

# 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 of Federal employees must specify the proper security clearance level to be processed for the assignment. If the employee’s Position Description 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 requiring security clearance. In some elements, a Human Resources (HR) 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. OGA Detailees – Federal employees employed by another department or agency, such as the Department of Defense, but 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. 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 purposes 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. Unpaid Consultants – When processing a security clearance request for an individual who will be providing services as an unpaid consultant, the HSO must ensure that an adequate justification is included in the security clearance request package and that the package includes a copy of the consultant’s “Affirmation Agreement/Statement of Work.”
7. All Others – There are other categories of people who might require a 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 security clearance must have a sponsor. The sponsor is the HQ element assigning the classified work. The Federal employee’s position description 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 HR 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 resume, including salary history.
  - 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 new security clearance must undergo a urinalysis drug screening for the use of illegal substances.

- a. **Federal and IPA Employees:** HC appoints personnel to arrange and coordinate drug tests within each HQ element for Federal and IPA employees. The element's drug testing official contacts the applicant and instructs him/her in how to obtain a drug test. The HQ element's drug testing official receives the results of the drug test and furnishes them to the HR specialist or HSO assembling the applicant's security clearance request package.
- b. **Contractor Employees:** Contractors must establish their own drug testing programs, as required by 10 CFR 701, *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 dated within 60 days of the date of the security clearance request.

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 illicit 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 HR specialist or HSO prepares the HQ F 5631.2. The element HSO and the element HC representative must sign the HQ F 5631.2.
  - 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 COR to sign.

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.

*NOTE: The special processing option of Accelerated Access Authorization Program (AAAP) is no longer available.*

The element’s HR 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 HR specialist or HSO responsible for collecting the documents associated with the security clearance application coordinates with the element HC representative to enroll the applicant in USAccess. See Section 102 for information about USAccess processing.
- b. **Contractor Employees:** The HSO responsible for signing the contractor’s HQ F 5631.2 coordinates with the designated person in his/her element to 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 representative 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 HC representative 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.

8. AU-43 Review of Documentation Submitted – AU-43 reviews the documents to verify they are complete. If the documents are filled out incorrectly or information is missing, AU-43 advises the HR specialist or HSO of the necessary corrections. The applicant is asked to correct and resubmit the documentation 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, AU-43 e-mails the servicing HSO. The HSO then initiates the applicant into e-QIP using the information contained in his/her application forms.

9. e-QIP Processing – See Section 304 of HQFMSP for instructions on how to complete e-QIP processing.
10. Background Investigation – Once the e-QIP process is completed, the applicant's information is automatically forwarded to OPM. OPM 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 criteria listed in 10 CFR 710.8 and the Adjudicative Guidelines issued by the White House in 2005. 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 the HQ security badge office. Contractors receive a copy of the DOE F 473.2 to ensure that the applicant is issued the proper security badge.

AU-43 cannot approve applicants with unresolved security concerns, as identified by 10 CFR 710.8 and the 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 a security clearance granted by another Federal agency, or has had a favorably adjudicated investigation within the last 2 years, making him/her eligible for a security clearance. In this case, a Standard Form 86 Certification (SF-86C) must be completed. The 5-year reinvestigation period is based on the date of the prior investigation, not on the date the DOE clearance is granted.

If no prior investigation or clearance can be verified, reciprocity does not apply and the applicant is processed for a new security clearance.

## **Interim Access Authorizations (IAAs):**

Block 9 of the HQ F 5631.2 also permits the sponsoring HQ element to select “Interim” as a special processing option. An IAA is used only for particularly sensitive positions. The Head of Element must make a memorandum request to the Director, AU-40, specifying the reason for the request and certifying that:

- Serious delay or interference to an operation or project essential to a DOE program may occur unless the person for whom the IAA is requested is granted access to RD prior to completion of the authorization procedures.
- The services of a qualified person previously cleared or authorized access by DOE cannot be obtained.

