



CHERIE BERRY  
COMMISSIONER OF LABOR

ALLEN MCNEELY  
DEPUTY COMMISSIONER/DIRECTOR  
DIVISION OF OCCUPATIONAL SAFETY AND HEALTH

January 26, 2010

Mr. Michael F. Weber, Director  
Office of Nuclear Material Safety and Safeguards  
United States Nuclear Regulatory Commission  
Washington, D.C. 20555-0001

Subject: Protection of Classified Information for the General Electric – Hitachi Uranium  
Enrichment Facility, Wilmington, NC

Dear Mr. Weber:

We have reviewed the draft guidance provided with the cover letter dated August 6, 2009 for the protection of classified information at the General Electric – Hitachi Uranium Enrichment Facility located in Wilmington, NC. After thorough review of the guidance, we agree to accept each agency's roles and responsibilities detailed in the guidance.

Sincerely,

Allen McNeely, Director  
Occupational Safety and Health Division  
North Carolina Department of Labor

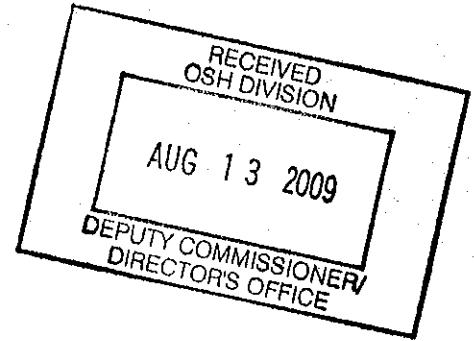
cc: Kevin Beauregard, Assistant Director, OSH Division of the NC Department of Labor  
John Hoomani, General Counsel, Legal Affairs, NC Department of Labor  
Phil Hooper, Eastern Compliance Bureau Chief, OSH Division of the NC Department of Labor  
Wanda Lagoe, ETTA Bureau Chief, OSH Division of the NC Department of Labor  
Lafayette Atkinson, Compliance Supervisor, OSH Division of the NC Department of Labor  
Ric Schumann, Staff IH, OSH Division of the NC Department of Labor  
Tim Johnson, United States Nuclear Regulatory Commission  
Brian Smith, United States Nuclear Regulatory Commission



UNITED STATES  
NUCLEAR REGULATORY COMMISSION  
WASHINGTON, D.C. 20555-0001

August 6, 2009

*Standard format  
+ content*



Mr. Allen McNeely, Director  
Division of Occupational Safety  
and Health  
North Carolina Department of Labor  
1101 Mail Service Center  
Raleigh, NC 27699-1101

SUBJECT: PROTECTION OF CLASSIFIED INFORMATION FOR THE GENERAL ELECTRIC-  
HITACHI URANIUM ENRICHMENT FACILITY

Dear Mr. McNeely:

I am proposing for your consideration draft guidance for the protection of classified information that the North Carolina Department of Labor may need access to. Your responsibilities for regulating laser safety under the Occupational Safety and Health Act may require access to classified information related to the General Electric-Hitachi Global Laser Enrichment test loop and the commercial uranium enrichment facility that have been proposed to be located in Wilmington, North Carolina. Because of the unique sensitivity of the proposed facility, it is especially important to protect the classified technology. The enclosed guidance document incorporates comments from your staff and includes important provisions regarding access to, and management of, classified information. This guidance discusses both of our agencies' roles and responsibilities and provides a process for obtaining security clearances and, if needed, a facility clearance permit for storing, handling, and processing classified information at your office. We very much appreciate your assistance in developing and coordinating the enclosed guidance document. If you agree with the guidance in this document, please acknowledge this in a response to this letter.

If you have any questions regarding the guidance or its implementation of the enclosed guidance, please contact Mr. Brian Smith, at 301-492-3137, or via e-mail, at [Brian.Smith@nrc.gov](mailto:Brian.Smith@nrc.gov).

Sincerely,

*Michael F. Weber*

Michael F. Weber, Director  
Office of Nuclear Material Safety  
and Safeguards

*Tim Johnson*  
*301-492-3121*

*Lafayette  
Johnson  
CT*

Enclosure: As stated

*Not an MOU*

**GUIDANCE FOR REGULATING LASER SYSTEMS RELATING TO  
URANIUM ENRICHMENT ACTIVITIES  
AT THE GENERAL ELECTRIC – HITACHI GLOBAL LASER ENRICHMENT FACILITIES IN  
WILMINGTON, NORTH CAROLINA**

**I. BACKGROUND**

The U.S. Nuclear Regulatory Commission (NRC) has the responsibility for regulating and licensing commercial uses of source, byproduct, and special nuclear material (SNM) in the United States. General Electric-Hitachi Global Laser Enrichment, Inc. (GEH) is proposing to construct and operate a laser-based uranium enrichment test loop and a commercial-scale laser-based uranium enrichment facility in Wilmington, North Carolina.

