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# Supporting Statement for Security

## Part A: Justification

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### OMB No. 1910-1800

#### *Collection Instruments*

*Security Acknowledgement (DOE Form 5631.18)*

*Request for Visitor Access Approval (DOE Form 5631.20)*

*Security Termination Statement (DOE Form 5631.29)*

*Data Report on Spouse/Cohabitant (DOE Form 5631.34)*

*The Conduct of Personnel Security Interviews Under DOE Security Regulations (DOE Form 5631.5)*

*Report of Security Incident/Infraction (DOE Form 5639.3)*

*Security Incident Notification Report (DOE F 471.1)*

*Foreign Citizenship Acknowledgement (DOE F 472.3)*

*Security Badge Request (DOE Form 473.2)*

*U.S. Department of Energy Clearance Access Request (DOE Form 473.3)*

*Electronic Foreign-Ownership, Control, or Influence System (e-FOCI) (SF-328)*

*Foreign Access Central Tracking System (FACTS)*

*U.S. Department of Energy Personnel Security Information Reporting Form (DOE F 272.2)*



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## Introduction

**Provide a brief introduction of the Information Collection Request. Include the purpose of this collection, note the publication of the 60-Day Federal Register Notice, and provide the list of forms within this collection.**

This supporting statement provides information regarding the Department of Energy (DOE) Paperwork Reduction Act submission request pertaining to the Security information collection. This is a revision of a recently approved information collection request, a new collection instrument *U.S. Department of Energy Personnel Security Information Reporting Form – DOE F 272.2* is now being included apart of this collection.

The purpose of this collection is to protect national security and other critical assets entrusted to the Department.

The Department published a 60-day Federal Register Notice and Request for Comments concerning this collection in the Federal Register on August 10, 2021. The notice described the collection and invited interested parties to submit comments or recommendations regarding the collection. No comments were received.

Information in the collection is collected through a series of methods (listed below):

- Security Acknowledgement (DOE Form 5631.18)
- Request for Visitor Access Approval (DOE Form 5631.20)
- Security Termination Statement (DOE Form 5631.29)
- Data Report on Spouse/Cohabitant (DOE Form 5631.34)
- The Conduct of Personnel Security Interviews Under DOE Security Regulations (DOE Form 5631.5)
- Report of Security Incident/Infraction (DOE Form 5639.3)
- Security Incident Notification Report (DOE F 471.1)
- Foreign Citizenship Acknowledgement (DOE F 472.3)
- Security Badge Request (DOE Form 473.2)
- U.S. Department of Energy Clearance Access Request (DOE Form 473.3)
- Electronic Foreign-Ownership, Control, or Influence System (e-FOCI) (SF-328)
- Foreign Access Central Tracking System (FACTS)
- U.S. Department of Energy Personnel Security Information Reporting Form (DOE F 272.2)

### A.1. Legal Justification

**Explain the circumstances that make the collection of information necessary. Identify any legal or administrative requirements that necessitate the collection. Attach a copy of the appropriate section of each statute and regulation mandating or authorizing the information collection.**

The collection of this information from government contractors, private industry and/or private individuals is used to protect national security and other critical assets entrusted to the Department.

The basic authority for these collections is the statute establishing the DOE, the “Department of Energy Organization Act,” Public Law 95-91, of August 4, 1977, which vests the Secretary of Energy with the executive direction and management functions, authority, and responsibilities for the Department,

including security policy and contract management. Section 214 of the Law states “[t]he Secretary shall be responsible for developing and promulgating the security, counterintelligence, and intelligence policies of the Department.” Section 644 (42 U.S.C. § 7254) states “[t]he Secretary is authorized to prescribe such procedural and administrative rules and regulations as he may deem necessary or appropriate to administer and manage the functions now or hereafter vested in him;” and Section 646(a) (42 U.S.C. § 7256(a)) states “[t]he Secretary is authorized to enter into and perform such contracts, leases, cooperative agreements, or other similar transactions with public agencies and private organizations and persons, and to make such payments (in lump sum or installments, and by way of advance or reimbursement) as he may deem to be necessary or appropriate to carry out functions now or hereafter vested in the Secretary.”

