



STANFORD UNIVERSITY
SLAC National Accelerator Laboratory
 Operated by Stanford University for the U.S. Department of Energy



DOE Order 472.2, Chg. 2 – Personnel Security (7/21/11)
Site Compliance Plan (2/16/2021)

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Introduction

This Site Compliance Plan (SCP):

- a) corresponds with the version of the DOE Order Personnel Security listed in the Prime Contract,
- b) outlines the specific CRD sections that apply to SLAC and the respective method of compliance clarifies that the Lab “In compliance”. The applicable sections identified herein define SLAC’s Baseline Level of Protection (BLP) as it correlates with the CRD and the SLAC Site Security Plan (SSP), states how the Laboratory complies with applicable requirements as tailored to the risks at the Laboratory,
- c) correlates and compares SLAC’s Safeguards and Security Program and Site Security Plan with the CRD of this Order, and
- d) documents recurring deliverables* and DOE-approved methods of compliance for applicable requirements.

Impact on the Contract:

Under the SCP, sections of the Order are incorporated into the Contract as-is, unless the SCP indicates that a section or portion thereof is inapplicable, or the section has been changed. Thus, for example, if “in compliance” is listed next to a section, that section is incorporated into the Contract as-is. However, where an SCP indicates that a section or portion thereof is inapplicable, the section or portion thereof is excluded from the Contract. In addition, where a section or portion thereof is applicable, but changes to the section have been agreed by the Parties, the section, as modified by the Parties, shall be incorporated into the Contract. The SCP also memorializes the Parties’ agreement on how SLAC will comply with sections of the Order (whether or not modified).

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Attachment 1 – Contractor Requirements Document

§	Requirement from Attachment 1 – CRD	Compliance Status	Method of Compliance	Deliverables*			
				Item	Frequency	Due Date(s)	Recipient (e.g., BASO)
1	GENERAL REQUIREMENTS FOR SECURITY CLEARANCES						
1.a	A security clearance request for Key Management Personnel (KMP) and other contractor employees where there is a pending Facility Clearance (FCL) request will be managed in accordance with DOE O 470.4B and the NISPOM.	In progress 6/1/2021	SLAC has identified Key Management Personnel. SLAC will comply per our Personnel Security Program	N/A	N/A	N/A	N/A
1.b	A security clearance request must be submitted to DOE only after the contractor determines that the security clearance is essential for the individual to perform tasks or services stipulated in the contract.	In progress 6/1/2021	SLAC will comply per our Personnel Security Program	N/A	N/A	N/A	N/A
1.c	A security clearance must not be requested to: (1) Avoid the use of access controls or physical barriers to distinguish perimeters among security areas or between security and open areas, or to alleviate responsibilities for escorting persons without security clearances within a controlled area. In certain instances, contractor employees who do not otherwise require access to classified information or SNM may be organizationally and/or physically situated such that they may inadvertently be exposed to classified information or SNM in the course of their duties.	In progress 6/1/2021	SLAC will comply per our Personnel Security Program. No clearance requests will be submitted for the reasons listed in 1.c.	N/A	N/A	N/A	N/A

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	<p>Federal site managers may require such contract employees to have security clearances if, in their judgment, operational necessities or cost considerations require it and inadvertent access to classified information or SNM by these individuals cannot otherwise be reasonably prevented;</p> <p>(2) Alleviate individual or management responsibilities for properly protecting classified information or SNM or controlling dissemination of classified information or SNM on a need-to-know basis;</p> <p>(3) Determine an individual’s fitness for employment with the contractor;</p> <p>(4) Establish a pool of contractor employees with pre-existing security clearances;</p> <p>(5) Accommodate an individual’s personal convenience, expedience, gain or advantage;</p> <p>or</p> <p>(6) Anticipate unspecified classified work.</p>						
1.d	A security clearance must be requested only when required so as to avoid the unnecessary expenditure of DOE resources and the unwarranted invasion of an individual’s privacy	In progress 6/1/2021	<p>SLAC will comply per our Personnel Security Program.</p> <p>Clearances will only be requested when required.</p>	N/A	N/A	N/A	N/A
1.e	Individual access to classified information or SNM must not be	In progress 6/1/2021	SLAC will comply per our Personnel Security Program.	N/A	N/A	N/A	N/A

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	permitted until notification has been received from DOE that a security clearance has been granted. Verbal notification from the CPSO may be accepted, to be followed by written confirmation of the action.		Individuals will not be allowed access to classified information until notification has been received from DOE that a security clearance has been granted				
1.f	Security clearances must be requested only for individuals who are U.S. citizens and are at least 18 years of age.	In progress 6/1/2021	SLAC will comply per our Personnel Security Program. Security clearances will not be requested for individuals are not U.S. citizens or are at least 18 years of age.	N/A	N/A	N/A	N/A
1.g	Only authorized DOE Federal employees can render a formal security clearance determination; however, contractors are authorized to take actions that affect an individual’s access, such as restricting access to classified information or SNM when a security clearance is terminated or administratively withdrawn, or obtaining a DOE F 5631.29, Security Termination Statement, prior to the individual’s departure.	In progress 5/1/2021	SLAC will comply per our Personnel Security Program. SLAC will comply and is aware we are authorized in taking actions needed that affect an individual’s access, such as restricting access to classified information when a security clearance is terminated or administratively withdrawn, or obtaining a DOE F 5631.29, Security Termination Statement, prior to the individuals departure.	N/A	N/A	N/A	N/A
1.h	Logistical assistance (see paragraph 4.e.) must be provided to DOE and Federal investigative agencies for conducting initial investigations, periodic reinvestigations, and additional investigations when authorized by DOE.	In progress 5/1/2021	SLAC will comply per our Personnel Security Program. SLAC will comply and supply logistical assistance to the DOE and Federal investigative agencies in the conducting of initial investigations, periodic reinvestigations, and additional	N/A	N/A	N/A	N/A

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			investigations when authorized by DOE.				
1.i	DOE retains authority in all matters related to DOE personnel security activities. Personnel security activities are not subject to collective bargaining between contractor management and labor.	In progress 6/1/2021	SLAC will comply per our Personnel Security Program. SLAC is aware that the DOE retains authority in all matters related to DOE personnel security activities. Also, SLAC is aware personnel security activities are not subject to collective bargaining between SLAC management and labor.	N/A	N/A	N/A	N/A
1.j	An individual’s security clearance status must not be used as a determining factor for hiring, entering into a consultant agreement, or awarding a subcontract.	In progress 6/1/2021	SLAC will comply per our Personnel Security Program. SLAC is aware that an individual’s security clearance status must not be used as a determining factor for hiring, entering into a consultant agreement, or awarding a subcontract.	N/A	N/A	N/A	N/A
1.k	DOE personnel security requirements and procedures must not be used by contractor management or other employees to coerce, restrain, threaten, intimidate, or retaliate against individuals for exercising their rights under the Constitution or under any statute, regulation, or DOE directive.	In progress 6/1/2021	SLAC will comply per our Personnel Security Program. SLAC is aware and will not use DOE personnel security requirements and procedures to coerce, restrain, threaten, intimidate, or retaliate against individuals for exercising their rights under the Constitution or under any statute, regulation, or DOE directive.	N/A	N/A	N/A	N/A
1.l	Unless otherwise stipulated, the contractor will not be required to reimburse DOE for DOE costs associated with processing the	In progress 6/1/2021	SLAC will comply per our Personnel Security Program. SLAC is aware that unless otherwise	N/A	N/A	N/A	N/A

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	contractor’s applicants or employees for investigative or other types of actions related to security clearances.		stipulated, SLAC will not be required to reimburse DOE for DOE costs associated with processing SLAC’s applicants or employees for investigative or other types of actions related to security clearances.				
1.m	Security clearances must only be requested and maintained at the minimum number necessary to ensure operational efficiency.	In progress 6/1/2021	SLAC will comply per our Personnel Security Program. SLAC is aware of and will comply with this directive by only requesting and maintaining security clearances at the minimum number necessary to ensure operational efficiency.	N/A	N/A	N/A	N/A
2.	SECURITY CLEARANCE AND ACCESS AUTHORIZATION TYPES						
2.a	Security clearances and access authorizations denote an individual’s eligibility for access to a particular type of classified information or material, such as National Security Information (NSI), Restricted Data (RD), Special Nuclear Material (SNM) or Sensitive Compartmented Information (SCI). Unless otherwise specified, access authorizations and security clearances will be commonly referred to as security clearances throughout this CRD.	In progress 6/1/2021	SLAC has received an FCL for a Non-Possessing Facility. Cleared SLAC personnel will have access to Classified Restricted data but will not possess this type of data on-site. SLAC will not have access to National Security Information (NSI), Special Nuclear Material (SNM) or Sensitive Compartmented Information (SCI).	N/A	N/A	N/A	N/A
2.b	This section describes those security clearances and access authorizations for which DOE cognizant personnel security offices (CPSOs) are responsible. Other access authorizations issued by DOE appear in Attachment 2.	In progress 2/1/2021	SLAC has received an FCL for a Non-Possessing Facility.	N/A	N/A	N/A	N/A

