

DOE 5631. 4A  
7-8-92

THIS PAGE MUST BE KEPT WITH DOE 5631. 4A, CONTROL OF  
CLASSIFIED VISITS.

DOE 5631. 4A, CONTROL OF CLASSIFIED VISITS, HAS REVISED  
DOE 5631. 4 TO REFLECT ORGANIZATIONAL TITLE, ROUTING SYMBOL,  
AND OTHER EDITORIAL REVISIONS REQUIRED BY SEN-6. NO  
SUBSTANTIVE CHANGES HAVE BEEN MADE. DUE TO THE NUMBER OF  
PAGES AFFECTED BY THE REVISIONS, THE ORDER HAS BEEN ISSUED AS  
A REVISION.



U.S. Department of Energy  
Washington, D.C.

ORDER

DOE 5631.4A

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7-8-92

SUBJECT: CONTROL OF CLASSIFIED VISITS

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1. PURPOSE. To prescribe Department of Energy (DOE) standards and procedures for controlling visitors to DOE, DOE contractor, subcontractor, and access permittee facilities.
2. CANCELLATION. DOE 5631.4, CONTROL OF CLASSIFIED VISITS, of 5-25-84.
3. SCOPE. The provisions of this Order apply to all Departmental Elements, access permittees, and contractors and subcontractors performing work for the Department as required by contract and/or law and as implemented by the appropriate contracting officer.
4. POLICY. It is DOE policy that:
  - a. Only authorized persons receive access to classified information.
  - b. . Need-to-know will be a basic principle to be observed.
  - c. Employees of access permit holders receive only categories of restricted data authorized by their specific access permit.
  - d. Foreign visitors receive access to classified information limited to that which is prescribed in approved agreements for cooperation.
  - e. Access to classified information is afforded to the following personnel only on the basis of properly executed certifications or DOE access authorizations: members of the Armed Forces; employees of the Department of Defense (DOD) and its contractors and subcontractors; and the National Aeronautics and Space Administration (NASA) and their contractors and subcontractors.
5. REFERENCES.
  - a. Atomic Energy Act of 1954, as amended, which establishes the framework for the protection of classified information. Section 143 outlines DOE policy on permitting DOD agency employees, DOD contractor employees, and members of the Armed Forces to have access to restricted data.
  - b. Executive Order 12356, "National Security Information," of 4-6-82, which sets forth the procedures for classifying and handling national security information.

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DISTRIBUTION:

All Departmental Elements

INITIATED BY:

Office of Security Affairs

- c. DOE 5610.2, CONTROL OF WEAPON DATA, of 8-1-80, which establishes procedures for the control of weapon data.
- d. DOE 5630.8A, SAFEGUARDING OF NAVAL NUCLEAR PROPULSION INFORMATION, of 7-31-90, which provides guidance for protecting Naval Nuclear Propulsion Information.
- e. DOE 5631.2B, PERSONNEL SECURITY PROGRAM, of 5-18-88, which implements the provisions of the Atomic Energy Act of 1954, as amended, and Executive Orders 10450, 10865, and 12065, regarding personnel security and the safeguarding of classified information.
- f. DOE 5635.1A, CONTROL OF CLASSIFIED DOCUMENTS AND INFORMATION, of 2-12-88, which provides guidance for the safeguarding and control of classified documents and information.
- g. National Aeronautics and Space Act of 1958 section 304(b). This section controls DOE policy on permitting NASA employees and their contractors to have access to DOE restricted data.

6. DEFINITIONS.

- a. Access Authorization or Security Clearance. An administrative determination that an individual is eligible for access to classified information or special nuclear material on a "need-to-know" basis. Clearances granted by the DOE are designated as Q, L, Top Secret, or Secret.
- b. Access Permittee. An individual or organization which has been issued an access permit by the DOE providing access to Restricted Data applicable to civilian uses of atomic energy in accordance with the terms and conditions stated on the permit and in accordance with security regulations, in 10 CFR 725.
- c. Agreement for Cooperation. Any agreement with another national or regional defense organization authorized or permitted by the Atomic Energy Act of 1954, as amended.
- d. Classified Information. Certain information requiring protection against unauthorized disclosure in the interests of national defense and security or foreign relations of the United States pursuant to Federal statute or Executive order. The term includes Restricted Data, Formerly Restricted Data, and National Security Information. The potential damage to the national security of each is denoted by the classification levels of Top Secret, Secret, or Confidential.

