I. SECURITY AND BADGING REQUIREMENTS

This section provides the standard security requirements applicable to conducting work on the site. The Infrastructure Support Services Contractor (ISSC) Safeguards and Security (S&S) Department develops, implements and manages the site security posture and associated requirements. Scope of work with the potential for additional security requirements will be coordinated through the Contractor Facility Security Officer (FSO) prior to any contract award and Project Specific Security Plans may be developed to flow down security requirements that are not already covered within this section and/or the established local security plans and procedures.

Pursuant to clause Department of Energy Acquisition Regulation (DEAR) 970.5204-2, *Laws, Regulations and DOE Directives*, the below table contains the list of Department of Energy (DOE) Security Orders applicable to work performed under this Contract. Note: This list does not include specific Order change numbers. The intent is that the current version of the below listed Orders are applicable.

DOE O 470.5A	Insider Threat Program
DOE O 470.7	Safeguards and Security Program
DOE O 472.2A	Personnel Security
DOE O 475.2B	Identifying Classified Information
DOE O 486.1B	Foreign Government Sponsored or Affiliated Activities

A. Definitions:

Employee includes any employee of the Subcontractor, and any employee of any lower-tier Subcontractor, who will perform any work under this Subcontract on the Site. Unless otherwise qualified, the term includes all individuals, regardless of the position held, including partners and individuals doing business as a firm.

Access Authorization (security clearance) is an administrative determination that an individual is eligible for access to classified matter, when required by official duties, or is eligible for access to, or control over, Special Nuclear Material (SNM).

Security Area is a defined area containing safeguards and security interests that requires physical protection measures. The types of security areas at the Site include General Access Areas (GAAs), Property Protection Areas (PPAs), and Limited Areas (LAs).

B. Access:

1. Proof of U.S. citizenship is required for all personnel working on the scope of this Subcontract, to include personnel working off site with access to any DOE/Site information.

2. Acceptable evidence of U.S. citizenship consists of the following:

   a. For individuals born in the U.S., a current or expired U.S. passport or passport card, or a birth certificate are the primary and preferred means of citizenship verification.

1) Acceptable birth certificates must show that the record was filed shortly after birth and must be certified with the registrar's signature. The birth certificate must bear the raised, impressed, or multi-colored seal of the registrar's office. The only exception is if a state or other jurisdiction does not issue such seals as a matter of policy. Uncertified copies of birth certificates are not acceptable.

2) A delayed birth certificate (one created when the record was filed more than one year after the date of birth) is acceptable if it shows that the report of birth was supported by acceptable secondary evidence of birth. Secondary evidence may include baptismal certificates, hospital birth records or affidavits of individuals having personal knowledge about the facts of the birth. Other documentary evidence can be early census, school or family records, newspaper files, or insurance papers. All documents submitted as evidence must be original or certified.

b. For an individual claiming citizenship by naturalization, a "*Naturalization Certificate*" (Form N-550 or N-570), showing the individual's name is required.

c. For an individual claiming citizenship acquired by birth abroad to a U.S. citizen, one of the following (showing the individual's name) is required:

1) *Certificate of U.S. Citizenship* (U.S. Citizenship and Immigration Services Form N-560 or N-561);

2) Consular Report of Birth Abroad of a Citizen of the United States of America (State Department Form FS 240);

3) N-600, *Application for Certificate of Citizenship*

4) *Certification of Birth* (State Department Form FS 545 or DS 1350); or

5) A current or expired U.S. passport or passport card that is unaltered and undamaged and was originally issued to the individual.

3. Use of foreign national(s) to perform any scope defined in the Subcontract, on-site or off-site, requires prior coordination with the ISSC S&S Department and will require documentation and approvals that could impose delays.

C. Badging:

1. All personnel entering the site must have an approved security badge.

2. Security badges must be displayed at all times while on the PGDP property and be worn above the waist, below the neck, with the front of the badge facing forward and on the outermost clothing.

3. Badges are to be returned to the Badge Office, Project Lead (PL), or Contract Technical Representative (CTR) when the work is completed.

4. In some instances, the Badge Office will issue a Temporary Badge (either for the day or for an extended period of time, not to exceed six months) that must be returned upon their expiration.

