**DISS/ET Modernization
Site/User Survey Details**

Carol Pierson

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Introduction

This purpose of this document is to provide:

- a record of site visits
- a summary of the comments received from the user survey forms and site interviews
- a description of the manual process used for personnel security clearances

The participants in the user survey and site surveys were users at:

- DOE contractor clearance offices
- DOE operations offices
- Office of Personnel Management (OPM) - Federal Investigations Processing Center (FIPC)

This document uses the term "DOE contractor clearance office" to refer to DOE M&O contractor site clearance offices, personnel security offices, etc.

SECTION 1

Site Visits

This section contains a record of visits to DOE contractor clearance offices, DOE operations offices and Office of Personnel Management (OPM).

Visits were made to the following facilities to identify the manual security clearance process and to determine user requirements.

1.1 LLNL Clearance Office

Carol Foret and Yunki Paik met with staff at the LLNL Clearance Office on Tuesday, September 14, 1993. The individuals participating were:

- Eric Steele - Group Leader
- Melinda Lane - Associate Administrator
- Claudia Carvajal - Initials
- Shari Jackson - Reinvestigations

1.2 OPM/FIPC

A visit was made to the OPM/FIPC facility in Boyers, PA on Tuesday, October 5, 1993 by Scott Strait, Carol Foret and Chuck McGregor. The purpose of the visit was to identify the current process, determine user requirements, visit the computer facility and determine what methods could be used to access PIPS database, and to determine what methods could be used to transport fingerprints to OPM. The individuals participating were:

- Phil Gasiewicz - Chief, FIPC
- Kathy Dillaman - Chief, Analysis and Development Office
- Chris DeMatteis - Case Receiving Branch Chief
- Carl Vinroe - Supervisor - Case Receiving Branch
- Lynn Craig - Case Scheduling Branch Chief

1.3 DOE Oak Ridge Operations Office

Carol Foret met with staff at the DOE Oak Ridge Operations Office on Tuesday, October 19, 1993. The individuals participating were:

- Ron Adams - Chief, Personnel Security Operations Branch
- Carole Hollman - Supervisor, Processing Section
- Brenda Duncan - Security Specialist

1.4 Y-12 Plant Personnel Security - Oak Ridge, TN

Carol Foret met with staff at the Y-12 Plant Personnel Security Office on Tuesday, October 19, 1993. The individuals participating were:

- Teresa Kirkland - Personnel Security
- Debbie King - Personnel Security

1.5 DOE Albuquerque Operations Office

Carol Foret met with staff at the DOE Albuquerque Operations Office on Wednesday, October 20, 1993. The individuals participating were:

- Karen Kerby - Chief, Applicant & Investigative Processing Section

1.6 Sandia Personnel Security Office - Albuquerque, NM

Carol Foret met with staff at the Sandia National Laboratory Personnel Security Office on Wednesday, October 20, 1993. The individuals participating were:

- Bob Baca - Personnel Security Manager
- Karen Rice - Programmer/Analyst
- Melanie Florez - Foreign Visitor Coordinator/Reinvestigations Project Leader
- Joy Tomek - Human Resources Security Coordinator (Personnel)
- Mary K. Hampton - Personnel Security Clearance Clerk
- Brian Rogers - Personnel Security Clearance Clerk
- Gewelee Lucero - Personnel Security Reinvestigations Clerk

1.7 DOE San Francisco - Livermore, CA

Carol Foret and Melinda Lane met with staff at the DOE San Francisco Operations Office on Friday, October 22, 1993. The individuals participating were:

- Gwen Givens - Personnel Security Specialist
- Jean Short - Personnel Security Specialist

SECTION 2

User Input

This section summarizes the user survey results and comments from user interviews conducted at DOE contractor clearance offices, DOE operations offices and the Office of Personnel Management (OPM).

2.1 User Survey Results

Based on previous presentations, a user survey was sent to DOE contractor clearance offices and DOE operations offices for their input regarding an electronic security clearance processing system. The comments received ranged from brief to very detailed, but centered around the points which follow.

