



Applicant Fact Sheet

DOE M 470.4-5 defines applicants as individuals who have never held a DOE access authorization and do not meet the criteria for reciprocity of another government agencies clearance. Applicants who are serviced by the NNSA Service Center are processed in the following manner: the Office of Human Capital Management (OHCMS) is responsible for submitting requests for federal employees; Contract Officer Representative (COR) for contractors and subcontractors; and the Managing and Operating (M&O) security offices for M&O contractors and subcontractors. When an employee is selected for a position that requires access to classified information, an initial “Applicant” package is submitted to the PSD for access authorization processing.

Applicant Package Prerequisites

Prior to submitting an initial applicant package, several prerequisites must be met. Absence of any of these items will result in the rejection of the applicant package.

1. Personal Identity Verification (PIV) is a national requirement under the August 27, 2004, Homeland Security Presidential Directive 12. PIV is accomplished through the collection of biometric data and a background investigation (NACI). Currently, under DOE policy, all federal employees and all contractor employees that have (or are applicants for) a DOE “L” or “Q” access authorization must be processed through PIV to receive access authorization.

Due to the benefits in decreasing processing time, the PSD is utilizing the electronic fingerprints captured during PIV enrollment for submission to the Office of Personnel Management (OPM) for investigation requests. Because the OPM must receive the e-fingerprints with the Electronic Questionnaire for Investigations Processing (e-QIP), PIV enrollment must be completed prior to submitting an applicant package or e-QIP to PSD. As of March 2009, fingerprint cards will no longer be accepted for processing; only e-fingerprints from the PIV Identity Management System (IDMS) USAccess will be permitted.

2. All requests for initial access authorizations must include completion and certification of the SF-86, *Questionnaire for National Security Positions*, via the e-QIP system. Applicants can only access the e-QIP system if they have been invited to do so by an appropriate official at their sponsoring agency. For those offices that do not have the capability to initiate individuals into the e-QIP system, the required e-QIP initiation information must be submitted to the PSD. When this information is successfully submitted, the system will return a “successfully initiated” message with an initiation number. The individual will have an established timeframe to complete their SF-86 in the e-QIP system.
3. DOE Secretary Bodman’s memorandum, dated September 14, 2007, states that all applicants in drug testing-designated positions will be tested before final selection into the position or, for current federal or contractor employees, before an access authorization is granted. PSD must be in receipt of a favorable “negative” drug test result in order to process any clearance package. The drug test must have been administered within one year of the date that the applicant certified the SF-86 via e-QIP. Exemption: State, city, and county employees, to include emergency first responders, are exempt from Secretary Bodman’s memorandum.

Effective September 14, 2007, Secretary Bodman of the Department of Energy issued a memorandum regarding the processing of individuals who use or have used illegal drugs. The new policy states that anyone using or having used drugs within the preceding 12 months of signing/certifying the E-QIP will have their application rejected.

4. All contractors and subcontractors must conduct a thorough background review, as defined in 48 CFR 904.401, for all uncleared applicants or uncleared employees prior to selecting any individuals for any position requiring a DOE access authorization. Each applicant package must contain a certification of the background review as specified in PSD memorandum dated 9/18/09, Implementation of Acquisition Regulation Security Clause.

Required Documents and Forms

1. PSD must receipt for ALL applicable documents and e-QIP no later than 7 days following the individual's certification of e-QIP or the entire package will be rejected. Documents may be faxed to PSD in advance of mailing the signed original documents. Per applicable regulations and policy, all initial applicant packages must contain the following items:
- Drug Test results that demonstrate the absence of any illegal drugs (existing requirements: 10 CFR 707; DEAR 970.5223-4 Workplace Substance Abuse Programs; DEAR 952.204-2). The test must have been administered within 1 year of the date that the applicant certified the SF-86 via e-QIP
 - AL F 470.1, *Clearance Request/Recertification/Suitability/PIV*
 - Signature / Certification pages generated by the e-QIP system
 - DOE F 5631.18, *Security Acknowledgment*
 - DOE F 472.1, *Release (Fair Credit Report of 1970, as amended)*
 - Upload of Electronic Fingerprints via USAccess
 - Background Review Certification for all DOE contractors (this includes M&O contracts) and subcontractors
2. The following forms may also be required for specific cases. Any questions should be directed to the PSD HelpDesk at the numbers below.
- DD-214 and other military documentation are required for anyone who has served in the military and has been discharged.
 - DOE F 5631.2A, *Additional Information to be Obtained for Investigation of U.S. Citizens Who Have Resided in Foreign Countries and for Investigation of Naturalized U.S. Citizens*, is required for all naturalized citizens and applicants who have resided in a foreign country (including active military residing on a military base) for over one year.
 - Federal Applicants must submit an SF-171, *Application for Federal Employment*, an OF 612, *Optional Application for Federal Employment*, or a resume. If the individual submits an OF 612 or a resume, a SF-306, *Declaration for Federal Employment*, must also be submitted.