In December 1988, NRC and the Federal Occupational Safety and Health Administration (OSHA) issued a Memorandum of Understanding (MOU) addressing a coordinated interagency effort related to non-radiological industrial safety at NRC licensed facilities. Under the MOU, OSHA is responsible for administering the requirements under the Occupational Safety and Health Act (OSH Act) and for dispositioning any non-radiological industrial safety issues identified by NRC staff.

Under its responsibilities under the OSH Act, the North Carolina Department of Labor's (NCDOL's) Division of Occupational Safety and Health (OSHNC) has been delegated by OSHA to regulate the safety of laser systems in North Carolina. Consistent with the MOU between NRC and OSHA, OSHNC, therefore, will be responsible for regulating laser safety at the GEH facilities.

Because the GEH facilities will use laser systems and uranium enrichment equipment classified up to the Secret-Restricted Data (S-RD) level and category, OSHNC will need to have appropriately cleared staff and a facility clearance for possession and storage of classified information to perform its inspection and regulatory functions. NRC has responsibility for review and approval of the necessary personnel and facility clearances that OSHNC will require to perform their responsibilities at the GEH facilities.

The purpose of this guidance is to define the OSHNC and NRC responsibilities and functions in regulating lasers at the GEH facilities in Wilmington, North Carolina.

**II. AUTHORITY**

NRC is responsible for licensing and regulating nuclear facilities and material and for conducting research in support of the licensing and regulatory process, as mandated by the Atomic Energy Act of 1954, as amended; the Energy Reorganization Act of 1974, as amended; in accordance with the National Environmental Policy Act of 1969, as amended; and other applicable statutes. NRC responsibilities include protecting public health and safety, protecting the environment, and safeguarding nuclear facilities and materials in the interest of national security. Pursuant to the Atomic Energy Act of 1954, as amended by the Energy Reorganization Act of 1974, applicable Executive Orders (including Executive Orders 12968 and 12958), and other authorities, NRC has responsibility for granting clearances to access classified information, and for granting

clearances for facilities and containers used to handle, transmit, or store such information.

OSHA is responsible for administering the requirements established under the OSH Act (29 U.S.C. 651, et seq.), which was enacted in 1970. OSHA's authority to engage in the activities described below does not apply to those workplace safety and health conditions for which other Federal agencies exercise statutory authority to prescribe and enforce standards, rules, or regulations. OSHA may delegate its responsibilities under the OSH Act to States that have an approved plan pursuant to 29 U.S.C. 667. North Carolina has such an approved plan.

Under Section 274 of the Atomic Energy Act, the State of North Carolina entered into an agreement with the NRC to regulate certain uses of source, byproduct, and special nuclear material. Under Section 193 of the Atomic Energy Act, NRC is responsible for regulating uranium enrichment facilities.

OSHA and NRC entered into an MOU, dated October 21, 1988, which delineated their respective general areas of responsibilities at facilities licensed by NRC. That MOU recognizes the authority of States with approved plans under 29 U.S.C. 667 to assume the same general responsibilities as Federal OSHA in accordance with the approved plan. North Carolina's plan received final approval from OSHA on December 18, 1996 (61 FR 66593).


For appropriate staff of the OSHNC, NRC will determine their eligibility for access to classified information by meeting the required personnel security procedures and by adhering to Executive Order 12968 (March 1997); the Adjudicative Guidelines for "Determining Eligibility for Access to Classified Information" (revised December 2005); NRC Management Directive 12.3, "Personnel Security Program"; Sections 145 and 161 (l) of the Atomic Energy Act of 1954, as amended [42 U.S.C. 2165 and 2201 (l)]; and Title 10 of the *Code of Federal Regulations* (10 CFR) Part 10 regulations. The investigation required for access to S-RD is a Single-Scope Background Investigation. Requirements for protection of classified information are provided in 10 CFR Parts 25 and 95. The security clearance requirements and investigation will comply with any and all changes required by applicable authority, Executive Order, law, or regulation.

