

Chapter 15 Revision History:

January 26, 2023 – Revised Entire Document

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Chapter 15

Out-processing

No U.S. Department of Energy (DOE) directive specifically requires a formal security out-processing procedure; however, numerous directives require termination actions that are best accomplished through a formal process. For example:

- [DOE Order 472.2, Personnel Security](#), Paragraph 4s requires the submission of a DOE F 5631.29, *Security Termination Statement* or written notice when there is termination of employment, a change of official duties, or any other change in circumstances such that individuals no longer requires access to classified information or Special Nuclear Material (SNM).
- [DOE Order 471.6, Information Security](#), Paragraph 4b(5)(d)4, requires that safe combinations be changed when a person who had access to that safe no longer requires access.
- [DOE Order 731.1A, Physical Protection Program](#), Attachment 2, Chapter IX, 4.d., states that Local procedures, approved by the ODFSA, must be established for the recovery of the badge whenever an individual has terminated employment, their access authorization status changes, or they no longer require the badge.

The Office of the Chief Human Capital Officer (HC) has a formal process for notifying DOE Headquarters (HQ) elements when a Federal employee terminates employment. However, there is no formal process for notifying HQ elements when a contractor terminates employment or when a Federal or contractor employee transfers to another element. Element HSOs must establish close working relationships with the Human Resource specialists within their element, the Contracting Officer's Representatives (CORs), and the contractor project managers to be notified when any of their employees terminate or transfer to another element.

Every HQ element should develop an individualized out-processing procedure to ensure that access to HQ facilities and classified matter is terminated when an HQ employee or contractor terminates his/her employment with DOE or transfers to another element within HQ. Elements that handle classified matter need a more robust out-processing procedure than does an element without classified interests.

HQ Implementation Procedures

When to Out-process an Employee:

HQ personnel should be out-processed by their element when they terminate their employment with DOE or transfer to another element in HQ. There is no need to out-process someone who is deployed as a result of his/her military obligations or transfers to another office within the same element, unless the individual no longer needs his/her security clearance.

Who is Responsible for Out-processing an Employee:

The HQ element losing the terminating or transferring employee is responsible for his/her out-processing. The losing element is responsible for terminating the employee's security clearance, security badge, special accesses, etc. If the employee is transferring to a different HQ element, the gaining element is responsible for requesting the transfer of security clearance, reactivating his/her security badge, reestablishing special accesses, etc., as needed.

Security Out-processing Actions:

The HSO for each element is responsible for developing an out-processing procedure specific to his/her organization. In general, the procedure should only address security issues. The following security out-processing actions are recommended:

- Terminate security clearance
- Terminate SCI access
- Terminate SAP access
- Terminate NATO access
- Terminate visit requests
- Cancel classification/declassification officer authority
- Destroy or return classification guides
- Remove name from Classification Guidance Distribution System
- Recover law enforcement badges and credentials
- Recover keys to doors, desks, and filing cabinets
- Arrange for safe and door combination changes
- Revise access lists for rooms controlled by C-CURE card readers
- Revise SF-700, *Security Container Information*
- Change custodianship of accountable documents and media
- Notify the HQ COMSEC Program Manager of changes in Secure Phone custodianship

- Recover or destroy hand carry cards for classified documents that may have been issued to the individual.
- Return security badges
- Update the organization's Appendix to the HQFMSP to reflect needed changes.

A sample [Security Out-processing Checklist is available on the landing page for this chapter.](#) The program office can modify if necessary to suit their organizational needs.

Termination of Security Clearances:

When a Federal or contractor employee with a security clearance terminates employment or transfers to another HQ element, their security clearance must be terminated and a [DOE F 5631.29, Security Termination Statement](#), must be completed. The Headquarters Security Officer (HSO) is responsible for obtaining a Security Termination Statement from the individual and providing the form to the Office of Headquarters Personnel Security Operations (EHSS-43) via the [Personnel Security mailbox](#). If a Federal or contractor employee is transferring from one HQ program to another HQ program Office, have the individual complete a [DOE F 5631.29, Security Termination Statement](#) and annotate "This individual is transferring to (Name of Element)" (refer to [Chapter 3, Personnel Security, Section 303, Transfer](#)).

Special situations may arise when an HSO is requested to conduct a security termination briefing. The HSOs may do so, but the HSO is then responsible for providing the DOE F 5631.29 to the servicing badge office.