- e. Classification Level. A designation assigned to specific elements of information based on the potential damage to national security if disclosed to unauthorized persons. The three classification levels in descending order of potential damage are Top Secret, Secret, and Confidential.
- f. Classified Visit. A visit that requires, or is expected to require, access classified information by the visitor.
- g. Confidential. A classification level that is applied to information which unauthorized disclosure reasonably could be expected to cause damage to the national security.
- h. Continuing Access. Authorization, for a period not to exceed one year, given to an individual who visits DOE, DOE contractor, or subcontractor facilities frequently and requires access to the same type of classified information under the cognizance of the same field element or Headquarters division or office.
- i. Critical Nuclear Weapon Design Information (CNWDI). DOD marking for Top Secret, Restricted Data or Secret Restricted Data revealing the theory of operation or design of the components of a thermonuclear or implosion-type fission bomb, warhead, demolition munitions, or test device. Specifically excluded is information concerning arming, fuzing, and firing systems; limited life components; and total contained quantities of fissionable, fusionable, and high-explosive materials by type. Among these excluded items are the components which military personnel, including contractor personnel, set, maintain, operate, test, or replace.
- j. Facility. An educational institution, manufacturing plant, laboratory, office, or complex of buildings located on the same site that is operated and protected as one unit by the Department or its contractors.
- k. Formerly Restricted Data. Classified information jointly determined by the DOE or its predecessors and the DOD to be related primarily to the military utilization of atomic weapons, and removed by the DOE from the Restricted Data category pursuant to section 142(d) of the Atomic Energy Act of 1954, as amended, and safeguarded as National Security Information, subject to the restrictions on transmission to other countries and regional defense organizations that apply to Restricted Data.
- l. Foreign National. Any person who is not a United States (U. S.) citizen or a U. S. national.

- m. Information. Facts, data, or knowledge itself, rather than the medium of conveyance. (Documents and materials are deemed to convey or contain information and are not considered to be information per se.)
- n. National Security Information. Any information that has been determined pursuant to Executive Order 12356 or any predecessor order to require protection against unauthorized disclosure and that is so designated. The levels Top Secret, Secret and Confidential are used to designate such information.
- o. Naval Nuclear Propulsion Information (NNPI). Information, classified or unclassified, concerning the design, arrangement, development, testing, operation, administration, training, maintenance, and repair of the propulsion plants of naval nuclear-powered ships and prototypes, including the associated nuclear support facilities. Information concerning equipment, components, or technology that is applicable to both naval nuclear and conventional propulsion plants is not considered to be NNPI when used in reference to conventional applications only, provided no association with naval nuclear propulsion can be directly identified from the information in question. In cases where an association with naval nuclear propulsion can be directly identified from the information in question, designation of the information as NNPI is mandatory. Some unclassified NNPI is also Unclassified Controlled Nuclear Information.
- p. Need-To-Know. A determination by a person having responsibility for classified information or material that a proposed recipient's access to such classified information or matter is necessary in the preparation of official or contractual duties of employment.
- q. Operational Approval. A determination by the Head of a Departmental Element that a proposed visit to a facility under his/her jurisdiction is feasible, as long as the visit is subject to limitations that may be prescribed, and that the visitor has a "need-to-know."
- r. Production Rate or Stockpile Quantity Information. Classified data related to production rates of weapons, or weapon components, or to stockpile quantities of weapons or weapon components.
- s. Restricted Data (RD). All data concerning: design, manufacture, or utilization of atomic weapons; the production of special nuclear material; or the use of special nuclear material in the production of energy, but shall not include data declassified or removed from the RD category pursuant to Section 142 of the Atomic Energy Act of 1954, as amended.

- t. Secret. The classification level applied to classified matter of information which unauthorized disclosure reasonably could be expected to cause serious damage to the national defense or security
- u. Security Assurance. A written certification by which a specifically authorized official of a foreign government, with whom the United States has an agreement for-cooperation that governs the exchange of classified information, informs the United States Government about the security clearance held by an individual. The information provided about the clearance includes the scope of the investigation upon which the clearance determination was based, and personal identity data of the individual.
- v. Sensitive Nuclear Material Production Information. Any information involving classified production rate or stockpile quantity information relating to plutonium, tritium, enriched lithium-6 and uranium-235 and uranium-233, laser separation technology, classified gaseous diffusion technology, classified centrifuge technology, and classified advanced isotope separation technology.
- w. Top Secret. The classification level applied whose unauthorized disclosure could reasonably be expected to cause exceptionally grave damage to the national security, the highest classification level.
- x. Weapon Data. Restricted or Formerly Restricted Data, concerning the design, manufacture, or utilization (including theory, development, storage, characteristics, performance, and effects) of nuclear weapons or nuclear weapon components, including information incorporated in or relating to nuclear explosive devices.

