

U.S. Department of Energy
Washington, D.C.

NOTICE

DOE N 470.3

Approved: 7-20-06
Expires: 7-20-07

**SUBJECT: RECIPROCAL RECOGNITION OF EXISTING PERSONNEL SECURITY
CLEARANCES**

1. **OBJECTIVES.** This Notice provides directions for implementing actions required by Office of Management and Budget (OMB) memorandum *Reciprocal Recognition of Existing Personnel Security Clearances* (12-12-05). The memorandum, addressed to deputies of Executive departments, directs immediate actions to be taken to further the goal of significantly improving the process for granting access authorizations (security clearances).
2. **CANCELLATIONS.** None.
3. **APPLICABILITY.**
 - a. **Departmental Elements.** Except for exclusions in paragraph 3c, this Notice applies to all Departmental elements with personnel security offices that grant access authorizations for Federal and contractor personnel and automatically applies to DOE elements created after it is issued. (See the listing of DOE elements in Attachment 1 or online at www.directives.doe.gov)
 - (1) The Administrator of the National Nuclear Security Administration (NNSA) will assure that NNSA employees comply with their respective responsibilities under this Notice.
 - (2) In accordance with the responsibilities and authorities assigned by Executive Order 12344 and to ensure consistency throughout the joint Navy and DOE organization of the Naval Nuclear Propulsion Program, the Director of the Naval Nuclear Propulsion Program will implement and oversee all requirements and practices pertaining to this DOE Notice for activities under the Director's cognizance.
 - b. **DOE Contractors.** Does not apply.
 - c. **Exclusions.** None.
4. **REQUIREMENTS.**

The following apply only to processing a DOE access authorization for an individual who has a current security clearance granted by another Federal agency and is an applicant for a position with DOE as a Federal or contractor employee.

Processing of access authorizations for individuals who no longer have active security clearances or who are employees of other Federal agencies requiring a DOE access authorization in addition to their existing collateral clearances must be completed in

accordance with the procedures defined in DOE M 470.4-5, *Personnel Security*, dated 8-26-05.

a. Verification of Existing Clearance.

- (1) Upon determining that an individual for whom access authorization is requested may have a security clearance, the personnel security office that will make the access authorization determination (the processing personnel security office) will verify the existing clearance in the Office of Personnel Management (OPM) Clearance Verification System (CVS).
- (2) When the CVS shows no information on the individual, the personnel security office will submit to the appropriate Agency a facsimile of the Interagency Clearance Verification Request form. The form and fax numbers for Agency contacts are available online at <https://opmis.xsp.org>.

b. Permitted Exceptions to Reciprocity. Certain conditions preclude granting an access authorization through the reciprocity process.

- (1) The Checklist of Permitted Exceptions to Reciprocity (Attachment 2) details conditions under which a reciprocal access authorization may not be granted.
- (2) The checklist must be used in all cases in which an access authorization based on reciprocity is processed.
- (3) If the answer to any question on the checklist is “yes,” processing of the access authorization request under reciprocity procedures will be discontinued and the request will be handled in accordance with the provisions of DOE M 470.4-5.

c. Granting a Reciprocal Access Authorization.

- (1) If an individual’s existing security clearance is confirmed and no permitted exceptions to the use of reciprocity are present, the appropriate access authorization will be granted.
- (2) The processing personnel security office will not request that the individual complete a new security questionnaire or wait to receive existing background investigations or security questionnaires for the individual prior to granting the access authorization.
- (3) The office will request a copy of the individual’s most recent background investigation immediately from the Agency that conducted the investigation. A copy of the investigation is used to document the

personnel security file (PSF) and serves as a basis for other activities that use the PSF, such as counterintelligence file review and the Human Reliability Program.

d. PSF Review.

- (1) A personnel security specialist will screen the background investigation upon receipt. Unless the issues listed below are present, no adjudicative procedures are required.
- (2) If any issues that would have precluded granting a reciprocal access authorization (i.e., items 1 through 4 on the Checklist of Permitted Exceptions) are noted, action to resolve the issues will be initiated immediately in accordance with Title 10 Code of Federal Regulations, 710.9.
- (3) For citizenship issues (i.e., foreign national or dual citizenship), the procedures in Chapter VI of DOE M 470.4-5 will be applied immediately. Issues related to citizenship must be identified to ensure that DOE is in full compliance with international agreements, treaties, and legal restrictions pertaining to disclosure of information to citizens of foreign countries.