5. Uncleared individuals must be escorted in an LA by a properly cleared and knowledgeable person.

6. For certain types of work, a GAA Only badge may be issued by the Prime contractor. This type of access may eliminate some training and standard badging requirements.

D. Vehicles:

1. Vehicle access is limited to vehicles for official business.

2. Drivers of vehicles are required to validate their badge at the Hobbs Road Access gates and are responsible for ensuring the following for all passengers:

   a. Have official business on site;

   b. Have an approved badge; and

   c. Do not have any prohibited articles.

E. Random Search Program:

Personnel, vehicles, and personal property are subject to random inspection at any time while on DOE property. Additionally, surveillance measures are in place throughout the Site.

F. Prohibited Articles:

The following items are prohibited anywhere on the DOE property:

1. Explosives;

2. Dangerous weapons (e.g., handguns, rifles, blades over 2.5 inches, pepper spray, mace, stun guns);

3. Instruments or material likely to produce substantial injury to persons or damage to persons or property (excludes tools of the trade);

4. Controlled substances (e.g. illegal drugs and associated paraphernalia, but not prescription medicine;

5. Other Items not permitted on the PGDP site:

   a. Pets (dogs and other animals);

b. Law enforcement personnel on official business are authorized to introduce prohibited/controlled articles that are assigned/carried as part of their required equipment for performing their duties. If the introduction of a prohibited article is necessary for any other reason, the requestor must submit the request through their respective Facility Security Officer (FSO), who will submit it for ODFSA consideration; and

c. The use of alcoholic beverages on the Site is unauthorized without the formal approval of DOE.

G. Controlled Articles:

1. Personally owned controlled articles equipped with the ability to take photos or record video are not permitted within the LA. This includes vehicles with video recording devices used for insurance purposes (back up cameras are excluded).

2. Company owned controlled articles required to conduct official business inside the LA are authorized once the item is approved by Cyber Security. Vendor owned controlled articles are treated the same as company owned but also require a properly cleared escort to oversee the Vendor while in the LA to ensure the article is only used as intended and for official business. Controlled article permits are no longer required when the above measures are met.

H. Access Authorizations:

1. In accordance with the DEAR, section 952.204-2(l), *Security Requirements*, facility clearances are required for subcontractors requiring clearances.

2. Requests for clearances cannot commence until after the Subcontract is awarded and is registered with the DOE.

I. Required Security Training/Briefings:

1. All Subcontractor/Vendor/visitor/etc., personnel issued a temporary or visitor badge for less than two weeks will be provided with the ISSC-SS-TD-001, *Visitor Security Information* in lieu of having to complete the Initial Security Briefing. Personnel that will be on site longer than two weeks are required to take the Initial Security Briefing.

2. All Subcontractor personnel who require a clearance must also receive the *Comprehensive Security Briefing* (one time, upon clearance grant) and the *Annual Security Refresher Briefing* (annually).

3. Failure to complete any of the required briefings will result in termination of access to the Site/government network and termination of the clearance may also occur.

J. Escorting Requirements:

1. Uncleared personnel must be escorted by an appropriately cleared and trained individual while in a an LA and follow direction of the Escort at all times.

2. Escorts must be knowledgeable of the assets/information in the areas they are escorting and of their responsibilities while acting as an Escort (See PDGP-SS-PL-015, *Paducah Gaseous Diffusion Plan Physical Security Plan* for more detailed explanation of the Escort program requirements).

K. Employee and/or Subcontract termination:

Notification must be made to the Prime Contractor when:

1. Personnel terminate employment;

2. An access authorization is no longer required or an individual transfers to a position that does not require a clearance; and/or

3. Where an individual's circumstances will temporarily eliminate the need for access to classified information or SNM for 90 calendar days or more.

L. The Subcontractor shall insert all of the above provisions into all of its Lower-tier Subcontracts in support of the scope of work performed at the site.