References

- DOE Manual 470.4-5, PERSONNEL SECURITY
- Executive Order 12968, *Access to Classified Information*
- PSD Memorandum, dated 9/18/09, Implementation of Acquisition Regulation Security Clause.
- Office of Personnel Management Memorandum, dated July 31, 2008, Interim Credentialing Standards for Issuing Personal Identity Verification Cards under HSPD-12
- DOE N 206.4, *Personal Identity Verification*
- Secretary of Energy Memorandum, dated September 14, 1007, Decisions Regarding Drug Testing for Department of Energy Positions that Require Access Authorization (Security Clearance)

Please contact the PSD HelpDesk. Our telephone hours are Monday through Friday, 7:00 a.m. to 4:00 p.m.
You can also contact us via email. (505) 845-4636 / PSDHD@doeal.gov



Reinstatement Process Fact Sheet

In accordance with DOE M 470.4-5, Personnel Security, when an individual formerly held a DOE access authorization, the access authorization may be reinstated if specific conditions apply. The reinstatement procedure may require new security forms and/or an updated investigation as noted below.

Less than 6 Months have Passed Since Termination of the Access Authorization

If less than 6 months have elapsed since the termination of the access authorization, the following documents are required for reinstatement:

- AL F 470.1, *Clearance Request/Recertification/Suitability/PIV*
- DOE F 5631.18, *Security Acknowledgment*
- Drug Test results that demonstrate the absence of any illegal drugs (existing requirements: 10 Code of Federal Regulations (CFR) Part 707, *Workplace Substance Abuse Programs at DOE Sites*; DEAR 970.5223-4 *Workplace Substance Abuse Programs*; DEAR 952.204-2, *Security Requirements*). The test must have been administered within 1 year of the date of request of reinstatement.

More than 6 Months have Passed Since Termination of the Access Authorization

If more than 6 months have elapsed since termination of the access authorization, the following documents are required for reinstatement:

- SF-86, *Questionnaire for National Security Positions*, must be obtained if the date on the previous form is more than a year old, or when any significant changes are known to have occurred since that date.
- AL F 470.1, *Clearance Request/Recertification/Suitability/PIV*
- DOE F 5631.18, *Security Acknowledgment*
- Drug Test results that demonstrate the absence of any illegal drugs (existing requirements: 10 CFR 707, *Workplace Substance Abuse Programs at DOE Sites*; DEAR 970.5223-4 *Workplace Substance Abuse Programs*; DEAR 952.204-2, *Security Requirements*). The test must have been administered within 1 year of the date that the applicant certified the SF-86 via e-QIP
- DOE F 472.1, *Release (Fair Credit Report of 1970, as amended)*

Reinstatement Requires a Supplemental Investigation

1. A supplemental investigation must be requested before or concurrent with reinstatement when any of the following conditions exist. If conditions described in paragraph 1.c. or 1.d., below, exist and there is sufficient available information to proceed directly to administrative review processing, it is not necessary to schedule supplemental investigations.

- a. The most recent investigation is more than 5 years old;
 - b. The previous access authorization has been terminated for more than 24 months (unless the individual has been continuously employed by the same employer where access authorization was held, in which case the access authorization can be reinstatement for up to 5 years from termination);
 - c. New derogatory information has been found and has not been resolved following the initial granting of access authorization; or
 - d. The reason for the termination concerned eligibility for an access authorization.
2. The supplemental investigation must be completed and adjudicated before reinstatement in any instance where more than 10 years have elapsed since the previous investigation. For these individuals, a thorough background review, as defined in 48 CFR 904.401, *Definitions*, must be conducted prior to selecting the individual for a position that requires a DOE access authorization. A certification of the background review must be provided as specified in the PSD Memorandum, *Implementation of Acquisition Security Clause*, dated 09/19/09, and submitted with other required documents.