7. RESPONSIBILITIES AND AUTHORITIES.

- a. Assistant Secretary for Domestic and International Energy Policy (EP-1) serves as approval authority for requests for classified visits by foreign nationals in concert with appropriate Headquarters program staff other than those covered on pages 6 and 7, paragraphs 7b(2), 7d and 7e, in coordination with the Director of Safeguards and Security, to obtain security assurances for such visits.
- b. Director of Security Affairs (SA-1), through the:
  - (1) Director of Safeguards and Security (SA-10).
    - (a) Develops and establishes policies, standards, and procedures for the control of classified visits;

- (b) Establishes the Headquarters visitor control system and maintains necessary records for Headquarters;
  - (c) Obtains and reviews security assurances to determine consistency with agreements for cooperation and other international agreements. Maintains files of such assurances and lists of officials of foreign governments specifically authorized to furnish such assurances to DOE;
  - (d) Maintains liaison and serves as principal point of contact with the Federal Bureau of Investigation, Office of Personnel Management, and other Government agencies on security matters;
  - (e) Maintains a current listing of all DOD and NASA officials authorized to certify personnel under their jurisdiction for access to restricted data;
  - (f) Periodically provides revised listing of such DOD and NASA officials to Headquarters and Field Elements;
  - (g) Aids in identifying Heads of Departmental Elements and officials of other Federal agencies, to whom specific requests for visits should be directed;
  - (h) Approves requests for classified visits involving safeguards and security programmatic matters; and
  - (i) Certifies on DOE F 5631.20 (formerly DOE Form DP-277) "Request for Visit or Access Approval," the DOE clearance type, number, and date for individuals possessing a DOE Headquarters access authorization. See Attachment 1 for example of properly prepared DOE F 5631.20.
  - (j) Approves requests for transfer of safeguards and security technology.
- (2) Director of Classification (SA-20) arranges and approves classified visits to the Office of Classification for foreign nationals sponsored by a foreign government in connection with classification programs.
- c. Deputy Assistant Secretary for Military Application (DP-20).
- (1) Serves as approval authority for requests for visits requiring access to weapon data involving:
    - (a) Classified production rate or stockpile quantity information concerning weapons and weapon components.



- (b) Classified information relating to the transfer of custody of weapons from the DOE to the DOD.
  - (c) Weapon data outside the scope of work being performed under a formal written agreement reimbursable or nonreimbursable basis with or for the DOE Albuquerque, Nevada, Oak Ridge, San Francisco, or Savannah River Field Offices.
  - (d) Weapon data outside a specified area of mutual interest to DOE and DOD.
- (2) Serves as approval authority for all requests for visits in connection with nuclear weapons under sections 144b, 144c(1), and 91c(1) and (4) of the Atomic Energy Act of 1954, as amended, and refers security assurances to SA-10.
- (3) Coordinates requests with and obtains concurrences from the Office of Inertial Confinement Fusion (DP-28) for visits requiring access to inertial confinement fusion data.
- d. Deputy Assistant Secretary for Facilities (DP-60).
  - (1) Serves as approval authority for requests for visits to nuclear materials production facilities or visits involving access to sensitive nuclear material production information, excluding classified uranium enrichment technology.
  - (2) Serves as approval authority for requests for employees of other government agencies, their contractors or subcontractors to visit classified production facilities, excluding classified uranium enrichment technology.
- e. Assistant Secretary for Nuclear Energy (NE-1), through the:
  - (1) Deputy Assistant Secretary for Naval Reactors/Director Naval Nuclear Propulsion Program (NE-60).
    - (a) Serves as approval authority under the provisions of DOE 5630.8A and section 144(c)(2) of the Atomic Energy Act of 1954, as amended, for request for classified visits by foreign nationals to DOE facilities under his/her cognizance and in classified visits to other DOE facilities if such visits involve access to classified Naval Nuclear Propulsion Information (NNPI).
    - (b) Establishes procedures for foreign national visits to DOE facilities under his/her cognizance.

- (c) In accordance with the responsibilities and authorities assigned by Executive Order 12344 (statutorily prescribed by 42 U.S. C. 7158, note) and to ensure consistency throughout the joint Navy/DOE organization of the Naval Nuclear Propulsion Program, implement and oversee all policy and practices pertaining to this Order for activities under his/her cognizance.
  - (2) Deputy Assistant Secretary for Uranium Enrichment and Assessment (NE-30). Approves requests for visits involving access to uranium enrichment plants and to facilities engaged in uranium enrichment technology development, including gaseous diffusion, gas centrifuge and advanced isotope separation technologies. Managers of Field Elements may approve visits to facilities under their jurisdiction for Government contractors requiring access because of their continuing programmatic association or for contractor personnel administered under contracts with the field elements.
- f. Secretarial Officers, DOE Staff Officers, and Directors of Headquarters Offices and Divisions shall:
  - (1) Grant operational approval for classified visits to their respective organizations, except as limited on pages 5 through 8, paragraphs 7a through 7e(2).
  - (2) Serve as approval authority for requests for classified visits of U.S. citizens to their respective divisions and organizations.
  - (3) Designate specific facilities where visits may be made only with the approval of the organization having program responsibility, and inform Heads of Field Elements.
  - (4) Refer to the appropriate organization head requests for approval of visits requiring access to information described on pages 5 through 7, paragraphs 7a and 7b(2) through 7c(2).
  - (5) Inform the Assistant Secretary for Congressional and Intergovernmental Affairs of visits by members of Congress, and members of staffs of congressional committees, Governors or their staffs.
  - (6) Maintain records of individuals approved by their organizations to have continuing access on the basis of DOE "Q" and "L" access authorizations or DOD or NASA certifications, and notify the Director of Safeguards and Security, when such approvals are granted or canceled.

