

DOE and SNL REPORTING REQUIREMENTS OF SECURITY INTEREST



Revised: December 7, 2020

Instructions:

- The events and circumstances described below are reportable by the individuals specified in the spanning subheadings.
- All reporting must occur immediately or as soon as possible, but no later than two (2) working days after the event/circumstance.
- To begin the reporting process, contact Security Connection at 321 from a Sandia landline, 505-845-1321 from any phone, or security@sandia.gov.

Members of the Workforce (MOWs)

All MOWs are required to report the events/circumstances specified below, when applicable. However, the **red highlighted** items are applicable only to clearance holders and clearance applicants.

GENERAL REQUIREMENTS

1. **Become aware of information that raises concerns of personnel security interest* about others who are applying for or in possession of a DOE security clearance.**

**Concerns of personnel security interest include but are not limited to the reportable circumstances cited in this guide.
Note: Individuals who report circumstances about others may be asked to provide additional, corroborative information.*

2. **Approached or contacted by any individual seeking unauthorized access to classified matter or special nuclear material (SNM).**

LIFE CIRCUMSTANCES

3. **Marry or cohabitate.**

Note: A cohabitant is a person who lives in a spouse-like relationship or with a similar bond of affection or obligation, but is not a legal spouse, child, or other relative (in-laws, mother, father, brother, sister, etc.).

4. **Legal action taken for a name change.**

LAW ENFORCEMENT

5. **Arrested or subject to criminal charges (including charges that are dismissed), citations, tickets, summonses, or detentions by federal, state, or other law-enforcement authorities for violations of law within or outside of the U.S.**

Exception: Traffic violations for which a fine of up to \$300 was imposed need not be reported, unless the violation was alcohol- or drug-related.*

***"Imposed" means agreement to pay the fine, or a court ruling to pay, exclusive of court fees or other administrative costs*

FINANCIAL MATTERS

6. **Personal or business-related filing for bankruptcy.**
7. **Garnishment of wages (e.g., due to debts, divorce, child support).**

CITIZENSHIP

8. **Change in citizenship (i.e., U.S. or foreign) or acquisition of another country citizenship(s).**

DRUG USE

9. **Use of an illegal drug, or use of a legal drug in a manner that deviates from approved medical direction.**
10. **Treatment for drug abuse.**
11. **Positive (i.e., unfavorable) drug test regardless of source (e.g., court-ordered, military, employment).**

ALCOHOL USE

12. **Treatment for alcohol abuse.**

MENTAL HEALTH

13. **Hospitalization for mental health reasons.**

FOREIGN TRAVEL

14. **Travel to a sensitive country for personal reasons.**
Note: Reporting prior to travel is preferred. A list of sensitive countries is available at the [Counterintelligence \(CI\) website](#). Keeping a record of all personal foreign travel is recommended as a reference for future clearance (re) investigations.
15. **Travel to any country where discussions with sensitive-country foreign nationals regarding sensitive subjects are anticipated or have already occurred.**
Note: This includes chance meetings where sensitive-country foreign nationals are in attendance.
16. **Travel to any country where sensitive subjects will be discussed.**



FOREIGN INTERACTION

17. **Substantive contact with any foreign national.**
Note: "Substantive contact" refers to a personal or professional relationship that is enduring and involves substantial sharing of information (including personal, business, or research information) and/or the formation of emotional bonds (does not include family members).
18. **Contact with foreign nationals who make requests that could be attempts at exploitation or elicitation.**
19. **An immediate family member assuming residence in a sensitive country and/or when that changes (i.e., return to the U.S. or movement to any other country).**
Note: A list of sensitive countries is available at the [Counterintelligence \(CI\) website](#).
20. **Employment by, representation of, or other business-related associations with a foreign or foreign-owned interest or with a non-U.S. citizen or other individual who is both a U.S. citizen and a citizen of a foreign country.**

21. **Participation in research or talent recruitment programs that are sponsored or managed by China, Iran, North Korea, or Russia.**
22. **Participation in other activities (including employment, academic or professional appointments, grant programs, and contracts) sponsored by China, Iran, North Korea, or Russia.**

WORKPLACE CIRCUMSTANCES

23. **Incidents of Security Concern (IOSCs).**
24. **Waste, fraud, and abuse.**
25. **Property theft.**
26. **Use, possession, transfer, sale, or trafficking of illegal drugs.**
27. **Counterfeit/suspect items.**

SCI- and SAP-Briefed Personnel

Additional reporting requirements may apply.

SCI holders are directed to access the [FIE Reporting Requirements](#) webpage (restricted access).

SAP briefed personnel are advised to contact the applicable SAP security POC(s) within Org. 5114 for specific guidance.

Managers

Items below are applicable to clearance holders and clearance applicants. Compliance with some items may already follow existing procedures that remain in force. Otherwise, contact Security Connection.

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| <ol style="list-style-type: none"> A. Awareness of any circumstances cited under "Members of the Workforce" above. B. Action taken to restrict or withdraw access to classified matter or special nuclear material (SNM) without DOE direction. C. An offer of employment has been declined. D. Failure to report for duty. E. Individual's death. | <ol style="list-style-type: none"> F. Termination of employment. G. Determination that a security clearance is no longer required. H. Failure or refusal to cooperate with authorized and appropriate personnel-security-related requests. I. Circumstances that temporarily eliminate the need for access to classified information or SNM for 90 calendar days or more (e.g., temporary change of duties, maternity or other extended leave, detail to another agency, military deployment). |
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