II. PERSONNEL SECURITY (PERSEC) REPORTING REQUIREMENTS:

A. Human Resources (HR) Reporting Requirements:

The subcontractor HR manager or FSO must notify the Site PERSEC Office of any of the following conditions affecting the status of a cleared individual or an uncleared individual who has been submitted for a clearance. It is recommended that subcontractor personnel (HR and/or FSOs) report through the Prime Contractor Point of Contact to ensure that all stakeholders are aware and that proper notification is achieved within the required time limits. All notifications under this paragraph must be made by the HR representative or the FSO within three working days, followed by written confirmation to the Site PERSEC Office within ten working days, and include:

1. When a contractor applicant declines an offer of employment or fails to report for duty;

2. When made aware of any other information of a PERSEC interest, as delineated in Individual Reporting Requirements (below), concerning a cleared individual or an individual in process for a clearance;

3. When the company restricts or withdraws an individual's access to the Site, classified information, or SNM without DOE direction (to include any suspensions from work for one or more days);

4. When made aware of the death of an individual, or;

5. When the individual is transferred to another site.

B. Individual Reporting Requirements:

1. Cleared individuals and individuals who are uncleared but have been submitted for a clearance are required to report any of the below listed conditions to the Site PERSEC Office immediately, but no longer than three working days.

Notification can be made directly to the PERSEC Office or can be made through the management chain accordingly: Arrests, criminal charges, citations, or detentions by federal/state law enforcement authorities within or outside of the U.S., excluding traffic violations resulting in a fine of less than $300 unless the offense is alcohol or drug related.

2. Association with Foreign Nationals:

   a. Continuing association with known foreign nationals that involve bonds of affection, personal obligation, or intimate contact; or any contact with a foreign national that involves the exchange of personal information. Casual public contact with foreign nationals is not required.

   b. Any foreign national(s) who co-occupies the employee's residence for a period of more than 30 consecutive calendar days.

3. Contact with known or suspected foreign intelligence agents:

   a. Contact that is solely in relation to your official duties does not need to be reported.

   b. Report this information to the PERSEC Office.

4. Drug or alcohol treatment.

5. Illegal drug use or use of a controlled substance in a manner that deviates from approved medical direction.

6. Elicitation, exploitation, blackmail, coercion, or enticement to obtain classified or sensitive information (including any attempts of such).

7. Family residing in a sensitive foreign country.

8. Financial anomalies:

   a. Any debt that is over 120 days delinquent

   b. Personal or business related bankruptcy

   c. Wage garnishment

   d. Infusion of assets of $10,000 or greater such as an inheritance, winnings, or similar financial gain

9. Foreign activities:

   a. Application and/or receipt of foreign citizenship

   b. Application for, possession, or use of a foreign passport or identity card for travel

   c. Direct involvement in foreign business

d. Foreign bank account

e. Ownership of foreign property

f. Voting in a foreign election

g. Adoption of non-U.S. citizen children

10. Hospitalization for mental health reasons (voluntary and/or involuntary)

11. Marriage or Cohabitation (must be reported within 45 days)

12. Media Contact Attempting to Obtain Classified or Sensitive Information

13. Legal Name Change

14. Unofficial Foreign Travel:

a. Cleared individuals and individuals who are uncleared but have been submitted for a clearance are required to report all unofficial (i.e. personal) foreign travel to the PERSEC Office. If the reporting does not occur before planned travel, the individual must report travel to the PERSEC Office as soon as possible after the travel occurs, and no longer than five working days. The employee must receive an appropriate Counterintelligence (CI) briefing prior to traveling to a sensitive country.

b. Travel to Puerto Rico, Guam, or other U.S. possessions and territories do not need to be reported.

c. Unplanned day trips to Canada or Mexico shall be reported upon return. Reporting shall be within five business days.

d. Within five (5) business/working days following the return, Unofficial Foreign Travel (completed trip) must be reported.

C. Reportable Actions by Others:

To ensure the protection of classified information or other information specifically prohibited by law from disclosure, covered individuals shall report the following activities of other covered individuals that may be of potential security or CI concern:

1. Any activity that raises doubts as to whether another covered individual's continued national security eligibility is clearly consistent with the interests of national security.

2. Apparent or suspected alcohol abuse.

3. Apparent or suspected drug use/misuse or involvement in drug activity.

4. Apparent or suspected mental health issues where there is reason to believe it may impact the covered individual's ability to protect classified information or other information specifically prohibited by law from disclosure.