- (7) Assure that any redelegation of any of the foregoing shall be in writing.

g. Heads of Field Elements shall:

- (1) Implement the visitor control system for facilities under their jurisdiction to assure that:
  - (a) The identity and clearance status of visitors are determined.
  - (b) Limitations with respect to access to classified information are established.
  - (c) Timely notice is given to persons concerned of all visits to facilities under their jurisdiction.
- (2) Serve as approval authority for requests for classified visits to facilities under their administrative jurisdiction, except as limited by pages 5 through 7, paragraphs 7a and 7b(2) through 7c(2). The DOE Albuquerque, Nevada, Oak Ridge, San Francisco, and Savannah River Field Offices and their area offices may approve requests for weapon data exchanges at, between, or among the facilities under their jurisdiction involving:
  - (a) Only personnel from their facilities;
  - (b) Specific weapons or weapon concepts which have reached phase 3 (development engineering) in the DOE nuclear weapon chronology; or,
  - (c) Research and development activities which are being performed under reimbursable contracts between DOE and/or DOE contractor organizations and other Government entities.
- (3) Arrange classified visits of DOE employees to DOE facilities, their contractors, subcontractors, and access permittees under their administrative jurisdiction.
- (4) Develop local procedures governing visits between facilities under their respective jurisdiction.
- (5) Maintain records of all classified visits by nonDOE personnel.
- (6) Refer to the Assistant Secretary for Domestic and International Energy Policy, or the appropriate organization head, requests for approval of visits described on pages 5 through 7, paragraphs 7a and 7b(2) through 7c(2).

- (7) Approve requests for visits of personnel of the DOD, NASA, or their contractors and subcontractors under certifications as prescribed on page 13, paragraph 8e.
- (8) Assure that any redelegation of any of the foregoing shall be in writing.
- (9) Inform the Assistant Secretary for Congressional and Intergovernmental Affairs of all requests and actions taken on the requests for visits by members of Congress, Congressional committees, and Governors or their staffs.

8. PROCEDURES.

- a. Control of Classified Visits. Procedures for control of classified visits should assure:
  - (1) Establishment of the identity and access authorization (security clearance) of the visitor;
  - (2) Observance of limitations on access to classified information or facilities;
  - (3) Timely notification of visits to appropriate persons;
  - (4) Prompt transmittal of "Request for Visit or Access Approval" (DOE F 5631.20), when applicable;
  - (5) Prompt notification to those concerned of approval for access to weapon data (classified secret or top secret), top secret information (nonweapon data), sensitive nuclear material production information, inertial confinement fusion data, advanced isotope separation technology, uranium enrichment technology, or facilities specifically designated by Headquarters Elements;
  - (6) Use of continuing visitor access approval when it is necessary for individuals to visit DOE facilities frequently. This approval cannot exceed a period of one year, but the approval may be renewed annually, if necessary;
  - (7) Operational approval of visits is granted or obtained;
  - (8) Maintenance of records of all classified visits by non-DOE personnel and foreign nationals; and
  - (9) Referral to the Director of Public Affairs of any nonroutine, written, or visual material proposed for public release resulting from visits.