References

- DOE M 470.4-5, PERSONNEL SECURITY
- 10 CFR 707, *Workplace Substance Abuse Programs at DOE Sites*
- DEAR 970.5223-4 *Workplace Substance Abuse Programs*
- DEAR 952.204-2, *Security Requirements*
- 48 CFR 904.401, *Definitions*
- PSD Memorandum, dated 09/19/09, Implementation of Acquisition Security Clause
- Secretary of Energy Memorandum, dated September 14, 1007, Decisions Regarding Drug Testing for Department of Energy Positions that Require Access Authorization (Security Clearance)

Questions?

Please contact the PSD HelpDesk. Our telephone hours are Monday through Friday, 7:00 a.m. to 4:00 p.m.
You can also contact us via email. (505) 845-4636 / PSDHD@doeal.gov



Extensions Fact Sheet

DOE Manual 470.4-5 allows an individual to hold concurrent active access authorizations under the cognizance of two or more Departmental Elements, two or more employers, or one employer under two or more contracts.

Types of Extensions and Required Documents

1. An INTERNAL EXTENSION is used to extend an access authorization from one NNSA site to another within the purview of NNSA/SC PSD (e.g., Sandia to Los Alamos). An AL F 470.1, *Clearance Request/Recertification/Suitability/PIV* is required.
2. An EXTERNAL EXTENSION is used when NNSA/SC PSD requests an extension line from another DOE Operations office (e.g., Service Center requests an extension from Chicago Operations Office). An AL F 470.1, *Clearance Request/Recertification/Suitability/PIV* is required.
3. A REVERSE EXTERNAL EXTENSION is used when another DOE Operations office has requested an extension line from NNSA/SC PSD (e.g., HQ requests extension from Service Center). The DOE Operations Office requesting extension information submits a facsimile request to NNSA/SC PSD.

Conditions

1. A “Q” access authorization can be extended either as a “Q” or an “L” access authorization, but an “L” access authorization can only be extended as an “L” access authorization. An access authorization must not be extended to a Department Element where the individual is not employed or does not perform contractual duties.
2. “QX” and “LX” access authorizations cannot be extended, as they are granted for limited access as specified in an access permit.

Questions?

Please contact the PSD HelpDesk. Our telephone hours are Monday through Friday, 7:00 a.m. to 4:00 p.m. You can also contact us via email. (505) 845-4636 / PSDHD@doeal.gov



Personnel Security Department (PSD)

Reinvestigation Fact Sheet

Reinvestigations are designed to ensure that individuals with access authorizations are periodically reevaluated to determine their continued need for such access authorizations and reinvestigated to determine their continued eligibility. A reevaluation and reinvestigation must be completed every 5 years for individuals holding “Q” access authorizations and every 10 years for individuals holding “L” access authorizations.

The site holding the oldest and higher clearance interest is considered to be the “owner” of the clearance; the owner is responsible for funding and processing the reinvestigation. DOE M 470.4-5, PERSONNEL SECURITY, reflects that a clearance can be extended, which allows an individual to hold concurrent active clearances under the cognizance of two or more Departmental elements, two or more employers, or one employer under two or more contract numbers (see Extensions Fact Sheet).

Required Documents and Forms

For a reinvestigation case to be processed for continued access to classified information a clearance package must be completed and submitted to the PSD. Documents may be faxed to PSD in advance of mailing the signed original documents. Per applicable regulations and policies, the package must contain the following:

- DOE AL F 470.1, *Clearance Justification/Recertification/Suitability Form*.
- Standard Form 86, *Questionnaire for National Security Positions* (Submitted electronically through E-QIP).
- Signature pages generated by the e-QIP system: Certification page, Release of Information, and Medical Release (if applicable).
- DOE F 5631.18, *Security Acknowledgment*.
- DOE F 472.1, *Release (Fair Credit Report of 1970, as amended)*.
- DOE F 5631.2A, *Additional Information to be Obtained for Investigation of U.S. Citizens Who Have Resided in Foreign Countries and for Investigation of Naturalized U.S. Citizens*, applicable to all naturalized citizens and applicants who have resided in a foreign country (including active military residing on a military base) for over one year.

Circumstances Causing a Change of Clearance Owner or Site

There are circumstances that may prompt the change of clearance owner and/or cause a reinvestigation to be added or moved from one site and/or its reinvestigation list to another. The following examples illustrate some of those circumstances.

1. **Extensions.** Site requests an extension of a clearance held at another DOE Operations Office or NNSA Site. The clearance ownership may default to the site holding the extension if other

clearance interest(s) is terminated and/or if the extension is the oldest clearance interest and the higher clearance level.

