

NNSA PERSONNEL SECURITY
CLEARANCE ACTION REQUEST

Required: SUBJECT INFORMATION

Contractor Federal	Name (Last, First, Middle):	Suffix:	Date of Birth:
Social Security Number:		Place of Birth (city and state/country):	Citizenship(s):
Email Address:		Employer (legal name):	Job Title:

Required: LOCATION/BILLING

Work Location:	Submitting Office Number (SON): 02AL Sandia National Laboratories		
Prime Contract Number: DE-AC04-94-AL85000	Sub-contract Number:	Facility Code:	Employer Code:

Required: CLEARANCE ACTION

CLEARANCE REQUESTED	ACTION REQUESTED			Key Management Personnel (KMP)?		
	Confidential	L	Initial	Reapproval	Extension	Yes No
	Secret	Q	Downgrade	Upgrade	Transfer	Human Reliability Program (HRP)? Yes No
	Top Secret		Reinvestigation	Reciprocity	Reinstatement	
PERSONNEL SECURITY USE ONLY:			DOE Clearance _____		Special Access Program (SAP)? Yes No	
			Other Agency _____			

Required: CLEARANCE JUSTIFICATION NARRATIVE

JUSTIFICATION: *Identify the specific job activity requiring a clearance. Describe in detail (without revealing classified information) the duties of the position and provide the highest level of classified information to be accessed, how often and for what programs the information is needed.*

***2 Signatures Required: CERTIFICATION**

"I certify the above individual requires access to the types/level(s) of classified information, matter, or category of SNM to perform official duties as described."

Supervisor (Last, First, Middle):	Title:	Organization:
Signature:	Phone #:	Date:

"I certify this DOE clearance has been properly justified per all applicable laws, rules, and regulations."

Contractor Certifying Official (Last, First, Middle): Solis, Paulette M.	Title: M&O Security Official	Organization: 4225
Signature:  Manager, SNL Personnel Security	Phone #: (505) 844-5378	Date:
Federal Certifying Official (Last, First, Middle):	Title:	Organization:
Signature:	Phone #:	Date:

SUBMITTING OFFICE USE BLOCK

Return completed forms to the appropriate SNL Office:
SNL/NM Personnel Security- clearance-nm@sandia.gov
SNL/CA Visitor Control Office- clearance-ca@sandia.gov

OFFICIAL USE ONLY
(When Completed)

May be exempt from public release under the Freedom of Information Act (5 U.S.C. 552),
Exemption number and category: 6-Personal Privacy. Department of Energy review required before public release.
Name/Organization: KA. Date: _____. Guidance (if applicable): _____.

PERSEC 5633.33 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 Persec Form 5633.33 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). Persec Form 5633.33 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/country 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 the legal name of employer of the individual that is requesting this clearance action. 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

- **Clearance Requested:** Select the appropriate clearance level, L or Q
- **Action Requested:** Select the appropriate action- Initial, Downgrade, Reinvestigation, Reapproval, Upgrade, Reciprocity, Extension, Transfer, or Reinstatement. Descriptions of each action are listed below.
- **Key Management Personnel (KMP):** Select Yes or No, if the individual is a contractor identified as a member of Key Management Personnel.
- **Human Reliability Program (HRP):** Select Yes or No, if the individual requires HRP.
- **Special Access Program (SAP):** Select Yes or No, if the individual requires access to a DOE/NNSA/SAP.

CLEARANCE ACTION DESCRIPTIONS

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.

Reinstatement: 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 possessing a "Q" clearance and every 10 years for individuals possessing an "L" clearance.

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's or incumbent's 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 level and category (TSRD, SRD, CRD, etc.) of the classified information to be accessed, for what general program area the classified information to be accessed is needed, and the frequency of access to classified information (daily, weekly, or monthly).

SCI HOLDERS: Please use the following sentence in the Clearance Justification Narrative:

[Employee name] is a [insert job title as indicated in the Sandia directory] whose current job duties require work on SCI-level programs. This requires daily access to information up to and including Sensitive Compartmented Information and TSRD.

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 3 elements in the clearance justification narrative:

- 1) **Level and Category of Classified Information to be accessed:** TSRD, SRD CRD, TSNSI, SNSI, or CNSI
- 2) **Frequency of Access to Classified:** Daily, Monthly, Weekly, etc.
- 3) **Duties of the Position:** Brief description without revealing classified information.

Example:

- 1) **Level and Category:** Secret Restricted Data (SRD)
- 2) **Frequency:** Daily
- 3) **Duties:** John Doe is a mechanical engineer and supports the international nuclear weapons security programs organization. His job duties require that he have access to nuclear weapons research classified at the Secret Restricted Data (SRD) level.

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 individual's current job duties
- 2) Justify the business need for the clearance at the level and category of Confidential Restricted Data
- 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 Confidential Restricted Data."**

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 Confidential Restricted Data.

Clearance Type	CLASSIFIED INFORMATION CATEGORIES Left to Right Highest Category to Lowest Category		
	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

CLASSIFICATION LEVELS
Top to Bottom Highest Level to Lowest Level

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)}

- 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: Q clearance is required for certification in a position designated under the HRP in accordance with 10 CFR 712.10
- 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.
- Sandia does not issue DOE Top Secret, Secret, or Confidential security clearances.

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:** Manager's signature may be signed digitally or with ink.
- **Phone Number:** 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

SNL/NM Personnel Security Clearance Office:

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

SNL/CA Visitor Control Office:

- 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.