- b. Classified Visits by DOE Employees. Visitors to DOE field elements and to Headquarters shall:
  - (1) Make administrative arrangements in connection with such visits; and
  - (2) Obtain approval from the field element or the cognizant Secretarial Officer organizations, as appropriate. (The authority granting such approval informs the office to be visited. DOE F 5631.20 is not required. DOE employee identification badge, DOE F 5631.19, will be accepted as evidence of a security clearance.)
- c. Classified Visits by DOE Contractor or Subcontractor Personnel.
  - (1) Visits by DOE contractor or subcontractor personnel to DOE field or Headquarters Elements require that a DOE F 5631.20 be executed in quintuplicate (arrangements to visit Headquarters are made with the organization to be visited).
  - (2) Visits requiring access to weapon data (classified secret or top secret), top secret information (nonweapon data), sensitive nuclear material production information, inertial confinement fusion data, advanced isotope separation technology, uranium enrichment technology, or specific facilities designated by Headquarters Elements having program direction require that:
    - (a) A determination of the need for access be noted on the required DOE F 5631.20 by the DOE official sponsoring the visit.
    - (b) Approval of the access during visits under the auspices of a Headquarters Element should be obtained from the Headquarters Element exercising jurisdiction over the facility or office to be visited.
    - (c) Approval of this access during visits under the auspices of field elements be obtained from the responsible field element for field visits, and for visits to Headquarters, from the organization being visited.
  - (3) When there is a significant amount of visitor traffic between DOE contractor or subcontractor facilities due to mutual program interests, the contractors or subcontractors involved may be authorized, subject to the limitations on pages 5 through 7, paragraphs 7a through 7e, to arrange for

the visits without obtaining DOE approval if such authorization will be of advantage to DOE. The authorization issued shall be reviewed for renewal by the Heads of Field Elements at least annually.

(4) Visits to facilities of agencies of the DOD and NASA require that:

- (a) The DOD and NASA honor DOE access authorizations for access to restricted data and other classified information, under the jurisdiction of the DOD and NASA, on the same basis as DOE does within its own and its contractors' operations provided clearance or access authorization and "need-to-know" are properly certified.
- (b) DOE top secret approvals are specifically certified in the event access to top secret information is required.
- (c) A DOE F 5631.20 is forwarded directly by Headquarters and field elements to the commanding officer or the director of the facility after first verifying the visitor's clearance at the Headquarters or field element.
- (d) Any exchange of restricted data occurring during the course of the visit be accomplished as stated on page 13, paragraph 8e.

d. Visits by Personnel of the Nuclear Regulatory Commission (NRC) and Its Contractors and Subcontractors Involving Exchange of Restricted Data.

- (1) Visits by employees of NRC, its consultants, contractors or subcontractors to DOE Field Offices requiring access to weapon data, sensitive nuclear material production information, inertial confinement fusion data, advanced isotope separation technology, uranium enrichment technology, or entry into a DOE classified weapon or production facility require that:
  - (a) The visits be arranged through the respective DOE Headquarters Element which will coordinate the visits.
  - (b) Visits to classified weapon facilities include prior approval of DP-20.
  - (c) Visits to classified production facilities include prior approval of DP-60.

(d) DOE F 5631.20 or the NRC equivalent be completed with necessary clearances certified by the Director of Security, Nuclear Regulatory Commission.

- (2) Visits involving access to other restricted data, not requiring the prior approval from the appropriate Headquarters official exercising jurisdiction over the facility or office to be visited, may be arranged directly by NRC with the cognizant DOE Field Office or area office, provided this procedure does not conflict with the existing visitor control procedures of the division or office having program responsibility. The DOE F 5631.20 or NRC equivalent is required.
- (3) NRC visits which involve no access to classified matter or classified facility access require no formal security coordination of the visit with DOE security channels and may be arranged directly with the organization or facility involved, unless this procedure conflicts with the organization or facility to be visited.
- (4) The NRC identification badge shall not be used as authority for visits in lieu of the aforementioned specific visit approval arrangements to DOE field elements, but shall be accepted as authority for admission without prior approval to Headquarters facilities. The DOE F 5631.20 or NRC equivalent, must be utilized for visits to Headquarters facilities involving the exchange of or access to classified information/matters.

e. Visits By Personnel of DOD, NASA, and their Contractors and Subcontractors Involving Exchange of Restricted Data.

- (1) Prior to granting access to restricted data, a DOE F 5631.20 or NASA Form-405, "Request for Access Approval" (See Attachment 2 for example of properly prepared NASA Form 405), or memorandum or teletype signed by or in the name of the certifying official is required for employees of an agency of the DOD, members of the Armed Forces, officers and employees of DOD contractors and subcontractors, officers and employees of NASA, NASA contractors, and subcontractors. The DOE F 5631.20, NASA Form 405, or memo or teletype will be forwarded, for approval or other action, to the appropriate official having jurisdiction over the matter to which access is desired.
- (2) The request for access should include the following:
  - (a) Name(s) of person(s) and organization represented (if not Armed Forces, relationship to DOD or NASA);