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2.c	<p>Security Clearances</p> <p>(1) Top Secret: A Top-Secret security clearance is required for access to NSI, as defined by Executive Order 13526, classified at the Top-Secret level and Formerly Restricted Data (FRD, as defined by the Atomic Energy Act of 1954, as amended [AEA]) at the Top Secret level. A Top-Secret security clearance also permits access to NSI and FRD classified at the Secret and Confidential levels.</p> <p>(2) Secret: A Secret security clearance is required for access to NSI and FRD classified at the Secret level. A Secret security clearance also permits access to NSI and FRD classified at the Confidential level.</p> <p>(3) Confidential: A Confidential security clearance is required for access to NSI and FRD classified at the Confidential level.</p>	In progress 2/1/2021	SLAC has received an FCL for a Non-Possessing Facility. There will be no classified information or material at SLAC, but people with security clearance will have access to them at other facilities.	N/A	N/A	N/A	N/A
2.d	<p>Access Authorizations</p> <p>(1)Q: A Q access authorization is required for access to:</p> <p>(a)RD, as defined by the AEA, classified at the Top Secret or Secret level;</p> <p>(b)SNM, as defined by the AEA, designated as Category I and other categories with credible roll-up to Category I.</p> <p>(c)A Q access authorization permits</p>	In progress 2/1/2021	<p>SLAC has received an FCL for a Non-Possessing Facility.</p> <p>There will be no classified information or material at SLAC, but people with security clearance will have access to them at other facilities.</p>	N/A	N/A	N/A	N/A

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	access to information and material described below for L access authorizations. (2)L: An L access authorization is required for access to RD classified at the Confidential level, and/or SNM designated as Categories II and III, unless special circumstances determined by a site vulnerability assessment and documented in associated site security plans mandate otherwise. Access to SNM designated as Category IV does not require an access authorization unless a site vulnerability assessment, documented in associated site security plans, establishes such a requirement in order to minimize risk						
2.e	Q and L access authorizations permit access to information listed under Top Secret and Secret security clearances, respectively	In progress 5/1/2021	SLAC has received an FCL for a Non-Possessing Facility. There will be no classified information or material at SLAC, but people with security clearance will have access to them at other facilities.	N/A	N/A	N/A	N/A
3	PRE-EMPLOYMENT AND PRE-PROCESSING REQUIREMENTS						
3.a	The contractor must require applicants and employees selected for positions requiring security clearances to provide evidence of U.S. citizenship and must verify such evidence to DOE when requesting that the individuals be	In progress 5/1/2021	SLAC will comply per our Personnel Security Program. SLAC will verify evidence of U.S. citizenship by utilizing the documents listed in this section.	N/A	N/A	N/A	N/A

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<p>processed for security clearances. Acceptable evidence of U.S. citizenship consists of the following:</p> <p>(1) For an individual born in the United States, a current or expired U.S. passport or a birth certificate are the primary and preferred means of citizenship verification. Acceptable birth certificates must show that the record was filed shortly after birth and must be certified with the registrar's signature. The birth certificate must bear the raised, impressed, or multi-colored seal of the registrar's office. The only exception is if a state or other jurisdiction does not issue such seals as a matter of policy. Uncertified copies of birth certificates are not acceptable. A delayed birth certificate (one created when a record was filed more than one year after the date of birth) is acceptable if it shows that the report of birth was supported by acceptable secondary evidence of birth. Secondary evidence may include baptismal certificates, hospital birth records or affidavits of persons having personal knowledge about the facts of the birth. Other documentary evidence can be early census, school, or family records; newspaper files; or insurance papers. All documents submitted as evidence must be original or certified.</p> <p>(2) For an individual claiming citizenship by naturalization, a Certificate of Naturalization (Form N-550 or N-570)</p>						
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	showing the individual’s name is required. (3)For an individual claiming citizenship acquired by birth abroad to a U.S. citizen, one of the following (showing the individual’s name) is required: (a)Certificate of Citizenship (Form N-560 or N-561), (b)Report of Birth Abroad of a Citizen of the U.S. of America (State Department Form FS 240), (c)Certificate of Birth (Form FS 545 or DS 1350), (d)A current or expired U.S. passport, or (e)Record of Military Processing-Armed Forces of the U.S. (DD Form 1966), provided it reflects that the individual is a U.S. citizen.						
3.b	The contractor must not concurrently submit an applicant or employee for a DOE security clearance and a security clearance with another Federal agency. If a security clearance is required in order to perform on classified contracts at DOE and one or more other agencies, the contractor will submit the request for the highest security clearance necessary, and rely upon reciprocity for lower clearances.	In progress 5/1/2021	SLAC will comply per our Personnel Security Program. SLAC will not concurrently submit an applicant or employee for a DOE security Clearance with another Federal Agency. Reciprocity will be used for lower clearances.	N/A	N/A	N/A	N/A
4	PROCESSING DOE SECURITY CLEARANCE REQUESTS						
4.a	Security clearance requests must be forwarded through established channels	In progress 5/1/2021	SLAC will comply per our Personnel Security Program.	N/A	N/A	N/A	N/A

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<p>to the CPSO. Requests must include the following (additional documentation may be required by the CPSO):</p> <p>(1) A cover letter or form that requests the security clearance and provides the justification for processing. The justification must describe in detail (without revealing classified information) the duties of the position and the levels and types of classified information or SNM to be accessed. The contractor must also indicate whether the individual holds or has held a security clearance issued by DOE or any other Federal agency. General statements such as “A security clearance is required to perform contractual duties” are unacceptable, as are statements that corporate policy requires all applicants or employees to be processed for security clearances. The following represents an acceptable justification: “Mr./Ms. _____ is a computer systems engineer with ABC, Inc. involved in systems analysis in support of XE-50. The duties of the position will require access to plans and operations concerning the Tritium Recovery Facility for the MHGTR, which are classified as Secret.”</p> <p>(2) Verification of the individual’s evidence of U.S. citizenship, as detailed in paragraph 3.b. above.</p> <p>(3) The DOE contract or subcontract number under which the security</p>		<p>Justification cover letters and security clearances will follow and contain information provided in this section.</p>				
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	clearance is being requested. (4) Information regarding contractor reviews, pursuant to 48 C.F.R. 952.204-2(h)(2)(vi) [the DEAR Clause], if required by the CPSO, and (5) Additional documentation set forth in Attachment 2.						
4.b	The contractor must ensure and advise employees and applicants for employment in writing, that completed security forms and all related material will be reviewed only by designated contractor employees for adequacy and completeness before they are submitted to DOE, and that such information will not be used for any other purpose within the company. The contractor may elect to maintain copies of the individual’s security forms in paper or electronic format. If the contractor elects to maintain copies of the individual’s security forms, the individual must be informed of the contractor’s policy concerning copies of the security forms, the contractor’s procedures for protecting the information from unauthorized disclosure, and the procedures by which the individual may obtain access to, or copies of, the security forms maintained by the contractor. The contractor should recommend to the individual that they	In progress 5/1/2021	SLAC will comply per our Personnel Security Program. SLAC will inform all employees or applicants for employment where a request for security clearance will be submitted that completed security forms and all related material will be reviewed only by designated contract employees for adequacy and completeness before they are submitted to DOE, and that such information will not be used for any other purpose within the company. SLAC will maintain copies of individual’s security forms. Individuals will be informed that these records will be maintained and of all policy concerning the maintaining of records.	N/A	N/A	N/A	N/A