2.1.1 Data Validation

This is the area that causes the most problems, both in terms of errors and time delay. Dates in particular are a problem. Cross checks must be made between dates of domicile, work, and education, and to be certain that no gaps exist in the series of dates.

2.1.2 User/Employee Use of Automated Systems for Input

A number of comments were received indicating a concern over the computer literacy of those who fill out the initial forms, pointing out:

- Many do not have computers.
- Many are not computer literate; some are not very literate at all.
- Shipping disks around with confidential data on them is a potential security and confidentiality violation.

2.1.3 System Must Be Integrated

The point was made several times that simply automating a single form, the SF-86 for example, would not solve most of the major problems. The system as designed must be integrated in such a way that it is faster, cheaper, and more efficient than the current paper-based process. This integration must be broader than a single site, and must include the complete range from contractor site to DOE operations office to OPM and to the FBI — and back.

2.1.4 Other Areas of Concern

Other areas of concern that were expressed include the following:

- There is a wide range of additional forms over and above the SF-86 which need to fit into this process.
- Privacy Act requirements must be met. One system was mentioned which had been rewritten because it showed several employees' data on screen at the same time, making it impossible to work with the employee without their seeing others' data.
- Electronic mail should be used as much as possible, both for submissions to OPM and for getting feedback from OPM.

The final system should be mandatory for all DOE contractors and operations offices, to improve efficiency and to ensure compliance.

2.2 Site Visits

This section contains the comments and concerns expressed by users during interviews at DOE contractor clearance offices, DOE operations offices and OPM.

2.2.1 DOE Contractor Clearance Offices

The following comments were expressed by personnel at DOE contractor clearance offices. The new system should provide:

- a faster method of processing QSP and related forms
- data validation; when data is entered by the applicant, the following functionality should be provided:
 - cross-check between dates of domicile, education and employment
 - check for date gaps (domicile, education, employment)
 - check date of birth against dates of education/employment
 - provide mandatory fields as needed
 - prompt applicant for additional data as needed (for example, if a P.O. Box or Route is entered, the applicant must enter directions to the residence)
 - prompt applicants under 18 for parents (or legal guardian) signature on Part II page 10
 - provide information for applicants with dual citizenship (applicant must submit memo to contractor site, be willing to renounce foreign citizenship, and not have an active foreign passport for that country)
 - prompt applicants with military service to include copy of DD214 (LLNL and DOE SAN do not require this)

- a user-friendly interface for applicants
- multiple methods of data collection from applicants
- intelligent forms package with data validation
- Macintosh and IBM personal computer support

Many of the DOE contractor clearance offices rely on the DOE HQ CPCI system to check on the level of clearances held by an individual for badging visitors from other sites. The DOE operations offices are responsible for updating CPCI with the latest information. The CPCI system does NOT always have the latest data; one way to solve this problem would be for the new system (at the operations offices) to update CPCI when clearances are granted at the DOE operations office.

2.2.2 DOE Operations Offices

The following comments were expressed by personnel at operations offices. The new system should provide:

- controlled access (view, delete and update) to security clearance data
- automatic generation of DOE numbers
- date/time-stamps on case files as they are accessed by different sections
- automatic updates to CPCI system (DOE HQ)
- easier access/use of CPCI system for reports and tracking data input
- electronic notification of continued clearances to contractor site
- electronic notification of initial clearances that are granted to contractor site (this report is pulled electronically from DOE HQ CPCI system and faxed to contractor clearance offices)
- additional fields on DOE File Summary Sheet for more complete status information

2.2.3 OPM/FIPC - Boyers, PA

The purpose of the visit was to identify the current process and determine user requirements for the requirements analysis document. Some additional specific topics of interest were to:

- Look at possible solutions for the transport of fingerprints to OPM.
- Determine OPM policies for the electronic transport of the QSP package.
- Visit the OPM/FIPC computer facility, investigate how data is sent to main-frame computer and determine what methods can be used to access PIPS database.

