advised that such failure will result in an administrative termination of his/her security clearance.

Clearance Verification:

In addition to the list of reinvestigations, each fiscal year, AU-43 runs a CPCI report identifying all the HQ Federal and contractor employees and consultants, by HQ element, with active or pending security clearances. The report is sent to the HSO of the sponsoring element as an attachment to a memorandum requesting that certain actions be taken. When possible, the packages are scanned and transmitted via encrypted e-mail.

These actions include:

- Ensuring that all the personnel on the list still require their security clearance.
- Ensuring that the clearance level for each person on the list is consistent with the person's actual access to classified information.
- Ensuring the office symbol for each employee is correct.

The memorandum transmitting the list to the HSO contains specific instructions. The HSO is expected to contact the supervisor of each person on the verification list to verify the person still requires the security clearance and remains assigned to the office shown.

If the person is no longer employed, has left the element, or no longer requires a security clearance, his/her security clearance must be terminated. The actions required for each scenario are detailed under Reinvestigations, above.

If the individual has a Q or TS security clearance and needs an L, S or C clearance, or vice versa, the HSO should submit the documentation required to "Upgrade" or "Downgrade" the clearance in accordance with the instructions contained in Section 302, Other Security Clearance Actions.

When the individual has a different office symbol, the name of the employee must be highlighted on the verification list and his/her office symbol struck through with a line. The new office symbol must be handwritten beside the strikethrough. (Note that if the individual transferred to a different position (Federal employees only), AU-43 needs a copy of the PD and PDR).

Upon completion of the review, the entire list must be returned to AU-43 in accordance with the instructions contained on the original transmittal memorandum. This informs AU-43 that verification is complete and enables that office to update CPCI with the latest available information.

Points of Contact

For the names and contact information of those occupying the positions identified in this section, call (301) 903-7189 or (301) 903-2644.

Forms/Samples/Graphics

DOE Form 473.2, *Security Badge Request* (go to <http://energy.gov/cio/downloads/security-badge-request> for a copy of this form)

General Procedures for Completing HQ F 5631.2, *Headquarters Clearance Request and Notification* (see Section 301, Attachment 301-2)

Headquarters Form 5631.2, *Headquarters Clearance Request and Notification* (go to <http://energy.gov/cio/downloads/headquarters-clearance-request-and-notification> for a copy of this form)

DOE F 5631.18, *Security Acknowledgement* (go to <http://energy.gov/cio/downloads/security-acknowledgement-0> for a copy of this form)

DOE Form 5631.29, *Security Termination Statement* (go to <http://energy.gov/cio/downloads/security-termination-statement> for a copy of this form)

Section 306

Passing Clearances for Classified Meetings or Visits

HQ Federal and contractor employees planning to attend a classified meeting at either a DOE field site, another government agency (OGA), or the U.S. Congress, may need to have their security clearances, SCI accesses, or Sigma accesses passed to the hosting facility prior to arriving at the meeting site.

Conversely, employees of DOE field sites, OGAs, and the U.S. Congress planning to attend a classified meeting at DOE HQ may need to have their security clearances, SCI accesses, or Sigma accesses passed to HQ before attending the meeting.

HQ Implementation Procedures

HQ Employees Attending Classified Meetings at DOE Field Sites:

A HQ Federal or contractor employee who will be attending a classified meeting at a DOE field site need not pass his/her security clearance information to that site unless he/she is visiting a DOE site supervised by the NNSA and requires the passing of Sigma accesses (see process for passing Sigma accesses below).

A HQ employee visiting a SCIF at DOE field site need not pass his/her SCI access. The HQ employee must provide his/her full name and Social Security Number (SSN) to the meeting's host, so that his/her SCI access can be verified by the host's SSO.

HQ Employees Attending Classified Meetings at an OGA or the U.S. Congress:

HQ Federal and contractor employees attending a classified meeting at an OGA or the U.S. Congress must pass their security clearances and/or Sigma accesses to the facility hosting the meeting.

It may also be necessary to pass the employee's SCI access (see the HQ Process for Passing SCI Accesses subsection below for more information about when SCI accesses need to be passed).

