Safeguards and Security Reporting Requirements for and About Individuals

Lists DOE or higher requirements for or about all cleared and uncleared individuals and all access authorization applicants; does not list DOE requirements applicable only to individuals in certain positions or programs. These must be supplemented by requirements found in local directives/plans. NOTE: List may contain requirements NOT included in contractor contracts, directives, or plans.

WHO	WHAT	WHEN	WHERE	WHY
All individuals	Lost, stolen, or misused DOE badge	24 hours of discovery	Officially Designated Security Authority (ODSA)	DOE O 473.3, Att. 3, Section A, 7. a.
	Incidents of safeguards and security concern, including those involving classified information/matter or SNM	Immediate	DOE/NNSA Cognizant Security Office (CSO) or Contractor CSO.	DOE O 470.4B, Att. 3, Section 3, 6, a. (h); Att. 5, Section 1, 1. b.
	Non-criminal violations relating to DOE programs like waste, abuse	Immediate	Appropriate authority (e.g. Office of Inspector General (OIG), other law enforcement, supervisor, employee concerns office, security officials). OIG Hotline: 1-800-541-1625	DOE O 221.1A, 4. c. 5. e. (1) (2); CRD DOE O 221.1A, 2. a.
	Criminal violations relating to DOE programs like fraud	Immediate	Appropriate authority (e.g. Office of Inspector General (OIG), other law enforcement, supervisor, employee concerns office, security officials). OIG Hotline: 1-800-541-1625	DOE O 221.1A, 4. c. 5. e. (1) (2); CRD DOE O 221.1A, 2. a.
	Known or suspected loss or control or unauthorized disclosure of Personally Identifiable Information (PII)	Immediate	Through existing Department Element cyber incident reporting process and DOE-CIRC 1-866-941-2472	DOE O 206.1, 4. a. (3); CRD DOE O 206.1, 2. b. (3)
	Unauthorized access is sought to classified or unclassified controlled information	Immediate	Counterintelligence NOTE: This would also fall under Incidents of a Security Concern requiring reporting to the DOE/NNSA Cognizant Security Office (CSO) or Contractor CSO.	DOE O 475.1, 5. o. (6); Att. 2, 3. b. (17) (f) DOE O 470.4B, Att. 3, Section 3, 6. a. (h); Att. 5, Section 1, 2.b.

WHO	WHAT	WHEN	WHERE	WHY
All individuals (cont.)	Espionage information; e.g., belief you may be target of an attempted exploitation by a foreign entity	Immediate	Counterintelligence NOTE: This would also fall under Incidents of a Security Concern requiring reporting to the DOE/NNSA Cognizant Security Office (CSO) or Contractor CSO.	DOE O 475.1, 5.o. (6); Att. 2, 3. b. (17) (e) DOE O 470.4B, Att. 3, Section 3, 6. a. (h); Att. 5, Section 1, 2. b.
	All substantive contacts or relationships with citizens of sensitive countries	Immediate	Counterintelligence	DOE O 475.1, 5. o. (1); Att. 2, 3. b. (17) (d)
	Official travel to a sensitive country, or to a non-sensitive country if it involves a sensitive subject	45+ days prior to departure & upon return	Foreign Travel Management System Counterintelligence	DOE O 475.1, 5. o. (2) (3); Att. 2, 3. b. (17) (a) to (c); DOE O 551.1D, 4. b. (1) 5. g. (1); Att. 1, (1) (i)
	Official travel to a non-sensitive country	30+ days prior to departure	Foreign Travel Management System	DOE O 551.1D, 4. b. (2), 5. g. (1); Att. 1, (2) (a) (b)
All DOE employees	All foreign travel done with substantive foreign monetary support	Immediate	Counterintelligence	DOE O 475.1, 5. o. (4)
	All unofficial travel to a sensitive country	30+ days prior to departure, and after return	Counterintelligence	DOE O 475.1, 5. o. (2) (3)
All individuals at LANL, LLNL, SNL	Unofficial travel to a sensitive country	Prior to departure, or soon as practicable	Counterintelligence	50 U.S.C. 2658 (b) (4)