The following items are requirements that OPM must have:

- Signed release form - page 10, Part II of SF-86 (could be sent as fax image electronically to OPM for printing)
- Certification of data submitted (could possibly be done electronically)
- Data validation
- Data integrity (double-check on Name, SSN, and similar data; could possibly be done with separate SF86 and fingerprint entries and administrative edits on data supplied by operations office)
- Tie SF-86 form together with OFI 36

SECTION 3

Manual Clearance Process

This section identifies the current manual processes being performed at DOE contractor clearance offices, DOE operations offices and at OPM.

The Questionnaire for Sensitive Positions (QSP) is the primary vehicle for collecting information required to process a request for DOE clearances. The QSP packet (contains QSP and other forms) is filled out by the applicant and processed by the contractor clearance office. The completed packet is forwarded to the appropriate DOE operations office for review and processing, and then sent to OPM to initiate a background investigation. Information from the OPM investigation is sent back to the DOE operations office for processing by DOE reviewers. Once the clearance decision has been made, the results are sent back to the contractor clearance office for processing and issuing of badges as needed.

3.1 Clearance process is initiated

Each contractor clearance office creates their own justification form to gather the required information. The Justification form must be approved and signed by the applicant's manager (designated official) and the contractor clearance office manager (designated official). Upon approval of the form, the QSP packet is sent to the applicant.

LLNL specific: The LLNL Clearance Justification/Certification form (LL6370) must be approved and signed by the applicant's Division Leader and the Safeguards and Security Central Clearance Group Leader. Upon approval of the form, it is sent to the Clearance office (Initials section) who sends the QSP packet to the applicant. This action is logged into a local program on a MAC at LLNL for tracking purposes. This tracking will eventually be handled by the LLNL Integrated Security Information System (ISIS), a local system used to track the manual clearance process.

Y-12 specific: A justification form is used for all clearance requests *EXCEPT* for reinvestigations. A recertification form is used for reinvestigations.

DOE Albuquerque specific: QSP packets are sent upon approval of justification form to Albuquerque applicants not incumbents.

3.2 Applicant completes QSP packet

The process for initial DOE clearances, reinstatements and reinvestigations varies.

3.2.1 Initial Clearances

The QSP packet contains the following information and forms (information included may differ at other contractor clearance offices. The site-specific items listed are used by the LLNL clearance office.

LLNL Site-specific Packet Items	Explanation
Cover letter	This letter, from the Safeguards and Security Central Clearance Group Leader, describes the responsibilities of the applicant for the initial clearance process.
Letter from Safeguards and Security Central Clearance Group Leader	This letter encourages the applicant to answer all questions on the QSP form completely and honestly. It stresses the importance of providing correct information.
Letter from Information & Personnel Security Division Leader	This letter provides information to the applicant about what to expect during the DOE Initial "Q" or Reinvestigation process. It provides a list of questions and answers to clearance-related questions. Attached to the letter is the DOE document which describes the criteria and procedures for determining eligibility for access to classified matter.
Additional instructions for Part I of QSP Standard Form 86	These instructions are provided to make it easier to fill out the SF-86 form.
Rough draft of SF-86 - Part I	This form is provided as a convenience to the applicant for gathering all the necessary information.

QSP Packet Items	Explanation
Standard Form 86 - Part I	This form can be filled out using a typewriter; some sites accept hand-written forms. <i>LLNL specific:</i> LLNL accepts the form handwritten in black ink. Handwritten forms are typed by clearance office staff.
Standard Form 86A - (2)	These forms are used as needed by the applicant for residence history and employment activities.
Blank Lined Continuation Page	This page can be duplicated as necessary to include requested information about the applicant that will NOT fit on the SF 86 or SF 86A. This page is not included in packet by all contractor sites.
Security Acknowledgment Form DOE F 5631.18 09-92	This form (back and front) is read, dated and signed by the applicant.