5. RESPONSIBILITIES.

- a. Offices Processing an Individual for Employment should notify the processing personnel security office if they have reason to believe that the individual may hold an active security clearance granted by another Agency and wish to have that clearance considered for reciprocity approval.
- b. Processing Personnel Security Offices.
 - (1) Verify security clearance data on an individual with an active security clearance at another Agency.
 - (2) Process access authorization requests for such individuals in accordance with the provisions of this Notice.

6. CONTACT. Questions concerning this Notice should be addressed to the Office of Security and Safety Performance Assurance at 301-903-4804.

BY ORDER OF THE SECRETARY OF ENERGY:



CLAY SELL
Deputy Secretary

DEPARTMENTAL ELEMENTS TO WHICH DOE N 470.3 IS APPLICABLE

Office of the Secretary
Departmental Representative to the Defense Nuclear Facilities Safety Board
National Nuclear Security Administration
Office of the Chief Financial Officer
Office of the Chief Information Officer
Office of Civilian Radioactive Waste Management
Office of Congressional and Intergovernmental Affairs
Office of Economic Impact and Diversity
Office of Electricity Delivery and Energy Reliability
Office of Energy Efficiency and Renewable Energy
Office of Energy Information Administration
Office of Environment, Safety and Health
Office of Environmental Management
Office of Fossil Energy
Office of General Counsel
Office of Hearings and Appeals
Office of Human Capital Management
Office of Inspector General
Office of Intelligence and Counterintelligence
Office of Legacy Management
Office of Management
Office of Nuclear Energy, Science and Technology
Office of Policy and International Affairs
Office of Public Affairs
Office of Science
Office of Security and Safety Performance Assurance
Secretary of Energy Advisory Board
Bonneville Power Administration
Southeastern Power Administration
Southwestern Power Administration
Western Area Power Administration

CHECKLIST OF PERMITTED EXCEPTIONS TO RECIPROCITY

(to be used whenever you make an eligibility determination for access to classified information for an individual who has a current access eligibility based upon the requisite investigation (i.e., ANACI, NACLC, SSBI, or SSBI-PR.)

For the purpose of determining eligibility for access to classified information, to include highly sensitive programs (i.e. SCI, SAPs, and Q), as the gaining activity/program for an individual who has current access eligibility with another Federal agency or program:

- you cannot request the individual to complete a new security questionnaire;
- you cannot review existing background investigations for the individual;
- you cannot review existing security questionnaires for the individual;
- you cannot initiate any new investigative checks;

unless one or more of the questions below can be answered in the affirmative.

	Yes	No	N/A
1. Is the existing clearance granted on an interim or temporary basis?			
2. Is the investigation upon which the existing clearance is based more than seven years old for TOP SECRET, ten years old for SECRET, and fifteen years old for CONFIDENTIAL?			
3. Is your activity (i.e. the gaining activity) aware (i.e. already in possession) of substantial information indicating that the standards of E.O. 12968 may not be satisfied?			

If the individual is being considered for access to a highly sensitive program (i.e. SCI, SAP or Q) at your activity:

4. Is the existing access eligibility determination based upon a waiver or deviation , or is access otherwise subject to conditions?			
5. If applicable , does the individual not satisfy a polygraph requirement imposed by the new program, as approved by the agency head or deputy?			
6. If applicable , does the individual not satisfy a requirement imposed by the new program that does not allow any non-U.S. immediate family, as approved by the agency head or deputy?*			
7. If applicable and approved by OMB , other than for questions 5 and 6 above, does the individual not satisfy an investigative and/or adjudicative criterion that is additional to the standards set forth in E. O. 12968*			

Items 1 and 2 and 4 through 6 above can be verified by querying OPM's Clearance Verification System (CVS), the Department of Defense's Joint Personnel Adjudication System (JPAS), or the Intelligence Community's Scattered Castles database. If you do not have on-line access to the appropriate database, or if the record is otherwise incomplete, you can fax an "Inter-Agency Clearance Verification Request" to the appropriate agency. The request form and appropriate fax numbers can be found at: <https://opmis.xsp.org>

*Under such circumstances, the completion of an entirely new security questionnaire is not authorized. Rather, only additional – not duplicative – investigative or adjudicative procedures will be completed.