

DOE and Sandia Reporting Requirements

"Employees are encouraged and expected to report any information that raises doubts as to whether another employee's continued eligibility for access to classified information is clearly consistent with the national security."

—Executive Order 12968, *Access to Classified Information*



What You Need to Know About Your Reporting Responsibilities



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Sandia is a multiprogram laboratory operated by Sandia Corporation, a Lockheed Martin Company, for the United States Department of Energy's National Nuclear Security Administration under contract DE-

Other DOE Reporting Requirements

Incidents of Security Concern	Immediately – Do not provide details of incident over the phone. (NM) OOPS (311) and SIMP (505-540-2382); (CA) SIMP (925-294-3238); (TTR) Central Alarm Station (702-295-8285) Note: Contractors have added responsibility of reporting incident to their Facility Security Officer (FSO).
Waste, Fraud, & Abuse	Incidents of waste, fraud, abuse and criminal matters must be reported to Corporate Investigations (505-845-9900) and other appropriate authorities (e.g., manager, Employee Concerns Office, security officials).
Theft of Property	<ul style="list-style-type: none"> Any theft of Sandia or U.S. Government property must be reported immediately to Corporate Investigations (505-845-9900). All property that is considered stolen, lost, or missing must be reported regardless of value and regardless of whether it is considered controlled or uncontrolled property.
Wrongdoing	<ul style="list-style-type: none"> In addition to the circumstances listed in the previous table, employees, contractors, and consultants must report incidents of wrongdoing to SNL Corporate Investigations (NM 505-845-9900). You may also report directly to the Office of the Inspector General any information concerning wrongdoing by DOE employees, contractors, subcontractors, consultants, grantees, other recipients of DOE financial assistance, or their employees.
Drugs in the Workplace	<ul style="list-style-type: none"> Illegal drugs are prohibited on both Sandia-controlled premises and Kirtland Air Force Base property. Individuals who illegally used or trafficked in a controlled substance may be asked to sign a drug certification form attesting to having to refrain from using or being involved with illegal drugs while employed in a position requiring a security clearance. The use of illegal drugs is a serious offense and could result in termination of your clearance and, eventually, your employment, as well as arrest. Incidents of illegal drugs in the workplace must be reported to Corporate Investigations (NM 505-845-9900). This includes, but is not limited to, trafficking in, selling, transferring, possessing, or using illegal drugs.

°SNL/CA staff should also call the Security Operations Office (925-294-2531).

Managers' Reporting Requirements

In compliance with ISS100.3.1, *Report Personnel Security Information; Security Incidents; and Waste, Fraud, and Abuse*, and DOE M 470.4-5, *Personnel Security*, all managers aware of the following conditions affecting an applicant's or employee's access authorization status, must provide notification as indicated:

- Individual is hospitalized or otherwise treated for mental illness or other condition (e.g., substance abuse) that may cause significant defects in judgment or reliability. Verbal notification must occur within 8 work hours and written confirmation within the next 10 work days to:
 - (NM) Corporate Investigations (845-9900)
 - (CA) Personnel Security (294-2061)
- Information of personnel security interest. Such information must be characterized as reliable and relevant and create a question as to an individual's access authorization eligibility as described in 10CFR710.8, *Criteria and Procedures for Determining Eligibility for Access to Classified Matter or Special Nuclear Material*. Immediately report this information to:
 - (NM) Corporate Investigations (845-9900)
 - (CA) Security Operations Office (294-2531)

In addition, managers are responsible for immediately reporting to Personnel Security (NM 844-4493, CA 294-2061) when an employee's clearance is no longer required, employment is terminated, individual is on extended leave of 90 consecutive work days, or access authorization is not required for 90 consecutive work days. Ensure completed DOE F 5631.29, *Security Termination Statement*, and badge are immediately delivered to the Clearance Office.

REMOTE SITES REPORT TO SNL/NM UNLESS OTHERWISE INDICATED.