It should be noted that the costs incurred by DOE contractors in providing the information collections in this package are recovered in their contract fees and payments. In this sense, they differ from information collections imposed on the general public for which no cost reimbursement is provided. In addition, M&O contractors provide input concerning information collection requirements during contract negotiation. In this regard, they have agreed that the resulting information collections are required for the administration of these contracts and are accepted as a normal business practice. Finally, DOE is most interested in keeping the reporting burden at a minimum to reduce expenditures. Therefore, only basic management and program-type information is collected from contractors to properly manage these contracts and carry out the myriad statutory and other functions of the Department requiring contractor support.

## **A.2. Needs and Uses of Data**

**Indicate how, by whom, and for what purpose the information is to be used. Except for a new collection, indicate the actual use the agency has made of the information received from the current collection.**

As noted above, the information obtained from DOE contractors, private industry and/or private individuals by these information collections (see descriptions below) is used by Departmental management to manage the contracts concerned with the best interests of the Department and the Federal government. To adequately accomplish this task, certain basic management and program-type information must be collected. Information collections made from businesses and citizens are for national security purposes. If these collections were not made, it would become very difficult, if not impossible, to properly manage these contracts and carry out the myriad statutory and other functions of the Department requiring contractor support.

### **Security Acknowledgement - DOE F 5631.18**

In accordance with the Atomic Energy Act of 1954, as amended; Executive Order (E.O.) 12968, Access to Classified Information; and E.O. 13764, Amending the Civil Service Rules, Executive Order 13488, and Executive Order 13467 To Modernize the Executive Branch-Wide Governance Structure and Processes for Security Clearances, Suitability and Fitness for Employment, and Credentialing, and Related Matters, DOE ensures that individuals are aware of the obligations associated with having access to Restricted Data (RD) and an understanding of what types of information that may raise a doubt as to their eligibility for DOE access authorization. Individuals, both Federal and contractor employees, complete a certification known as “Security Acknowledgement” to document their understanding of

Restricted Data and other classified information, as well as their responsibilities associated with having access to such information. This form is automated to the extent possible and allows use of digital signatures. This form is used in lieu of the Standard Form 312 (SF-312), Classified Information Non-Disclosure Agreement as the SF-312 does not refer to RD and the penalties and responsibilities associated with RD. DOE O 472.2, "Personnel Security," and any revisions thereto, contain the Departmental policy for this collection.

**Request for Visitor Access Approval - DOE F 5631.20**

In accordance with DOE O 470.4B, Appendix B, Section 4 contains procedures to verify the visitor's identity, programmatic need-to-know, and that the visitor's clearance or access authorization is at least equal to the classification of the information to which access is being requested are in place. DOE F 5631.20 "Request for Visit or Access Approval" forms must be completed by DOE Federal and contractor employees to obtain programmatic approval for Sigma access. This form does not need to be submitted to visit Department facilities. A DOE security badge will serve as evidence of DOE access authorization. Other Government Agency (OGA) and OGA Contractor employees must also use this form or one similar in content to obtain access approval for visits to DOE facilities.

**Security Termination Statement - DOE F 5631.29**

In accordance with the Atomic Energy Act of 1954, as amended; Executive Order (E.O.) 12968, Access to Classified Information, and E.O. 13764, Amending the Civil Service Rules, Executive Order 13488, and Executive Order 13467 To Modernize the Executive Branch-Wide Governance Structure and Processes for Security Clearances, Suitability and Fitness for Employment, and Credentialing, and Related Matters, DOE ensures that individuals are aware of the obligations associated with the forthcoming termination of their access authorizations (security clearance) granted by DOE. Individuals, both Federal and contractor employees, complete a certification known as "Security Termination Statement" in order to ensure their understanding of their continued responsibility for protecting Restricted Data and other classified information to which they had knowledge of or access to while possessing a DOE access authorization. The form requests that the individual provide their name, social security number, date of birth, future residence, and future employer (as applicable). DOE O 472.2, "Personnel Security," DOE O 470.4B, "Safeguards and Security Program," and any revisions thereto, contain the Departmental policy for this collection.