### III. PURPOSE AND SCOPE

This guidance defines and sets forth the mutual understanding of the regulatory roles and responsibilities of NRC and OSHNC for the regulation of lasers and protecting classified information associated with the GEH facilities in Wilmington, North Carolina.


OSHA has delegated to OSHNC the responsibility to regulate laser safety within the State of North Carolina. This delegation is recognized by the MOU between OSHA and NRC, entered on October 21, 1988, which delineated the respective general areas of responsibilities between OSHA and NRC at facilities licensed by NRC.

OSHNC requires access to classified information/equipment in conducting regulatory activities under its laser safety regulatory responsibilities and will ensure that access to classified information/equipment is provided only to those individuals with proper security

clearances and a need-to-know basis, as decided by NRC. OSHNC will also obtain a facility clearance under the requirements of 10 CFR Part 95 for possession and storage of classified information. OSHNC will only be provided access to classified information related to laser safety. 

NRC will administratively process and review OSHNC personnel security clearance requests. NRC will review OSHNC facility clearance application requests.

NRC will provide information security training to OSHNC personnel, including topics related to lasers that may include classified information.

OSHNC understands that they will not have derivative classification authority and will not be provided classification guidance. Prior to being removed off-site, all notes will be reviewed by an NRC or GEH-authorized derivative classifier, and will be appropriately marked. OSHNC is responsible for completing an NRC Form 790 whenever a classified document is created, as required by 10 CFR 95.57(c). OSHNC will detail how classified material will be transmitted from the licensee facility to the approved OSHNC facility in its Standard Practice Procedure Plan (SPPP). Documents prepared from classified notes at the OSHNC site will be handled as classified until reviewed for release by an authorized derivative classifier. NRC will review documents prepared by OSHNC personnel and provide derivative classification services for OSHNC-prepared documents. NRC understands that OSHNC only has six months following the occurrence of any violation to issue a citation under N.C. Gen Stat. § 95-137(b)(3), and, therefore, NRC will use its best efforts to expedite its review of these documents to accommodate this limitation period. 

Federal law, regulations, and orders shall govern the access to and handling and dissemination of all information, processes, equipment, and facilities that have been designated as classified or Safeguards Information. As designated under Section 147 of the Atomic Energy Act, Safeguards Information is information not otherwise classified as National Security Information or Restricted Data which specifically identifies a licensee's or applicant's detailed security measures for the physical protection of SNM or certain equipment vital to the safety of production or utilization facilities.

OSHNC will pay the costs of obtaining any personnel security clearances and facility clearances it requires.

NRC and OSHNC will share applicable inspection reports and findings applicable to laser safety.

Nothing in this guidance will limit the rights or ability of either agency (NRC or OSHNC) to exercise its authority independently with regard to matters that are the subject of this guidance.

This guidance applies solely to the activities described in this agreement related to the regulation of lasers pertaining to GEH laser-based uranium enrichment activities. Nothing in this guidance applies to or establishes a precedent for any other matter or agreement, including any other existing or future agreement between NRC and OSHNC.

All agreements herein are subject to, and will be carried out in compliance with, all applicable laws, regulations, and other legal requirements.

#### IV. ROLES AND RESPONSIBILITIES

##### A. U.S. Nuclear Regulatory Commission

NRC will initiate a review of the completed security package(s), submit the necessary forms to initiate the background investigation to the Office of Personnel Management, and will adjudicate the completed investigation before making an eligibility determination for access. No clearance nor access may be granted until completion of the investigation and a favorable adjudication decision is rendered.

NRC will retain sole discretion over the determination of who has a need-to-know with respect to any sensitive/classified information or equipment.

After the determination is rendered, the individual must first attend an NRC-provided Security Briefing and sign the Classified Non-Disclosure Agreement (SF-312). The original SF-312 will be sent to NRC for signature and acceptance.

NRC will provide OSHNC guidance documents describing the handling, storage, dissemination, and access to sensitive/classified information, equipment, and facilities necessary to prepare its SPPP for protection of classified information. NRC will also provide OSHNC staff information security training briefings.

NRC can deny, suspend, or revoke a personnel security clearance or facility clearance at any time based upon unfavorable information or for any other reason. If NRC's evaluation/adjudication of the information developed on an individual is unfavorable, NRC will inform the requester of its determination in the matter.

