

Chapter 15

Outprocessing

No DOE directive specifically requires a formal security outprocessing procedure; however, numerous directives require termination actions that are best accomplished through a formal process. For example:

- DOE Order 472.2, *Personnel Security*, Paragraph 4q, requires the termination of security clearances when they are no longer needed.
- DOE Order 471.6, *Information Security*, Paragraph 4b(5)(d)4, requires that safe combinations be changed when a person who had access to that safe no longer requires access.
- DOE Order 473.3, *Protection Program Operations*, Attachment 3, Section A, Paragraph 7c, requires that DOE security badges be recovered when no longer needed.

The Office of the Chief Human Capital Officer (HC) has a formal process for notifying DOE HQ elements when a Federal employee terminates employment. However, there is no formal process for notifying HQ elements when a contractor terminates employment or when a Federal or contractor employee transfers to another element. Element HSOs must establish close working relationships with the Human Resource specialists within their element, CORs, and contractor project managers to be notified when any of their employees terminate or transfer to another element.

Every HQ element should develop an individualized outprocessing procedure to ensure that access to HQ facilities and classified matter is terminated when an HQ employee or contractor terminates his/her employment with DOE or transfers to another element within HQ. Elements that handle classified matter need a more robust outprocessing procedure than does an element without classified interests.

HQ Implementation Procedures

When to Outprocess an Employee:

HQ personnel should be outprocessed by their element when they terminate their employment with DOE or transfer to another element in HQ. There is no need to outprocess someone who is deployed as a result of his/her military obligations or transfers to another office within the same element, unless the individual no longer needs his/her security clearance.

Who is Responsible for Outprocessing an Employee:

The HQ element losing the terminating or transferring employee is responsible for his/her outprocessing. The losing element is responsible for terminating the employee's security clearance, security badge, special accesses, etc. If the employee is transferring to a different HQ element, the gaining element is responsible for requesting the transfer of security clearance, reactivating his/her security badge, reestablishing special accesses, etc., as needed.

Security Outprocessing Actions:

The HSO for each element is responsible for developing an outprocessing procedure specific to his/her organization. In general, the procedure should only address security issues. The following security outprocessing actions are recommended:

- Terminate security clearance
- Terminate SCI access
- Terminate SAP access
- Terminate NATO access
- Terminate visit requests
- Cancel classification/declassification officer authority
- Destroy or return classification guides
- Remove name from Classification Guidance Distribution System
- Recover law enforcement badges and credentials
- Recover keys to doors, desks, and filing cabinets
- Arrange for safe and door combination changes
- Revise access lists for rooms controlled by C-CURE card readers and TESA locks
- Revise SF-700, *Security Container Information*
- Change custodianship of accountable documents and media
- Recover and secure KSV-21 cards (Fortezza cards) for STEs
- Notify the HQ COMSEC Program Manager of changes in STE custodianship

- Recover or destroy hand carry cards for classified documents that may have been issued to the individual
- Return security badges
- Update the organization's Appendix to the HQFMSP to reflect needed changes.

A sample *Security Outprocessing Checklist* is available to element HSOs from the HSO Program Manager.

Termination of Security Clearances:

When a Federal or contractor employee with a security clearance terminates employment or transfers to another HQ element, his/her security clearance must be terminated and a DOE F 5631.29, *Security Termination Statement*, must be completed. The Forrestal and Germantown badge offices have procedures in place to automatically obtain the DOE F 5631.29 from employees with security clearances who are terminating or transferring. Once the DOE F 5631.29 is completed, the badging office automatically provides a copy to AU-43.

Special situations may arise when an HSO is requested to conduct a security termination briefing. HSOs may do so, but the HSO is then responsible for providing the DOE F 5631.29 to the servicing badge office. A security termination briefing is available in DVD format from the HSO Program Manager. The four minute long DVD is especially useful in processing large numbers of employees who depart in a very short period of time, such as at the end of a Presidential administration. (See Return of Security Badges subsection below for actions related to the collection and return of security badges.)