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	maintain copies of their completed security forms for personal records.						
4.c	Contractors must establish written procedures for the protection of security clearance request information, including procedures for the following. (1) Designating responsible employees who are trained in the procedures for reviewing completed security forms before their submission to DOE. (2) Informing all employees with access to completed security forms, pre-employment or pre-processing check information and other security clearance-related information of their responsibility to protect the information from unauthorized disclosure. (3) Ensuring individuals have the opportunity to complete and submit all forms or other data collections required during the security clearance process in private. Assistance in completion of any forms will be provided by a contractor employee who has been specifically designated by the contractor to review such forms.	In progress 5/1/2021	SLAC will comply per our Personnel Security Program.	N/A	N/A	N/A	N/A
4.d	Deficient security clearance requests will be returned to the contractor by the CPSO with a clear indication of the nature of the deficiency(ies). The contractor must ensure that the request is corrected and returned to the CPSO in a	In progress 6/1/2021	When requests are returned by the CPSO for a deficiency(ies), SLAC will ensure that the request is corrected and returned in a timely manner.	N/A	N/A	N/A	N/A

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	timely manner.						
4.e	The contractor must assist in the timely processing of security clearance actions by: (1)Ensuring the availability of the contractor applicants and employees for the conduct of personal interviews by the investigative agency or DOE personnel security staff, and (2)Ensuring that other employees are made available, as needed, to provide background information during the conduct of all personnel security background investigations.	In progress 6/1/2021	SLAC will comply per our Personnel Security Program. SLAC will ensure the availability of contractor applicants and employees for personal interviews by the investigative agency or DOE personnel security staff, and SLAC will ensure that other employees are made available, as needed, to provide background information during the conduct of all personnel security background investigations.	N/A	N/A	N/A	N/A
4.f	The contractor is responsible for reviewing, approving and submitting security clearance requests for its subcontractor, consultant, or agent applicants or employees. Such requests must be kept to a minimum in accordance with DOE requirements	In progress 5/1/2021	SLAC will comply per our Personnel Security Program	N/A	N/A	N/A	N/A
5	INTERIM AND RELATED SECURITY CLEARANCE REQUESTS						
5.a	Only under exceptional circumstances when such action is clearly consistent with Departmental and national interests will a contractor applicant or employee, pending completion of the appropriate investigation, be permitted to have an interim security clearance. Interims must be considered temporary measures pending completion of the investigation,	In progress 5/1/2021	SLAC will comply per our Personnel Security Program. SLAC will comply with information stated in the section when considering interim security clearances.	N/A	N/A	N/A	N/A

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	which must be in process. Non-U.S. citizens are not eligible for interim access to classified information or SNM. Contractors may submit a request that a particular applicant or employee be considered for interim access when providing justification for the security clearance request [see paragraph 4.a. (1)] but determinations with regard to whether any individual is afforded such access is solely the purview of Federal CPSO staff. See Attachment 3 for additional information regarding interims.						
5.b	Temporary Security Clearance Upgrades (1) Circumstances may arise where an urgent operational or contractual exigency exists requiring a cleared DOE contractor employee to have onetime or short duration access to classified information or SNM at a higher level than is authorized by their existing security clearance. In some instances, the processing time required to upgrade the security clearance would prevent timely access to the classified information or SNM, adversely impacting mission needs. (2) In such situations, and only for compelling reasons in furtherance of the DOE mission, the contractor must certify the need in writing and submit it	In progress 5/1/2021	SLAC will comply per our Personnel Security Program. SLAC will comply with information stated in the section when considering Temporary Security Clearance upgrades.	N/A	N/A	N/A	N/A

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	to the appropriate Federal Site Manager. If the Site Manager is satisfied that exigent circumstances exist, the Site Manager must certify the need for the security clearance in writing and submit it to the appropriate CPSO. The CPSO may consider the request and grant or deny the security clearance in accordance with procedures set forth in Attachment 3.						
6.	NON-U.S. CITIZENS.						
6.a	Only U.S. citizens are eligible for a security clearance. Contractors must make every effort to ensure that non-U.S. citizen employees are not assigned to perform duties that may require access to classified information. However, compelling reasons may exist to grant access to classified information to a non-U.S. citizen contractor employee. Where a non-U.S. citizen possesses unique or unusual skills or expertise that is urgently needed to support a specific Departmental mission involving access to classified information, and a qualified U.S. citizen eligible for such access is not available, contractors may submit non-U.S. citizens for consideration of a Limited Access Authorization (LAA). LAAs provide limited access to certain types of classified information by non-U.S.	In progress 5/1/2021	SLAC will comply with information stated in the section when considering interim security clearances. SLAC will make every effort to ensure that non-U.S. citizen employees are not assigned to perform duties that may require access to classified information. Although if necessary SLAC will comply with all directives in regards to submitting a non-U.S. citizen for a Limited Access Authorization.	N/A	N/A	N/A	N/A

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				Item	Frequency	Due Date(s)	Recipient (e.g., BASO)
	citizens, and are subject to strict controls and conditions. Such submissions must include detailed information concerning the steps the contractor took to secure the services of a United States citizen.						
6.b	LAA's will not permit access to any greater level of classified information than the U.S. Government has determined may be releasable to the country of which an individual is currently a citizen. DOE's Headquarters Office of the General Counsel will make this assessment. LAA's may only be approved if a background investigation at the level required by Executive Order 12968, or successor national-level standards is conducted.	In progress 5/1/2021	SLAC is aware that an LAA will not permit access to any greater level of classified information than the U.S Government has determined may be releasable to the country of which an individual is currently a citizen. Also, that an LAA may only be approved if a background investigation at the level by Executive Order 12968, or successor national-level standards is conducted.	N/A	N/A	N/A	N/A
6.c	A request by a contractor to process a non-U.S. citizen for an LAA must be approved by the most senior DOE-cleared management official of the company holding the affected contract and the DOE Program Secretarial Officer with jurisdiction over the office where the contractor employee will be employed. Specific requirements and processes related to the issuance of LAA's are set forth in Attachment 3.	In progress 5/1/2021	SLAC is aware that a request to process a non-U.S. citizen for an LAA must be approved by the most senior DOE-Cleared management official of SLAC.	N/A	N/A	N/A	N/A
7	REPORTING AND OTHER REQUIREMENTS.						
7.a	Contractors must notify the CPSO of any of the following conditions affecting	In progress 5/1/2021	SLAC will comply with information stated in the section when considering interim	N/A	N/A	N/A	N/A

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	<p>the status of a contractor applicant’s or employee’s security clearance. All notifications under this paragraph must be made within two (2) working days followed by written confirmation within the next ten (10) working days, and include:</p> <p>(1)When a contractor applicant declines an offer of employment or fails to report for duty;</p> <p>(2)When made aware of any other information of a personnel security interest, as delineated in Attachment 4, concerning a contractor applicant or employee;</p> <p>(3)When the contractor restricts or withdraws a contractor employee’s access to classified information or SNM without DOE direction;</p> <p>(4)When made aware of the death of a contractor applicant or employee, or;</p> <p>(5)When a cleared contractor employee is transferred to another location (minimally, this will apply when a contractor employee’s security clearance moves to the jurisdiction of another CPSO).</p>		<p>security clearances. SLAC will comply per our Personnel Security Program.</p> <p>SLAC will notify the CPSO within two (2) working days followed by written confirmation within ten (10) working days, if any of the following occur:</p> <p>(1) When a contractor applicant declines an offer of employment or fails to report for duty;</p> <p>(2) When made aware of any other information of a personnel security interest, as delineated in Attachment 4, concerning a contractor applicant or employee;</p> <p>(3) When the contractor restricts or withdraws a contractor employee’s access to classified information or SNM without DOE direction;</p> <p>(4) When made aware of the death of a contractor applicant or employee, or;</p> <p>(5) When a cleared contractor employee is transferred to another location (minimally, this will apply when a contractor employee’s security clearance moves to the jurisdiction of another CPSO).</p>				
7.b	The contractor must inform contractor applicants and employees who are applying for or in possession of a security clearance that they have a specific obligation to truthfully provide	In progress 3/1/2021	<p>SLAC will comply per our Personnel Security Program.</p> <p>SLAC will inform applicants and employees who are applying for or in possession of a</p>	N/A	N/A	N/A	N/A