HQ Process for Passing Security Clearances to DOE Field Sites, OGAs, and the U.S. Congress:

When HQ employees must pass their security clearance, a DOE F 5631.20, *Request for Visit or Access Approval*, is required. The employee, his/her administrative assistant, or the servicing HSO is permitted to complete the DOE F 5631.20. The person completing the form must enter

all information on Part A of the form, (the top half of the form). The following specific instructions are provided:

- The full name, date of birth, and SSN of all HQ employees participating in the visit. For visits to Department of Defense facilities, the place of birth must also be listed.
- The name of the facility being visited (spell out acronyms).
- The purpose of the visit – must be more than just “meeting” or “briefing” without becoming classified. The inclusive dates may be for a one-day, one time visit, or may be used to permit access for a period not to exceed one year.
- Provide the name, title, telephone number, and email address of the person being visited or hosting the meeting.
- Provide the security office or visitor control point of contact along with a telephone and fax number.
- The level and category of information to be accessed (e.g. S/RD).
- If the visit will require access to a National Security Vault (NSV) this must be indicated on the form.
- Additional information can be provided in the section labeled “Prior arrangements have/have not been made as follows”

The portion of the DOE F 5631.20 entitled “Certification for Personnel Having DOE Clearance” must bear the printed name, title, and signature of the Federal official in the traveler’s organization who is certifying the need for the clearance to be passed. The certifying official must have the title of “Director” or be an equivalent level supervisor or manager.

The completed DOE F 5631.20 must be submitted to AU-43 for further processing. Forms that are not completed correctly, missing information, or not signed will be returned to the requester with no further action taken by AU-43. The DOE F 5631.20 should be submitted 15 working days prior to the visit. AU-43 cannot guarantee the visit request will be completely processed if not received at least 15 days prior to the visit. **This is especially critical for overseas travel and Department of State locations.**

HQ Process for Passing SCI Accesses to DOE Field Sites, OGAs, and the U.S. Congress:

HQ employees passing their SCI clearances to a DOE field site, an OGA, or the U.S. Congress must do so through the HQ SSO in the Office of Counterintelligence (IN-20). Contact the HQ SSO for instructions on how to request the passage of an SCI clearance. The HQ SSO is available by e-mail at: SSO.Departmental@doe.gov.

HQ Process for Passing Sigma Accesses to DOE Field Sites, OGAs, and the U.S. Congress:

HQ employees needing to pass Sigma 14, Sigma 15, and/or Sigma 18 access must complete and submit the Sigma Access Request Form via encrypted email to sigmaprocessing@nnsa.doe.gov. The DOE F 5631.20 is no longer required. Please direct all questions regarding Sigma accesses to sigmaprocessing@nnsa.doe.gov.

Visitors Attending Classified Meetings at HQ Facilities:

DOE Federal and contractor employees and OGA employees with a DOE-issued security clearance who will be attending a classified meeting at a HQ facility need not pass their clearances unless the HQ host advises otherwise. If the meeting involves access to SCI, see the Visitors Attending SCI Meetings at HQ Facilities subsection below.

OGA employees without a DOE-issued security clearance or employees of the U.S. Congress must pass their security clearances before attending a classified meeting at HQ.

AU-43 accepts the following forms for the passage of security clearances:

- DOE F 5631.20, *Request for Visit or Access Approval*
- NASA F 405 (National Aeronautics and Space Administration personnel only)
- NRC F 277 (Nuclear Regulatory Commission personnel only).

The visitor's employer must submit the above forms to AU-43 at least 15 working days prior to the visit.

NOTE: Cleared DOE personnel in the field need not submit a DOE F 5631.20 to AU-43; however, if Sigma 14, 15, or 18 access is requested, the Sigma Access Request Form must be completed and emailed (encrypted) to sigmaprocessing@nnsa.doe.gov.

Visitors Attending SCI Meetings at HQ Facilities:

DOE field employees who will be attending a meeting at HQ where SCI will be presented can have their SCI accesses verified by the HQ SSO via Scattered Castles. In order for the HQ SSO to search Scattered Castles, the HQ host of the meeting must provide, in writing, the full name and SSN of all employees attending the meeting.

Employees from an OGA or the U.S. Congress planning to attend a meeting at HQ where SCI will be presented must pass their SCI accesses through Intelligence channels. The SSO at the OGA or U.S. Congress accomplishes this by sending the required information to the responsible HQ SSO within IN-20. HQ personnel hosting a meeting where SCI will be presented can contact IN-20 to identify the responsible HQ SSO.

Points of Contact

For the names and contact information for those occupying the AU-43 positions identified in this chapter, call (301) 903-7189 or (301) 903-2644.

For the names and contact information for those occupying the IN positions identified in this chapter, call (202) 586-0335 or (202) 586-2231.

Forms/Samples/Graphics

DOE F 5631.20, *Request for Visit or Access Approval* (go to <http://energy.gov/cio/downloads/doe-f-563120> for a copy of this form)

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