WHO	WHAT	WHEN	WHERE	WHY
Access authorization applicants and holders	NOTE: All individuals applying for or in possession of a DOE security clearance must truthfully provide all information requested for personnel security purposes. All individuals have a specific obligation to report personnel security-related matters as they occur, whether related to themselves or to other individuals applying for or in possession of a DOE security clearance. Events which may impact your access authorization: - Arrest, charge, detention (but not traffic offense fined $300 or less) - Filing for bankruptcy - Garnishment of wages - Legal name change - Change in citizenship - Employment or association with foreign or foreign-owned business - Hospitalization for mental illness; treatment for drug/alcohol abuse - Illegal drug use or use of legal drug deviated from approved medical direction - Immediate family member residence in a sensitive country	Verbal - 2 days AND Written - 3 days after verbal	Cognizant DOE/NNSA Personnel Security Office	DOE O 472.2, 4. u. (1) (2); Att. 4. CRD 7. b. (3) Att. 4.
	- Marriage or cohabitation <u>Note</u>: Contractor supervisors are required to report when aware of these and other events which may impact a subordinate's access authorization.	Within 45 days after union began	Cognizant DOE/NNSA Personnel Security Office	DOE O 472.2, 4. u. (9); CRD 7.b.(5)

WHO	WHAT	WHEN	WHERE	WHY
Access authorization applicants and holders (cont.)	Approaches or contacts by anyone attempting to obtain unauthorized access to classified information or SNM	Immediate	Counterintelligence, Cognizant DOE/NNSA Office or Facility Security Officer, or if outside US, US Embassy or Consulate. NOTE: This would also fall under Incidents of a Security Concern requiring reporting to the DOE/NNSA Cognizant Security Office (CSO) or Contractor CSO.	DOE O 475.1, 5. o. (6); DOE O 472.2, CRD Att. 1. 7. e. DOE O 470.4B, att. 3, Section 3, 6. a. (h); Att. 5, Section 1.
Access authorization holders	Violations of security regulations	Immediate	Cognizant DOE/NNSA or Contractor Security Office NOTE: This would also fall under Incidents of a Security Concern requiring reporting to the DOE/NNSA Cognizant Security Office (CSO) or Contractor CSO.	Executive Order 12968, 6. 2. (3) DOE O 470.4B, Att. 3, Section 3, 6. a. (h); Att. 5, Section 1, 2.
	Any contact with a known or suspected intelligence officer from another country	Immediate	DOE/NNSA Counterintelligence	Presidential Decision Directive 12 DOE O 475.1, 5. o. (6); Att. 2, 3 .b. (17) (e)
*All supervisors				
	An access authorization is terminated or should be terminated	Verbal - 2 days Written - 10 days later	Cognizant DOE/NNSA Personnel Security Office	DOE O 472.2, 4. u. (4), CRD Att. 1. 7. a. (7)
*Contractor supervisor	Contractor access authorization applicant declines an employment offer or fails to report to duty	Verbal - 2 days Written - 10 days later	Cognizant DOE/NNSA Contractor Personnel Security Office	DOE O 472.2, 4. CRD Att. 1. 7. a. (1)
	Any event for which a contractor's access authorization is terminated, or access to classified matter or SNM is restricted or withdrawn by the contractor	Verbal - 2 days Written - 10 days later	Cognizant DOE/NNSA Contractor Personnel Security Office	DOE O 472.2, 4. CRD Att. 1. 7. a. (4)

WHO	WHAT	WHEN	WHERE	WHY
*Contractor supervisor (cont.)	Contractor access authorization applicant or holder is subject of information of personnel security interest (10CFR710.8) or, if a foreign national, changes citizenship status	Verbal - 2 days Written - 10 days later	Cognizant DOE/NNSA Contractor Personnel Security Office	DOE O 472.2, 4. CRD Att. 1. 7. a. (2) (3)

* Supervisors are responsible for many other Safeguards and Security reporting requirements. Only those supervisory Safeguards and Security reporting requirements that directly relate to individuals who are subordinate DOE and contractor employees are listed here.

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