2. **Downgrades.** Site holding an extension of a clearance may become the clearance owner if the clearance interest(s) is downgraded at another site. The clearance ownership automatically defaults to the site that holds the higher clearance level.
3. **Reinstates.** Site requests a reinstate of DOE clearance and PSD may determine the individual is due for reinvestigation.
4. **Special Reinvestigations.** DOE M 470.4-5 reflects that a reinvestigation may be scheduled whenever there is evidence that the individual engaged in an activity, or has been subject to circumstances that cause a security concern within the meaning of 10 Code of Federal Regulations (CFR) Part 710, or as a follow up to previously adjudicated derogatory issues.
5. **Transfer.** Site requests a transfer of a clearance from another DOE Operations Office or NNSA Site, and/or from one employer to another at the same site. The clearance ownership will default to the requesting site as well as the obligation for the reinvestigation.
6. **Upgrade of clearance level.** Site holding an extension of clearance may request a clearance upgrade of the extension interest. If the upgraded extension interest is the highest clearance level, the clearance ownership automatically defaults to the site holding the higher clearance level.
7. **Upgrade of investigation type.** DOE M 470.4-5 reflects that if an individual's SF-86 or personnel security file reflects new and/or unresolved derogatory information, the type of investigation may be upgraded to provide additional information.

References

- DOE M 470.4-5, PERSONNEL SECURITY

Questions?

Please contact the PSD HelpDesk. Our telephone hours are Monday through Friday, 7:00 a.m. to 4:00 p.m.
You can also contact us via email. (505) 845-4636 / PSDHD@doeal.gov



Reciprocity Process Fact Sheet

In accordance with DOE N 470.4, *Reciprocal Recognition of Existing Personnel Security Clearances/Access Authorizations*, applicants for an access authorization may be processed for reciprocity if they have an active security clearance/access authorization with another federal agency. An SF-86, *Questionnaire for National Security Positions*, or new investigative checks will not be requested when the individual has an active access authorization. A reciprocal access authorization may be granted at the same level or lower than the access authorization held at the other agency. *DOE will accept verification that the individual currently holds or has held a security clearance, access authorization, or SCI approval granted by another federal agency, provided the investigative basis meets the standards of the investigation required for the DOE access authorization.*

Reciprocity will be granted under the following conditions:

Individual Currently Holds Access Authorization or Clearance at Another Federal Agency

Verification will be made through the Office of Personnel Management (OPM) Clearance Verification System (CVS) and/or Department of Defense Joint Personnel Adjudication System (JPAS). The following documents are required:

- AL F 470.1, *Clearance Request/Recertification/Suitability/PIV*
- DOE F 5631.18, *Security Acknowledgment*
- Drug Test results that demonstrate the absence of any illegal drugs (existing requirements: 10 CFR 707; DEAR 970.5223-4 Workplace Substance Abuse Programs; DEAR 952.204-2). The test must have been administered within 1 year of request for reciprocity.

The Access Authorization has been Inactive for 2 Months or Less

Verification will be made through the CVS and/or JPAS. The following documents are required:

- AL F 470.1, *Clearance Request/Recertification/Suitability/PIV*
- DOE F 5631.18, *Security Acknowledgment*
- Drug Test results that demonstrate the absence of any illegal drugs (existing requirements: 10 CFR 707; DEAR 970.5223-4 Workplace Substance Abuse Programs; DEAR 952.204-2). The test must have been administered within 1 year of request for reciprocity.

If the Clearance has been Inactive for at Least 2 Months, but Less than 24 Months

An access authorization will be reapproved through Reciprocity for an individual who formerly held an access authorization and the last reinvestigation was within the most recent 7 years for a “Q” or 10 years for an “L,” absent the development of any derogatory information. The following documents are required:

- AL F 470.1, *Clearance Request/Recertification/Suitability/PIV*
- DOE F 5631.18, *Security Acknowledgment*

- Drug Test results that demonstrate the absence of any illegal drugs (existing requirements: 10 CFR 707; DEAR 970.5223-4 Workplace Substance Abuse Programs; DEAR 952.204-2). The test must have been administered within 1 year of the date that the applicant certified the SF-86 via the OPM Electronic Questionnaires for Investigations Processing (e-QIP) system.
- SF-86, *Questionnaire for National Security Positions* submitted electronically through e-QIP.