The applicant must complete all the steps required for a security clearance as noted above; however, AU-43 may grant an IAA based upon a review of information available to them while awaiting a full investigative report from OPM.

*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 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.

### **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. These protection measures include:

1. Storing Privacy 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.
2. Transmitting Privacy Information – PII transmitted via e-mail must be encrypted; PII transmitted by intra-office mail must be contained in an opaque envelope and marked with the caveat “To be opened by addressee only.” Applicants can use regular mail to submit their personal information, but are encouraged to use express mail or Federal Express to better protect their information.
3. Destroying Privacy Information – Destruction of personal information records, when required, is accomplished in accordance with the manner prescribed for the destruction of OOU material.

### **Applicant Tracking System (ATS):**

Applicants use the ATS to check the general status of their security clearance requests. 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 OPM)
- The Investigation Results Received Date (the date AU-43 received the applicant’s background investigation report from OPM)

- The Clearance Action Date (the date AU-43 granted, revoked, upgraded, reinstated, or 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) 586-3345 or (301) 903-2644.

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 AU-53 positions identified in this chapter, call (202) 586-3249 or (301) 903-2644.

## 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)

OP 306, *Declaration for Federal Employment* (go to [http://www.opm.gov/forms/pdf\\_fill/of0306.pdf](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)

SF-86 Certification (SF-86C) (go to [http://www.opm.gov/forms/pdf\\_fill/sf86c.pdf](http://www.opm.gov/forms/pdf_fill/sf86c.pdf) for a copy of this form)

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 HR 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 the applicant has a current security clearance.
    - 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 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 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 agency 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 an HQ facility.
  - “Reinvestigation” means the applicant has a clearance, which must be reinvestigated within 6 months of the due date: 5 years (for a TS and Q) or 10 years (for an S or L) or 15 years (for a C).
  - “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:

- OF 612, *Optional Application for Federal Employment*, or resume
- OF 306, *Declaration for Federal Employment*
- DOE F 5631.18, *Security Acknowledgement*
- DOE F 472.1, *Fair Credit Reporting Act Release Authorization*
- Other: Drug Test Result
- Other: DOE F 206.4, *Information Sheet for Sponsorship of HSPD-12 Credential*

*NOTE: The above forms apply to an applicant for an initial DOE Q or L 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:

- OF 612, *Optional Application for Federal Employment*, or resume
- OF 306, *Declaration for Federal Employment*
- DOE F 5631.18, *Security Acknowledgement*
- DOE F 472.1, *Fair Credit Reporting Act Release Authorization*
- 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

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*
- DOE F 472.1, *Fair Credit Reporting Act Release Authorization*
- 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 HSO and either the applicant's HC representative or COR.

## 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.

---

#### Getting Started

There are three basic steps in using ATS:

1. Open Internet Explorer (the web browser)
2. Log into ATS
3. View the investigation date data

---

#### Step 1: Opening Internet Explorer

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



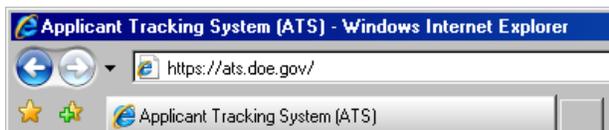
Explorer

---

#### Step 2: Logging into ATS

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.

The cursor will be in the **User ID** field.

Type your social security number in the **User ID** field and press the **Tab** key. The cursor will move to the **Password** field.

The first time you log onto ATS, type **atsuser1** in the **Password** field.

Click on the **OK** button.

If the login was successful, the **Rules of Behavior** window opens.

*Note: If you cannot log into ATS, contact the eDISS+ Help Desk.*

Click on **Continue**. The **Change Password** window opens.

Type **atsuser1** in the **Old Password** field.

Type your new password in the **New Password** and **Confirm Password** fields.

Your new password must be in compliance with the following DOE G 205.3-1 requirements:

- Passwords shall contain at least **eight** non-blank characters.
- Passwords shall **contain a combination of letters** (preferably a mixture of upper and lowercase), **numbers**, and at least **one special character** (#, \$, \_) within the first seven positions.
- Passwords shall contain a letter or special character in the first and last position.
- Passwords shall not contain common names or words.