The Commission's regulations allow NRC, or authorize NRC, to conduct a personnel security interview when information contained in the report(s) of investigation of an individual or additional information added to the file creates a question of the individual's initial or continuing eligibility for a SNM access authorization, or for a security clearance, or for access to Restricted Data or National Security Information. [See 10 CFR 10.10 (c), 10.12, or 10 CFR 11.21(c)]. Such interviews are conducted for the purpose of assisting the NRC in resolving the access eligibility question and are intended to afford the individual an opportunity to furnish additional information or an explanation regarding the information in question.

NRC will review facility clearance applications submitted by OSHNC for possession, handling, and storage of classified information.

NRC will coordinate with OSHNC and inform OSHNC's designated Bureau Chief of any allegations or reportable events under OSHNC's jurisdiction.

## B. OTHERS

A licensee, certificate holder, or other person who has a need to use, process, store, reproduce, transmit, transport, or handle sensitive or classified information at any location in connection with GEH-related activities shall promptly request the necessary NRC clearances or facility clearances. This specifically includes situations where a licensee, certificate holder, or other person needs a contractor or consultant to have access to classified information. Also included are others who require access to classified information in connection with NRC regulated activities but do not require use, storage, or possession of classified information outside of NRC facilities.

→ The request must include the name of the facility, the location of the facility, and an identification of any facility clearance issued by another government agency. If there is no existing facility clearance, the request must include a security SPPP that outlines the facility's proposed security procedures and controls for the protection of classified information.

## C. Occupational Safety and Health Administration

Requests for access to classified information for the OSHNC personnel are to be submitted with the following required forms through the specific NRC sponsor and are to be forwarded to NRC's Personnel Security Branch:

- NRC Form 237, Request for Access Authorization with Justification (signed by NRC sponsor)
  - Complete Standard Form (SF) 86, in e-QIP
    - Signature Pages of SF-86:
    - Certification That All Answers Are True
    - Authorization for Release of Information
    - Authorization for Release of Medical Information (*if applicable*)
  - NRC Form 176, Security Acknowledgment Signed
  - Fair Credit Reporting Act of 1970 - Release
  - Fingerprint Cards FD-258
  - Payment (Check) for each applicant.
    - Q clearance –
      - Standard processing fee is \$5120.00
      - Expedited processing fee \$5625.00
- (See Section III of this guidance for responsibility of OSHNC to reimburse NRC for clearance investigations. The above rates are current as of the date of this letter, but are subject to change in the future.) Make check payable to: U.S. Nuclear Regulatory Commission

The security clearance requirements and investigation will comply with any and all changes required by applicable authority, Executive Order, law, or regulation. OSHNC will pay the current applicable rate for all required investigations should any increase in rates occur during the term of this agreement.

OSHNC will ensure that all its employees/representatives who are granted access to sensitive/classified information, equipment, and facilities will comply fully with all applicable rules and policies regarding the handling, storage, dissemination, and access to sensitive/classified information, equipment, and facilities.

OSHNC will possess, handle, and store classified information in accordance with its facility clearance, its SPPP, and 10 CFR Parts 25 and 95.

OSHNC will submit properly completed NRC Form 277, "Request for Visit or Access Approval," to GEH prior to site visits.

- D. For NRC to make a Facility Security Clearance determination, OSHNC will be required to develop an SPPP for access only to classified information. An overview of these requirements can be found in 10 CFR 95.17.
- E. OSHNC will coordinate with NRC and inform NRC's Regional Branch Chief and NRC's GEH Project Manager of any allegations or reportable events under OSHNC's jurisdiction.
- F. OSHNC and NRC will consult with each other before disclosing information related to this MOU to preclude dissemination of information that may be exempt from disclosure under the Freedom of Information Act (FOIA), as amended, the N.C. Public Records Act, or other applicable law. FOIA requests, N.C. Public Records Act requests, Congressional requests, or other requests for documents will be referred to the agency that authored the document for resolution. Although it is NRC's practice to make available to the public non-sensitive docket-related OSHNC correspondence that is not classified, restricted, privileged, or proprietary by placing these documents in NRC's Agency-Wide Documents and Management System, OSHNC may specifically request that information be withheld. In addition, any documentation that is classified, safeguards, restricted, privileged, or proprietary must be clearly marked as such.