- (b) Information to which access is desired. Access to critical nuclear weapon design information must be specified when it is required;
  - (c) The security clearance or access authorization status of each person (top secret or secret);
  - (d) Certification that the person needs the access in the performance of duty;
  - (e) Anticipated date of visit and names of persons to be visited, as appropriate; (If a conference is involved, the date, place, and sponsor of the conference shall be specified).
  - (f) Statement of determination that permitting the person(s) access will not endanger the common defense and security;
  - (g) Citizenship and date of birth;
  - (h) For requests from NASA, a certification shall be included that the matter to which access is desired relates to "aeronautical and space activities," unless access is being requested on the basis of DOE "Q" or "L" access authorizations; and
  - (i) The approving authority must satisfy himself/herself:
    - 1 As to person's identity;
    - 2 That the person's clearance or access authorization is at least equal to the classification of the information to which access is desired; and
    - 3 That the approving official possesses or has been delegated the authority to grant such access.
- (3) Access to restricted data in the custody of DOE. DOE contractors and subcontractors may be authorized by Heads of Departmental Elements after assuring that:
- (a) The person's identity has been established;
  - (b) The person's clearance or access authorization, as indicated in the request, is at least equal to the classification of the information to which access is desired;



- (c) In the case of a field element head, the desired access is handled in accordance with the following:
  - 1 Weapons Programs. Visits shall be handled as established on page 6, paragraph 7c.
  - 2 Production Program. Where access is desired to sensitive nuclear material production information to facilities specifically designated on page 7, paragraph 7d, the requests shall be referred to DP-60.
  - 3 Advanced Isotope Separation Technology. Where access is desired to advanced isotope separation technology, the request shall be referred to NE-30.
  - 4 Uranium Resources and Enrichment Technology. Where access is desired to uranium enrichment technology, the request shall be referred to NE-30.
  - 5 Naval Nuclear Propulsion Information. Where access is desired to Naval Nuclear Propulsion Information, the request shall be referred to NE-60.
- (4) Access to restricted data in the custody of another Federal agency (other than DOE, DOD, and NASA) is the responsibility of the appropriate official or his/her designee of the Federal department or agency named in Attachment 3 to approve the access to restricted data in the custody of DOE cleared employees of such department or agency, its contractors or subcontractors.
- (5) DOE field elements and officials of Federal departments or agencies named in Attachment 3, are responsible for maintaining a central index recording those grants of access which have been approved.
- (6) Headquarters Elements retain for 3 years a copy of each visit request which they have approved. Separate records shall be maintained for approvals of access under emergency conditions.
- (7) The Director of Safeguards and Security maintains liaison with the DOD, NASA, and other Federal departments and agencies to:

- (a) Assure that DOE is notified promptly of changes in those positions whose occupants are authorized to initiate access requests; and
  - (b) Provide assistance in identifying field elements or Headquarters Elements and offices of other Federal departments and agencies to which specific requests shall be directed.
- (8) Safeguarding and further dissemination within agencies of the DOD, NASA, and their contractors and subcontractors of restricted data after it has been initially furnished to them, is the responsibility of the DOD and NASA.
- f. Visits by DOD and NASA Personnel Involving Exchange of Classified Information Other Than Restricted Data.
  - (1) Requests for visits to DOE and DOE contractor and subcontractor facilities by members of the Armed Forces and employees of agencies of DOD and NASA, their contractors and subcontractors, involving exchanges of classified information other than restricted data, are approved by Heads of Field Elements or, in the case of Headquarters Elements, by the head of the element concerned after assuring that such visitor possesses appropriate military or NASA clearance or access authorization and requires the information in the performance of his/her duties.
  - (2) Certification of clearance or access authorizations may be made by memorandum, teletype, or by DOE F 5631.20, and, in the case of NASA personnel, by NASA Form 405.
- g. Visits by Employees of Government Agencies Other Than the DOD, NASA, or NRC.
  - (1) Requests for visits by employees of Government agencies other than DOD, NASA, and NRC are approved by the field elements or, in the case of Headquarters, by the organization concerned.
  - (2) Restricted data may not be exchanged with persons in this category unless they possess appropriate DOE access authorization (security clearance).
  - (3) Classified information other than restricted data may be exchanged with such individuals if they possess access authorization ("Q" or "L") or clearance under the provisions of Executive Order 10450, "Security Requirements for Government Employment," of 4-27-53, and require the information in the performance of their duties.

h. Visits by Access Permit Holders or Employees of Access Permit Holders.