Click on the **OK** button.

If the password change was successful, the **Clearance Status** window opens.

---

### Step 3: Viewing Investigation Dates

Name	Investigation Requested Date	Investigation Results Received Date	Clearance Action Date
LOX IN BOX	09/05/2005	09/20/2005	

Note: After the clearance request is submitted to the investigative agency, it currently takes between 7 and 10 days to schedule the investigation.

U.S. Department of Energy

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.
  - **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.
- 

## **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](mailto: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, no longer require a security clearance, or the HQ element may no longer want to sponsor the 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 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*.

2. An Individual Had a Clearance that Was Terminated and Now Needs to be Reinstated – The sponsoring HSO of the element should submit an HQ F 5631.2 with a request for "Reinstatement" in block 9 and a justification in block 11 of the HQ F 5631.2. 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. Generally, following receipt of a favorable drug test, AU-43 automatically reinstates clearances if requested within 6 months of termination and the background investigation is still current unless the clearance was

terminated for cause. If more than 6 months have elapsed since the clearance was terminated and more than 1 year has elapsed since the date the previous SF-86, *Questionnaire for National Security Positions*, was submitted, in addition to obtaining a favorable drug test, the individual must complete an SF-86C. The SF-86C is a document that allows the individual to update information in their previously submitted SF-86. If 4 ½ years have elapsed since the last investigation, a new SF-86 is required. The security clearance may be reinstated concurrently with the submission of the reinvestigation, if nothing of a security concern is revealed by the new SF-86.

When a contractor seeks the reinstatement, the HSO must also complete and submit to AU-43 a new DOE F 473.2 along with the HQ F 5631.2, and also provide a favorable drug test result.

3. An Individual Has an 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 an HQ F 5631.2 with a request for “Upgrade” in block 9 and a justification in block 11 of the HQ F 5631.2. 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.
4. 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 or S/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 of the HQ F 5631.2. 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.
5. An Individual Has a Clearance but No Longer Requires Access to Classified Information but Requires Regular Access to an HQ Facility – The servicing HSO must submit an HQ F 5631.2 with a request for “Downgrade to BAO” in block 9 and a justification in block 11 of the HQ F 5631.2. 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. In addition, the HSO has the individual complete the DOE F 5631.29, *Security Termination Statement*.
6. 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 an 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.
7. An HQ Element Will No Longer Sponsor a Security Clearance – The sponsoring HQ element decides that the individual no longer requires access to classified information or the individual is transferring to another HQ element. The HSO must notify the individual

of the decision and terminate his/her security clearance by completing a DOE F 5631.29 and providing it to AU-43. When the individual transfers to another HQ element, the HSO of the gaining element must submit a HQ F 5631.2 with a request for “Transfer” in block 9 and an explanation in block 11 of the HQ F 5631.2. When a contractor is transferred, the gaining HSO must also complete and submit to AU-43 a new DOE F 473.2 along with the HQ F 5631.2.

8. An Individual No Longer Requires a Security Clearance after Having Requested One – 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 Q or TS security clearance is granted, the individual must undergo a background reinvestigation every 5 years. An individual with an L or S security clearance must be reinvestigated every 10 years. An individual with a C security clearance must be reinvestigated every 15 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 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 HR 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 the applicant has a current security clearance.
  - 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 security clearance.
  - “Upgrade” means the applicant already has a C, S, or L clearance, but needs a TS or Q clearance.

- “Reinstatement” means the applicant’s DOE clearance was terminated, but needs reactivated.
  - “Downgrade” means the applicant already has a TS or Q clearance, but needs a C, S, or L clearance.
  - “Extension” means the applicant has a clearance with a contractor or an OGA, but needs to support another agency 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 an HQ facility.
  - “Reinvestigation” means the applicant has a clearance, but 5 years (for a TS or Q) or 10 years (for an S or L) or 15 years for a C 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 HSO and either the applicant’s HC representative or COR.

