

ORO CONTROL FORM - FINAL DIRECTIVE

PART A (To be completed by the Division of Primary Interest (DPI))

1. **NUMBER AND TITLE OF DIRECTIVE:** **ORO O 470, Chapter I, Change 3, SAFEGUARDS AND SECURITY PROGRAM**

2. **PURPOSE OF TRANSMITTAL:** New Directive Revised Directive

3. **THIS DOCUMENT MAY AFFECT THE WORK PERFORMED BY THE FOLLOWING CONTRACTORS:** (Check appropriate boxes)

No (all contractors)

Yes If yes, whom? Bechtel Jacobs Co. ORAU UT-Battelle ISOTEK (Bldg. 3019, ORNL)

Other contractors (list by type) All, except facilities and activities regulated by NRC.

Many ORO contractors have approved Standards/Requirements Identification Documents (S/RIDs) or Work Smart Standards (WSS) Sets that may affect applicability of contractor requirements from this directive. Applicability of contractor requirements must take into account the approved standards set for each particular contract.

4. **SIGNIFICANT PROVISIONS:** Are there any significant changes or impacts? No Yes
If yes, describe: This ORO Chapter is part of the ORO sunset review process. Changes to this Chapter include updating the organization title in Paragraph 4a and organization acronym in following paragraphs.

5. **CONTACT POINT:** Linda Eble Office of Safeguards, Security, & Emergency Mgt, OS-20 576-6963
Name Organization Telephone

PART B (To be completed by the Directives Management Group (DMG)):

6. **FILING INSTRUCTIONS:**

<u>Remove</u>	<u>Dated</u>	<u>Insert</u>	<u>Dated</u>
ORO Control Form	07/31/2002	ORO Control Form	10/29/2004
ORO O 470, Ch. I, Chg. 2	07/31/2002	ORO O 470, Ch. I, Chg. 3	10/29/2004

ORO Directives are available on the ORO Directives Management Group Home Page at http://www.ornl.gov/doe/doe_oro_dmg/oro_dir.htm. The ORO Directives will no longer be mailed in printed copy unless you do not have Internet capabilities.

7. **APPROVED FOR DISTRIBUTION IN ACCORDANCE WITH THE OFFICIAL DIRECTIVES DISTRIBUTION LIST:**

Original Signed By
Wayne H. Albaugh 10/29/2004
Signature: DMG Team Leader, AD-440 Date

INSTRUCTIONS TO ADDRESSEES: THIS FORM IS TO BE FILED WITH THE DIRECTIVE AND RETAINED

NNSA/YSO CONTROL FORM – FINAL DIRECTIVE

PART A (To be completed by the ORO DIRECTIVES MANAGEMENT GROUP, AD-440):

DIRECTIVE NUMBER, TITLE, AND DATE:

ORO O 470, CHAPTER I, CHANGE 3, SAFEGUARDS AND SECURITY PROGRAM, dated 10/29/2004

PURPOSE OF TRANSMITTAL: New Directive Revised Directive

DOES THIS DIRECTIVE CANCEL/REPLACE OR EXTEND ANY OTHER DIRECTIVES? Yes No
If "Yes," list what action (cancel/replace or extend) and list the Directive(s), including the number(s), title(s), and date(s):

This Directive cancels and replaces ORO O 470, Chapter I, Change 2, SAFEGUARDS AND SECURITY PROGRAM, dated 07/31/2002.

The attached Directive is forwarded for review and action. Complete Part B and forward this form to ORO DMG, AD-440, by 11/15/2004.

PART B (To be completed by the NNSA Y-12 SITE OFFICE, Y12-01):

CONTRACTOR APPLICABILITY:

Does this Directive affect the work performed by BWXT Y-12, L.L.C.? Yes No

Does this Directive affect the work performed by BWXT Y-12, L.L.C., subcontractors? Yes No

If "Yes," list the subcontractors:

Many contractors have approved Standards/Requirements Identification Documents (S/RID) or Work Smart Standards (WSS) Sets that may affect applicability of contractor requirements from this Directive. Applicability of contractor requirements must take into account the approved standards set for each particular contract.

SIGNIFICANT PROVISIONS: Are there any significant changes or impacts? Yes No

List summary of Directive changes and, if "Yes" above, describe the significant changes or impacts:

IMPLEMENTATION: Does the Directive contain special implementation requirements and/or dates? Yes No
If "Yes," describe:

FOR DOE DIRECTIVE – SUPPLEMENTAL DIRECTIVE REQUIRED?

Is a new or revised supplemental Directive required? Yes No

If "Yes," target date for submission of YSO Directive is _____.

IDENTIFY CONTACT POINT: Donat R. St. Pierre 241-8139
Name Telephone

APPROVED BY COR FOR DIRECTIVES: Diane McCarten 11/05/2004 576-9330
Signature Date Telephone

PART C (To be completed by the ORO DIRECTIVES MANAGEMENT GROUP, AD-440):

DOE Directives are available on the DOE Directives Portal at <http://www.directives.doe.gov/>. ORO Directives are available on the ORO Directives Management Group Home Page at http://www.ornl.gov/doe/doe_oro_dmg/oro_dir.htm. Directives will no longer be mailed in printed copy unless you do not have Internet capabilities.