**Data Report on Spouse/Cohabitant - DOE F 5631.34**

In accordance with Executive Order (E.O.) 12968; Access to Classified Information; and E.O. 13764, Amending the Civil Service Rules, Executive Order 13488, and Executive Order 13467 To Modernize the Executive Branch-Wide Governance Structure and Processes for Security Clearances, Suitability and Fitness for Employment, and Credentialing, and Related Matters, the Department of Energy (DOE) must request an investigation into an individual's character, associations, and loyalty prior to granting access to DOE classified information. This form requires that the individual provide information on not only themselves, but on their spouse or cohabitant with whom they have a spouse-like relationship or similar bond of affection. Individuals, both Federal and contractor employees, who marry or cohabitate subsequent to the granting of an access authorization, must complete a collection of information known as the "Data Report on Spouse/Cohabitant," in order to provide required information including the

spouse/cohabitant's name, social security number, date and place of birth, address and country of citizenship. This information is used in the personnel security investigative process. This form is automated to the extent possible and allows use of digital signatures. DOE O 472.2, "Personnel Security," and any revisions thereto, contain the Departmental policy for this collection.

#### **The Conduct of Personnel Security Interviews Under DOE Security Regulations - DOE F 5631.5**

In accordance with the Atomic Energy Act of 1954, as amended, Executive Order (E.O.) 12968, Access to Classified Information, and E.O. 13764, Amending the Civil Service Rules, Executive Order 13488, and Executive Order 13467 To Modernize the Executive Branch-Wide Governance Structure and Processes for Security Clearances, Suitability and Fitness for Employment, and Credentialing, and Related Matters, if the DOE Cognizant Personnel Security Office (CPSO) needs to obtain additional information in reference to a security concern, as a last resort, and with approval of the Chief Security Officer the DOE CPSO may conduct a personnel security interview. Conducting the interview requires that the individual be advised of the process and of the ramifications of non-cooperation, and/or providing false or misleading information. Individuals, both Federal and contractor employees, complete a certification known as the "The Conduct of Personnel Security Interviews Under DOE Security Regulations," in order to ensure the individual's understanding of the interview process. DOE O 472.2, "Personnel Security," and any revisions thereto, contain the Departmental policy for this collection.

#### **Security Incident Notification Report and Report of Preliminary Security Incident/Infraction - DOE F 5639.3 & DOE F 471.1**

The 50 United States Code (USC) 2656 requires the Secretary of Energy to notify the Committees on Armed Services of the Senate and House of Representatives of each "significant nuclear defense intelligence loss." 32 CFR 2001.47 requires "any person who has knowledge that classified information has been or may have been lost, possibly compromised or disclosed to an unauthorized person(s) shall immediately report the circumstances to an official designated for this purpose." This collection is used to document the events, facts, and circumstances surrounding security incidents. Reports are completed to document the facts and circumstances for security incidents. DOE O 470.4B, "Safeguards and Security Program," Attachment 5, Incidents of Security Concern, contain the Departmental policy for this collection.

#### **United States Department of Energy, Foreign Citizenship Acknowledgement - DOE F 472.3**

In accordance with Security Executive Agent Directive 4, National Security Adjudicative Guidelines, "... By itself; the fact that a U.S. citizen is also a citizen of another country is not disqualifying without an objective showing of such conflict or attempt at concealment." U.S. citizens holding citizenship are required to sign a DOE F 472.3 wherein they acknowledge the fact that exercising any right resulting from your foreign citizenship, or through the foreign citizenship of a family member, unless specifically authorized in advance, in writing, by your servicing DOE Cognizant Personnel Security Office may result in the suspension and/or revocation of your access authorization/security clearance. This form is automated to the extent possible to allow for filling out the form and digitally signing it. DOE O 472.2, "Personnel Security," and any revisions thereto, contain the Departmental policy for this collection.

### **Security Badge Request - DOE Form 473.2**

This form is used to facilitate the process of requesting and approving a Homeland Security Presidential Directive (HSPD-12) security credential for all DOE contractors.

### **U.S. Department of Energy Clearance Access Request - DOE F 473.3**

In accordance with DOE Order 472.2, all Cognizant Personnel Security Offices (CPSO) must receive a justification and clearance access request for each individual needing a security clearance or access request at DOE. This form is automated in the Clearance Action Tracking System (CATS); however, some DOE offices do not have access to this function in CATS and those offices submit the form through encrypted emails to the appropriate CPSO for processing and ingestion into the appropriate electronic personnel security file. Outside of the automation in CATS, this form is automated to the extent possible to allow for filling out the form and digitally signing it. DOE O 472.2, "Personnel Security," and any revisions thereto, contain the Departmental policy for this collection.

