

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 140, Chapter II, Change 4, SAFEGUARDS AGREEMENT AND PROTOCOL WITH THE INTERNATIONAL ATOMIC ENERGY AGENCY (IAEA)**

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)

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 (1) update the correlating DOE Directive; (2) reflect change to Paragraph 3 to add statement regarding YSO applicability; (3) update titles in Paragraph 4a; (4) revise Paragraph 6; (5) update Paragraph 4a(1) and 4b(1); and (6) revise the Contractor Requirements Document.

5. **CONTACT POINT:** Harvey Heckman Safeguards, Security, and Emergence Mgt, OS-20 576-2505
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	03/12/2003	ORO Control Form	03/14/2005
ORO O 140, Ch. II, Chg. 3	03/12/2003	ORO O 140, Ch. II, Chg. 4	03/14/2005

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 03/14/2005
Signature: DMG Team Leader, AD-440 Date

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

Rev. 06/14/2004

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 140, CHAPTER II, CHANGE 4, SAFEGUARDS AGREEMENT WITH THE INTERNATIONAL ATOMIC ENERGY AGENCY (IAEA), dated 03/14/2005

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 140, Chapter II, Change 3, SAFEGUARDS AGREEMENT WITH THE INTERNATIONAL ATOMIC ENERGY AGENCY (IAEA), dated 03/12/2003.

The attached Directive is forwarded for review and action. Complete Part B and forward this form to ORO DMG, AD-440, by 03/29/2004.

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: David L. Wall 576-1989
Name Telephone

APPROVED BY COR FOR DIRECTIVES: Diane McCarten 03/29/2005 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 04/01/2005
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 140 Chapter II Change 4

DATE: 03/14/2005

**SUBJECT: SAFEGUARDS AGREEMENT AND PROTOCOL WITH THE INTERNATIONAL
ATOMIC ENERGY AGENCY (IAEA)**

1. PURPOSE. This Chapter correlates to DOE O 142.2, SAFEGUARDS AGREEMENT AND PROTOCOL WITH THE INTERNATIONAL ATOMIC ENERGY AGENCY, dated January 7, 2004, by assigning responsibility and accountability and providing administrative and/or contractual guidance to Oak Ridge Operations (ORO) and the National Nuclear Security Administration Y-12 Site Office (YSO). Nothing in this issuance changes any requirements contained in any Department of Energy (DOE) Directive.
2. CANCELLATION. This Chapter cancels and replaces ORO O 140, Chapter II, Change 3, SAFEGUARDS AGREEMENT WITH THE INTERNATIONAL ATOMIC ENERGY AGENCY, dated March 12, 2003.
3. APPLICABILITY. The provisions of this Chapter apply to ORO and YSO Principal Staff and contractors and subcontractors at license-exempt facilities that possess any of the source and special nuclear materials identified in DOE M 474.1-1B, MANUAL FOR CONTROL AND ACCOUNTABILITY OF NUCLEAR MATERIALS, Table I-1, "Nuclear Material," (Page I-2). References to the 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. Assistant Manager, Safeguards, Security, and Emergency Management (SSEM), ORO; and Assistant Manager, Office for Programs, YSO.
 - (1) Perform those tasks identified in, DOE O 142.2, subparagraphs 5h(1) through (3), (9), (11) through (16), and (18) through (20).
 - (2) Coordinate ORO/YSO performance of requirements related to eligible facilities identified by the DOE and facilities selected by the IAEA.
 - (3) Designate ORO/YSO personnel to serve on the team providing technical support to the U.S. representatives negotiating with the IAEA on design information questionnaires and facility attachments.

- (4) Ensure that DOE requirements for domestic nuclear materials accounting continue in effect even though special accounting procedures have to be designed, developed, and put into effect for reporting to the IAEA.
 - (5) Develop alternative measurement and inventory procedures for use when IAEA activities preclude the use of DOE procedures.
 - (6) Ensure that a special security plan is prepared for each facility subject to IAEA inspections.
 - (7) Arrange for classification review of information provided to or accessible by IAEA representatives.
- b. ORO/YSO Contracting Officer's Representatives.
- (1) Perform those tasks identified in DOE O 142.2, subparagraphs 5h(4) through (8), (10), (17), and (21).
 - (2) Ensure that resources available to contractors are adequate to satisfy DOE obligations pursuant to the IAEA agreement.
 - (3) Notify ORO SSEM, or YSO Office for Programs, as appropriate, of any event that could affect the IAEA inspection activity agreed to between the U.S. and the IAEA.
5. REQUIREMENTS AND PROCEDURES. None.
6. REFERENCES.
- a. The following documents are available from the IAEA website at www.iaea.org:
 - (1) IAEA publication, INFCIRC/153 (Corrected), *"The Structure and Content of Agreements Between the Agency and States Required in Connection With the Treaty on the Nonproliferation of Nuclear Weapons"*, June 1972.
 - (2) IAEA publication, INFCIRC/288, *"Text of Agreement Between the U.S. and the IAEA for the Application of Safeguards in the United States of America,"* December 1981.
 - b. The following documents are available from the Assistant Manager, Office for Programs, YSO:
 - (1) Facility Attachment No. 15 for Y-12 *"Plant, Tube Vault 16,"* Effective Date: June 2, 1998.
 - (2) *"Design Information Questionnaire for Tube Vault 16, East Storage Array, Y-12 National Security Complex,"* (Y/NSP-684/R1), May 2003.
 - (3) *"Y-12 National Security Complex International Atomic Energy Agency Safeguards and Security Plan (U),"* Y-JA-412, Revision 3, dated April 9, 2004.
 - c. DOE M 474.1-1B, MANUAL FOR CONTROL AND ACCOUNTABILITY OF NUCLEAR MATERIALS, dated June 13, 2003.

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 that are identified in Paragraph 3 of this Chapter will accomplish the following:

1. Escort International Atomic Energy Agency (IAEA) inspectors during inspections in accordance with DOE O 142.2, subparagraph 5h(13).
2. Prepare for IAEA inspections in accordance with DOE O 142.2, subparagraph 5h(9).
3. Ensure that IAEA inspectors and any IAEA staff members carrying out functions under the agreement have the benefit of safety and radiation protection measures in effect at each facility as prescribed in DOE O 142.2, subparagraph 5h(14).
4. Designate personnel to serve on the team providing technical support to the U.S. representatives negotiating with the IAEA on design information questionnaires and facility attachments, as prescribed in DOE O 142.2, subparagraph 5h(3).
5. Through the designated Oak Ridge Operations, Office of Safeguards, Security, and Emergency Management, or Y-12 Site Office, Office for Programs point-of-contact, as appropriate, direct any question, complaint, or request related to IAEA inspections to the Director, Office of International Safeguards, as prescribed in DOE O 142.2, subparagraph 5h(20).