QSP Packet Items	Explanation
OFI 36 OPM/OFI Additional Data for Single Scope Background Investigations and other Background Investigations Form 36	This form is <i>ONLY</i> completed and submitted by the applicant if immediate family members, spouse and/or persons living with the applicant are not U.S. citizens OR to list persons living with the applicant to whom they are not related. DOE Albuquerque submits this form in all cases.
Form 58/Questionnaire Foreign Country Residence Check List Form	This form OR questionnaire is <i>ONLY</i> completed and submitted by the applicant if they were in a foreign country for 90 days or more (this includes foreign birth (except to military parents) or any "off-base" residency/employment) LLNL uses Form 58; other contractor sites use a questionnaire. DOE Albuquerque does not use this form.
Sensitive Countries List DOE 1240.2A Chg 2 2-28-9	This form is provided for information only.
Data Report on Spouse DOE F 5631.34 (10-86)	This form must be submitted by the applicant if they marry <i>AFTER</i> the time they submit the SF-86 OR if they are married to foreign nationals, stateless persons, dual citizens, or naturalized U.S. citizens.
Part II Instructions for Part II of the SF 86 Form	Instructions provided for information only.
Standard Form 86 - Part II and white envelope stamped "To be opened by Department of Energy"	Part II of the SF 86 form includes the Authority for Release of Information. The completed Part II and a copy are placed in the DOE envelope which is sealed and signed over the seal by the applicant. DOE Albuquerque does not use the white envelope.
Fingerprint cards (offsite applicants only)	Onsite applicants are fingerprinted at the contractor clearance office and offsite applicants are sent fingerprint cards for use at an authorized Law Enforcement Agency. <i>LLNL specific:</i> LLNL uses an FBI-approved electronic fingerprinting system and prints 4 fingerprint cards (3 cards are sent to DOE/SF and 1 card is stored in the LLNL vault file). <i>DOE Albuquerque specific:</i> provides fingerprint cards to all applicants. Some sites take only two sets of prints and send both cards to DOE.

3.2.2 Reinvestigations

DOE sends a list of names that require reinvestigations to the contractor clearance office. The contractor clearance office audits the list (LLNL uses their local tracking system) and termination statements if the individuals no longer need a

clearance, no longer works there, or whose last reinvestigation was just completed (once in awhile names are submitted for reinvestigations for individuals who have just completed the process). A Justification form (some sites use a recertification form) is sent to the applicant's manager (designated official) for approval and signature and then to the contractor clearance office manager for approval. Upon approval of the form, the QSP packet is sent to the applicant. The QSP Packet sent is identical to those used for an initial clearance except the cover sheet is different and additional information may be included.

LLNL specific: The LLNL Justification form (LL6370) is sent to the applicant's Division Leader for approval and signature and then to the Safeguards and Security Central Clearance Group Leader. Upon approval of the form, it is sent to the clearance office (Reinvestigations section) and the QSP packet is sent to the applicant. The QSP Packet sent is identical to those used for the initial Q except the cover sheet is different and a copy of the previous QSP is included to make this process easier.

DOE Albuquerque specific: The applicant is provided with the complete QSP packet and must obtain supervisory approval.

3.3 Contractor Clearance Office processes QSP Packet

The applicant sends the completed QSP packet to the contractor clearance office. The packet is checked as follows:

- Forms are checked for incomplete information (missing information, date gaps, etc).
- The SF-86 form is reviewed to see if any additional forms/paperwork is needed (OFI 36, Form 58/Questionnaire, Copy of DD214 military record, etc.).
- All forms are checked for dates and signatures.
- All forms, including QSP, should *NOT* have dates over 90 days past the date they were submitted to DOE. *Note: DOE Albuquerque is not mandated by this restriction.*
- Any changes on the SF-86 form (i.e. address changes, any whiteout, handwritten notes, etc.) require an initial of who made the change and the date of the change. The OPM amendment form (Certification of Amended Investigative Form FIPC 391) is required if any of the critical areas are changed on the SF-86 by someone other than the applicant. *Note: DOE Oak Ridge contractor sites do not complete this form; only DOE Oak Ridge completes it.*

This process usually involves one or more contacts with the applicant in order to complete the form (due to incomplete or unclear information) and requires a large number of staff hours to review and complete the forms.

LLNL specific: if only the Rough Draft SF 86 Part I is completed (and not the Final SF 86 Part I), then it is reviewed and a final SF 86 Part I is typed by the clearance office (Reinvestigations are submitted hand-written to DOE).