This page intentionally left blank.

## 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.

*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. Use of intoxicating beverages habitually to excess without evidence of rehabilitation or reformation or being hospitalized or treated for alcohol abuse
2. Any use of an illegal drug or use of a legal drug in a manner that deviates from approved medical direction
3. Commission of, attempted commission of, or conspiracy to commit any act of sabotage, treason or sedition
4. Holding membership in, with the intention of furthering the aims of, and actively participating in any foreign or domestic organization or group which advocates the commission of illegal acts by force or violence
5. Advocating or participating in the activities of a group or organization which has as its goal revolution by force or violence to overthrow the Government of the United States, or the alteration of the form of Government of the United States by unconstitutional means, with the knowledge that such support will further the goals of the group or organization

6. Renouncing United States citizenship or representing a foreign nation in activities that may be contrary to the national security of the United States
7. 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).
8. Observing or having knowledge of another individual who willfully violates or disregards security or safeguards regulations
9. Refusing to testify before a Congressional committee, a Federal or State court, or a Federal administrative body regarding charges relevant to eligibility for DOE security access authorization
10. 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
11. Being hospitalized or entering an institution for the treatment of alcohol abuse, drug use, or mental or emotional condition, or otherwise being treated for such a condition (must be reported within 8 hours of becoming aware of the condition)
12. Any employment or association or change in employment or association with a foreign or foreign-owned interest or representative (must be reported within 5 working days of association)
13. Any contact with persons, including foreign nationals, who seek in any way to obtain unauthorized access to classified information
14. Any unofficial contact with a foreign national from a sensitive country, as well as any association with a 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
15. Suspension or termination of accesses either administratively or for cause
16. Any effort by an individual to gain unauthorized access to classified information or SNM
17. Change in citizenship
18. Personal or business-related filing for bankruptcy
19. Garnishment of wages

20. Marriage or cohabitation (see further guidance below)
21. Legal action to effect a name change (see further guidance below)
22. Any conduct that calls into question a clearance applicant's or holder's honesty, reliability, or trustworthiness.

### **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 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 Chapter 7, paragraph 2.a.(2), of DOE Manual 470.4-5, "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. 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. e-QIP gathers the same information that was entered into SF-86 and SF-85. OPM 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.

OPM hosts e-QIP, 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, 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 at HQ.

## HQ Implementation Procedures

### Who Does What?

An applicant's status and job duties determine who assists an applicant in completing his/her e-QIP actions. Below is a list of the individual(s) commonly responsible for assisting HQ applicants involved in the e-QIP process:

1. Newly Hired Federal Employees – A new HQ Federal employee requiring an HSPD-12 badge and/or a security clearance works with his/her element's HC representative or his/her element's HSO to complete the e-QIP process.
2. Existing Federal Employees – A Federal employee with an HSPD-12 badge but needing a new security clearance works with his/her element's HSO to complete the e-QIP process. The HSO coordinates with the HC representative to ensure the justification for the security clearance is in the employee's position description.
3. Newly Hired Contractor Employees – A new HQ contractor employee requiring an HSPD-12 badge and/or a security clearance works with his/her FSO to coordinate with the element's HSO to complete the e-QIP process.
4. Existing Contractor Employees – A contractor employee with an HSPD-12 badge but needing a new security clearance works with his/her FSO to coordinate with the element's HSO to complete the e-QIP process.
5. Employees Requiring a Security Clearance Reinvestigation – A Federal or contractor employee possessing a *security clearance* and who must undergo a reinvestigation works with his/her element's HSO to complete the e-QIP process.

### What Must Be Done:

The applicant must fill out certain forms before he/she can access e-QIP. These forms are associated with an HSPD-12 badge or a security clearance and described in Sections 102 and 301. When the applicant has completed and signed the forms, he/she must return the completed forms to the HC representative or HSO (as described in Section 102 and 301 and the subsection above).