### **U.S. Department of Energy Personnel Security Information Reporting Form – DOE F 272.2 (New)**

In accordance with Security Executive Agent Directive (SEAD) 3, Reporting Requirements for Personnel with Access to Classified Information or Who Hold a Sensitive Position, all covered individuals incur a special and continuing security obligation to be aware of the risks associated with foreign intelligence operations and/or possible terrorist activities directed against them in the United States and abroad. These individuals also have a responsibility to recognize and avoid personal behaviors and activities that may adversely impact their continued national security eligibility. Covered individuals shall report to their agency head or designee any planned or actual involvement in any of the activities outlined in the SEAD prior to participation in such activities or otherwise as soon as possible following the start of their involvement. Heads of agencies or designees shall conduct an analysis of such reported activities to determine whether they pose a potential threat to national security and take appropriate action. DOE O 472.2A, "Personnel Security," and any revisions thereto, contain the Departmental policy for this collection.

### **Foreign Ownership, Control, or Influence (FOCI) - SF-328**

In accordance with Executive Order 12829 (as amended) DOE must ensure the protection of classified information released to its contractors. The SF-328 is collected from bidders on DOE contracts requiring access authorizations (entity eligibility determinations). The information is required for DOE to (1) collect and analyze pertinent FOCI information, (2) validate reported FOCI information, and (3) adjudicate FOCI cases. This data must also be submitted by the bidder's tier parents, if any. The bidder and, if applicable, each tier parent must submit a completed SF-328, "Certificate Pertaining to Foreign Interests," a list of Key Management Personnel (KMP) to include its owners, officers, directors, and executive personnel that discloses the following for each: full name; all company titles/positions held; date and place of birth; social security number; and personnel security clearance, if any. The list must also provide the company's legal name, physical address of the facility location, and address of the company's principal executive offices, if different from the physical address. DOE O 470.4B, "Safeguards and Security Program" and any revisions thereto, contain the Departmental policy for this collection.

### **Foreign Access Central Tracking System - (FACTS)**



The Foreign Access Central Tracking System (FACTS) is the secure unclassified DOE national electronic tracking system that facilitates appropriate reviews and records approvals of visits and assignments by foreign nationals, and provides a historical database of biographical, visit and assignment, and approval information for the DOE complex. The system was created in response to the Presidential Decision Directive 61, Energy Department Counterintelligence, which recognized the need, at the executive level, to create a system to track foreign national visits and assignment information at DOE sites. DOE O 142.3B, Unclassified Foreign National Access Program, contains the Departmental policy for this collection.

### **A.3. Use of Technology**

**Describe whether, and to what extent, the collection of information involves the use of automated, electronic, mechanical, or other technological collection techniques or other forms of information technology, e.g., permitting electronic submission of responses.**

Within existing budget and resource constraints, Department program managers and contractors continually work to automate previously manual processes, where appropriate. Currently 83% of this collection is collected electronically, nine of our collection forms can be electronically signed and submitted via e-mail with Encryption. Two of our collection forms are undergoing revision to electronic signature but can be scanned and submitted via e-mail with Encryption. Our final collection instrument (FACTS) is an electronic tracking system in which entries are made directly into the system.

### **A.4. Efforts to Identify Duplication**

**Describe efforts to identify duplication.**

The collections contained in this package are applicable to contract management in DOE, collected by DOE to respond to interagency requests, or collected from businesses and citizens for national security purposes. Therefore, meaningful duplication of these collections in other agencies is unlikely.

### **A.5. Provisions for Reducing Burden on Small Businesses**

**If the collection of information impacts small businesses or other small entities, describe any methods used to minimize burden.**

The impact of the collection of information from small businesses is considered in the development of the contract requirements and documents and is minimized to the extent permitted by applicable statutory requirements, and other legal, and management constraints.

### **A.6. Consequences of Less-Frequent Reporting**

**Describe the consequence to Federal program or policy activities if the collection is not conducted or is conducted less frequently, as well as any technical or legal obstacles to reducing burden.**

The frequency of collection is dictated by sound management practices, external laws and regulations, requirements of interagency reports, and Departmental orders and requirements. If these collections were not made, it would be very difficult, if not impossible, to properly manage the security program at DOE for national security purposes.