The QSP packet and the following additional paperwork is assembled for submission to the appropriate DOE operations office:

Additional QSP Packet Items	Explanation
Site-specific DOE Cover Sheet or transmittal sheer	Each site attaches their own cover/transmittal sheet to each packet sent to DOE. This form does NOT get forwarded to OPM <i>LLNL specific:</i> uses LL622-1 - cover letter.
Justification Form	This form is required by DOE. <i>LLNL specific:</i> uses form LL6370
DOE File Summary Sheet (DOE F 5631.16)	This form is partially filled out and the type of clearance being requested is noted on the form. A copy is NOT kept at the contractor clearance office. Some sites do not send this form to DOE. <i>LLNL specific:</i> This form is stamped with the type of clearance (L, L to Q, Q, QN, Reinvestigation, Reinstatement or Summer) in red ink.
Standard Form 86 - Part I	The original plus two copies are sent to DOE. <i>LLNL specific:</i> an additional copy is stored in the vault file.
Standard Form 86 - Part II	Part II is sealed by the applicant and forwarded (not opened) by the contractor clearance office to DOE with the packet.
Security Acknowledgment Form DOE F 5631.18 09-92	This form is dated and signed by the applicant; when submitted with the QSP packet to DOE.
Fingerprint cards	Three fingerprint cards are sent to DOE (most sites just send two cards). <i>LLNL specific:</i> the fourth card is stored in vault file.
OFI Form 36	This form is ONLY completed and submitted by the applicant if immediate family members, spouse and/or persons living with the applicant are not U.S. citizens.
Form 58/Questionnaire Foreign Country Residence Check List Form	This form is ONLY completed and submitted by the applicant if they were in a foreign country for 90 days or more (this includes foreign birth excluding military parents or any "off-base" residency/employment). <i>LLNL specific:</i> LLNL uses Form 58; other sites use a detailed questionnaire.

Additional QSP Packet Items	Explanation
Preliminary Background Investigation (PBI) or Preliminary Employment Check (PEC) report	<p>The PBI or PEC investigation report is included for initial clearance requests for M&O contractors only. At some sites, this report is requested by an office other than the contractor clearance office and sent directly to DOE.</p> <p><i>Note: Feds and subcontractors are not required to perform background checks (PBI/PEC) on employees.</i></p> <p><i>LLNL specific: uses Equifax; report is now in electronic format</i></p> <p><i>Y-12 specific: Central Staffing sends the report to DOE and then sends a notification via email to the contractor clearance office.</i></p>
Data Report on Spouse DOE F 5631.34 (10-86)	<p>This form is included if the applicant marries <i>AFTER</i> the time they submit the SF-86 <i>OR</i> if they are married to foreign nationals, stateless persons, dual citizens, or naturalized U.S. citizens.</p>

The completed packet is sent to the managing DOE operations office.

LLNL specific: The completed QSP packet is hand-delivered via courier to the DOE/SF operations office.

3.4 DOE Operations Office processes clearance request

When the DOE operations office receives the QSP packet, they send a copy of the signed DOE Cover letter or transmittal form back to the contractor clearance office.

DOE Albuquerque specific: a transmittal is not sent back to contractor clearance office.

LLNL specific: DOE sends a copy of the signed LLNL DOE Receipt form (LL622-1) to the LLNL clearance office.

Most of the DOE operations offices use a local tracking system. During each step of the process, data is usually entered on the system to track the clearance process. The DOE Oak Ridge Operations Office local tracking system provides extended capabilities such as a bar coding system to electronically track the paper files and automatic generation of letters to law enforcement agencies.

3.4.1 DOE Justification Form is required to start the process.

A DOE Justification Form must be filled out and signed by the designated official at the operations office. If the request is denied, the packet is sent back to

the contractor clearance office. If approved, the packet is sent to the processing section.

3.4.2 DOE number is assigned or verified.

A DOE number is assigned to new cases (initial requests). DOE numbers are 8 characters long; 2 letters followed by 6 numbers. A block of unassigned numbers is kept in a journal which is updated as the numbers are assigned. The CPCI system at DOE HQ is updated with the new information.

Each clearance request is verified by querying with a search on social security number for existing DOE numbers.