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<p>all information requested for personnel security purposes to DOE. They must:</p> <p>(1) Provide full, frank and truthful answers to relevant and material questions.</p> <p>(2) Furnish, or authorize others to furnish if necessary, information that DOE deems necessary to the security clearance eligibility process, when requested.</p> <p>(3) Report any situations or incidents that may have the tendency to impact the individual’s eligibility for a security clearance (see Attachment 4) verbally and directly to DOE immediately upon the individual becoming aware of the situation or incident and in no event later than two (2) working days after the event. Thereafter, written confirmation of the information must be provided by the individual to the CPSO within three (3) additional working days.</p> <p>(4) Notify DOE whenever they learn of the presence of any such situations or incidents with regard to anyone they know to possess a DOE security clearance or to be in the process of obtaining a DOE security clearance immediately upon the individual becoming aware of the situation or incident and in no event later than two (2) working days after the event. Thereafter, written confirmation of the information must be provided by the individual to the CPSO within three (3)</p>		<p>security clearance that they have a special obligation to truthfully provide all information requested for personnel security purposes to DOE. SLAC will inform the individuals effected, they must:</p> <p>(1) Provide full, frank and truthful answers to relevant and material questions.</p> <p>(2) Furnish, or authorize others to furnish if necessary, information that DOE deems necessary to the security clearance eligibility process, when requested.</p> <p>(3) Report any situations or incidents that may have the tendency to impact the individual’s eligibility for a security clearance (see Attachment 4) verbally and directly to DOE immediately upon the individual becoming aware of the situation or incident and in no event later than two (2) working days after the event. Thereafter, written confirmation of the information must be provided by the individual to the CPSO within three (3) additional working days.</p> <p>(4) Notify DOE whenever they learn of the presence of any such situations or incidents with regard to anyone they know to possess a DOE security clearance or to be in the process of obtaining a DOE security clearance immediately upon the individual becoming aware of the situation or incident and in no event later than two (2) working days after the event. Thereafter, written confirmation of the information must be provided by the individual to the CPSO within three (3) additional working days.</p>				
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				Item	Frequency	Due Date(s)	Recipient (e.g., BASO)
	additional working days. (5) Provide DOE a completed DOE F 5631.34, Data Report on Spouse/Cohabitant, to the contractor within forty-five (45) calendar days of marriage or cohabitation. NOTE: A cohabitant is a person who lives with the individual in a spouse-like relationship or with a similar bond of affection or obligation but is not the individual's legal spouse, child, or other relative (in-laws, mother, father, brother, sister, etc.).		(5) Provide DOE a completed DOE F 5631.34, Data Report on Spouse/Cohabitant, to the contractor within forty-five (45) calendar days of marriage or cohabitation. NOTE: A cohabitant is a person who lives with the individual in a spouse-like relationship or with a similar bond of affection or obligation but is not the individual's legal spouse, child, or other relative (in-laws, mother, father, brother, sister, etc.)				
7.c	The foregoing responsibilities apply when completing security forms, during the course of all personnel security investigations and at any stage of the security clearance process including, but not limited to letters of interrogatory, personnel security interviews, DOE-sponsored mental health evaluations and other authorized investigative activities.	In progress 5/1/2021	SLAC will ensure that applicants and employees that the foregoing responsibilities apply in all situations involving the security clearance process (forms, personnel security investigations, personnel security, interviews)	N/A	N/A	N/A	N/A
7.d	Failure or refusal to cooperate with any of these activities may prevent DOE from granting or continuing a security clearance. In this event, any current security clearance may be terminated or, for contractor applicants, further processing of a security clearance request may be suspended.	In progress 5/1/2021	SLAC is aware and will inform all applicants or employees in the security clearance process or holding a current security clearance the repercussions of failing or refusing to cooperate with any activity put in place to gain or maintain a security clearance	N/A	N/A	N/A	N/A
7.e	All cleared DOE contractor employees must report foreign travel in accordance	In compliance	SLAC will notify all cleared employees of their responsibility to report foreign travel.	N/A	N/A	N/A	N/A

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				Item	Frequency	Due Date(s)	Recipient (e.g., BASO)
	with the CRD to DOE O 475.1, or any successor directive.						
7.f	All DOE contractor employee security clearance holders and applicants who are approached by any individual seeking unauthorized access to classified information or SNM, or who experience any other potentially counterintelligence-related incidents, must report such information in accordance with the CRD to DOE O 475.1.	In progress 5/1/2021	SLAC will notify all cleared employees of their responsibility to report being approached by any individual seeking unauthorized access classified information, or if they experience any other potentially counterintelligence-related incident.	N/A	N/A	N/A	N/A
7.g	Contractors must ensure that contractor security clearance applicants and holders under their cognizance are made aware of the foregoing reporting responsibilities. Contractor employees with active security clearances will be initially briefed and annually briefed regarding their personnel security responsibilities in accordance with the CRD attached to DOE O 470.4B	In progress 5/1/2021	SLAC will ensure that all security clearance applicants and holders under their cognizance are made aware of the foregoing reporting responsibilities, through initial briefings and annual briefings.	N/A	N/A	N/A	N/A
8	ADMINISTRATIVE WITHDRAWAL OF SECURITY CLEARANCES						
8.a	The contractor must request that the CPSO administratively withdraw a contractor employee's security clearance, and must provide the CPSO a DOE F 5631.29, Security Termination Statement, completed by the contractor employee, within two (2) working days	In progress 5/1/2021	SLAC will request that the CPSO withdraw an employee's security clearance, and will provide the CPSO a DOE F 5631.29, Security Termination Statement, within two (2) working days from any of the following: (1) Termination of the contractor employee (except as provided for in section 9 of this	N/A	N/A	N/A	N/A

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				Item	Frequency	Due Date(s)	Recipient (e.g., BASO)
	<p>from any of the following:</p> <p>(1) Termination of the contractor employee (except as provided for in section 9 of this CRD).</p> <p>(2) A determination that a security clearance is no longer required.</p> <p>(3) The individual’s failure or refusal to cooperate with authorized and appropriate personnel security-related requests.</p> <p>(4) If an individual’s circumstances will temporarily eliminate the need for access to classified information or SNM for 90 calendar days or more (temporary change of duties, maternity or other extended leave, detail to another agency, military deployment, etc.). In such instances, the contractor may request the CPSO to waive this withdrawal requirement should the details of a particular case indicate such action would be prudent</p>		<p>CRD).</p> <p>(2) A determination that a security clearance is no longer required.</p> <p>(3) The individual’s failure or refusal to cooperate with authorized and appropriate personnel security-related requests.</p> <p>(4) If an individual’s circumstances will temporarily eliminate the need for access to classified information or SNM for 90 calendar days or more (temporary change of duties, maternity or other extended leave, detail to another agency, military deployment, etc.). In such instances, the contractor may request the CPSO to waive this withdrawal requirement should the details of a particular case indicate such action would be prudent</p>				
8.b	<p>The purpose of DOE F 5631.29 is to ensure that the individual is aware of the continuing responsibility to protect classified information and SNM after withdrawal of a security clearance. The CPSO must be requested to administratively withdraw an employee’s security clearance even in cases where a completed DOE F 5631.29 cannot be immediately</p>	<p>In progress 5/1/2021</p>	<p>SLAC is aware of the purpose of DOE F 5631.29. SLAC will request the CPSO to administratively withdraw an employee’s clearance even in cases where SLAC cannot provide a completed DOE F 5631.29 immediately. In these cases where it is not possible to obtain an individual’s signature, SLAC will submit the completed but unsigned DOE F 5631.29 with an explanation to the CPSO of the</p>	N/A	N/A	N/A	N/A

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	provided. In cases where it is not possible to obtain the individual’s signature, the completed but unsigned DOE F 5631.29 must still be submitted. In addition, the contractor must provide an explanation to the CPSO of the circumstances surrounding the withdrawal and why the employee’s signature could not be obtained.		<p>circumstances surrounding the withdrawal and why the employee’s signature could not be obtained.</p> <p>A site-specific protocol regarding requests for security clearances is in development.</p>				
9	<p>SECURITY CLEARANCE PENDING REEMPLOYMENT/REASSIGNMENT</p> <p>The CPSO may approve a contractor request for an individual who is terminating employment with the contractor per paragraph 8.a(1) of this CRD to retain a security clearance when the contractor verifies that the individual will be reemployed or reassigned by the contractor within the next 60 calendar days to a position that will require a security clearance.</p>	In progress 5/1/2021	SLAC is aware that the CPSO may approve a request from SLAC for an individual who is terminating employment with SLAC to retain a security clearance when SLAC verifies that the individual will be reemployed or reassigned by SLAC within the next 60 calendar days to a position that will require a security clearance.	N/A	N/A	N/A	N/A
10	<p>SECURITY CLEARANCE REINSTATEMENT REQUESTS</p> <p>The contractor must request that the CPSO consider reinstating a security clearance for a contractor applicant or employee when the contractor is aware that the individual previously held a security clearance. The CPSO will advise the contractor whether the individual must complete a new set of security forms, update information</p>	In progress 5/1/2021	SLAC must request that the CPSO consider reinstating a security clearance for a SLAC applicant or employee when SLAC is aware that the individual previously held a security clearance. The CPSO will advise SLAC whether the individual must complete a new set of security forms, update information previously provided, or be subject to additional investigation per the provisions of the DOE personnel security order.	N/A	N/A	N/A	N/A