## **A.7. Compliance with 5 CFR 1320.5**

**Explain any special circumstances that require the collection to be conducted in a manner inconsistent with OMB guidelines:**

- (a) requiring respondents to report information to the agency more often than quarterly;**
- (b) requiring respondents to prepare a written response to a collection of information in fewer than 30 days after receipt of it;**
- (c) requiring respondents to submit more than an original and two copies of any document;**
- (d) requiring respondents to retain records, other than health, medical government contract, grant-in-aid, or tax records, for more than three years;**
- (e) in connection with a statistical survey, that is not designed to product valid and reliable results that can be generalized to the universe of study;**
- (f) requiring the use of statistical data classification that has not been reviewed and approved by OMB;**
- (g) that includes a pledge of confidentiality that is not supported by authority established in stature of regulation, that is not supported by disclosure and data security policies that are consistent with the pledge, or which unnecessarily impedes sharing of data with other agencies for compatible confidential use; or**
- (h) requiring respondents to submit proprietary trade secrets, or other confidential information unless the agency can demonstrate that it has instituted procedures to protect the information's confidentiality to the extent permitted by law.**

There are none. The package is consistent with OMB guidelines.

## **A.8. Summary of Consultations Outside of the Agency**

**If applicable, provide a copy and identify the date and page number of the publication in the Federal Register of the agency's notice, required by 5CFR 320.8(d), soliciting comments on the information collection prior to submission to OMB. Summarize public comments received in response to that notice and describe actions taken in response to the comments. Specifically address comments received on cost and hour burden. Describe efforts to consult with persons outside DOE to obtain their views on the availability of data, frequency of collection, the clarity of instructions and recordkeeping, disclosure, or reporting format (if any), and on the data elements to be recorded, disclosed, or report.**

The Department published a 60-day Federal Register Notice and Request for Comments concerning this collection in the Federal Register on December 12, 2022, volume 87, number 237, page 76031. The

Notice described the collection and invited interested parties to submit comments or recommendations regarding the collection. No comments were received. We have not consulted with anyone outside of DOE to obtain their views on the availability of data, frequency of collection, the clarity of instructions and recordkeeping, disclosure, or reporting format (if any), and on the data elements to be recorded, disclosed, or report.

The Department subsequently published a 30-day Federal Register Notice and Request for Comments concerning this collection in the Federal Register on March 21, 2023, volume 88, number 54, page 16963. Comments for this notice are due April 20, 2022.

### **A.9. Payments or Gifts to Respondents**

**Explain any decision to provide any payment or gift to respondents, other than remuneration of contractors or grantees.**

There is no remuneration given for submission of any of the information other than the expense of responding is treated as an allowable cost for contractors.

### **A.10. Provisions for Protection of Information**

**Describe any assurance of confidentiality provided to respondents and the basis for the assurance in statute, regulation, or agency policy.**

Where sensitive and/or confidential information is involved in an information collection, the provisions for dealing with this confidential information are set forth in the contract documents and the related Departmental regulations, and are normal to the handling of management and program information by the Department.

### **A.11. Justification for Sensitive Questions**

**Provide additional justification for any questions of a sensitive nature, such as sexual behavior and attitudes, religious beliefs, and other matters that are commonly considered private. This justification should include the reasons why DOE considers the questions necessary, the specific uses to be made of the information, the explanation to be given to persons from whom the information is requested, and any steps to be taken to obtain their consent.**

Collections that involve questions of a sensitive, personal, or private nature, including Personally Identifiable Information (PII), are protected from disclosure under Departmental directives.

- Electronic Foreign-Ownership, Control, or Influence System (e-FOCI) collects information on ownership or influence from foreign persons including if a foreign person has financial influence on a DOE contractor or one bidding on DOE contracts requiring access authorizations (personnel security clearances). A DOE Privacy Impact Assessment (PIA) has been issued for e-FOCI (Project Unique ID: 019-10-01-22-3078-00).
- Foreign Access Central Tracking System (FACTS) is DOE's secure unclassified national electronic tracking system that facilitates appropriate reviews and records approvals of visits and assignments by foreign nationals, and provides a historical database of biographical, visit and assignment, and approval information for the DOE complex. The system was created in response

to Presidential Decision Directive 61. A DOE PIA has been issued for FACTS (Project Unique ID: 019-10-01-22-7013-00).