Individual Does Not Meet Reciprocity Requirements

Reciprocity will not be granted if the individual's current or former access authorization cannot be verified through CVS and/or JPAS, or their last investigation is older than 7 years for a "Q" or 10 years for an "L." The individual will be processed as an applicant (refer to Applicant Fact Sheet).

References

- DOE N 470.4, *Reciprocal Recognition of Existing Personnel Security Clearances/Access Authorizations*
- 10 CFR 707, *Workplace Substance Abuse Programs at DOE Sites*
- DEAR 970.5223-4, *Workplace Substance Abuse Programs*
- DEAR 952.204-2, *Security Requirements*
- Secretary of Energy Memorandum, dated September 14, 2007, [Decisions Regarding Drug Testing for Department of Energy Positions that Require Access Authorization \(Security Clearance\)](#)

Questions?

Please contact the PSD HelpDesk. Our telephone hours are Monday through Friday, 7:00 a.m. to 4:00 p.m.

You can also contact us via email. (505) 845-4636 / PSDHD@doeal.gov



Upgrade Process for Incumbents Fact Sheet

In accordance with DOE M 470.4-5, an upgrade of an employee's access authorization from "L" to "Q" may be requested by an employer to address new access requirements associated with the duties of the position. In order to minimize the time required to upgrade individuals, specific steps/actions must be followed, as outlined below. Regarding all conditions, if there is any unresolved derogatory information in the personnel security file (PSF) or the SF-86, *Questionnaire for National Security Positions*, the clearance cannot be upgraded until the issue has been resolved.

If minor derogatory information is listed in the SF-86, such as a minor traffic violation or civil action, marital counseling, etc., then PSD will most likely mitigate on record for the Upgrade.

Requirements for PSD to Upgrade a Clearance

In most instances, an access authorization will be upgraded within 5 working days if the individual meets the following two conditions

1. Upgrade to a "Q" when previously held a "Q" and was downgraded within Investigative Scope of either an SSBI or SSBI PR. The following documents are required:
 - AL F 470.1, *Clearance Request/Recertification/Suitability/Personal Identification Verification*
 - DOE F 5631.18, *Security Acknowledgment*
 - No unresolved derogatory information in the PSF
2. Upgrade to a "Q" when previously held a "Q" and was downgraded beyond the scope of the last SSBI or SSBI PR, e.g. 5 years ago but no more than 10 years. The following documents are required:
 - Updated SF-86, *Questionnaire for National Security Positions*. Individual is required to undergo a reinvestigation. PSD will Upgrade a case concurrent with the submittal of the Reinvestigation
 - AL F 470.1, *Clearance Request/Recertification/Suitability/Personal Identification Verification*
 - DOE F 5631.18, *Security Acknowledgment*
 - DOE F 472.1, *Release (Fair Credit Report of 1970, as amended)*
 - No unresolved derogatory information in the SF-86 or in the PSF

Conditions Where an Investigation Will be Required

1. Upgrade to a "Q" when previously held a "Q" and was downgraded beyond the scope of last investigation SSBI investigation, e.g. more than 10 years. The following documents are required:

- Updated SF-86, *Questionnaire for National Security Positions*. Individual is required to undergo an initial investigation (SSBI). The Upgrade will not occur before the completed investigation has been received and favorably adjudicated
 - AL F 470.1, *Clearance Request/Recertification/Suitability/Personal Identification Verification*
 - DOE F 5631.18, *Security Acknowledgment*
 - DOE F 472.1, *Release (Fair Credit Report of 1970, as amended)*
 - No unresolved derogatory information in the SF-86 or in the PSF
2. Upgrade to a “Q” when only held an “L.” The following documents are required:
- Updated SF86, *Questionnaire for National Security Positions*. Individual is required to undergo an initial investigation (SSBI). The Upgrade will not occur before the completed investigation has been received and favorably adjudicated
 - AL F 470.1, *Clearance Request/Recertification/Suitability/Personal Identification Verification*
 - DOE F 5631.18, *Security Acknowledgment*
 - DOE F 472.1, *Release (Fair Credit Report of 1970, as amended)*
 - No unresolved derogatory information in the SF86 or in the PSF

References

DOE Manual 470.4-5, PERSONNEL SECURITY

Questions?

Please contact the PSD HelpDesk. Our telephone hours are Monday through Friday, 7:00 a.m. to 4:00 p.m.
You can also contact us via email. (505) 845-4636 / PSDHD@doeal.gov