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WHAT IS A FACILITY CLEARANCE?

The first step in answering that question is to understand what a facility is. Facilities are organizations working with or for the U.S. Department of Energy (DOE). The facility clearance process involves several steps including obtaining a favorable Foreign Ownership, Control, or Influence (FOCI) determination, the approval of a safeguards and security plan or the Letter of Security Cognizance (LOSC), and possibly the conduct of an initial security survey. When a contract requires access authorizations or involves the protection of special nuclear material or more than \$5M in Government property, the security interest of a facility must be registered. The goal of the facility clearance process is to obtain that registration. Once a facility is registered, any additional security interests (new contracts requiring access authorizations) must also be registered. This information is designed to help participants identify contracts that require registration and understand their role in the facility clearance process.

WHO IS INVOLVED IN THE PROCESS?

There are many people involved in the process of registering a facility or interest. These include Procurement Request Originators, Contracting Officers, Contracting Officers Representatives, Program Managers and security personnel. This information will provide participants with a better understanding of the requirements, procedures, and processes necessary to meet the security and personnel clearance requirements relating to all contracts through which access authorizations are justified.

HOW IS THE INFORMATION TRACKED?

There are two DOE Headquarters databases that track personnel and facility clearance information. These databases are DOE-wide and are linked with cross matching fields to ensure access authorizations are granted only to companies with appropriate facility clearances.

The DOE Safeguards and Security Information Management System (SSIMS), which is currently a classified system, is used to track facility information. The facility information is entered into the system and a facility code is assigned. The database tracks all registered interests of the facility and includes information such as level of access authorizations allowed, associated FOCI information, survey findings and corrective actions, and classified mailing and shipping addresses.

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The Central Personnel Clearance Index (CPCI) database is used to track personnel clearances. Employer codes in this system must be linked to a corresponding active facility code in SSIMS in order for an access authorization to be granted.

WHICH FACILITIES HAVE TO BE REGISTERED AND WHICH DO NOT?

Before going into detail about how to register a facility, which facilities have to be registered must be discussed. The following assists in identifying which facilities have to be registered.

WHO DOES NOT HAVE TO BE REGISTERED?

- ▶ Any contract not requiring access authorizations or not involving special nuclear material or \$5M in Government property.
- ▶ Contracts let with individuals (consultants) when the individual is not selling their services/products through a company.
- ▶ Any Federal/state/local Government agency holding clearances unless they are to receive classified matter at their site from DOE. However, if Federal/state/local Government agencies have contractors with clearances, the contractor must be registered. *State universities and colleges are not considered Government agencies and do require a FOCI determination and facility approval.*

WHO DOES HAVE TO BE REGISTERED?

- ▶ Any contract or work that is used to justify an access authorization.
- ▶ Any contract where the contractor is protecting Government property valued at greater than \$5M, even though no clearances are involved.
- ▶ Any contract where the contractor is receiving and protecting classified matter or special nuclear material at their facility.
- ▶ Any facility that requires special protection measures because of contamination, potential radiological or toxicological threats, or when the Contracting Officer Representative determines a unique circumstance requires additional protection measures.

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- ▶ Any other DOE contractor or Government agency where classified documents are being transmitted. Other agencies and their contractors involved with classified Work for Other programs must also be registered.

HOW ARE REGISTERED FACILITIES CATEGORIZED?

Registered facilities are grouped into three categories: Possessing, Nonpossessing, and Property Protection facilities.

A Nonpossessing facility is a company that is holding access authorizations under a DOE contract but is not possessing classified matter, special nuclear material, or greater than \$5M in Government property at the company location. (Clearances are used for access to approved possessing facilities, i.e., E.A.S.I. working in the Federal Building Complex.)

A Possessing facility is a company location that has been approved to possess classified matter or special nuclear material.

A Property Protection facility is a facility that has over \$5M of Government property to control or has other factors that the Contracting Officer Representative feels requires additional levels of protection such as contamination or radiological/toxicological considerations.