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				Item	Frequency	Due Date(s)	Recipient (e.g., BASO)
	previously provided, or be subject to additional investigation per the provisions of the DOE personnel security Order.						
11	SECURITY CLEARANCE UPGRADE REQUESTS The contractor must request that the CPSO upgrade a contractor employee’s security clearance in accordance with any new, higher access requirements associated with the duties of the position. The request must be accompanied by appropriate personnel security forms and a revised security clearance justification statement, as directed by the CPSO.	In progress 5/1/2021	SLAC will request that the CPSO upgrade a SLAC employee’s security clearance in accordance with any new, higher access requirements associated with the duties of the position. SLAC will provide the appropriate personnel security forms and a revised security clearance justification statement as directed by the CPSO.	N/A	N/A	N/A	N/A
12	SECURITY CLEARANCE DOWNGRADE REQUESTS The contractor must request that the CPSO downgrade a contractor employee’s security clearance in accordance with any new, lower access requirements associated with the duties of the position. The request must be accompanied by a revised security clearance justification statement.	In progress 5/1/2021	SLAC will request that the CPSO downgrade a SLAC employee’s security clearance in accordance with any new, lower access requirements associated with the duties of the position. SLAC will provide a revised security clearance justification statement to the CPSO.	N/A	N/A	N/A	N/A
13	SECURITY CLEARANCE SUSPENSION, REVOCATION AND DENIAL						
13.a	Upon receipt of notification from the CPSO of an employee’s security clearance suspension or denial of final	In progress 5/1/2021	Upon receipt of notification from the CPSO of an employee’s security clearance suspension or denial of final security	N/A	N/A	N/A	N/A

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	security clearance after previous approval of an interim, the contractor must ensure that the employee is precluded from access to classified information and SNM		clearance after previous approval of an interim, SLAC will ensure that the employee is precluded from access to classified information. NO SNM at SLAC				
13.b	Suspension, denial, or revocation of an individual’s security clearance does not preclude the contractor from assigning or transferring the individual to duties that do not require a security clearance.	In progress 5/1/2021	SLAC is aware that a suspension, denial, or revocation of an individual’s security clearance does not preclude SLAC from assigning or transferring the individual to duties that do not require a security clearance.	N/A	N/A	N/A	N/A
14	TRAINING. All cleared contractor employees and any contractor employees involved in personnel security activities must be fully qualified as necessary relative to their particular duties and responsibilities, in accordance with national and Departmental requirements.	In progress 5/1/2021	SLAC is aware and will ensure that all cleared SLAC employees and any SLAC employees involved in personnel security activities will be fully qualified as necessary relative to their particular duties and responsibilities, in accordance with national and Departmental requirements.	N/A	N/A	N/A	N/A
15	RECORDS MAINTENANCE.						
15.a	The contractor must maintain current records that reflect, by contract numbers, all contractor employees granted security clearances. The records must include the contractor employee’s name, DOE file number, and the date the security clearance was granted.	In progress 5/1/2021	SLAC will maintain current records that reflect, by contract numbers, all SLAC employees granted security clearances. The records will include the SLAC employee’s name; DOE file number, and the date the security clearance was granted.	N/A	N/A	N/A	N/A
15.b	Copies of correspondence to and from DOE that reflect security clearance matters for each contractor applicant and employee must be maintained including: the request for a security clearance,	In progress 5/1/2021	SLAC will maintain copies of correspondence to and from DOE that reflect security clearance matters for each SLAC applicant and employee including: the request for a security clearance, notification	N/A	N/A	N/A	N/A

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				Item	Frequency	Due Date(s)	Recipient (e.g., BASO)
	notification that security clearance action was effected, and security clearance termination and administrative withdrawal action. Such copies must be maintained while the individual holds a security clearance at the contractor's request and for a period of two (2) years after the date the individual's security clearance is terminated, at which time they may be destroyed.		that security clearance action was effected, and security clearance termination and administrative withdrawal action. SLAC will maintain copies while the individual holds a security clearance at SLAC's request and for a period of two (2) years after the date the individual's security clearance is terminated, at which time they may be destroyed.				
15.c	All records and information pertaining to contractor applicant and employee security clearance matters, including copies of personnel security forms and information collected from the conduct of pre-employment or pre-processing checks, must be protected against unauthorized disclosure in accordance with the Privacy Act of 1974 (5 U.S.C 552a). Information collected by the contractor for security clearance processing must not be used by the contractor for any purpose other than that for which it is intended and must not be provided to non-contractor employees or any other entity or organization without prior approval from the CPSO	In progress 5/1/2021	SLAC will maintain all records and information pertaining to SLAC applicants and employee security clearance matters and protect these records against unauthorized disclosure. Also, any info collected by SLAC for the purpose of security clearance processing will not be used by SLAC for any other purpose other than that for which it is intended and will not be provided to non-SLAC employees or any other entity or organization without prior approval from the CPSO	N/A	N/A	N/A	N/A
16	RECERTIFICATIONS AND REINVESTIGATIONS						
16.a	The contractor must comply with periodic DOE requests to recertify its employees' security clearance status.	In progress 5/1/2021	SLAC will comply with all periodic DOE requests to recertify its employees' security clearance status.	N/A	N/A	N/A	N/A

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				Item	Frequency	Due Date(s)	Recipient (e.g., BASO)
16.b	The contractor must comply with a request for recertification or for an examination of security clearance or other records that may be requested during the conduct of a DOE security survey or special survey.	In progress 5/1/2021	SLAC will comply with all requests for recertification or for an examination of security clearance or other records that may be requested during the conduct of a DOE security survey or special survey.	N/A	N/A	N/A	N/A
16.c	The contractor must ensure that cleared contractor employees cooperate fully with DOE requirements concerning reinvestigations.	In progress 5/1/2021	SLAC will ensure that cleared SLAC employees cooperate fully with DOE requirements concerning reinvestigations.	N/A	N/A	N/A	N/A
17	ACTIONS BY THE SECRETARY. Nothing in this CRD will be construed to limit the Secretary’s authorities and responsibilities under Executive Order 12968 (section 1.2(b), et al), Executive Order 10865 (section 9) or the AEA to grant, continue, deny or terminate a security clearance in the interest of national security, or to modify or withhold certain due process procedures set forth at 10 CFR 710.	In progress 5/1/2021	SLAC is aware of and will comply with the directives in this section.	N/A	N/A	N/A	N/A

Attachment 2 – Security Clearance Requests/Justifications and Access Authorizations

This attachment provides information and/or requirements associated with DOE O 472.2 and is applicable to contracts in which the associated CRD (Attachment 1) is included.

§	Requirement from Attachment 2 – Security Clearance Requests/Justifications and Access Authorizations	Compliance Status	Method of Compliance	Deliverables*			
				Item	Frequency	Due Date(s)	Recipient (e.g., BASO)
1	In addition to the information set forth	In progress	SLAC will ensure that all information listed	N/A	N/A	N/A	N/A

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				Item	Frequency	Due Date(s)	Recipient (e.g., BASO)
	<p>elsewhere in the body of this Order and in the CRD, all justifications for security clearances (for both initial and reinvestigative actions) must contain the following:</p> <ul style="list-style-type: none"> a. Full name of the individual; b. Individual’s Social Security Number, and date and place of birth; c. Individual’s status (Federal employee/contractor employee); d. Contractor name (if contractor applicant/employee); e. Contract or subcontract number (if contractor applicant/employee); f. Primary program code, e.g., EM, FE, IG, OE, SC; g. Facility code (if contractor employee) h. Level of security clearance required, i.e. Top Secret, Secret, Confidential, Q or L; i. A detailed description (without revealing classified information) as to why the individual requires access. The description must include a full explanation of the information to be accessed, how often the access is needed, and for what programs/projects the information is needed; j. Full name and title and telephone number of the requester; and k. Signature of the requester. 	5/1/2021	in this section is contained in all justifications for security clearances (initial and reinvestigate actions. SLAC will comply per our Personnel Security Program.				

