



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