



U.S. Department of Energy
National Nuclear Security Administration
Albuquerque Complex
Office of Personnel and Facility Clearances
PERSEC Program



Applicant Fact Sheet

DOE Order 472.2 defines applicants as individuals who have never held a DOE access authorization and do not meet the criteria for reciprocity of another government agency's clearance. Applicants who are serviced by the NNSA Albuquerque Complex, Office of Human Capital Management (OHCM) are processed in the following manner:

OHCM is responsible for submitting requests for federal employees; Contract Officer Representative (COR) for contractors and subcontractors; and the Management and Operating (M&O) security offices for M&O contractors and subcontractors. When an employee is selected for a position that requires access to classified information, an initial "Applicant" package is submitted to the PERSEC Program, Office of Personnel and Facility Clearances (OPFC) for access authorization processing.

Applicant Package Prerequisites

Prior to submitting an initial applicant package, several prerequisites must be met. Absence of any of these items will result in the rejection of the applicant package.

1. Personal Identity Verification (PIV) is a national requirement under the August 27, 2004, Homeland Security Presidential Directive 12. PIV is accomplished through the collection of biometric data and a background investigation (NACI). Currently, under DOE policy, all federal employees and all contractor employees that have (or are applicants for) a DOE "L" or "Q" access authorization must be processed through PIV to receive access authorization.

Due to the benefits in decreasing processing time, the PERSEC Program, OPFC is utilizing the electronic fingerprints captured during PIV enrollment for submission to the Office of Personnel Management (OPM) for investigation requests. Because the OPM must receive the e-fingerprints with the Electronic Questionnaire for Investigations Processing (e-QIP), PIV enrollment must be completed prior to submitting an applicant package or e-QIP to OPFC. As of March 2009, fingerprint cards are no longer accepted for processing; only e-fingerprints from the PIV Identity Management System (IDMS) USAccess will be permitted.

2. All requests for initial access authorizations must include completion and certification of the Standard Form 86 (SF 86), *Questionnaire for National Security Positions*, via the OPM e-QIP system. Applicants can only access the e-QIP system if they have been initiated into the e-QIP system by an appropriate official at their sponsoring agency. For those offices that do not have the capability to initiate individuals into the e-QIP system, the required e-QIP initiation information must be submitted to the OPFC. When this information is successfully submitted, the system will return a "successfully initiated" message with an initiation number. The individual will have an established timeframe to complete their SF 86 in the e-QIP system.
3. DOE O 472.2 indicates the negative results of a drug test taken within 60 calendar days of the individual's SF 86 signature must be submitted along with the applicant package. ***Note: This requirement does not apply to employees of state or local governments.***

Security Clearance applicants who are determined to have illegally used a controlled substance within 12 months of their SF 86 signature/certification date will have their application rejected.

4. All contractors and subcontractors must conduct a thorough background review, as defined in 48 CFR 904.401, for all uncleared applicants or uncleared employees prior to selecting any individuals for any position requiring a DOE access authorization. Each applicant package must contain a certification of the

background review as specified in PSD Memorandum dated 9/18/09, Implementation of Acquisition Regulation Security Clause.

Required Documents and Forms

1. OPFC must receive the e-QIP no later than 7 days following the individual's certification of e-QIP or the entire package will be rejected. Per applicable regulations and policy, all initial applicant packages must contain the following items:
 - AL F 470.1, *Clearance Action Request (CAR)*
 - DOE F 5631.18, *Security Acknowledgment*
 - Upload of Electronic Fingerprints via USAccess
 - Background Review Certification for all DOE contractors (this includes M&O contracts) and subcontractors
 - Drug Test results that demonstrate the absence of any illegal drugs (existing requirements: 10 CFR 707; DEAR 970.5223-4 Workplace Substance Abuse Programs; DEAR 952.204-2). The test must have been administered within 60 calendar days of e-QIP SF 86 signature date
 - e-QIP forms generated by the e-QIP system: Signature/Certification Pages, Releases (General, Credit & Medical, if applicable)
2. The following forms may also be required for specific cases. Any questions should be directed to the PERSEC HelpDesk at the numbers below.
 - DD-214 and other military documentation are required for anyone who has served in the military and has been discharged.
 - Federal applicants must submit an OF 612, *Optional Application for Federal Employment*, or a resume. If the individual submits an OF 612 or a resume, a SF-306, *Declaration for Federal Employment*, must also be submitted.

References

- DOE Order 472.2, *Personnel Security*
- Executive Order 12968, *Access to Classified Information*
- PSD Memorandum, dated 9/18/09, Implementation of Acquisition Regulation Security Clause.
- OPM Memorandum, dated July 31, 2008, Interim Credentialing Standards for Issuing Personal Identity Verification Cards under HSPD-12
- DOE N 206.4, *Personal Identity Verification*

Questions?

Please contact the PERSEC HelpDesk at (505) 845-4636. Our telephone hours are Monday through Friday, 7:00 a.m. to 4:00 p.m., MST.

You can also contact us via email at: psdhd@nnsa.doe.gov