

Required: SUBJECT INFORMATION			
Contractor Federal	Name (Last, First, Middle):	Suffix:	Date of Birth:
Social Security Number:		Place of Birth (city and state):	Citizenship:
Email Address:		Employer (legal name):	Job Title:
Required: LOCATION/BILLING			
Work Location:		Contracting Office Location/SON:	
Prime Contract Number:	Sub-contract Number:	Facility Code:	Employer Code:
Required: CLEARANCE ACTION			
Requested Action(s): (for employer/contract above)	Clearance Level:	<u>Clearance History</u> Never held a clearance Previously held Currently holds	Key Management Personnel (KMP)? Yes No
			Human Reliability Program (HRP)? Yes No
PERSONNEL SECURITY USE ONLY:	DOE Clearance:	Other agency:	Special Access Program (SAP) info? Yes No
			Is <u>interim</u> Personal Identity Verification (PIV) required? Yes No
CLEARANCE JUSTIFICATION NARRATIVE			
*2 Signatures Required: CERTIFICATION			
<i>"I certify the individual identified in SECTION I requires access to the types/level(s) of classified information, matter, or category of SNM in the performance of their official duties as described above."</i>			
Supervisor (Last, First, Middle):		Title:	Organization:
Signature:		Phone #:	Date:
<i>"I certify this DOE clearance has been properly justified per all applicable laws, rules, and regulations."</i>			
Contractor Certifying Official (Last, First, Middle):		Title:	Organization:
Signature:		Phone #:	Date:
Federal Certifying Official (Last, First, Middle):		Title:	Organization:
Signature:		Phone #:	Date:
SUBMITTING OFFICE USE BLOCK			

FORM AL F 470.1 INSTRUCTIONS

Complete form electronically if possible, otherwise legibly print in ink. Illegible forms will be returned. Unless indicated below, all sections and fields are required to be completed. The National Nuclear Security Administration (NNSA) Office of Personnel Security AL F 470.1 Form is required to request a DOE clearance action for individuals that require access to DOE classified information or matter, or category of special nuclear material (SNM). AL F 470.1 Form is used by NNSA Personnel Security Department to initiate background investigations, request reciprocity, or to reinstate, reconsider, extend, transfer, upgrade or downgrade DOE security clearances. The term "security clearance" is being used synonymously with "access authorization" as referenced in DOE regulations.

SUBJECT INFORMATION

- **Contractor:** Leave box pre-filled.
- **Federal:** Leave box blank.
- **Name:** Enter full last, first and middle name of applicant. If no middle name enter "NMN".
- **Suffix:** Select applicable.
- **Date of Birth:** Enter applicant's date of birth as mm/dd/yyyy.
- **Social Security Number:** Enter applicant's social security number.
- **Place of Birth:** Enter city and state of applicant's place of birth.
- **Citizenship:** Enter country of citizenship of applicant. If dual citizen, enter all countries of citizenship.
- **Email Address:** Enter applicant's work or personal email address.
- **Employer:** Enter legal name of current employer company. If current employer is sub-contractor to prime contractor, enter sub-contractor company name.
- **Job Title:** Enter applicant's job title (*i.e. Technologist, Systems Engineer, Office Administrative Assistant, Student Intern etc.*).

LOCATION/BILLING

- **Work Location:** Select one of the following:
 - Sandia National Laboratories (NM)(KA)
 - Sandia National Laboratories (CA)(KAC)
- **Contracting Office Location/SON:** Leave box pre-filled.
- **Prime Contract Number/M&O:** Leave box pre-filled.
- **Facility Code:** Leave box blank.
- **Subcontract Number:**
 - *SNL sub-contractors and fee individual service provider/consultant:* enter contract number
 - *SNL employee and no-fee individual service provider/consultant:* leave field blank
- **Employer Code:** Leave box blank.

CLEARANCE ACTION

- **Requested Action:**

For the following clearance actions (for descriptions see below) please select "**Access Required**" :

Applicant, Downgrade, Extension, Extension/Downgrade, Extension/Upgrade, Reciprocity, Reciprocity/Downgrade, Reciprocity/Upgrade, Reinstate, Reinstate/Downgrade, Reinstate/Upgrade, Transfer, Transfer/Downgrade, Transfer/Upgrade, Upgrade

For Reinvestigations, please select: **Reinvestigation**

If there has been a change in employer information (i.e. company name change or contract/sub contract change) and no clearance action required please select: **Special Update**
- **Clearance Level:** Select highest clearance type (L or Q) required for the applicant to access DOE classified information or matter, or category of SNM.