## V. RESOLUTION OF DISPUTES

- A. If disagreements or conflicts about matters within the scope of this guidance arise, OSHNC and NRC will work together to resolve these differences.
- B. Resolution of differences between OSHNC and NRC staff will be the initial responsibility of the Bureau Chief of Education, Training, and Technical Assistance Bureau; OSHNC; and the Branch Chief, Uranium Enrichment Branch; NRC.
- C. If the issue cannot be resolved at the Bureau and Branch Chief levels, OSHNC and NRC will refer the matter within thirty (30) days to the Director; Occupational Safety and Health Division; OSHNC; and the Director; Division of Fuel Cycle Safety and Safeguards; Office of Nuclear Material Safety and Safeguards; NRC.
- D. Resolution of policy issues concerning agency jurisdiction, operational relations, and inspection and enforcement will be coordinated by the Chief; Uranium



Enrichment Branch; NRC; and by the Bureau Chief; Education, Training, and Technical Assistance Bureau; OSHNC.

## VI. OTHER LAWS AND MATTERS

This guidance shall not be used to obligate or commit funds or as the basis for the transfer of funds.

This guidance is strictly for internal management purposes of each of the parties. It is not a legally enforceable document and shall not be construed to create any legal obligation on the part of either party or to provide a right or cause of action (legal or equitable) for or by any person(s) or entity.

This guidance in no way restricts either of the parties from participating in any activity with other public or private agencies, organizations, or individuals.

This guidance may be further implemented by supplementary agreements in which authorized representatives of OSHNC and NRC may amplify or modify the policy or provisions in this guidance or any of its supplements, provided that any material modifications of the provisions or any of its supplements shall be subject to the approval of the Chief; Uranium Enrichment Branch; NRC; and by the Bureau Chief; Education, Training, and Technical Assistance Bureau; OSHNC.

If any provision(s) of this guidance, or the application of any provision(s) to any person or circumstances, is held invalid, the remainder of the guidance and the application of such provision to other persons or circumstances shall not be affected.

## VII. POINTS OF CONTACT

### A. U.S. Nuclear Regulatory Commission

Refer to the e-QIP form for information regarding requesting an NRC clearance and the e-QIP Brochure for the specific instructions on accessing and completing the e-QIP forms. OSHNC personnel must sign and return the original hard copy of the signature pages to the following address:

U. S. Nuclear Regulatory Commission  
ATTN: Personnel Security Branch  
Division of Facilities and Security  
11555 Rockville Pike  
Mailstop: TWB-5-B32M  
Rockville, MD 20852

NRC Agency Sponsor, Timothy Johnson, Senior Project Manager, (301) 492-3121 or by e-mail [Timothy.Johnson@NRC.GOV](mailto:Timothy.Johnson@NRC.GOV)

Information Security, J. Keith Everly Jr., Senior Security Specialist (301) 415-7048 or by e-mail [JKeith.Everly@NRC.GOV](mailto:JKeith.Everly@NRC.GOV)

Personnel Security Processing, Valerie Kerben, Senior Personnel Security Specialist, (301) 492-3527, or by e-mail [Valerie.Kerben@NRC.GOV](mailto:Valerie.Kerben@NRC.GOV)

B. Occupational Safety and Health Administration

N.C. Department of Labor  
Occupational Safety and Health Division  
1101 Mail Service Center  
Raleigh, NC 27699-1101

Allen McNeely, OSHNC, Director, (919) 807-2861 or by e-mail  
[Allen.McNeely@labor.nc.gov](mailto:Allen.McNeely@labor.nc.gov)

Wanda Lagoe, OSHNC, Bureau Chief, (919) 807-2890 or by e-mail  
[Wanda.Lagoe@labor.nc.gov](mailto:Wanda.Lagoe@labor.nc.gov)

C. UPDATES

NRC and OSHNC will provide updates of the above designated contacts for implementation of this memorandum as necessary. Updated lists of OSHNC contacts will be provided to the Chief; Uranium Enrichment Branch; NRC. Updated lists of NRC contacts will be provided to the Bureau Chief; Education, Training, and Technical Assistance Bureau; OSHNC.