5. Known or suspected criminal conduct.

6. Misuse of U.S. Government property or information systems.

7. Excessive indebtedness or unexplained affluence (i.e. sudden purchases of high value items such as real estate, stocks, vehicles, or vacations where no logical income source exists).

8. An unwillingness to comply with rules and regulations or to cooperate with security requirements.

D. Administrative Withdrawal of Security Clearances:

The Prime or subcontractor HR or Prime contractor FSO must ensure cleared individuals complete a termination statement prior to any of the following:

1. Employment termination.

2. A determination that a security clearance is no longer required.

3. The individual's failure or refusal to cooperate with authorized and appropriate PERSEC related requests.

4. If an individual's circumstances will temporarily eliminate the need for access to the site, classified information, or SNM for 90 calendar days or more (Short Term Disability and Military Leave are the only exceptions). In such instances, the Prime Contractor HR or FSO must submit a written request to extend and provide the justification to the Officially Designated Security Authority (ODSA) at least seven working days prior to the 90 day deadline.

5. Site PERSEC personnel will administratively withdraw a clearance or clearance processing request when a written request for an extension to the 90 day rule is not received from the prime contractor HR or FSO.

6. The purpose of *DOE F 472.12, Security Termination of Doe Access Authorization Security Clearance (or successor form)* is to ensure the individual is aware of the continuing responsibility to protect classified information after withdrawal of a security clearance. The Site PERSEC Office will request an administrative withdraw of an individual's security clearance even in cases where a signed DOE F 472.12 (*Security Termination Statement*) cannot be immediately provided. The contractor/subcontractor must provide an explanation to the Site PERSEC Office of the circumstances surrounding the withdrawal and why the individual's signature could not be obtained. This information will be documented on the *Security Termination Statement* and submitted to the Cognizant Personnel Security Office (CPSO).

E. Off-Site Terminations:

1. If a termination occurs off-site or the individual is not available to sign the *Security Termination Statement*, it is the Prime Contractor/subcontractor HR or Prime Contractor FSO's responsibility to retrieve the terminating individual's

security badge and request the individual sign a *Security Termination Statement* and return these items to the PERSEC Office.

2. In cases where it is not possible to obtain an individual's signature, the completed but unsigned *Security Termination Statement* must still be submitted to the PERSEC Office. The Prime Contractor/subcontractor HR or Prime Contractor FSO must provide a written explanation why the individual's signature could not be obtained.

3. In cases where an individual is terminated for cause and could pose a threat to the site or other individuals, the Prime Contractor HR manager or FSO must immediately inform the ODSA. The PERSEC Office must also be notified to remove access and/or to place the person on a Deny Access List.

F. Security Clearance Suspension, Revocation and Denial:

1. Upon receipt of notification from the CPSO of an individual's clearance suspension or denial, the appropriate stakeholders (i.e., HR, FSO, ODSA) will discuss and determine whether the individual will be issued an uncleared Local Site Specific Only (LSSO) badge until the issue is resolved.

2. Suspension, revocation, denial, or restriction of an individual's security clearance does not preclude the contractor from reassigning or transferring the individual to duties that do not require a security clearance; however, it must be approved by the Prime Contractor FSO and the ODSA. If not approved, a clearance revocation or denial could lead to termination of employment.

G. Badge Retrieval/Hold:

1. Supervisors or HR personnel will retrieve badges of personnel (regardless of clearance level) who will not require access to the Site due to termination, administrative suspension pending investigation, short or long-term disability, Family Medical Leave Act absence, or military deployment and provide it to the Site PERSEC Office.

2. Clearances/clearance processing must be terminated on the last day the individual works if they are expected to be out for more than 90 days (short term disability and military leave are exempt from this unless the individual is expected to be out for more than 180 days).

3. The badge will be returned to the individual once they have been cleared to return to work. The Prime Contractor HR or FSO must submit written notification (email is sufficient) to the Site PERSEC Office indicating the individual is cleared to return to work. Planning ahead (by the individual's HR representative) is recommended to avoid unnecessary delays restoring the individual's clearance the day they return.