The HC representative or HSO, in turn, submits the documentation to AU-43. AU-43 reviews the documents to verify they are complete, and then e-mails the HC representative or HSO advising them to "initiate" the employee into e-QIP. ("Initiation" means that the HC representative or HSO is authorizing e-QIP to allow the applicant access to the database.) If the documents are filled out incorrectly or information is missing, AU-43 advises the HC representative or HSO of the necessary corrections. The applicant is asked to correct and resubmit the documentation to AU-43.

*NOTE: A limited number of program offices are participating in a pilot program. If participating, the HC representative or HSO need only provide the applicant's email address, and AU-43 will initiate the e-QIP request.*

Upon receipt of the e-mail from AU-43, the HC representative or HSO initiates the employee into e-QIP. In order to do this, they need the employee's:

- Full name
- Social Security Account Number (SSAN)
- Date of birth
- Place of birth.

This information is included in the forms the HC representative or HSO collected from the applicant. The HC representative or HSO uses a drop-down menu in e-QIP to tell the system which form needs completed: either the SF-85, for HSPD-12 approval, or the SF-86, for security clearances. The HC representative or HSO also uses a drop-down menu to inform the system the type of investigation required (for example, initial clearance for contractor or initial clearance for Federal, reinvestigation for contractor or reinvestigation for Federal, etc.).

After initiating the applicant in e-QIP, the HC representative or HSO sends an e-mail to the applicant indicating he/she has been initiated and should log onto the e-QIP website. The e-mail provides instructions for accessing the e-QIP system. The e-mail advises the applicant to print out the applicable instructions, and provides the applicant a due date for completion of data entry. The e-mail also provides specific instructions regarding credit information and how to submit the forms.

Once an applicant is initiated into e-QIP, he/she must log on to e-QIP within 30 calendar days of the date of the e-mail from the HC representative or the HSO; otherwise, the applicant is locked out of the system and must be re-initiated. First time users of e-QIP need to complete the registration process to create a username and password. The registration process requires the first time user to answer three "golden questions," which include the applicant's last name, year of birth, and city of birth. Then the applicant is asked to create a username and password. The applicant is 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. The applicant must enter the username and password created during the registration process.

After logging in, the applicant is automatically directed to either the SF-85 or SF-86. 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 SF-85 or SF-86 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 certification. The applicant must

complete the SF-85 or SF-86 within 30 calendar days after first logging on to e-QIP or the request terminates in the system and the applicant must be re-initiated.

When all data is entered and all validation errors corrected, the applicant can certify that his/her information is complete and accurate. At this point, e-QIP instructs the applicant to:

- Print a copy of the SF-85 or SF-86 for his/her personal records
- Print signature pages
- Decide whether he/she “Has a document and/or file that you would like to associate with this request?” (e.g., the signature pages)
  - When an HC representative or HSO initiates the e-QIP request, the applicant must click on the “No” radio button and follow the instructions below for faxing the signature pages.
  - When AU-43 initiates the e-QIP request, the applicant must follow the directions provided by e-QIP to upload the signature pages to the e-QIP request.
- Release the SF-85 or SF-86.

The applicant must sign the signature pages immediately and fax them within 24 hours of certification.

- Signature pages for applicants completing the SF-85 are to be faxed to (301) 903-0265.
- Signature pages for applicants completing the SF-86 are to be faxed to (301) 903-4816.

The applicant’s servicing HC representative or HSO advises the applicant on how to submit the original signature pages. AU-43 must have the original signature pages for the applicant’s personnel security file.

### **Time Requirements:**

e-QIP processing dictates a number of deadlines:

- After initiation, the applicant has 30 calendar days to log in to the system.
- After logging in, the applicant has 30 calendar days to complete the form.