Attachment(s):

1. e-QIP form for requesting NRC clearance
2. e-QIP Brochure

## e-QIP FORM FOR REQUESTING AN NRC CLEARANCE FOR LICENSEES

When requesting an NRC security clearance, the Licensee Personnel must complete items 1 through 8, sign, date, and submit this form along with items 9, 10, and 11 to the Nuclear Regulatory Commission (NRC), Division of Facilities and Security (DFS) at the address below. DFS will initiate the applicant into the Electronic Questionnaires for Investigations Processing (e-QIP) system and then notify the applicant to log on the internet and access the e-QIP system to complete the Questionnaire for National Security Positions - Standard Form 86 (SF-86). Once completed, the applicant should print and sign their certification and authorization pages (item 14) and mail them with completed items 12 and 13 to the NRC at:

U. S. Nuclear Regulatory Commission  
ATTN: Personnel Security Branch  
Mail Stop: TWB-05-B32M  
Division of Facilities and Security  
Office of Administration  
Washington, DC 20555

### APPLICANT INFORMATION: *(Type or Print Legibly)*

1. FULL NAME: \_\_\_\_\_  
Last First Middle Jr., II, etc.
2. SOCIAL SECURITY NUMBER: \_\_\_\_\_
3. DATE OF BIRTH: \_\_\_\_\_  
Month / Day / Year
4. PLACE OF BIRTH: \_\_\_\_\_  
City County State Country  
(if not the United States)
5. TELEPHONE NUMBER: \_\_\_\_\_
6. E-MAIL (if applicable): \_\_\_\_\_
7. FACILITY NAME: \_\_\_\_\_ 8. Utility Name \_\_\_\_\_
9. NRC Form 237, Request for Access Authorization  
Internet link is <http://www.nrc.gov/reading-rm/doc-collections/forms/nrc237.pdf> - print and complete
10. Fair Credit Reporting Act of 1970  
Attached in adobe acrobat as a pdf file - print and complete
11. Payment (Check) for each applicant.  
L or R clearance - standard processing fee is \$360.00 and expedite processing fee is \$417.00  
Q or U clearance - standard processing fee is \$5120.00 and expedite processing fee \$5625.00  
Make check payable to the: U.S. Nuclear Regulatory Commission
12. FD 258 - Finger Print Cards (Two)
13. NRC Form 176, Security Acknowledgment  
Internet link is <http://www.nrc.gov/reading-rm/doc-collections/forms/nrc176.pdf> - print and complete
14. Signature Pages of SF-86:  
① Certification That All Answers Are True  
② Authorization for Release of Information  
③ Authorization for Release of Medical Information (if applicable)
15. e-QIP Brochure for applicant. Provides instructions on how to log on to the e-QIP system to complete the SF-86.  
Internet link is [http://www.opm.gov/e-qip/Brochure\\_Applicant\\_Version\\_1.07.pdf](http://www.opm.gov/e-qip/Brochure_Applicant_Version_1.07.pdf)

Submitted By \_\_\_\_\_  
Printed Name Signature (Sign in Ink) Date

### Common Problems and Mistakes

1. Unable to get into e-QIP. From the Web browser click on TOOLS, INTERNET OPTIONS, ADVANCED, scroll down to the bottom under Security and check the box "USE TLS 1.0", then click APPLY. Once complete, go to the [www.eoni.gov/e-qip](http://www.eoni.gov/e-qip) web site.
2. When creating your Golden Questions/Answers ensure they are unique and should be something you will always remember. It may be five years before you return to the e-QIP system for a future re-investigation.
3. When entering your Golden Questions/Answers the first time, only enter the City of birth and not the State.
4. If you are not a natural-born U.S. citizen, you must provide your citizenship information.
5. For all non-U.S. citizens including yourself, relatives, and associates, you must provide citizenship information whether they are residing in the United States or other countries.
6. Ensure you have accounted for all dates of residence, employment and education for the time period prescribed on the form.
7. Verifiers and people who know you well, should only be used up to twice on the ENTIRE form. Family members can only be used as verifiers for unemployment.
8. If you answer any question as "I Do Not Know," you must provide an explanation in the Additional Comments section. Typing "I Do Not Know" is unacceptable. An explanation is required; otherwise your form will be electronically rejected and returned back to you for an explanation.
9. P.O. Boxes are not acceptable addresses. You must provide the street address. If the address is a rural route, add a comment stating so.
10. Section 14 - For males born after December 31, 1959, include your Selective Service Number. You may find it at <http://www.ass.gov>.
11. Section 18 - List all immediate family members as requested, annotate if deceased.
12. If you are married, separated, or legally separated, list your mother-in-law and father-in-law, including those who are deceased.
13. Section 20C - For foreign travel, you must list each trip separately. The "many short trips" option is for trips of 1-day or less.
14. If you answer yes to any question in Sections 19 through 29 you must provide detailed information.