APPROVED FOR DISTRIBUTION IN ACCORDANCE WITH OFFICIAL DIRECTIVE DISTRIBUTION LIST:

Wayne H. Albaugh, AD-440 11/09/2004
Name Date

INSTRUCTIONS TO ADDRESSEES: THIS FORM IS TO BE FILED WITH THE DIRECTIVE AND RETAINED.

(Revised 11/06/2003)

U.S. Department of Energy

Oak Ridge Operations

ORO O 470
Chapter I
Change 3

DATE: 10/29/2004

SUBJECT: SAFEGUARDS AND SECURITY PROGRAM

1. PURPOSE. This Chapter correlates to DOE O 470.1, Change 1, SAFEGUARDS AND SECURITY PROGRAM, dated June 21, 1996, by assigning responsibility and accountability and providing administrative and/or contractual guidance to Oak Ridge Operations (ORO), the Office of Scientific and Technical Information (OSTI), and their contractors. Nothing in this issuance changes any requirements contained in any Department of Energy (DOE) Directive.
2. CANCELLATION. This Chapter cancels and replaces ORO O 470, Chapter I, Change 2, SAFEGUARDS AND SECURITY PROGRAM, dated July 31, 2002.
3. APPLICABILITY. The provisions of this Chapter apply to ORO and OSTI Principal Staff, management and operating (M&O) contractors, and other contractors and subcontractors performing work involving access to or responsibility for classified facilities, classified information, or special nuclear materials as provided by law and/or contract and as implemented by the appropriate contracting officer.
4. RESPONSIBILITIES.
 - a. Assistant Manager for Safeguards, Security, and Emergency Management (SSEM).
 - (1) Performs those tasks identified in DOE O 470.1, Change 1, subparagraphs 5k(1)(a)-(d) and (g)-(1); and 5k(2).
 - (2) Performs those tasks assigned to "lead responsible office" in DOE O 470.1, Change 1, Chapters V-X.
 - (3) Serves as the primary point of contact for deviation requests in accordance with DOE O 470.1, Change 1, subparagraph 4f.
 - b. Assistant Director for Administration and Information Services, OSTI, who serves as the OSTI Security Manager, appoints a Security Education Coordinator who is responsible for the implementation of the requirements of DOE O 470.1, Change 1, and the provisions of this Directive.
 - c. Office of Chief Counsel, ORO, provides advice on Foreign Ownership Control or Influence issues as needed.

- d. Director, Procurement and Contracts Division, performs tasks identified in DOE O 470.1, Change 1, subparagraph 5k(1)(e).
- e. Director, Planning and Budget Division.
 - (1) In coordination with the Contracting Officer's Representatives, makes appropriate funding arrangements for necessary equipment, as required in DOE O 470.1, Change 1, subparagraph 5k(2)(e).
 - (2) Coordinates preparation of the annual budget formulation request for the safeguards and security crosscut and ensures review by ORO staff before submission to Headquarters.
- f. Principal Staff.
 - (1) Under whose supervision procurement requests are initiated, perform those tasks identified in DOE O 470.1, Change 1, subparagraph 5m.
 - (2) With concurrence of SSEM approve variances and waivers consistent with the criteria of DOE O 470.1, Change 1, subparagraphs 4f(1) and (2).
 - (3) Recommend approval of and submit to SSEM any exception under DOE O 470.1, Change 1, subparagraph 4f(3).
- g. Contracting Officer's Representatives.
 - (1) Develop, validate, and submit to SSEM for approval security plans or Site Safeguards and Security Plans in accordance with the requirements of DOE O 470.1, Change 1, Chapter I, Paragraph 4.
 - (2) When necessary, submit exception requests to SSEM in accordance with the requirements of DOE O 470.1, Change 1, subparagraph 4f(3).
 - (3) Perform those tasks identified in DOE O 470.1, Change 1, subparagraph 5j; and Chapter V, subparagraph 7b(2).
- 5. REQUIREMENTS AND PROCEDURES. None.
- 6. REFERENCES. None.
- 7. DEFINITIONS. None.
- 8. CONTRACTOR REQUIREMENTS DOCUMENT. See Contractor Requirements Document, Attachment 1 of this Chapter.
- 9. ATTACHMENTS.
 - a. Attachment 1 - Contractor Requirements Document.

CONTRACTOR REQUIREMENTS DOCUMENT

Contractors identified in Paragraph 3 of this Chapter will accomplish the following, to the extent set forth in their contract:

1. Develop a site-specific safeguards and security program that is consistent with Department of Energy (DOE) objectives (DOE O 470.1, Change 1, Paragraph 1) and program requirements (DOE O 470.1, Change 1, Attachment 1).
2. Ensure that all consultants and subcontractors who hold access authorizations attend all security briefings.
3. Comply with the local implementation procedures developed for the Foreign Ownership Control or Influence Program by the Assistant Manager for Safeguards, Security, and Emergency Management, Oak Ridge Operations, in accordance with DOE O 470.1, Change 1, subparagraph 5k(1)(g); and Paragraph 4a(1) of this Chapter.