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§	Requirement from Attachment 2 – Security Clearance Requests/Justifications and Access Authorizations	Compliance Status	Method of Compliance	Deliverables*			
				Item	Frequency	Due Date(s)	Recipient (e.g., BASO)
2	<p>All initial security clearance requests (to include requests for reinstatements and re-approvals) must include the justification, as set forth above, and (except in cases where reciprocity applies, as indicated by an ‘*’):</p> <p>a. Negative results of a drug test dated within 60 calendar days of the individual’s SF 86 signature or, for cases being considered under reciprocity, within 60 calendar days of the date of the security clearance request (not required for employees of state or local governments);</p> <p>b. A complete e-QIP submission which indicates no illegal use of controlled substances for at least 12 months preceding the date of the individual’s signature;*</p> <p>c. An SF-87, Fingerprint Chart (for Federal employees), a FD 258, Applicant Fingerprint Chart (for all others) or fingerprints taken electronically via an approved capture method (e.g., at a GSA-provided HSPD-12 enrollment center), when available (not required if a previous investigation included a classifiable fingerprint search by the FBI);*</p> <p>d. Optional Form (OF) 612, Optional Application for Federal Employment, or</p>	In progress 5/1/2021	SLAC will ensure that all initial security clearance requests include justification and all the documentation listed in this section.	N/A	N/A	N/A	N/A

*Deliverables: Data delivered to DOE or other external agency (e.g., recurring reporting, external database entries)



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§	Requirement from Attachment 2 – Security Clearance Requests/Justifications and Access Authorizations	Compliance Status	Method of Compliance	Deliverables*			
				Item	Frequency	Due Date(s)	Recipient (e.g., BASO)
	a resume (for Federal applicants and employees only);* e. DOE F 5631.18, Security Acknowledgement; and f. A completed fair credit reporting disclosure authorization, compliant with the Fair Credit Reporting Act, codified at 15 U.S.C. s1681 et seq. and approved for use by the Director (once obtained, this authorization may be used by DOE for conducting credit checks directly with consumer agencies as part of its personnel security program).						
3	In addition to Q and L access authorizations, which are granted by CPSOs, the DOE issues several other types of access authorizations. These other access authorizations are issued by the DOE office indicated: a. Sensitive Compartmented Information (SCI): SCI access must be approved by the DOE Senior Intelligence Officer or his/her designated representative within the Office of Intelligence and Counterintelligence. b. Cryptographic Information (CRYPTO): CRYPTO access is approved by the Office of the Chief Information Officer. c. Communications Security (COMSEC): COMSEC access is	In progress 5/1/2021	The sole purpose for SLAC holding an FCL is to process security clearance requests for SLAC employees for work on DOE projects or DOE facilities outside of SLAC. Any additional access authorizations will be approved by the appropriate authority.	N/A	N/A	N/A	N/A

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<p>approved by the Office of the Chief Information Officer.</p> <p>d. Nuclear Weapon Data (SIGMA): Requirements and procedures for access to nuclear weapon data (categorized as SIGMA information) is determined and promulgated by the National Nuclear Security Administration (NNSA) using DOE and NNSA directives. For additional information, consult DOE O 5610.2, Control of Weapon Data Chg 1, dated 09-02-86, DOE O 452.7, Protection of Use Control Vulnerabilities and Designs, dated 05-14-10, DOE O 457.1, Nuclear Counterterrorism, dated 02-07-06, and DOE M 457.1-1, Control of Improvised Nuclear Device Information, dated 08-10-06, or any successor directives.</p> <p>e. Special Access Program (SAP). A SAP is a program created for a specific segment of classified information that imposes safeguards and access requirements that exceed those normally required for information at the same classification level and/or category. Access to any SAP must be granted in accordance with procedures established by the head of the agency or office that created or has cognizance over the program.</p> <p>f. North Atlantic Treaty Organization Information (NATO). NATO access requires NNSA approval from the Office of Security Operations and Performance</p>						
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				Item	Frequency	Due Date(s)	Recipient (e.g., BASO)
	Assurance.						

Attachment 3 – Limited Access for Non-U.S. Citizens Temporary Security Clearance Upgrades and Interim Security Clearances

This attachment provides information and/or requirements associated with DOE O 473.3 and is applicable to contracts in which the associated CRD (Attachment 1) is included.]

§	Requirement from Attachment 3 – Limited Access for Non-U.S. Citizens Temporary Security Clearance Upgrades and Interim Security Clearances	Compliance Status	Method of Compliance	Deliverables*			
				Item	Frequency	Due Date(s)	Recipient (e.g., BASO)
1	Limited Access Authorizations for Non-U.S. Citizens						
1.a	This section deals solely with non-U.S. citizens who have not been investigated or cleared by any foreign government. Non-U.S. citizens who have been investigated and granted the equivalent of a security clearance by a foreign government may be granted access to classified information at DOE via the passing of a security assurance by the foreign government to DOE in accordance with DOE O 142.1, Classified Visits Involving Foreign Nationals, dated 01-13-04, or any successor directive	In progress 5/1/2021	SLAC is aware this section is in place to direct the procedure for processing Limited Access Authorizations for non-U.S. citizens who have not been investigated or cleared by any foreign government	N/A	N/A	N/A	N/A
1.b	Where there are compelling reasons in furtherance of a DOE mission, non-U.S. citizens who possess a special expertise	In progress 5/1/2021	SLAC is aware of and will comply with all directives set in place by this section to request and process LAAs.	N/A	N/A	N/A	N/A

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				Item	Frequency	Due Date(s)	Recipient (e.g., BASO)
	may be granted limited access to classified information only for specific programs, projects or contracts for which there is need for access. Such individuals will not be eligible for access to any greater level of classified information than the United States Government has determined may be releasable to the country of which the individual is currently a citizen. The DOE Office of the General Counsel must be consulted by the Director to make this assessment. Such limited access may be approved only if an investigation of the level required by Executive Order 12968, or successor national standards, for a Top Secret security clearance can be conducted.						
1.c	The Program Secretarial Officer with jurisdiction over the information to be released to the non-U.S. citizen must submit a detailed request and justification for the desired LAA to the appropriate CPSO.	In progress 5/1/2021	SLAC is aware of and will comply with all directives set in place by this section to request and process LAAs.	N/A	N/A	N/A	N/A
1.d	Upon receipt of the request, the CPSO will conduct an interview with the non U.S. citizen to determine: (1) The nature and extent of the individual’s contacts and continuing associations with persons outside the	In progress 5/1/2021	SLAC is aware of and will comply with all directives set in place by this section to request and process LAAs.	N/A	N/A	N/A	N/A

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				Item	Frequency	Due Date(s)	Recipient (e.g., BASO)
	United States (to include family members); (2) The degree to which the individual exercises his or her foreign citizenship; (3) Whether the individual or any of the individual's associates (to include family members) are or have been affiliated with any foreign government, and (4) The degree to which it is likely that an appropriate background investigation can be conducted on the individual						
1.e	After completion of the interview, the CPSO will, through the local DOE counterintelligence office, ensure that a preliminary CI-focused risk assessment is completed. If the results of this risk assessment indicate that it would not be feasible to continue with the LAA process, the CPSO will notify the requesting Program Secretarial Officer.	In progress 5/1/2021	SLAC is aware of and will comply with all directives set in place by this section to request and process LAAs.	N/A	N/A	N/A	N/A
1.f	If the results of the risk assessment support continued processing, the CPSO will forward the results of the interview and risk assessment, along with all other relevant information, to the Director, Office of Departmental Personnel Security. The Director will, in coordination with appropriate headquarters authorities, determine	In progress 5/1/2021	SLAC is aware of and will comply with all directives set in place by this section to request and process LAAs.	N/A	N/A	N/A	N/A