3.4.3 A paper file is created for each new case.

A paper file (referred to as the case file) is created for new cases; existing cases should already have a paper file. DOE/SF uses the DOE number for tracking; DOE Oak Ridge uses a log number and bar coding system for tracking.

3.4.4 The Case File is checked as follows:

- Forms are checked for incomplete information (missing information, date gaps, etc).
- The SF-86 form is reviewed to see if any additional forms/paperwork is needed (OFI 36, Form 58/Questionnaire, Copy of DD214 military record - not required for LLNL, etc.).
- All forms are checked for dates and signatures.
- All forms, including QSP, should *NOT* have dates over 90 days past the date they were submitted to DOE. *Note: DOE Albuquerque is not mandated by this restriction.*
- The dates on page 9 and 10 of SF-86 Part II must be the same.
- Any changes on the SF-86 form (i.e. address changes, any whiteout, handwritten notes, etc.) require the OPM amendment form (Certification of Amended Investigative Form).
- If the applicant is a foreign-national, then the case is sent to a security analyst for scheduling an interview.
- If the applicant is a DOE federal employee, the SF-171 application form is required (DOE/SF does not require this form for its employees).

If there is missing information, it may be handled by telephone or the packet may be returned to the contractor clearance office.

Note: the DOE Security Termination Statement (DOE F 5631.29) is completed by the applicant at the time of termination. It is sent to DOE and kept in the applicant's case file.

3.4.5 Agency-use block is completed on SF-86 form.

The agency-use block on Part I of the SF-86 is completed (using the OFI 15 - Requesting OPM Investigations document) and signed and dated by the requesting DOE official. The QSP packet is sent to OPM to initiate an investigation.

3.5 OPM processes clearance investigation request

OPM receives the QSP packet from the DOE operations offices. The QSP packet contains the following forms:

Original Forms Sent	Explanation
SF-86 form - Part I and II	copies are kept on file at DOE
OPM amendment form	sent if corrections are made to SF-86
OFI 36	if applicable; kept on file at DOE
Form 58/Questionnaire	if applicable; kept on file at DOE
1 fingerprint card	other cards are kept on file at DOE
SF-171 application form	for DOE federal employees only

DOE Albuquerque specific: PBIs, PECs and DD214s are submitted to OPM if applicable.

3.5.1 The QSP packet is sent to the Case Receiving Branch.

OPM offers different levels of service to process investigation requests. The 35-day service requests are sent to the Case Scheduling Branch for screening and full data entry (may extend beyond required coverage). The 75-day and 120-day service requests are sent to the Case Receiving Branch.

1. Each incoming packet is assigned a unique case serial number.
2. All the forms are checked for complete data. The SF86 form (only the revised 12/90 version is accepted) is screened using the SF86 Accept Guidelines. Depending on the guidelines, incomplete fields on the form can be accepted as incomplete or resolved through telephone calls (calls must be returned in 2 days or form will be returned), while others result in a mandatory return of the form to DOE¹. *The largest percentage of errors are caught in the screening process.*
3. The forms are cross-checked to ensure accurate and consistent information between forms.
4. The screener uses the Bi Data Entry Note (FIPC-314C form) to note comments that will be entered into the Personnel Investigations Processing System (PIPS) database.
5. If there are any mail attachments included, the Code field in the agency-use section of the SF-86 form must be filled in with the number 7.

1. Only about 3% of the QSP packets submitted by DOE are rejected by OPM.

OPM generates reports (PIPS database) for agencies that indicate how many cases were received, how many were returned, and the reason why they were returned. The major reason that cases are returned are due to incomplete Subject Background Data and the second major reason is a discrepancy in the subject identifiers (name, SSN, date of birth, place of birth or sex). Agencies can request these reports by telephone to the Analysis and Development Office (ADO) and give their Security Office Indicator (SOI) or Submitting Office Number (SON). Once the request is made, the agency automatically receives these reports (in paper form) each month.