### General Questions

1. Can I access e-QIP from my personal computer at home? Yes, e-QIP is designed to be accessible from any computer; however, your Internet browser must have a capability of 128-bit encryption.
2. Can I pre-apply for a security clearance or update my security questionnaire at any time? No, you can only access the e-QIP system if you have been instructed to do so by the Division of Facilities and Security/Personnel Security Branch (DFS/PSB).
3. Do I have to change my golden questions? Yes, for your protection you are required to change your golden questions/answers to protect your personal data from unauthorized disclosure.
4. When I try to login, e-QIP displays golden questions I don't know the answer to? Contact DFS/PSB at the contact number listed on the front cover of this brochure. Your golden questions will need to be reset.
5. Do I have to go through the form question by question, in numerical order? It is recommended that you do, but you can use the Navigation button located at the top right of your form to move from section to section.
6. Where do I get help for completing a specific question? Click the Help button located in the upper left corner of each page.
7. What's the difference between an error and a warning when validating my data? A warning alerts you to a potential problem with your data which you will be required to add additional comments. An error must be corrected. The system will not let you certify and submit your form with errors.
8. May I enter a little data at a time, or do I have to complete it in one session? You may enter a little at a time. Click the SAVE button at the bottom of your page to save your data, then click the LOG-OUT button at the top left of the screen to exit the system.



### Electronic Questionnaires for Investigations Processing (e-QIP)



### Reference Guide

Welcome to e-QIP, the Electronic Questionnaires for Investigations Processing system. e-QIP is part of an e-Government initiative sponsored by the U.S. Office of Personnel Management. It allows you to electronically enter, update, and transmit your personal investigative data over a secure Internet connection. It is used for completing the Standard Form 86 (SF-86) - Questionnaire for National Security Position, the SF-85P - Questionnaire for Public Trust Positions, and the SF-85 - Questionnaire for Non-Sensitive Positions.

### Contact

Personnel Security Branch  
Division of Facilities and Security  
Office of Administration  
301-492-3711  
301-492-3524

May 2009

9. I do not know the requested information. What do I do? Try to get the information and notify DFS/PSB that you are gathering the required information. If you are unable to get the information, make an estimation to the best of your knowledge and you must provide additional comments stating why the information is unattainable.
10. I am not sure of a date. What do I do? Estimate to the best of your ability, and check the EST checkbox.
11. I do not have a first or a middle name. What do I do? Check the NFN (no first name) or NMN (no middle name) boxes.
12. I hit the Back button and something strange happens. What's wrong? As a general rule, do not use your browser's Back button for navigation while in the e-QIP system. Always use the Navigation button at the top right of your form.
13. What happens to my form once I complete and submit it? Upon receipt of your signature pages, the form is reviewed by DFS/PSB. If there are errors, the form will be electronically rejected back to you for corrections. If there are no errors, after review, it is electronically submitted to the Office of Personnel Management for the investigation process.
14. What happens if my form is rejected? You will receive email notifying you of the error. You must correct the error and go through the ENTIRE form. As a security measure, some answers are automatically deleted because your information may have changed since the time of rejection.

*Note: All questions involving dates for yourself are validated against your birth date and must be after your birth date. You can not have gaps between your dates of residence or employments. You must list all full-time, part-time, military service, self-employment, other paid work, and unemployment. All periods must be accounted for without breaks.*

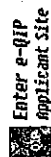
Please review the **Common Problems and Mistakes** on the back of this brochure.

For any questions on completing your form, contact the Division of Facilities and Security (DFS) at the contact number listed on the front cover of this brochure.

#### Completing Your Form:

1. Start Internet Explorer and enter the following Web site address: <http://www.opm.gov/e-qip>.

The following box will appear:



CLICK on the box.

Now the system will test your Web browser. If you get three green check marks ✓, **CLICK CONTINUE**. If you do not, go to the top of your screen, **CLICK TOOLS, INTERNET OPTIONS, ADVANCED**, scroll down to the bottom under Security and check the box "Use TLS 1.0". **CLICK APPLY**, then **CLICK OK**. Now go back to No. 1 and start over.

2. Type your **SOCIAL SECURITY NUMBER** and **CLICK SUBMIT**.

3. Enter your answer to each Golden Question. If you choose, you may **CLICK** on the box that reads: Allow me to see my Golden Answers as I type them. These should be general questions that you know the answers to, like your last name, your city of birth, and the four-digit year you were born.