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				Item	Frequency	Due Date(s)	Recipient (e.g., BASO)
	whether processing the non-U.S. citizen for an LAA is appropriate.						
1.g	The Director will either: (1) Determine to continue to processing the LAA request, in which case the Director will notify the CPSO to commence processing the individual for a background investigation, or (2) Determine that the individual will not be processed for an LAA. In this case, the Director will so notify the CPSO and the applicable Program Secretarial Officer.	In progress 5/1/2021	SLAC is aware of and will comply with all directives set in place by this section to request and process LAAs.	N/A	N/A	N/A	N/A
1.h	In the case of a determination as in g.(1), the CPSO will process the individual for a background investigation in accordance with investigative and adjudicative procedures set forth in this Order.	In progress 5/1/2021	SLAC is aware of and will comply with all directives set in place by this section to request and process LAAs.	N/A	N/A	N/A	N/A
1.i	When the CPSO has reached an adjudicative determination, the CPSO will coordinate a formal comprehensive CI-focused risk assessment with the local DOE counterintelligence office.	In progress 5/1/2021	SLAC is aware of and will comply with all directives set in place by this section to request and process LAAs.	N/A	N/A	N/A	N/A
1.j	The CPSO will then forward the results of the adjudication and the risk assessment to the Director for concurrence. The Director will concur and instruct the CPSO to grant the LAA, or will non-concur and notify the CPSO	In progress 5/1/2021	SLAC is aware of and will comply with all directives set in place by this section to request and process LAAs.	N/A	N/A	N/A	N/A

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				Item	Frequency	Due Date(s)	Recipient (e.g., BASO)
	and the applicable Program Secretarial Officer. The Director’s determinations in these cases are final.						
1.k	All LAAs must be reviewed annually by the CPSO to ensure that they are still needed. An annual re-justification by the Program Secretarial Officer who initially requested the LAA is required. Annual re-concurrence of the Director is not needed, provided the CPSO has no reason to believe the individual may no longer meet the requirements of the LAA.	In progress 5/1/2021	SLAC is aware of and will comply with all directives set in place by this section to request and process LAAs.	N/A	N/A	N/A	N/A
1.l	Denials of LAAs are final and not subject to review under the procedures set forth in 10 CFR 710.	In progress 5/1/2021	SLAC is aware of and will comply with all directives set in place by this section to request and process LAAs.	N/A	N/A	N/A	N/A
1.m	LAAs must be administratively withdrawn by the CPSO immediately upon receiving confirmation that the individual is no longer affiliated with DOE or otherwise no longer requires the access for which the LAA was granted, or at the direction of the Director.	In progress 5/1/2021	SLAC is aware of and will comply with all directives set in place by this section to request and process LAAs. SLAC will notify the CPSO if an individual holding an LAA is no longer affiliated with SLAC or otherwise no longer requires the access for which the LAA was granted.	N/A	N/A	N/A	N/A
1.n	LAAs must be immediately revoked should the CPSO come into possession of information that indicates the individual no longer satisfies the eligibility requirements for an LAA, or at the direction of the Director. . Such	In progress 5/1/2021	SLAC is aware of and will comply with all directives set in place by this section to request and process LAAs. SLAC will notify the CPSO of any information that indicates the individual no	N/A	N/A	N/A	N/A

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				Item	Frequency	Due Date(s)	Recipient (e.g., BASO)
	revocations are not subject to the administrative review procedures set forth in 10 CFR 710.		longer satisfies the eligibility requirements for an LAA				
1.o(p)	<p>A non-U.S. citizen granted an LAA is not eligible for access to SNM or to any of the following types of classified information:</p> <p>(1) Top Secret, Top Secret CRYPTO, RD, FRD or Special Access Program (SAP) information.</p> <p>(2) Information that has not been determined by a U.S. Government Designated Disclosure Authority to be releasable to the country of which the individual is a citizen.</p> <p>(3) COMSEC information.</p> <p>(4) SCI or Intelligence information.</p> <p>(5) North Atlantic Treaty Organization (NATO) Information. However, a national of a NATO member nation may be authorized access to NATO information provided that a NATO Security Clearance Certificate is obtained by DOE from the individual's home country and such access is limited to performance on a specific NATO contract.</p> <p>(6) Information for which foreign disclosure has been prohibited in whole</p>	In progress 5/1/2021	<p>SLAC is aware of and will comply with all directives set in place by this section to request and process LAAs.</p> <p>SLAC is a Non-Possessing facility. The sole purpose for SLAC holding an FCL is to process security clearance requests for SLAC employees for work on DOE projects or DOE facilities outside of SLAC.</p>	N/A	N/A	N/A	N/A

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	or in part (identified as NOFORN). (7) Classified information provided to the U. S. Government by a third party government and information furnished in confidence to the U.S. Government by a third party government.						
2	Temporary Security Clearance Upgrades.						
2.a	Conditions. (1) Such security clearances must be necessary to meet operational or contractual exigencies not expected to be of a recurring nature; (2) Such security clearances will remain valid until the exigencies have abated, but must in no case exceed 180 calendar days, and (3) Such security clearances will be limited to specific, identifiable information. The nature of this information must be referenced on the request for access.	In progress 5/1/2021	SLAC is aware of and will comply with the conditions that need to be in place to apply for a temporary security clearance upgrade.	N/A	N/A	N/A	N/A
2.b	Procedures. (1) Requests for such security clearances will include a justification and will be forwarded by the appropriate official (i.e. contractor, Federal site manager) with the request to the appropriate CPSO. This submission must set forth the expected duration of the security	In progress 5/1/2021	SLAC is aware of and will follow the procedures set in place in this section when applying for a temporary security clearance upgrade.	N/A	N/A	N/A	N/A

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<p>clearance, identify the information to which the individual will be afforded access, and describe the exigent circumstances prompting the request.</p> <p>(2) If the CPSO is satisfied that exigent circumstances exist, that routine processing of the individual for the higher level security clearance would adversely impact mission needs, is not in possession of information indicating that access at the higher level would jeopardize Departmental interests or the national security, and that the request is not an attempt to circumvent normal processing requirements, the CPSO will grant the upgrade request. Otherwise, the request will be denied and returned to the requester with an explanation as to the reason(s) for the denial.</p> <p>(3) Recipients of temporary security clearance upgrades must possess a current security clearance and the access required will be limited to classified information or SNM one level higher than the recipient's current security clearance.</p> <p>(4) Temporary security clearance upgrades must be recorded in the recipient's PSF and in CPCI, but will not be included in submissions to inter-agency databases. Such security clearances are not subject to reciprocity.</p> <p>(5) Access at the higher level will be facilitated under the general supervision of a fully-cleared individual. . The</p>						
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				Item	Frequency	Due Date(s)	Recipient (e.g., BASO)
	<p>individual charged with providing such supervision will be responsible for the general custody of the information provided.</p> <p>(6) Such security clearances will be canceled and associated access terminated promptly when no longer required, at the conclusion of the authorized period of access, upon notification from the granting authority or after 180 calendar days from when access was granted, whichever comes first.</p> <p>(7) If, during the period of such a security clearance, information of a security concern arises which indicates that suspension or revocation of the individual’s permanent security clearance may be warranted, the temporary security clearance will be canceled and action will be taken under 10 CFR 710 regarding the permanent clearance. No due process or other procedural rights exist with regard to temporary security clearance upgrades.</p> <p>(8) Temporary upgrades to or among other access programs such as COMSEC, CRYPTO, SCI, NATO or SIGMA remains within the domain of the appropriate program.</p>						

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				Item	Frequency	Due Date(s)	Recipient (e.g., BASO)
2.c	Subsequent requests for temporary security clearance upgrades for individuals previously granted a temporary upgrade may be considered by the CPSO, in accordance with the procedures set forth in this section, but must be accompanied by documentation necessary to process the individual for the required security clearances, as set forth elsewhere in this Order. Once the subsequent temporary upgrade has been granted, the CPSO will process the individual for the security clearance in accordance with the requirements of this Order.	In progress 5/1/2021	SLAC is aware of and will follow the procedures set in place in this section when applying for a temporary security clearance upgrade.	N/A	N/A	N/A	N/A
3	Interim Security Clearances						
3.a	The need for an interim security clearance must originate with the requester (individuals may not request interim access on their own behalf) and be approved in writing by the Federal head of the applicable Departmental element in which the individual will be assigned.	In progress 5/1/2021	SLAC is aware of and will follow the procedures set in place in this section when applying for an interim security clearance.	N/A	N/A	N/A	N/A
3.b	All such requests must be provided to the CPSO and must include a detailed justification which explains why: (1) A serious delay of, or interference in, an operation or project essential to a DOE program will occur unless the	In progress 5/1/2021	SLAC is aware of and will follow the procedures set in place in this section when applying for a temporary security clearance upgrade. SLAC requests for interim security	N/A	N/A	N/A	N/A