- The following Personnel Security forms have Privacy Act Statements on the back or second page of each form.
  - o Security Acknowledgement (DOE Form 5631.18)
  - o U.S. Department of Energy Personnel Security Information Reporting Form (DOE Form 272.2)
  - o Request for Visitor Access Approval (DOE Form 5631.20)
  - o Security Termination Statement (DOE Form 5631.29)
  - o Data Report on Spouse/Cohabitant (DOE Form 5631.34)
  - o The Conduct of Personnel Security Interviews Under DOE Security Regulations (DOE Form 5631.5)
  - o Security Badge Request (DOE Form 473.2)
  - o U.S. Department of Energy Clearance Access Request (DOE Form 473.3)
- The following two forms document events and circumstances surrounding security incidents:
  - o Security Incident Notification Report (DOE Form 471.1), requests that a security classification level be identified, and documents events and circumstances surrounding security incidents.
  - o Report of Security Incident/Infraction (DOE Form 5639.3), has PII, requests a security classification level, and has the Privacy Act Statement on the form.

#### PII Directives/Guidance:

- In accordance with the Privacy Act, DOE has established requirements for the protection of PII with DOE Order 206.1, DOE Privacy Program, and DOE Order 205.1B, Department of Energy Cyber Security Program.
- Privacy Act of 1974, as amended at Title 5 U.S.C. § 552(a), Section 208 of the E-Government Act of 2002.
- DOE employees are made aware of their responsibilities to protect PII through the mandatory DOE Privacy Awareness Training: The Privacy Act and Safeguarding PII.

*Federal Register Notice*, January 9, 2009, Privacy Act of 1974, Publication of Privacy Act Systems of Records; Notice/Volume 74, No. 6.

- Personnel Security Clearance Files (DOE-43)
- Employee and Visitor Access Control Records (DOE-51)
- Access Control Records of International Visits, Assignments, and Employment at DOE Facilities and Contractor Sites (DOE-52)

### **A.12A. Estimate of Respondent Burden Hours**

**Provide estimates of the hour burden of the collection of information. The statement should indicate the number of respondents, frequency of response, annual hour burden, and an explanation of how the burden was estimated. Unless directed to do so, DOE should not conduct special surveys to obtain information on which to base hour burden estimates. Consultation with a sample fewer than 10 potential respondents is desirable.**

The estimated burden hours are the sum of the burden reported by Departmental elements and field organizations as compiled from their respective contractors, or estimated by expert personnel familiar with these collections.

Total Number of Unduplicated Respondents = 100,661  
 Reports Filed per Person = 1.08901163 One report filed per person  
 Total Annual Responses = 109,621  
 Total Annual Burden Hours = 25,751  
 Average Burden per Collection = .16 hr  
 Average Burden per Applicant = .18 hr

**Table A1. Estimated Respondent Hour Burden**

Collection Instrument	Estimated Annual Responses	Reports per respondent	Estimated Annual Respondents	Approx Time to Complete each response (mins)	Estimated Annual Burden Hours	Average Burden Hours Per Collection	Average Burden Per Hours Applicant
DOE F 272.2 (New)	25,000	1	25,000	30	12,500	.50	.50
DOE F 5631.18	11,000	1	11,000	15	2,750	.25	.25
DOE F 5631.20	7,400	1	7,400	2.5	308	.04	.04
DOE F 5631.29	6,200	1	6,200	5	517	.08	.08
DOE F 5631.34	300	1	300	15	75	.25	.25
DOE F 5631.5	150	1	150	5	13	.09	.09
DOE F 5639.3	88	1	88	25	37	.42	.42
DOE F 471.1	494	1	494	10	82	.17	.17
DOE F	100	1	100	5	8	.08	.08

472.3							
DOE F 473.2	1,320	1	1,320	3	66	.05	.05
DOE F 473.3	6,000	1	6,000	3	300	.05	.05
SF 328	500	1	500	70	583	1.17	1.17
FACTS	51,069	1.21278	42,109	10	8,512	.17	.17
TOTALS	109,621	1.08901163	100,661		25,751	.25	.25

### A.12B. Estimate of Annual Cost to Respondent for Burden Hours

Provide estimates of annualized cost to respondents for the hour burdens for collections of information, identifying and using appropriate wage rate categories. The cost of contracting out or paying outside parties for information collection activities should not be included here. Instead, this cost should be included under ‘Annual Cost to Federal Government’.

Estimates have been determined to reflect total annual costs by basing the average contractor hourly rate from DOE’s Headquarters security contract (chart attached):

The total annual cost burden for both recordkeeping and reporting requirements for respondents is estimated to be \$1,192,590.