III. PERSONAL IDENTITY VERIFICATION (PIV) CARD:

A. Personnel working on a DOE Site, including multiple sites, for a cumulative total of six months over the course of an individual's lifetime must submit for a Homeland Security Presidential Directive-12 credential, also known as the PIV Card.

Personnel applying for a PIV card are required to provide identification at the time of enrollment. PIV applicants must follow the Federal Identity Protection System (FIPS) 201-3 standards. Personnel must have two physical and current forms of identification and at least one must be a primary form of identification. If the names on the forms do not match personnel must bring appropriate linking documentation that shows the change in name.

1. Primary Form (Personnel can bring two of these, but must have at least one):
    a. U.S. passport or passport card;
    b. Permanent resident card or alien registration receipt card (Form I-551);
    c. Foreign passport;
    d. Employment authorization document with a photo (Form I-776);
    e. Real ID compliant state issued driver's license or ID card (non-REAL ID licenses/IDs will not be accepted);
    f. U.S. military ID card; or
    g. U.S. military dependent's ID card.
2. Secondary Form (Bring one of these, unless you have two primary forms):
    a. U.S. Social Security card (not laminated);
    b. Original or certified copy of a birth certificate issued by a state, county, municipal authority, or outlying possession of the United States with an official seal;
    c. Voter registration card;
    d. U.S. Coast Guard Merchant Mariner card;
    e. Certificate of U.S. citizenship (Form N-560 or N-561);
    f. Certificate of naturalization (Form N-550 or N-570);
    g. U.S. citizen ID card (Form I-197);
    h. ID card for use by a resident citizen in the United States (Form I-179); Certification of birth abroad or certification of report of birth issued by the Department of State (Form F-545 or Form DS-1350);
    i. Employment authorization document issued by Department of Homeland Security (Form I-766);
    j. Driver's license issued by a Canadian government entity;
    k. Native American tribal document;

l. Veteran Health Identification Card;

m. Agency ID badge issued by federal, state, or local government agency or entity with a photo — not a facility access badge; or

n. Another piece of evidence that meets the requirements of SP 800-63A [PDF].

3. Unacceptable Forms (Identity documents that will not be accepted by PERSEC):

a. Student ID card (from any university);

b. Company ID card;

c. Gun or firearms permit;

d. License to carry;

e. Medical marijuana card;

f. Hunting or fishing permit;

g. Facility badge;

h. Temporary driver's licenses;

i. Selective service card;

j. Foreign driver's license (other than Canada);

k. Library card;

l. Temporary PIV card; or

m. Marriage license (but this can be shown when there are different names on a birth certificate and a current driver's license, for example).

B. This process will be coordinated by the Subcontractor through their assigned Subcontract Representative. Once notified of a candidate that meets the six-month requirement, the Prime Contractor will contact the ISSC PERSEC Office to assist with initiation of the submittal process.

C. This requirement applies to all personnel that could have a cumulative total of six months of working on the Site over the course of their lifetime (regardless of whether they require a clearance or not) and must be initiated immediately upon determination that an individual could reach the six month maximum. This includes retroactive cases in which an individual has already surpassed the maximum time on site.

D. Individuals with scope lasting six months or more are required to submit a completed security packet to the Site PERSEC Office. The PERSEC Office will process the packet through the investigating agency and keep the individual updated on the process as needed. Individuals may start work prior to submitting the security packet; however, they will only be issued a two-week LSSO badge initially. It is the responsibility of the

individual and their company to ensure that the security packet is properly completed and submitted to the PERSEC team within the two-week limit (no exceptions). In the event the worker does not submit a properly completed packet within two-weeks, their site and logical (computer) access will be suspended until such a time that they submit a properly completed packet. The worker will then receive an extended expiration date to their LSSO badge to allow for the adjudication process to take place. If the person is ultimately denied (for the uncleared HSPD-12 credential or a clearance) and is not adjudicated, then the LSSO badge will be revoked and Site/logical access will be terminated.

E. This requirement shall also be flowed down by the Subcontractor to any lower-tier subcontracts that they manage.

F. Personnel that are not expected to surpass the six-month maximum will continue to coordinate LSSO badges through the Badge Office accordingly.

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