

U.S. Department of Energy

Oak Ridge Office

ORO O 470 Chapter VII Change 5

DATE: 03/08/2007

SUBJECT: PROTECTION AND CONTROL OF SAFEGUARDS AND SECURITY INTERESTS

1. PURPOSE. This Chapter correlates to DOE O 470.4, SAFEGUARDS AND SECURITY PROGRAM, dated August 26, 2005, DOE M 470.4-1, Change 1, SAFEGUARDS AND SECURITY PROGRAM PLANNING AND MANAGEMENT, dated August 26, 2005, and DOE M 470.4-2, Change 1, PHYSICAL PROTECTION, dated August 26, 2005, by assigning responsibility and accountability and providing administrative and/or contractual guidance to Oak Ridge Office (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 VII, Change 4, PROTECTION AND CONTROL OF SAFEGUARDS AND SECURITY INTERESTS, dated February 2, 2005.
3. APPLICABILITY. The provisions of this Chapter apply to ORO and OSTI Principal Staff and to contractors to the extent set forth in a contract and/or as directed by the Cognizant Contracting Officer's Representative (COR).
4. RESPONSIBILITIES.
 - a. Assistant Manager for Security and Emergency Management (AMSEM).
 - (1) Establishes and maintains ORO guidelines and security procedures for the protection and control of classified matter, special nuclear material, or other safeguards and security interests.
 - (2) Initiates preliminary inquiries of theft and/or diversion of Government property and, as appropriate, notifies cognizant Federal, State, or local authority on theft issues directly pertaining to ORO.
 - (3) Performs those tasks assigned to "Heads of Field Elements" in DOE O 470.4. May perform those tasks assigned to "local authority" in DOE M 470.4-6, Change 1, NUCLEAR MATERIAL CONTROL AND ACCOUNTABILITY.

- b. DOE Transportation Manager, in coordination with COR, performs those tasks identified in DOE O 470.4, DOE O 461.1A, PACKAGING AND TRANSFER OR TRANSPORTATION OF MATERIALS OF NATIONAL SECURITY INTEREST; and DOE M 461.1-1, Change 1, PACKAGING AND TRANSFER OR TRANSPORTATION OF MATERIALS OF NATIONAL SECURITY INTEREST MANUAL.
 - c. Director, Information Resources Management Division, implements the Federal Building Complex Security Program for the physical protection of DOE property and facilities (see paragraph 7 of this Chapter).
 - d. Contracting Officer performs those tasks identified in DOE O 470.4, subparagraphs 5p(1) and (2).
 - e. Organizational Property Management Officer coordinates the development and implementation of policies and procedures which may prevent the compromise of DOE Safeguards and Security Interests with the AMSEM.
 - f. Principal Staff maintains continuing oversight of programmatic activities under their cognizance and implements appropriate controls to prevent, deter, and to detect the theft of Government property.
 - g. All DOE employees, having knowledge or suspicion of possible fraud, abuse or other forms of wrongdoing, to include knowledge of loss or theft of Government property, are obligated to inform the DOE Office of Inspector General (OIG) and the ORO AMSEM.
5. REQUIREMENTS AND PROCEDURES. Information concerning the Prevention of Theft of Government Property Program is provided in Attachment 2 of this Chapter.
6. REFERENCES.
- a. "Security Badge Specifications," and the DOE Security Badge Specifications described in Appendix 2 of DOE M 470.4-2, Change 1, PHYSICAL PROTECTION, dated August 26, 2005.
 - b. DOE M 470.4-6, Change 1, NUCLEAR MATERIAL CONTROL AND ACCOUNTABILITY dated August 14, 2006.
 - c. DOE O 461.1A, PACKAGING AND TRANSFER OR TRANSPORTATION OF MATERIALS OF NATIONAL SECURITY INTEREST, dated April 26, 2004.
 - d. DOE M 461.1-1, Change 1, PACKAGING AND TRANSFER OR TRANSPORTATION OF MATERIALS OF NATIONAL SECURITY INTEREST MANUAL, dated September 29, 2000.
 - e. DOE M 460.2-1, RADIOACTIVE MATERIAL TRANSPORTATION PRACTICES, dated September 23, 2002.

