

## **Uncleared Personal Identity Verification (UPIV) Process**

### ***Frequently Asked Questions***

#### **Q1. What is UPIV?**

In accordance with the U.S. Department of Energy (DOE) National Nuclear Security Administration (NNSA) Supplemental Directive (SD) 206.2 *Implementation of Personal Identity Verification (PIV) for Uncleared Contractors*, uncleared Members of the Workforce (MOW) who require physical and/or logical (i.e., cyber/computer) access to Sandia National Laboratories (SNL) must be processed for PIV. PIV is a government-wide standard for identification, authentication, and authorization to access federal facilities and information systems. At SNL, this NNSA-mandated process for uncleared MOWs is called Uncleared PIV (UPIV).

#### **Q2. Who is required to comply with UPIV?**

UPIV is applicable to any MOW, not in possession of a DOE clearance or in process for one, who already has, is approaching, or is expected to have (i.e., by the nature of their employment or contract) the need for uncleared physical and/or logical access to SNL for 179-calendar days or greater. This 179-days threshold is a cumulative lifetime total that accounts for the individual's entire historical relationship with SNL. It does not reset. Accordingly, all MOW in an enduring or repetitive uncleared status with SNL will eventually undergo UPIV.

#### **Q3. How does UPIV impact my uncleared physical and/or logical (i.e., cyber/computer) access to SNL?**

If you are in an enduring or repetitive uncleared relationship with SNL and not an applicant for a DOE security clearance, UPIV will apply to you. Currently, all SNL MOWs are issued uncleared physical and/or logical (i.e., cyber/computer) access when a relationship is first established with SNL and you are issued a Local Site Specific Only (LSSO) badge. Maintaining continued uncleared access, however, requires UPIV. You will be allowed to retain your pre-existing uncleared access during UPIV processing provided you comply with all UPIV application instructions in a timely manner. Otherwise, your uncleared access will be deactivated until such time you do comply.

Ultimately, NNSA will make a final UPIV determination in your case. If favorable, your uncleared access will continue in force. Currently, a favorable determination is valid indefinitely throughout DOE as necessary. If unfavorable, you will not be allowed continued physical and/or logical access. Any SNL-issued badges and/or yubi-keys will be immediately inactivated and must be returned. In this instance, NNSA provides the applicant its reasons for their unfavorable determination and affords the right to appeal. If the appeal is successful, access will be reestablished. If not successful, access will remain denied and a subsequent UPIV request cannot be made for one (1) year from the date of NNSA's previous decision. If a subsequent UPIV request is initiated, a final favorable decision must be rendered prior to unclassified access. Only first-time UPIV applicants are allowed uncleared access while a final UPIV determination is pending.

**Q4. Is DBIDS authorization still required?**

UPIV and DBIDS are not related. The Defense Biometric Identification System (DBIDS) is a separate process associated with DOD requirements for access to Kirtland Air Force Base (KAFB). If you require access onto KAFB for your work, DBIDS authorization is required. Go [here](#) for details about DBIDS.

**Q5. How and when am I notified about UPIV?**

As necessary under the appropriate circumstances (see Q2), you will be contacted by SNL Personnel Security via email notifying you of the requirement to begin the UPIV process. Detailed instructions will be provided (see Q7). Your manager and Office Administrative Assistant (OAA) will also be copied. To facilitate these communications, you must have a valid email address unique to you (i.e., not a shared email address).

**Q6. What if I never received a UPIV notification?**

Contact a UPIV specialist at [upiv@sandia.gov](mailto:upiv@sandia.gov). The UPIV specialist will verify whether you are eligible for a UPIV. If so, they will send you the notification and update your email address.

**Q7. What is the UPIV process?**

Following notification (see Q5) the UPIV process initially consists of three (3) tasks to be completed by the applicant under strict deadlines. Online access is required. It is the responsibility of the applicant’s employer (e.g., manager, supervisor, facility security officer (FSO), company representative) to provide the necessary support to ensure compliance. The tasks consist of:

1. Completion of **OF-306, Declaration for Federal Employment** (despite the title, this form is applicable to contractors for UPIV purposes);
2. Enrollment in the *USAccess* online tool to schedule an appointment for presenting documentation to confirm your identity, provide fingerprints, and be photographed (see Q8); and
3. Completion of **SF-85, Questionnaire for Non-Sensitive Positions** via the Electronic Questionnaires for Investigations Processing (e-QIP) system. The SF-85 is required to complete a federal background investigation (see Q17).

As necessary, the applicant will be contacted by SNL Personnel Security to ensure completion of these tasks. Thereafter, a minimum-level federal background investigation will be completed (see Q17) for adjudication by NNSA, resulting in either a favorable or unfavorable UPIV determination. The applicant will be informed of this determination and any other relevant information.

**Q8. How do I make an appointment for enrollment in the USAccess online tool?**

Following UPIV notification, use the USAccess link:

<https://portal.usaccess.gsa.gov/scheduler/select-agency?v=20803>

1. Select “Department of Energy” for Agency/Organization.
2. Click on “Enrollment” for the Activity.
3. Then type in your zip code and find the closest site near you.
4. Select a DOE dedicated site or a shared credentialing site.

Be sure to bring two forms of acceptable ID to your enrollment. For more information, use the link:

<https://www.gsa.gov/technology/technology-purchasing-programs/federal-credentialing-services/get-appointment-help/bring-required-documents>

**Q9. What if there are no enrollment appointments available before my UPIV deadline?**

If you cannot find an appointment before your deadline, contact [upiv@sandia.gov](mailto:upiv@sandia.gov) and a UPIV specialist will assist you.