**Table A2. Estimated Respondent Cost Burden**

Collection Instrument	Estimated Annual Burden Hours	Estimated Average Hourly Wage for Respondents or Recordkeepers (fully burdened)	Estimated Annual Costs
DOE F 272.2 (New)	12,500	\$90	\$1,125,000
DOE F 5631.18	2,750	\$90	\$247,500
DOE F 5631.20	308	\$90	\$27,720
DOE F 5631.29	517	\$90	\$46,530
DOE F 5631.34	75	\$90	\$6,750

DOE F 5631.5	13	\$90	\$1,170
DOE F 5639.3	37	\$90	\$3,330
DOE F 471.1	82	\$90	\$7,380
DOE F 472.3	8	\$90	\$720
DOE F 473.2	66	\$90	\$5,940
DOE F 473.3	300	\$90	\$27,000
SF 328	583	\$90	\$52,470
FACTS	8,512	\$90	\$766,080
TOTALS	25,751		\$2,317,590

### **A.13. Other Estimated Annual Cost to Respondents**

**Provide an estimate for the total annual cost burden to respondents or recordkeepers resulting from the collection of information.**

There are no costs to respondents or recordkeepers other than those given in Section A12B.

### **A.14. Annual Cost to the Federal Government**

**Provide estimates of annualized cost to the Federal government.**

The Office of the Associate Under Secretary for Environment, Health, Safety and Security provides \$428K to Argonne National Laboratory (ANL) in support of e-FOCI Operation and Maintenance. The National Nuclear Security Administration (NNSA) provides an additional \$150K directly to ANL.

The cost for the Foreign Access Central Tracking System (FACTS) is \$680,000.

The other collection instruments have no cost to the federal government.

The grand total estimated annualized cost is \$1,258,000.

### **A.15. Reasons for Changes in Burden**

**Explain the reasons for any program changes or adjustments reported in Items 13 (or 14) of OMB Form 83-I.**

Changes in the 1910-1800 Security Package collection are listed below:

**U.S. Department of Energy Personnel Security Reporting Form (DOE F 272.2):**

In accordance with Security Executive Agent Directive (SEAD) 3, Reporting Requirements for Personnel with Access to Classified Information or Who Hold a Sensitive Position, all covered individuals incur a special and continuing security obligation to be aware of the risks associated with foreign intelligence operations and/or possible terrorist activities directed against them in the United States and abroad. These individuals also have a responsibility to recognize and avoid personal behaviors and activities that may adversely impact their continued national security eligibility. Covered individuals shall report to their agency head or designee any planned or actual involvement in any of the activities outlined in the SEAD prior to participation in such activities or otherwise as soon as possible following the start of their involvement. The Department has a cleared population of approximately 100,000 and all are required to report on activities including arrest, foreign activities, name changes, association with foreign nationals, elicitation or attempted elicitation, mental health, unofficial foreign travel (planned and completed), contact with foreign intelligence, family residing in a sensitive country, drug/alcohol involvement, marriage/cohabitation, financial anomalies, and contact with the media. Under the Continuous Vetting Process outlined in Trusted Workforce 2.0 and SEAD 3, each Cognizant Personnel Security Office collects this information for review, investigation by the Defense Counterintelligence and Security Agency (as necessary), and adjudication to determine if a cleared individual continues to meet the requirements for holding a security clearance or a favorable access determination. This form was not originally included in the Information Collection that was approved with an expiration date of 6/30/2025.

**Table A3. ICR Summary of Burden**

	<b>Requested</b>	<b>Program Change Due to Agency Discretion</b>	<b>Change Due to Adjustment in Agency Estimate</b>	<b>Previously Approved</b>
Total Number of Responses	109,621		+25,000	84,621
Total Time Burden (Hr)	25,751		+12,500	13,251
Total Cost Burden	2,317,590		+\$1,125,000	\$1,192,590

**A.16. Collection, Tabulation, and Publication Plans**

**For collections whose results will be published, outline the plans for tabulation and publication.**

This package contains no collections for which results will be published for statistical use.

**A.17. OMB Number and Expiration Date**

**If seeking approval to not display the expiration date for OMB approval of the information collection, explain the reasons why display would be inappropriate.**

The Department is not seeking approval to not display the expiration date for OMB approval of this information collection. This ICR submission is a renewal, requesting approval of an existing ICR.

**A.18. Certification Statement**

**Explain each exception to the certification statement identified in Item 19 of OMB Form 83-I.**



The Department is not requesting any exceptions to the certification statement provided in Item 19 of OMB Form 83-I. This ICR submission is a renewal, requesting approval of an existing ICR.