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	IF YOU	REPORT TO	BY THIS DATE
General Requirements	Are approached or contacted by ANY individual seeking unauthorized access to classified matter or special nuclear material (SNM).	NM, TTR—Counterintelligence (284-3878) or SIMP pager (540-2382) CA—Counterintelligence (294-1362), Security (294-2300), or SIMP (1-888-932-9710)	Immediately.
	Are aware of information of personnel security interest.	NM—Corporate Investigations (845-9900) CA—Security Operations Office (-294-2531)	Immediately.
	Note: Such information must be characterized as reliable and relevant and create a question as to the individual's access authorization eligibility as described in 10CFR710.8, "Criteria and Procedures for Determining Eligibility for Access to Classified Matter or Special Nuclear Material."		
Legal Issues	* Are arrested, subject to criminal charges (including charges that are dismissed), or are detained by federal, state, or other law-enforcement authorities for violations of the law within or outside of the U.S. A traffic violation for which a fine of \$250 or less was imposed does not have to be reported, unless the violation was drug or alcohol related.	NM—Corporate Investigations (845-9900) CA—Clearance Processing (294-2061)	Orally within 2 work days of occurrence, and In writing within the next 3 work days.
	Note: For traffic violations, it is your responsibility to verify within the 2 allotted days if the fine will be greater than \$250. If your court date is beyond 2 days and no fine amount is listed on the citation, you will need to contact the court to determine what the maximum potential fine—the actual fine may not be determined until you appear in court.		
Citizenship	* File for bankruptcy, regardless of whether it is for personal or business-related reasons.	NM—Corporate Investigations (845-9900) CA—Clearance Processing (294-2061)	Orally within 2 work days of occurrence, and In writing within the next 3 work days.
	* Have your wages garnished for ANY reason. Examples: divorce, debts, child support	NM—Corporate Investigations (845-9900) CA—Clearance Processing (294-2061)	Orally within 2 work days of occurrence, and In writing within the next 3 work days.
Life Circumstances	* Are a current U.S. citizen who changes citizenship, or who is acquiring dual citizenship.	NM, TTR—Personnel Security Info Line (284-3103) CA—Personnel Security (294-1358)	Orally within 2 work days of occurrence, and In writing within the next 3 work days.
	* Are a foreign citizen who changes citizenship.	NM, TTR—Foreign Interactions (844-8263) CA—Foreign Interactions (294-3042)	Orally within 2 work days of occurrence, and In writing within the next 3 work days.
Foreign Travel	* Have a name change.	Personnel Security Info Line (505-284-3103)	Orally within 2 work days of occurrence, and In writing within the next 3 work days (via SF 2730-NCB, Name Change Request for Badge Office & Staffing).
	Marry or cohabitate with a person in a spouse-like relationship.	Personnel Security Info Line (505-284-3103)	In writing within 45 days of marriage or cohabitation (via DOE F 5631.34, Data Report on Spouse).
	* Are hospitalized for mental illness, or treated for drug or alcohol abuse.	NM—Corporate Investigations (845-9900) CA—Clearance Processing (294-2061)	Orally within 2 work days of occurrence, and In writing within the next 3 work days.
Foreign Interaction	No longer require your clearance, terminate your employment, are on extended leave of 90 consecutive work days, or your access authorization is no longer required for 90 consecutive work days.	NM, TTR—Personnel Security Info Line (505-284-3103) CA—Clearance Processing (294-2061)	Immediately and follow up by providing completed DOE F 5631.29, Security Termination Statement, and returning badge.
	Have business-related travel to a sensitive or non-sensitive country.	NM & CA—Call the International Travel Help Line (505-845-1300) CA—Also call Counterintelligence (294-1362)	37 days prior to travel.
	Have personal foreign travel to sensitive country. Note: While not required to report travel to a non-sensitive country, you should keep a personal record of personal foreign travel for future clearance (re)investigations.	NM—Travel Information System (TIS) or Counterintelligence (284-3878) CA—Counterintelligence (294-1362)	Prior to travel or as soon as practicable.
Related Sandia Rqmts	Hold a Special Access Program (SAP) clearance and: • Travel for personal reasons to a sensitive foreign country, or • Travel for business purposes to any foreign country, sensitive or non-sensitive .	Contact the Program Security Officer	Prior to travel or as soon as practicable.
	Hold a Sensitive Compartmented Information (SCI) clearance and travel to any foreign country (sensitive or non-sensitive) for personal or business reasons:	Contact the Special Security Officer	Prior to travel or as soon as practicable.
Foreign Interaction	Have substantive contact with any foreign national.	NM—Counterintelligence (284-3878) CA—Counterintelligence (294-1362)	Immediately through: Foreign National Interaction System website
	Note: "Substantive contact" refers to a personal or professional relationship that is enduring and involves substantial sharing of personal information and/or the formation of emotional bonds (does not include family members). At SNL, substantive contact includes associations that involve meeting and the sharing of SNL business information.		Note: Counterintelligence will make an approval decision within 24 hours
	* Are employed by, represent, or have other business-related associations with a non-sensitive foreign or foreign-owned interest or foreign national.	NM—Counterintelligence (284-3878) CA—Counterintelligence (294-1362)	Immediately through: Foreign National Interaction System website

* You are required to report these items to the Sandia organizations listed, but you have the option of also reporting them directly to DOE Personnel Security.