**Q10. What if there are no nearby enrollment stations available and I must travel long distance – can I get reimbursed?**

If you are a SNL employee/intern, consult with your manager to determine whether you are eligible for travel reimbursement. Consultation may be needed through SNL’s Travel and Treasury office. SNL subcontractors are advised to consult with their employer for direction.

Note that regardless of whether travel reimbursement is provided, completing the UPIV process is mandatory in order to continue access to SNL.

**Q11. What if I can’t find my UPIV registration code for my e-QIP or never received one?**

Contact a UPIV specialist at [upiv@sandia.gov](mailto:upiv@sandia.gov) and they can reset your account and provide you a new registration code to create a e-QIP username/password.

**Q12. Do I have to complete the UPIV process if I will be leaving SNL soon?**

Contact [upiv@sandia.gov](mailto:upiv@sandia.gov) for a determination.

**Q13. How long do I have to complete my UPIV tasks?**

Two weeks. However, if there are extenuating circumstances and more time is needed, contact a UPIV Specialist at [upiv@sandia.gov](mailto:upiv@sandia.gov).

**Q14. What happens if I don’t complete my UPIV tasks in time?**

Your existing physical and/or logical access to SNL will be terminated. Any SNL-issued badges/yubi-keys will be inactivated and must be immediately returned to the SNL Badge Office. Your manager, FSO if applicable, and others as appropriate will also be informed. Subsequent access to SNL will not be authorized until full compliance is accomplished.

**Q15. Must all sections/questions of the OF-306 be completed?**

Only 1 – 17a are required. Do not complete questions 17b -18c.

**Q16. Can I use a digital signature on the OF-306?**

Yes. However, you must include your first, middle, and last name on line 17a.

**Q17. What is the federal background investigation for UPIV?**

Tier 1. This is the minimum level of investigation for workforce-related physical and logical access to federal facilities. It consists of automated checks of law enforcement, credit, education, and employment records.

**Q18. If I formally held a federal security clearance (e.g., DOE or DOD), do I still need to complete the UPIV process?**

Yes, however you will be submitted for UPIV “reciprocity” which is an abbreviated process that requires only completion of the OF-306 and USAccess Enrollment. The SF-85 is not required.

**Q19. If I received a favorable UPIV determination at a different DOE site, do I still need to complete the UPIV process at SNL?**

Yes, however you will be submitted for UPIV “reciprocity” which is an abbreviated process that requires only completion of the OF-306 and USAccess Enrollment. The SF-85 is not required.

**Q20. Do I still need a UPIV if I already have a security clearance at another DOE location?**

No. If you hold an active DOE clearance at another DOE site, you are not required to complete the UPIV process.

**Q21. Is a drug test required for UPIV?**

No.

**Q22. How long does a UPIV determination by DOE take?**

Timeframes are not available as it depends on the circumstances of each case.

**Q23. If I receive a DOE rejection notification, does that mean an unfavorable UPIV determination?**

No. This notification means only that DOE needs additional information/clarification on the OF-306 and/or SF-85, or that another enrollment is required . A UPIV specialist will contact you with instructions.

**Q24. Does a favorable UPIV determination by DOE result in receiving a PIV credential (HSPD-12 badge)?**

No. Currently, uncleared MOW are issued only LSSO badges.

**Q25. Is UPIV a recurring process?**

Not at this time, however DOE eventually intends UPIV to be an ongoing/periodic evaluation process to ensure continued eligibility.

**Q26. Are there any self-reporting requirements associated with UPIV?**

Not specifically associated with UPIV. However, there are several self-reporting requirements applicable to all MOW, regardless of clearance status. See [DOE and Sandia Reporting Requirements](#) for details.

**Q27. Is UPIV tracked to avoid duplication of effort among DOE sites?**

Yes. DOE UPIV determinations are confirmed and entered in a common database. Once your UPIV is deemed “favorable,” it is valid DOE-wide.

**Q28. What are the UPIV office hours?**

Monday – Friday 7:15 – 3:00 p.m.

**Q29. Can a personal email address be used in my UPIV communications?**

Yes, especially if you do not have a Sandia email address. If you are a contractor and your company would prefer for you to use a company email address, the company email address must be unique to you and not shared by others.

**Q30. What happens if I terminate from SNL/ my company before the UPIV process is complete?**

If you are a SNL employee, your UPIV request will be cancelled after HR notification. If you are a SNL sub-contractor, either you or your company should notify the UPIV Office that you are terminating your employment and no longer need a UPIV. Send your notification, along with your end date, to [upiv@sandia.gov](mailto:upiv@sandia.gov).

**Q31. If I am “support staff” and don’t have a SNL LSSO badge, do I still need to go through UPIV?**

UPIV is for access to SNL, whether that is physical and/or logical (i.e., cyber/computer) access. If your SNL-related work involves either one, UPIV is required.

**Q32. Is UPIV required if I am a short-term contractor (less than 179 days) and do not plan additional SNL-related work?**

No. However if you subsequently require physical and/or logical (i.e., cyber/computer) access to SNL in the future, even years later, your access will be calculated cumulatively and upon reaching the 179-day threshold, UPIV is required.

**Q33. Is access to I-supplier considered logical access requiring UPIV?**

Standing alone, access to I-supplier to look at and bid on SNL contracts and/or to submit invoices, is not considered logical access requiring UPIV. Otherwise, any physical and/or logical (i.e., cyber/computer) access to SNL requires UPIV.