- (1) Requests by access permit holders to visit DOE, DOE contractors, or subcontractors for the purpose of obtaining or exchanging restricted data are submitted to the responsible Headquarters or field element who shall determine whether or not the data to be exchanged falls within the scope of the access permit.
- (2) Permit holders shall be informed by the office administering the permit of the following:
  - (a) That preliminary arrangements for proposed visits should be accomplished by direct communication with the facility;
  - (b) That visits are subject to the approval of the DOE organization administering the facility to be visited;
  - (c) The clearance status of the persons to be visited and the categories of information authorized to be discussed;
  - (d) The need for completion of DOE F 5631.20 when a permit holder is requesting approval to visit a DOE office other than that administering the permit or a DOE contractor or subcontractor; and
  - (e) If the request for the visit is not approved, the reasons therefore.
- (3) The Field element (other than that administering the permit) responsible for a facility to be visited by a permit holder may indicate approval of the visit by completing Part B of DOE F 5631.20.
- (4) Visit requests for individuals cleared both as contractor or subcontractor and access permit holder employees shall reflect the capacity in which the proposed visit is to be made.
- (5) When the exchange of restricted data between the holder of an access permit and a foreign national has been approved under an "Agreement for Cooperation" and the individuals to participate are identified to the respective governments, further specific DOE approval for each visit to effect the exchange is not required.

i. Visits by Members of Congress, Congressional Staffs, and Governors or Their Staff.

- (1) Requests for visits to DOE, DOE contractor or subcontractor facilities by members of Congress, employees of Congress, employees of members of the Congress or congressional committees, Governors or their staffs may be approved by Heads of Departmental Elements provided the following are established:
  - (a) Their identity;
  - (b) Security clearance; and
  - (c) "Need-to-know."
- (2) The Assistant Secretary for Congressional and Intergovernmental Affairs will be advised of requests and action taken on the requests for such visits.

j. Emergency Visits to Classified Areas and Facilities.

- (1) In an emergency, requests for visit approval may be made by teletype, telecopier, or telephone; and
- (2) Telephone requests must be confirmed by teletype or memorandum.

k. Visits by Foreign Nationals to Classified Areas and Facilities.

- (1) Classified visits by foreign nationals possessing DOD or NASA security clearance or access authorization will be arranged in accordance with page 16, paragraph 8f.
- (2) Classified visits by foreign nationals possessing security clearance granted by Federal agencies other than the DOE, DOD, and NASA shall be arranged in accordance with page 16, paragraph 8g.
- (3) Classified visits by foreign nationals who are sponsored by a foreign government shall be arranged as follows:
  - (a) If the visit is to the Headquarters Office of Classification, the Director of Classification makes arrangements for the visit, including the approval, and obtains appropriate security assurances;
  - (b) If the visit is in connection with the military application of atomic energy under sections 144b and c(1) and 91c(1) or (4) of the Atomic Energy Act of 1954, as amended, the Deputy Assistant Secretary for

Military Application makes all arrangements for the visit, including the obtaining of appropriate approvals and security assurances;

- (c) If the visit is not in connection with the programs covered in paragraph 8k(3)(a) and (b) above, the Assistant Secretary for Domestic and International Energy Policy makes the arrangements for the visit, including the obtaining of necessary approvals, and requests the Director of Safeguards and Security to obtain necessary security assurances.
- (d) If the visit is in connection with naval nuclear propulsion matters under DOE 5630.8A and section 144(c)(2) of the Atomic Energy Act of 1954 as amended, the Deputy Assistant Secretary for Naval Reactors makes all arrangements for the visit, requesting the Director of Safeguards and Security to obtain necessary security assurances; and
- (e) Security assurances received under paragraph 8k(3)(a) through (d), above, are to be retained for 5 years.

BY ORDER OF THE SECRETARY OF ENERGY:



DOLORES L. ROZZI  
Director of Administration  
and Human Resource Management



EXAMPLE DOE F 5631.20

DOE F 5631.20  
(43)  
(Formerly DP-277)

U.S. DEPARTMENT OF ENERGY  
REQUEST FOR VISIT OR ACCESS APPROVAL  
(Not to be used for temporary or permanent personnel assignments.)

PART "A"

To: Director, Division of Security, DOE

Date: September 30, 1983

Prepared by: J. Doe

From: Office of International Security Affairs, DOE

Symbol: SA-1

Telephone No.—Commercial:

It is requested that the following person(s) be granted visit/access approval:

FTS:

LAST NAME, FIRST, MIDDLE INITIAL AND SOCIAL SECURITY NUMBER	ORDER		DATE OF BIRTH	ORGANIZATION	TYPE CLEARANCE	CLEARANCE NO.	DATE OF CLEARANCE
	U.S. CITIZEN	ALIAS					
Doe, John A.	X		10/10/43	DOE/DP-542	Q(S)	WA00000	10/75

NAME OF FACILITY(IES) TO BE VISITED:

Naval Ocean System Command  
San Diego, California

FOR THE INCLUSIVE DATES:

Dec. 1-10, 1983

DOE Security Official Verifying DOE  
Clearance

FOR THE PURPOSE OF:

Technical discussions

TO CONFER WITH THE FOLLOWING PERSON(S):

Dr. Richard Roe and others

SPECIFIC INFORMATION TO WHICH ACCESS IS REQUESTED:

Top Secret Restricted Data, Sigmas 1-4 (CNWDI)

Access requested to:  
Restricted Data  
Other classified info

☒ Yes ☐ No  
☒ Yes ☐ No

Prior arrangements have/have not been made as follows:

CERTIFICATION FOR PERSONNEL HAVING DOD CLEARANCE

This certifies that the person(s) named above needs this access in the performance of duty and that permitting the above access will not endanger the common defense and security.