See figure 1 on next page to determine clearance type.
- **Clearance History:** Indicate whether the clearance applicant never held a clearance, previously held or currently holds a security clearance.
- **DOE Clearance:** If the applicant previously held or currently holds a DOE clearance, please specify the highest clearance level held or currently hold (Q or L).
- **Agency:** Enter name of Federal Agency the applicant previously held or currently holds a clearance with (i.e. DOD, DHS, DOD/NSA).
- **Key Management Personnel (KMP):** Select Yes or No, if the individual is a contractor identified as member of Key Management Personnel.
- **Human Reliability Program (HRP):** Select Yes or No, if the individual requires HRP.
- **Special Access Program (SAP) info:** Select Yes or No, if the individual will require access to SAP info.
- **Interim Personal Identity Verification:** Leave box pre-filled.

CLEARANCE ACTION DESCRIPTIONS

Applicant: A request for an initial DOE clearance.

Downgrade: Downgrading an individual's clearance from a DOE Q to a DOE L when the duties of the current position require a lower level of access to classified information.

Extension: Allows an individual to hold concurrent active DOE clearances under the cognizance of two or more employers, or one employer under two or more contracts.

Extension/Downgrade: Allows an individual to hold concurrent active DOE clearances under the cognizance of two or more employers, or one employer under two or more contracts and downgrade from a DOE Q to a DOE L clearance.

Extension/Upgrade: Allows an individual to hold concurrent active DOE clearances under the cognizance of two or more employers, or one employer under two or more contracts and upgrade from a DOE L to a DOE Q clearance.

Reciprocal Reinvestigation: A DOE clearance based off of another Federal Agency security clearance while also undergoing a DOE clearance reinvestigation.

Reciprocity: A DOE clearance request based off of another Federal Agency security clearance. Individuals applying for a DOE clearance may be processed for reciprocity if they have an active security clearance with another federal agency (DOD, NRC, FBI, CIA, etc.).

Note: A DOD Secret security clearance is equivalent to a DOE L clearance. A DOD Top Secret security clearance or SCI is equivalent to a DOE Q clearance.

Reciprocity/Downgrade: A DOE clearance request based off of another Federal Agency security clearance while also requesting the clearance be downgraded to a DOE L.

Reciprocity/Upgrade: A DOE clearance request based off of another Federal Agency security clearance while also requesting the clearance be upgraded to a DOE Q.

Reconsideration: A request for DOE to reconsider a denied or revoked clearance action after the administrative review process has ended.

Reinstate: A request to reinstate a formerly held DOE clearance.

Reinstate/Downgrade: Reinstating a formerly held DOE Q clearance while also requesting that the DOE clearance be downgraded to a DOE L.

Reinstate/Upgrade: Reinstating a formerly held DOE L clearance while also requesting that the DOE clearance be upgraded to a DOE Q.

Reinvestigation: A periodic re-evaluation of a clearance holder to determine their continued need for a DOE clearance as well as a background investigation to determine continued eligibility to access classified. A reevaluation and reinvestigation must be completed every 5 years for individuals holding "Q" clearances and every 10 years for individuals holding "L" clearances.

Special Update: A request from DOE for an applicant or incumbent that requires an additional investigation and/or adjudication.

Transfer: A request to transfer a DOE clearance to another DOE facility while also terminating employment at their current DOE facility.

Transfer/Downgrade: Transfer a DOE clearance to another DOE facility while also requesting the DOE clearance to be downgraded to a DOE L.

Transfer/Upgrade: Transfer a DOE clearance to another DOE facility while also requesting the DOE clearance to be upgraded to a DOE Q.

Upgrade: Upgrades an individual's clearance from a DOE L to a DOE Q clearance when the duties of the current position require a higher level of access to classified information.

CLEARANCE JUSTIFICATION NARRATIVE

Clearance Justification Narrative: Completed by a member of the applicant or incumbents SNL management team.

Clearance Justification details:

- DO NOT reveal classified information of the specific activities/duties of the current job/position requiring a clearance.
- **The description must include the Classification Level (Top Secret, Secret, or Confidential) and Category (Restricted Data, Formerly Restricted Data, or National Security Information) of the information to be accessed, for what programs/projects the information to be accessed is needed, and how often the access to the information is needed (daily, weekly, or monthly).**

OPTION 1: Access to Classified Information and Continuous Unescorted Access to a Limited Security Area

When the duties of the position require the applicant or incumbent to access classified information justify the business need for the clearance by providing the following 4 elements of a clearance justification narrative:

- 1) **Level** (Select: Top Secret, Secret or Confidential), **Category** (Select: Restricted Data, Formerly Restricted Data, or National Security Information) of classified to be accessed and **Frequency** (Daily, Monthly, Weekly, etc.): *Secret Restricted Data, Daily*
- 2) **Current job duties:** "Computer systems engineer...design and system analysis"
- 3) **Explanation of how job duties correlate with accessing classified:** "Require access to plans and operations"
- 4) **State the Clearance Action Requested.** Options are provided in the last section of the previous page (i.e. Applicant, Extension, Reinstate, Etc.).