**Note:** Type only the City and not the State. Then hit the **SUBMIT** button.

4. Now you are prompted to change your Golden Questions and Answers. This is because your Golden Questions will serve as your "password" to the e-QIP system. Type your questions and answers and confirm your answers by typing them again. **CLICK SUBMIT**.

You are responsible for protecting the answers to your Golden Questions.

5. Your identifying information should appear:

Full Name  
Date of Birth  
Place of Birth

Followed by this statement:

#### Complete an Investigation Request

**Note:** The system has now created an e-QIP Investigation Request number for you. This number will be printed on the signature pages you are required to print at the completion of the form.

**CLICK** on Enter Your Data.

6. **WELCOME PAGE** - Instructions for Editing Your Form Data (Begin to input your information after you have read all the instructions.)

Read the entire page and **CLICK CONTINUE**.

7. Continue reading instructions. At the bottom of the page **CLICK CONTINUE**.

8. Start entering the form with your information and **CLICK SAVE** at the bottom of each page to continue. If you make an error while entering your data, **CLICK** on **RESET THIS SCREEN** and the information will be deleted.

**Note:** If you get timed out or if you log out and return later, log back into <http://www.opm.gov/e-qip>, enter your SSN, and **CLICK SUBMIT**. Enter your Golden Questions, and **CLICK SUBMIT**.

Logging in will bring you to Step 5. Continue the process until you reach the page named Sections 1-7: Your Identifying Information. Scroll to the bottom of each page and **CLICK SAVE** until you reach the page where you want to continue. You may also use the Navigation drop down button in the right corner of your form and select the section where you want to begin and **CLICK GO**.

9. When you have completed your form through Question 29, an **ADDITIONAL COMMENTS** page appears for you to add additional comments if you choose. **CLICK SAVE**.

10. You will see a page named **CERTIFICATION** (Certification Statement Preview). If your answers are true, **CLICK CONTINUE**. If not, use the Navigation drop down button to go back to the section you want to edit.

After making corrections **CLICK SAVE** or **SAVE/CONTINUE**. Continue to **SAVE** each page to advance back to your Certification page or use your Navigation button to return to this page, then **CLICK CONTINUE**.

11. You will see a page named **EXPECTED ATTACHMENTS**. List attachments if you have any and **CLICK SAVE**.

12. You will see an optional **SUPPLEMENTAL INFORMATION** page. Provide your email address if you choose, and **CLICK SAVE**.

13. You will see a page named **VALIDATE, REVIEW AND CERTIFY**. **VALIDATE** your data, and **CLICK CONTINUE**.

**Note:** You will not be able to continue if you have validation errors. You will be instructed to correct the error(s).

14. You will see a page named **VALIDATE, REVIEW AND CERTIFY**. **REVIEW** Your Data. You may review your form by clicking on **DISPLAY** in the left corner of your screen. Do not print a copy; you will be instructed to do so later. Once reviewed **CLICK** the X in upper right corner to close. **CLICK CONTINUE**.

15. You will see a page named **VALIDATE, REVIEW AND CERTIFY**. **CERTIFY** Your Investigation Request.

**Note:** Once you do this, your Navigation drop down button will disappear, and you will no longer be able to make any changes without contacting DFS/PSB.

**CLICK** on **CERTIFY INVESTIGATION REQUEST**.

A dialog box appears while your form is being generated. **CLICK OK**.

16. **RELEASE INVESTIGATION REPORT**  
You must print the signature forms and release your form for processing.

Follow these three steps:

- 1) **CLICK** on **DISPLAY THE ARCHIVAL COPY OF THIS INVESTIGATION REQUEST FOR PRINTING**

If you get a popup box that reads, "Do you want to open or save this file?" **CLICK OPEN**. Print your form, and **CLICK** the X in upper right corner to close. (Copy for your record, do not submit to DFS).

- 2) **CLICK** on **DISPLAY THE SIGNATURE FORMS FOR PRINTING**.

If you get a popup box that reads, "Do you want to open or save this file?" **CLICK OPEN**. Print your signature pages, and **CLICK** the X in upper right corner to close. (You must print your signature pages prior to releasing the form. Once you release your form, you can not go back to print them).

- 3) **CLICK** on **RELEASE REQUEST/ TRANSMIT TO AGENCY**.

You will see a popup box reminding you to send your signature pages. **CLICK OK**. You may now **CLICK** the X in upper right corner to close and exit the system.

SEC\_RTF is not complete without U