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				Item	Frequency	Due Date(s)	Recipient (e.g., BASO)
	individual is granted access to classified information or SNM before completion of the normal security clearance process and (2) The services of a qualified person who is currently cleared to access the necessary classified information or SNM cannot be obtained.		clearances will include a detailed justification which explains why: (1) A serious delay of, or interference in, an operation or project essential to a DOE program will occur unless the individual is granted access to classified information or SNM before completion of the normal security clearance process and (2) The services of a qualified person who is currently cleared to access the necessary classified information or SNM cannot be obtained.				
3.c	An interim security clearance may only be requested in conjunction with, or following, the submission of an associated security clearance request, as set forth in this Order, including Attachment 2.	In progress 5/1/2021	SLAC is aware of and will follow the procedures set in place in this section when applying for a temporary security clearance upgrade. SLAC will only request an interim security clearance in conjunction with, or following, the submission of an associated security clearance request.	N/A	N/A	N/A	N/A
3.d	The CPSO will review the individual’s personnel security forms and PSF (if one exists) to determine whether the case contains any information of a security concern. If so, the CPSO must notify the requester that the request for an interim security clearance has been denied, and that the case must proceed according to	In progress 5/1/2021	SLAC is aware of and will follow the procedures set in place in this section when applying for a temporary security clearance upgrade.	N/A	N/A	N/A	N/A

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				Item	Frequency	Due Date(s)	Recipient (e.g., BASO)
	normal processing procedures.						
3.e	Requests for interims on cases for which there is no information of a security concern will be approved by the CPSO and processed accordingly provided that: (1) The appropriate investigation has been opened by the investigative service provider, (2) The CPSO is not in possession of any information of a security concern, and (3) Minimal investigative checks, as indicated below, have been completed with no information of a security concern revealed. (a) For interim L, Secret and Confidential security clearances, a credit check must be completed. (b) For interim Q and Top Secret security clearances, OPM, Department of Defense and FBI investigative indices along with an FBI fingerprint check and a credit check must be completed.	In progress 5/1/2021	SLAC is aware of and will follow the procedures set in place in this section when applying for a temporary security clearance upgrade.	N/A	N/A	N/A	N/A
3.f	Supporting rationale for all interim security clearances will be recorded in the subject’s PSF. All interim security clearances will be noted as such wherever security clearances are recorded, both internally within DOE and in all DOE submissions to national	In progress 5/1/2021	SLAC will record all support rationale for all interim security clearances in the subject’s PSF. SLAC will note all interim security clearances as such wherever security clearances are recorded	N/A	N/A	N/A	N/A

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				Item	Frequency	Due Date(s)	Recipient (e.g., BASO)
	security clearance databases.						
3.g	All individuals who are issued interim security clearances must be notified in writing that their continued security clearance is conditioned upon a favorable completion of the pending investigation, and may be canceled at any point where information of a security concern arises. Cancellations cannot be appealed and adjudication of the individual’s eligibility for a security clearance will continue upon receipt of the completed investigation.	In progress 5/1/2021	SLAC will ensure all SLAC employees that are issued a interim security clearance are notified in writing that their continued security clearance is conditioned upon a favorable completion of the pending investigation, and may be canceled at any point where information of a security concern arises. SLA is aware cancellations cannot be appealed and that adjudication of the individual’s eligibility for a security clearance will continue upon receipt of the completed investigation.	N/A	N/A	N/A	N/A
3.h	The CPSO should take steps to expedite investigative and adjudicative activities in all cases where interim security clearances have been issued.	In progress 5/1/2021	SLAC will do everything in its capability to assist the CPSO in expediting investigative and adjudicative activities in all cases where interim security clearances have been issued to SLAC employees.	N/A	N/A	N/A	N/A
3.i	If DOE cancels an individual’s interim security clearance, the individual’s employer must ensure that the individual is precluded from access to classified information and SNM.	In progress 5/1/2021	SLAC will ensure that if the DOE cancels an individuals’ interim security clearance, that individual is precluded from access to classified information and SNM. No classified information or SNM will be held at SLAC.	N/A	N/A	N/A	N/A
3.j	When DOE grants, denies, or stops processing the security clearance, the interim security clearance must be canceled.	In progress 5/1/2021	SLAC will ensure that when DOE grants, denies, or stops processing a security clearance, the steps are taken to cancel the interim security clearance.	N/A	N/A	N/A	N/A
3.k	Access to other programs or types of information (COMSEC, CRYPTO, SCI,	In progress 5/1/2021	SLAC is a Non-Possessing facility. The sole purpose for SLAC holding an FCL is to	N/A	N/A	N/A	N/A

*Deliverables: Data delivered to DOE or other external agency (e.g., recurring reporting, external database entries)



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DOE Order 472.2, Chg. 2 – Personnel Security (7/21/11)
Site Compliance Plan (2/16/2021)

§	Requirement from Attachment 3 – Limited Access for Non-U.S. Citizens Temporary Security Clearance Upgrades and Interim Security Clearances	Compliance Status	Method of Compliance	Deliverables*			
				Item	Frequency	Due Date(s)	Recipient (e.g., BASO)
	NATO or SIGMA) based upon an interim will be granted or not at the sole discretion of the office with authority for such access.		process security clearance requests for SLAC employees for work on DOE projects or DOE facilities outside of SLAC.				

Attachment 4 – Reporting Requirements

This attachment provides information and/or requirements associated with DOE O 472.2 and is applicable to contracts in which the associated CRD (Attachment 1) is included.

§	Requirement from Attachment 4 – Reporting Requirements	Compliance Status	Method of Compliance	Deliverables*			
				Item	Frequency	Due Date(s)	Recipient (e.g., BASO)
	Information which must be reported in accordance with paragraph 4.u. of this Order and paragraph 7.b.(3) of the CRD includes, but is not limited to: 1. Legal action effected for a name change; 2. Change in citizenship; 3. Any use of an illegal drug, or use of a legal drug in a manner that deviates from approved medical direction; 4. Any arrests, criminal charges (including charges that are dismissed), citations, tickets, summons or detentions by Federal, State, or other law enforcement authorities for violations of law within or outside of the U. S. Traffic	In progress 5/1/2021	SLAC will ensure it reports or that its employees are informed to report any of the information mentioned in this section. Cleared SLAC employees will be briefed on their responsibilities to report these occurrences in their initial security clearance briefings and reoccurring in their annual security clearance briefings.	N/A	N/A	N/A	N/A

*Deliverables: Data delivered to DOE or other external agency (e.g., recurring reporting, external database entries)



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§	Requirement from Attachment 4 – Reporting Requirements	Compliance Status	Method of Compliance	Deliverables*			
				Item	Frequency	Due Date(s)	Recipient (e.g., BASO)
	violations for which a fine of up to \$300 was imposed need not be reported, unless the violation was alcohol- or drug-related; 5. An immediate family member assuming residence in a sensitive country; 6. Hospitalization for mental health reasons or treatment for drug or alcohol abuse; 7. Employment by, representation of, or other business-related association with a foreign or foreign-owned interest or non-U.S. citizen or other individual who is both a U.S. citizen and a citizen of a foreign country; 8. Personal or business-related filing for bankruptcy, or 9. Garnishment of wages.						

(end CRD)

Definitions

(Terms as defined in the Directive, or otherwise added for clarity. Additional definitions may be found at the DOE Safeguards and Security [Policy Information Resources](#) link at the Office of Departmental Personnel Security web site.)

Cognizant Personnel Security Office (CPSO). A federal personnel security office that is authorized to submit investigative requests to investigative service providers and to adjudicate security clearances and access authorizations.

Classified Information. Any information that has been determined pursuant to Executive Order 13526, or successor Orders, or the Atomic Energy Act of 1954, as amended, to require protection against unauthorized disclosure and that is so designated

*Deliverables: Data delivered to DOE or other external agency (e.g., recurring reporting, external database entries)



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Program Secretarial Officer. The federal head of a major DOE Headquarters line program, as identified in the most current edition of the Department’s Executive Secretariat Style Guide.

Site Manager. The senior federal management official at any DOE facility with a CPSO.

Approvals

Name	Title	Signature	Date
Brian Sherin	Deputy Director for Operations, SLAC		2/16/2021
Thomas V. Rizzi	Division Director of Operations, BASO		2/16/2021
Paul Golan	Head of Field Element, BASO		2/16/2021

Please return signed document to Contract Management.

Revision History

Revision	Revision Date	Summary of Change(s)
R0	2/16/2021	Original release.