Example:

- 1) **Level, Category, and Frequency:** Secret Restricted Data (SRD), Daily Access
- 2) **Current Job Duties:** John Doe is a mechanical engineer and supports the international programs security office.
- 3) **Explanation:** His job duties require that he have access to nuclear weapons research classified at the SRD level.
- 4) **Clearance Action Requested:** Applicant

OPTION 2 - Continuous Unescorted Access to a Limited Security Area Only

When the duties of the position **do not require the applicant or incumbent to access classified information** but requires continuous unescorted access to the limited area:

- 1) Insert the individuals current job duties
- 2) Justify the business need for the clearance at the classified level and category of Secret National Security Information
- 3) Insert the following quote in the clearance justification narrative of the form: **"SNL's current physical configuration requires continuous unescorted area access to a classified (limited security) area, which may require access up to 7cb2Xyb1U F YgfjWtX 8 ULU"**

Example:

- 1) John Doe is a custodial engineer supporting org 99999.
- 2) His duties require access to the mechanical rooms in building 2222.
- 3) SNL's current physical configuration requires continuous unescorted area access to a classified (limited security) area, which may require access up to Q[] - a ^) caU ^ d & a ^ O a E

DOE Q or L Clearance Type?

Requested DOE clearance (L or Q) will depend on the category and level of classified information or matter, or category of special nuclear material the applicant or incumbent requires access to in order to conduct current job duties. (see figure 1 to determine the DOE clearance type (L or Q))

Figure 1 CLASSIFIED INFORMATION CATEGORIES
Left to Right Highest Category to Lowest Category

CLASSIFICATION LEVELS Top to Bottom Highest Level to Lowest Level	Clearance Type	Restricted Data (RD)	Formerly Restricted Data (FRD)	National Security Information (NSI)	
		Top Secret (TS)	Q	Q	Q
		Secret (S)	Q	L	L
		Confidential (C)	L	L	L

- o A **DOE Q** clearance must be requested when the duties of the position require access to any of the following: (a) Top Secret or Secret Restricted Data; (b) Top Secret Formerly Restricted Data; (c) Top Secret National Security Information; Classified information or matter designated as "COMSEC," "CRYPTO," "Sensitive Compartmented Information" (SCI), or Weapon Data, Sigma 14 or Sigma 15; (e) SNM designated as Category I, and other Categories with Credible Roll-Up to Category I. NOTE: A Q clearance also authorizes the individual access to the categories/levels of classified information or matter listed below under the L clearance. Q clearance is required for certification in a position designated under the HRP in accordance with 10 CFR 712.10
- o A **DOE L** clearance must be requested when the duties of the position require access to any of the following: (a) Confidential Restricted Data; (b) Secret or Confidential Formerly Restricted Data; (c) Secret or Confidential National Security Information; (d) Sensitive Nuclear Material (SNM) designated as Categories II and III, unless special circumstances determined by a site vulnerability assessment and documented in the Site Safeguards and Security Plan (SSSP) or Site Security Plan (SSP) require a Q clearance.

CERTIFICATION

- **Supervisor:** Name of the SNL management member responsible for justifying the clearance at the classified level and category requested.
- **Title:** Management title (i.e. Manager, Team Lead etc.)
- **Organization:** SNL Department Number.
- **Signature:** Supervisor signature. The applicant or incumbent for whom the clearance is requested may not act as a signatory in any capacity.
- **Phone #:** Supervisor phone number. (###) ### - ####
- **Date:** Current date: mm/dd/yyyy.
- **Contractor Certifying Official Section:** Leave section blank.
- **Federal Certifying Official Section:** Leave section blank.

FORM SUBMITTAL

Return completed form to the appropriate SNL office:

SNL/NM Personnel Security Clearance Office

- Secure Fax: (505) 844-9739
- E-mail: clearance-nm@sandia.gov

SNL/CA Visitor Control Office

- Secure Fax: (925) 294-1330
- E-mail: clearance-ca@sandia.gov

PRIVACY ACT STATEMENT

Collection of information requested is authorized by the Atomic Energy Act of 1954, as amended, and by Executive Orders 10865, 10450, and 12356. This form will become part of the individual's Personnel Security File. Disclosure of the information requested on this form is voluntary. However, if the information is not provided, the request for DOE security clearance or access authorization cannot be processed. Access to the information provided is permitted only to authorized Federal Government investigative agencies and to DOE personnel directly involved in the processing of the determination of the eligibility of the individual for security clearance or access authorization.