Return of Security Badges:

One of the final and most important outprocessing actions is return of the terminating or transferring individual's security badge. When any Federal or contractor employee departs DOE HQ or a contractor transfers to another HQ element, the employee must return his/her badge to DOE control. The badge should be turned in to either the Forrestal or Germantown badge offices. Alternatively, it may be turned in to the element's HSO, who in turn must provide it to the servicing badge office.

If a Federal or contractor employee is departing DOE, the badge office determines if the badge should be retained or destroyed.

When a contractor employee transfers to another HQ element, that employee must inform the badge office of that fact when he/she turns in the badge. The badge office temporarily retains the badge until notified that the contractor is now supporting another HQ element. That notification could come in one of two ways:

- If the contractor becomes a Federal employee, the badge office receives an accession list from HC showing that the contractor has been hired by DOE and requires a new security badge.
- If the contractor remains a contractor employee but will support a different HQ element, the HSO of the gaining element must generate a new DOE F 473.2, *Security Badge Request*, and send it to AU-43. AU-43 performs certain verification actions and passes the DOE F 473.2 to the badge office. When the badge office receives the DOE F 473.2, they re-issue the security badge to the transferred employee.

Prohibition Against Removal of Records:

All classified and unclassified matter, including “extra copies,” is the property of the U.S. Government and may not be removed from DOE control by any departing or terminated official or employee. DOE Federal or contractor personnel who retire or otherwise terminate employment and wish to take documents or material (e.g., memorandums, personal records, diaries, etc.) that fall wholly or partially within areas that are classified are personally responsible for ensuring that all such documents or material are unclassified and fully releasable. A Derivative Classifier – not the departing individual – must determine whether such documents and material are unclassified and releasable to the public. Public releasability should be determined in accordance with Freedom of Information Office applicable directives and local procedures.

Unclassified documents are also the property of DOE and may not be taken by departing personnel without the approval of the Program Manager who owns the information contained in the documents. A Derivative Classifier must review the documents to ensure that they are unclassified, and an appropriate official must ensure they do not contain information exempt from release under the provisions of the Freedom of Information Act.

NOTE 1: Federal records are defined as “all books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other data in them.”

NOTE 2: Personal papers are defined as “papers of a private or non-official character which pertain only to an individual's personal affairs that are kept in the office of a Federal official.”

Use of HQ Form 3293.1, *Employee Final Separation Clearance*:

HQ Federal employees who are terminating are given an HQ F 3293.1, *Employee Final Separation Clearance*, by their element's HC representative. This form must be completed and returned to the HC representative before the Federal employee departs HQ. Failure to do so could delay the employee's final paycheck.

The HQ F 3293.1 contains two sections for security outprocessing. Block 7B is signed by the departing employee's HSO, and Block 13 is typically completed and signed by the badge office personnel who performed the employee's security termination briefing and collected his or her security badge. If an HSO collected the terminating employee's security badge and conducted the security clearance termination briefing, the HSO could sign Block 13. Completing Block 13 is usually the final step in outprocessing Federal employees.

Other Outprocessing Actions:

As a courtesy, HSOs may adapt their security outprocessing procedure to notify other elemental officials responsible for non-security termination actions. For example, the element's APR or ISSO may request that they be notified of impending departures. Common non-security outprocessing actions include:

- Cancelling Local Area Network (LAN) and database accesses (e.g., SSIMS, FACTS, Travel Manager, Management Information System)
- Returning government property, including laptop computers, cell phones, pagers, Blackberries, RSA tokens, etc.
- Returning government-issued credit cards
- Returning parking permit.

Points of Contact

Element HSO

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

Forms/Samples/Graphics

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

DOE F 5631.29, *Security Termination Statement* (The following link may only be accessible by use of the Internet Explorer browser.
<http://energy.gov/cio/downloads/security-termination-statement> for a copy of this form)

DOE HQ F 3293.1, *Employee Final Separation Clearance* (go to <http://energy.gov/cio/downloads/employee-final-separation-clearance-form-hq-32931> for a copy of this form)

This page intentionally left blank.