Authorized access to Critical Nuclear Weapon  
Design Information (CNWDI) in accordance  
with DOD Directive S210.2 ☐ Yes ☐ No

Name and Title, Requesting DOD Official

Title, Authorizing DOD Official  
(See DOD Directive S210.2 and S210.2)

Signature  
(See AR 380-180, OPNAV 5510.3F, AFR 205-1)

CERTIFICATION FOR PERSONNEL HAVING DOE CLEARANCE

This certifies that the person(s) named above needs this access in the performance of duty.

Deputy Director  
Office of International Security Affairs

John Hancock

Title

Requesting DOE or Other Government Agencies

PART "B"

Approval is granted with limitations indicated below:

Manager of Operations for Headquarters Division Director

SEE REVERSE OF PART B FOR PRIVACY ACT INFORMATION STATEMENT

DOE F 5631.20  
3-83

#### **PRIVACY ACT INFORMATION STATEMENT**

Collection of the information requested is authorized by Section 145 of the Atomic Energy Act of 1954, as amended (PL 83-703, 42 USC 2165). Compliance with this request is voluntary; however, if the information submitted is inadequate or incomplete, approval for your visit to a classified DOE facility, or your access to classified information may be delayed or withheld. The Information you furnish will be used by DOE and DOE contractors to control access to classified information and areas.

The social security number is not required for these purposes, but you may voluntarily furnish it to assist us in correct identification.



EXAMPLE NASA FORM 405

**NATIONAL AERONAUTICS AND SPACE ADMINISTRATION  
REQUEST FOR ACCESS APPROVAL**

TO: Martin J. Dowd, Director  
Division of Security, DOE/HQS  
Washington, D.C. 20545

Date: 10/10/83

It is requested that the NASA representatives, or the incumbents of the titled positions in the NASA, listed below be given approval for access to Restricted Data as indicated below.

LAST NAME	FIRST	MIDDLE INITIAL	TITLE AND ORGANIZATION	CLEARANCE
Hancock, John A.			Director of Nuclear Safety NASA Headquarters	Secret 12/12/75
DOB: 10/10/35				

A For a Visit or Conference to take place on 12/12/83  
(date)

Installation or facility to be visited Germantown, MD

Name of persons to be visited Mr. John Williams

Specific information to which access is desired Nuclear Safety Review Panel meeting

B For Transmission of the Following Documents or Categories of Documents

This certifies that the above identified NASA representatives need this access in the performance of official duty relating to aeronautical and space activities and that permitting this access will not endanger the common defense and security or, if appropriate, the activities that any incumbents of the titled positions in the NASA listed above will have appropriate NASA clearances that they will need the access in the performance of official duty relating to aeronautical and space activities and that permitting them access will not endanger the common defense and security.

NASA Official authorized to make certifications

NASA Form 405 (Rev. 80)  
This form is used in lieu of Form ABC-017

**Visitor Control Clerk  
NASA Security Office  
Washington, D.C. 20546**



ACCESS TO RESTRICTED DATA IN POSSESSION OF  
OTHER FEDERAL AGENCIES

The following officials of Federal departments and agencies are authorized to permit their Federal and contractor employees possessing DOE clearance to grant access to restricted data in their possession to members of the Armed Forces and employees of agencies of the Department of Defense, National Aeronautics and Space Administration, and their contractors, in accordance with section 143 of the Atomic Energy Act of 1954, as amended, and subsection 304(b) of the National Aeronautics and Space Act of 1958:

The Assistant to the President  
Director, Office of Management and Budget  
Executive Secretary, National Security Council  
Director, Central Intelligence Agency  
Director, Federal Emergency Management Agency

Secretary of State  
Secretary of the Treasury  
Attorney General of the United States  
Secretary of the Interior  
Secretary of Agriculture  
Secretary of Commerce  
Secretary of Labor  
Secretary of Health and Human Services  
Secretary of Transportation  
Secretary of Education

Chairman, Federal Communications Commission  
Administrator, Agency for International Development  
President, National Academy of Sciences and National Research Council

Director, National Science Foundation  
Chairman, Tennessee Valley Authority  
Director, United States Information Agency  
Comptroller General of the United States

