

# 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 VI, Change 3, PERSONNEL SECURITY ACTIVITIES**

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

Other contractors (list by type)

*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. Changes to this Chapter reflect (1) paragraph 4b-d has been revised, (2) references in paragraphs 5 and 6 have been updated, and (3) change to Paragraph 3 to add statement regarding Y-12 Site Office applicability.

5. CONTACT POINT: Diane Patterson Personnel Security Branch, OS-202 576-0925  
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	10/04/2000	ORO Control Form	01/14/2004
ORO O 470, Ch. VI, Chg. 2	10/04/2000	ORO O 470, Ch. VI, Chg. 3	01/14/2004

*ORO Directives are available on the ORO Directives Management Home Page at [http://www.ornl.gov/doe/doe\\_oro\\_dmg/oro\\_dir.htm](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 01/14/2004  
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 VI, Change 3, PERSONNEL SECURITY ACTIVITIES, dated 01/14/2004**

**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 ORO O 470, Chapter VI, Change 2, PERSONNEL SECURITY ACTIVITIES, dated 10/04/2000

The attached Directive is forwarded for review and action. Complete Part B and forward this form to ORO DMG, AD-440, by 02/03/2004.

### 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  NoList 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:** Caryl Milton 576-1722  
Name Telephone**APPROVED BY COR FOR DIRECTIVES:** Diane McCarten 02/09/2004 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](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:**

*Original Signed By*  
Wayne H. Albaugh, AD-440 02/10/2004  
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 VI  
Change 3

**DATE: 01/14/2004**

## **SUBJECT: PERSONNEL SECURITY ACTIVITIES**

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1. PURPOSE. This Chapter correlates to DOE O 472.1C, PERSONNEL SECURITY ACTIVITIES, dated March 25, 2003, by assigning responsibility and accountability and providing administrative and/or contractual guidance to Oak Ridge Operations (ORO), 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 VI, Change 2, PERSONNEL SECURITY ACTIVITIES, dated October 4, 2000.
3. APPLICABILITY. The provisions of this Chapter apply to ORO and OSTI Principal Staff. Although the Contractor Requirements Document attached to DOE O 472.1C is applicable to contractors to the extent as provided by law and/or contract and as implemented by the appropriate Contracting Officer, no additional requirements intended for contractors are imposed in this Chapter. References to the Y-12 Site Office (YSO) are to clarify the interface between ORO and YSO and are not intended to indicate direction to YSO by ORO. This guidance does not assign responsibility or authority for the YSO to ORO.
4. RESPONSIBILITIES.
  - a. Manager authorizes suspension of access authorizations in accordance with 10 Code of Federal Regulations (CFR) 710.10.
  - b. Director, Office of Safeguards and Security (OS), through the Branch Chief, Personnel Security Branch, performs those tasks identified in DOE O 472.1C, Paragraph 5(h), (i), (j), and (k) in accordance with the criteria prescribed in 10 CFR 710.
  - c. Principal Staff and subordinate supervisors report to the Branch Chief, Personnel Security Branch, any alleged instances of conduct by cleared employees which may constitute "derogatory information," as that term is described in DOE O 472.1C, Paragraph 5i(5) and 10 CFR 710.8.

- d. Contracting Officer's Representatives.
  - (1) Performs those tasks identified in DOE O 472.1C, Paragraph 5n. Inform contractors of the provisions of DOE O 472.1C, DOE M 472.1-1B, and this Chapter, and ensure their compliance with prescribed standards and procedures.
  - (2) Notify the OS when any contractor employee filling a Personnel Security Assurance Program (PSAP) position has received treatment or been hospitalized for an emotional or mental disorder or for alcohol or drug abuse.
5. REQUIREMENTS AND PROCEDURES. Procedures and criteria are outlined in DOE O 472.1C, DOE M 472.1-1B, and 10 CFR 710.
6. REFERENCES.
  - a. 10 CFR 710, "CRITERIA AND PROCEDURES FOR DETERMINING ELIGIBILITY FOR ACCESS TO CLASSIFIED MATTER OR SPECIAL NUCLEAR MATERIAL, including Part 8 "*CRITERIA*," and Part 10, "*SUSPENSION OF ACCESS AUTHORIZATION*."
  - b. DOE M 472.1-1B, PERSONNEL SECURITY PROGRAM MANUAL, dated July 12, 2001.
7. DEFINITIONS. None.
8. CONTRACTOR REQUIREMENTS DOCUMENT. None.
9. ATTACHMENTS. None.