Return of Security Badges:

One of the final and most important out-processing actions is return of the terminating or transferring individual's DOE security badge. When any Federal or contractor employee departs DOE HQ or a contractor transfer to another HQ element, *the employee must return* their badge to DOE control. The HSO is *responsible for ensuring* that the employee returns their badge to DOE control prior to departing the facility. The security of DOE identification media and badges are considered items of national security interest; therefore, it is imperative that all such media be accounted for and controlled to ensure contract employees' badges are returned, the HSO will work with the Facility Security Officer (FSO) of the contract to ensure badges are returned and accounted for.

As part of Out-processing of Federal and contractor employees, the HSO will report the departing employee's leaving to their USAccess representative/sponsor and ensure the departing employee's employment status is appropriately updated in the USAccess system and their access terminated.

- When a contractor employee transfers to another HQ element, that employee must inform the badge office of that fact when the badge is returned. The badge office temporarily retains the badge until notified that the contractor is now supporting

another HQ element. That notification could come in one of two ways:

- If the contractor becomes a Federal employee, the badge office receives an accession list from HC showing that the contractor has been hired by DOE and requires a new security badge.
- If the contractor remains a contractor employee but will support a different HQ element, the HSO of the gaining element must generate a new [DOE F 473.2, Security Badge Request](#), and send it to EHSS-43. EHSS-43 performs certain verification actions and passes the DOE F 473.2 to the badge office. When the badge office receives the DOE F 473.2, they re-issue the security badge to the transferred employee.

Prohibition Against Removal of Records:

All classified and unclassified matter, including “extra copies,” is the property of the U.S. Government and may not be removed from DOE control by any departing or terminated official or employee. DOE Federal or contractor personnel who retire or otherwise terminate employment and wish to take documents or material (e.g., memorandums, personal records, diaries, etc.) that fall wholly or partially within areas that are classified are personally responsible for ensuring that all such documents or material are unclassified and fully releasable. A Derivative Classifier – not the departing individual – must determine whether such documents and material are unclassified and releasable to the public. Public releasability should be determined in accordance with Freedom of Information Office applicable directives and local procedures.

Unclassified documents are also the property of DOE and may not be taken by departing personnel without the approval of the Program Manager who owns the information contained in the documents. A Derivative Classifier must review the documents to ensure that they are unclassified, and an appropriate official must ensure they do not contain information exempt from release under the provisions of the Freedom of Information Act.

NOTE 1: Federal records are defined as “all books, papers, maps, photographs, machine or readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other data in them.”

NOTE 2: Personal papers are defined as “papers of a private or non-official character which pertain only to an individual's personal affairs that are kept in the office of a Federal official.”

In compliance with DOE Directives for the protection of Controlled Unclassified Information (CUI), Personal Identifying Information (PII), and Unclassified Controlled Nuclear Information (UCNI) information, as part of the out-processing of the individual, the HSO should remind the individual about the proper disposal or destruction of those-type documents.

Use of HQ Form 3293.1, *Employee Final Separation Clearance*:

HQ Federal employees who are terminating are given an [HQ F 3293.1, *Employee Final Separation Clearance*](#), by their element's HC representative. This form must be completed and returned to the HC representative before the Federal employee departs HQ. Failure to do so could delay the employee's final paycheck.

The HQ F 3293.1 contains two sections for security out-processing. Block 7B is signed by the departing employee's HSO, and Block 13 is typically completed and signed by the badge office personnel who performed the employee's security termination briefing and collected his or her security badge. If an HSO collected the terminating employee's security badge and conducted the security clearance termination briefing, the HSO could sign Block 13. Completing Block 13 is usually the final step in out-processing Federal employees.

Other Out-processing Actions:

As a courtesy, HSOs may adapt their security out-processing procedure to notify other elemental officials responsible for non-security termination actions. For example, the element's Accountable Property Representative (APR) may request that they be notified of impending departures. Common non-security out-processing actions include:

- Cancelling Local Area Network (LAN) and database accesses (e.g., SSIMS, FACTS, Travel Manager, Management Information System)
- Returning government property, including laptop computers, cell phones, pagers, RSA tokens, etc.
- Returning government-issued credit cards

Points of Contact

Element HSO

For the names and contact information for those positions identified in this chapter, call (301) 903-7189 or (301) 903-0885.

Forms/Samples/Graphics

DOE F 473.2, [Security Badge Request](#)

DOE F 5631.29, [Security Termination Statement](#)

DOE HQ F 3293.1, [Employee Final Separation Clearance](#)

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