*NOTE: The HSO should caution each individual being reinvestigated that failure to complete the SF-86 in e-QIP before the deadline will start the process of administrative termination of their security clearance.*

- Upon completion of the SF-85 or SF-86, the applicant prints and signs the signature pages and releases the form to the agency. The signature pages must be printed, signed, and submitted to AU-43 within 24 hours of the form being certified in e-QIP.
- After the applicant releases the form to AU-43, AU-43 has 14 days to submit it to OPM.
- On calendar day 31, the request is automatically terminated by e-QIP. The HC representative, HSO, or AU-43 (for pilot program participants) must re-initiate the applicant, allowing him/her another opportunity to complete the required documentation

and actions. HSOs are instructed to perform no more than one automatic re-initiation for an applicant.

### **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**

<http://www.opm.gov/e-qip/>

This page intentionally left blank.

## 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 HSO of the HQ element sponsoring the security clearances. The list is transmitted via memorandum and contains processing instructions. The mailings are split into two groups to balance the workload in the AU-43 processing unit. One group receives packages in October; the other receives packages in February. 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.

## HQ Implementation Procedures

### Reinvestigations:

Each fiscal year, AU-43 runs a report from the Central Personnel Clearance Index (CPCI) identifying all the HQ Federal and contractor employees and consultants with security clearances 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 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 (if possible) should 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 submit the DOE F 5631.2 to AU-43. The form should indicate the individual is being downgraded to a BAO. When the individual is a contractor or consultant and needs re-badged, the HSO also submits a DOE F 473.2 (badge card). The individual completes a Security Termination Statement (DOE F 5631.29), when he/she reports to the local security badge office for rebadging. The badge office submits the completed DOE F 5631.29 to AU-43 and the clearance is terminated in CPCI.

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 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 processes a new HQ F 5631.2, *U.S. Department of Energy (DOE) Headquarters Clearance Request and Notification*, with block 10 marked as a “Reinvestigation,” adds it to the DOE F 5631.18, and submits both documents to AU-43. The HSO ensures that the justification is complete and adequately justifies the continued need for clearance (see Section 301, Attachment 301-2). The HSO verifies that Box 13 is complete, indicating whether another agency is also investigating the individual. AU-43 reviews the documents for approval. When the documents are approved, AU-43 advises the HSO by e-mail to initiate the employee in e-QIP. See Section 304 for information on what actions the employee must take to complete e-QIP processing. Some HQ elements are participating in a pilot program wherein AU-43 initiates these individuals in e-QIP. The HSO provides the individual’s e-mail address in Block 11 of the DOE F 5631.2. The remainder of the process is described in Section 301, Acquiring New Security Clearances, except that a new security badge is not issued to the employee.

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 rescinding or terminating 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.

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 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, an 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:**

An 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 requiring the passing of Sigma accesses.

An 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 SSAN 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 and Sigma Accesses to DOE Field Sites, OGAs, and the U.S. Congress:**

When HQ employees must pass their security clearance or Sigma accesses, a DOE F 5631.20, *Request for Visit or Access Approval*, is used. 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 the following specific information into Part "A" of the form:

- What facility will be visited (avoid acronyms)
- The purpose of the visit (avoid acronyms)
- The inclusive dates of the meeting (the DOE F 5631.20 may be used for a one-day, onetime visit or may be used to permit access for a period not to exceed one year)
- The name, title, telephone number, email address, and facsimile number of the person being visited or hosting the meeting
- The full name, date of birth, and SSAN of all HQ employees participating in the visit
- The level and category of information to be accessed (e.g. S/RD), including any and all Sigma categories (there are only four Sigma categories: 14, 15, 18, and 20) required for the visit
- The arrangements made with the host of the meeting.

The portion of the DOE F 5631.20 entitled “Certification for Personnel Having DOE Clearance” must bear the printed name, title, and position and the signature of the Federal official in the traveler’s organization that 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. The DOE F 5631.20 should be submitted 15 working days prior to the visit.

### **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](mailto:SSO.Departmental@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 and Sigma accesses before attending a classified meeting at HQ.

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

- 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 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 unless Sigma 14, 15, 18, or 20 access is requested.*

### **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 SSAN 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)

This page intentionally left blank.