7. DEFINITIONS.

- a. **FEDERAL BUILDING COMPLEX.** Includes the Federal Building; Building 2714; and 1916-T2. This definition may change periodically due to the relocation of Federal employees and the reallocation of existing facilities to contractor personnel.
- b. **SECURITY INTERESTS.** Includes, but is not limited to classified matter, special nuclear materials, security shipments, secure communications centers, sensitive compartmented information facilities, automatic data processing centers, or other systems including classified information, or Government Property.
- c. **PRELIMINARY INQUIRY.** The limited inquiry into the loss, diversion, or theft of Government property to enable the ORO Safeguards and Security Representative or the Contractor Security Representative to develop sufficient information in order to prepare a report for referral to either the DOE OIG, the Federal Bureau of Investigation, or local law enforcement authorities.

8. CONTRACTOR REQUIREMENTS DOCUMENT. See Contractor Requirements Document, Attachment 1 of this Chapter.

9. ATTACHMENTS.

- a. Attachment 1 - Contractor Requirements Document.
- b. Attachment 2 - Prevention of Theft of Government Property Program.

CONTRACTOR REQUIREMENTS DOCUMENT

Contractors identified in Paragraph 3 of this Chapter will accomplish the following, to the extent set forth in their contract and/or as directed by the Cognizant Contracting Officer Representative:

1. Using a graded approach, develop and implement a protection and control program that is consistent with DOE policy and program requirements of DOE O 470.4, SAFEGUARDS AND SECURITY PROGRAM, dated August 26, 2005, DOE M 470.4-1, Change 1, SAFEGUARDS AND SECURITY PROGRAM PLANNING AND MANAGEMENT, dated August 26, 2005, and DOE M 470.4-2, Change 1, PHYSICAL PROTECTION, dated August 26, 2005, and the provisions of this Chapter.
2. Establish and implement a security badge and credential system that is consistent with DOE policy and conforms to the new badge standards, designs, and specifications described in the DOE "Badge Specification.
3. Establish procedures for the prevention of theft of Government property in accordance with the Program described in Attachment 2 of this Chapter.
4. Perform preliminary inquiries of theft and/or diversion of Government property and provide a report concerning the incident, as soon as possible, to the Assistant Manager, Security and Emergency Management. Also, as appropriate, notify cognizant Federal (including the DOE Office of Inspector General), State, or local authority of theft issues.

PREVENTION OF THEFT OF GOVERNMENT PROPERTY PROGRAM

1. **PURPOSE.** To establish responsibilities and authorities for the protection and control of safeguards and security interests, specifically Government property.
2. **POLICY.** Safeguards and security interests (including Government property) will be protected and controlled to preclude or minimize unauthorized access, unauthorized disclosure, loss, destruction, modification, theft, compromise or misuse.
3. **REQUIREMENTS.**
 - a. **Contractor Management.**
 - (1) Maintain continuing oversight of programmatic activities under their cognizance and implement appropriate controls to prevent, deter, and to detect the theft of Government Property.
 - (2) Ensure that all employees under their cognizance are trained and understand their responsibilities for reporting the theft of Government property.
 - (3) Each ORO contractor identified in Paragraph 3 of this Chapter will designate a Security Manager with responsibility to:
 - (a) Receive reports concerning theft of Government property.
 - (b) Notify appropriate Federal (including the Department of Energy Office of Inspector General [DOE OGI]), State, and/or local authorities.
 - (c) Initiate preliminary inquiries, as appropriate, to determine the circumstances of the theft of Government property. However, inquiries will be accomplished in a manner so as not to interfere with any investigation being conducted by, or being contemplated by, the DOE OIG, Federal Bureau of Investigation, or any other duly authorized authority.
 - (d) Forward a copy of all theft reports and related information to the Assistant Manager, Security and Emergency Management (AMSEM).
 - (e) Function as the point-of-contact for the AMSEM, for issues pertaining to the theft of Government property.
 - b. **All contractor and subcontractor employees.** It is the responsibility of all contractor and subcontractor employees to safeguard and protect from theft and/or diversion all government property, regardless of who has been assigned official accountability for that property. It is

furthermore the responsibility of all contractor and subcontractor employees with knowledge of, or information indicating, the actual and/or suspected theft of Government property to promptly notify their supervisor **and** their contractor Security Manager.

4. INFORMATION MANAGEMENT AND ANALYSIS.

The AMSEM will identify to all contractors identified in Paragraph 3 of this Chapter, the organizations having responsibility to:

- a. Maintain official files pertaining to the theft of Government property.
- b. Collectively analyze information relating to the theft of Government property by evaluating types of items stolen and their value; the dates and location of the thefts; and accessibility to those items by specific individuals or groups.
- c. Issue annual reports to the AMSEM, identifying:
 - (1) Trends.
 - (2) Area(s) of concern.
 - (3) Recovery rates.
 - (4) Cost impacts.
 - (5) Recommendations.