3.5.2 The packet goes to the data entry process.

1. The agency-use block data (DOE operations office data) is double-keyed (for validation) into the PIPS database.
2. The subject identifiers (name, social security number, date of birth, place of birth, and sex) are double-keyed into the PIPS database.
3. PIPS checks for a debarment record and that the type of investigation request matches the sensitivity level needed for the applicant. It also checks to see if there has been a previous background investigation or if there is an investigation pending. If the investigation was done within the year, it will modify the scheduling that is needed for this investigation. If the pending prior request meets or exceeds the request being entered, no further data entry is required.
4. The remaining data on the form for the coverage period (full-data entry for 75-day cases) is entered once. Comments are entered into the system as needed. *Note: all punctuation is dropped and not entered into the database.*

3.5.3 The case file is sent to the Case Scheduling Branch.

1. All of the information on the SF-86 form is re-entered EXCEPT for the agency-use block and the subject identifiers. *All 35-day cases are double-key entered/verified in this area.*
2. Comments are checked but NOT re-entered.
3. PIPS does the scheduling (batch-process each night) of the cases based on zipcodes. *Special codes can be entered to schedule special events.*
4. The Case Assignment Transmittal (CAT), a working document of scheduled items for investigators, is automatically generated each night by PIPS.

3.5.4 Investigation requests are sent to OPM Duty Stations.

1. Each duty station automatically receives a report (generated during the night by PIPS and sent to their remote printer) that lists the cases assigned to them. The report is a list of assigned cases by case number.

2. The SF-86 information and the CAT can be sent to the investigators electronically and/or in paper format:
 - * The duty station can request an electronic case paper (ECP) for 35-day and 75-day service requests. The ECP is sent electronically and printed remotely at the duty station. It contains the SF-86 (and other forms) information and the CAT. The SF-86 information does not look like the form; it is a printout of the data entry screens used by OPM.
 - * The SF-86 form (and associated forms), the release and the CAT are copied and sent to the investigators in paper format.

3.5.5 Investigators submit report back to OPM.

1. The investigators use a stand-alone laptop computer system (all investigators will be using laptops by end of 1993). The investigative data is entered through a series of screens into a standard format.
2. The laptops have built-in data encryption and modems. When the investigation is complete, the report is uploaded into PIPS.

3.5.6 OPM processes investigation reports.

The investigation reports are printed and microfilmed. A paper copy of the report is sent to the requesting DOE operations office.

Note: Eight out of ten of these reports have favorable results.

3.6 DOE Operations Office processes reports from OPM

1. The OPM reports containing the investigation results are sent directly to the designated DOE operations office official.
2. The DOE operations office reviews results and makes a clearance decision. If the report is favorable, the security specialist can grant the clearance. If the report is derogatory, it may require the review of another security specialist, a Letter of Interrogatory (LOI), an interview with the applicant, a psychiatric exam, the Administrative Review Process (ARP), etc. *Only DOE HQ can revoke or deny a clearance.*
3. DOE sends a clearance decision to the contractor clearance office. The notification of grants/continued clearances varies as follows:
 - * DOE/SF sends a letter to the contractor clearance office (by facsimile if they have the capability) that contains a list of grants (initials, reinstatements, extensions). A computer printout is sent to the contractor clearance office for continued (reinvestigations) clearances. A separate letter is sent if the clearance is suspended, denied or revoked.

- DOE Albuquerque pulls the grant report from the DOE HQ CPCI system and faxes this report to the offsite contractor clearance office. For DOE employees, the notification is sent back to the clearance requestor. For contractors onsite at DOE, the access authorization report is sent to the contracting officer's representative (COR). The COR is a federal employee who signs justification forms and receives grant reports. Notifications of continued clearances are not sent to the contractor clearance office; the applicant receives a form letter in their packet for requesting this information directly from DOE. *(Note: this could be done electronically and sent from DOE to the contractor clearance offices.)*
- DOE Oak Ridge generates a grant letter using their local tracking system. The original is signed by the designated official and sent to the contractor clearance office; a copy is kept on file.

3.7 Contractor Clearance Office processes grant reports

The grant reports are processed at the contractor clearance office. The applicant is notified and a new badge is issued as needed.

Manual Clearance Process Data Flow

Manual Clearance Process Data Flow (continued)