

DIRECTIVES CONTROL FORM - ORO FINAL DIRECTIVE

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

1. NUMBER AND TITLE OF DIRECTIVE: **ORO O 470, Chapter VII, Change 3, PROTECTION AND CONTROL OF SAFEGUARDS AND SECURITY INTERESTS**

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. BWXT Y-12 ORAU UT-Battelle SURA

Other contractors (list by type)

Many ORO contractors have approved S/RIDs or 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 impact?

No Yes If yes, describe: This ORO chapter is part of the ORO sunset review process. Changes to this chapter include editorial revisions (1) to show the correct name for the Office of Safeguards and Security, and (2) delete 3a(3)(d)2 and 5 of Attachment 2.

5. CONTACT POINT: Ron Adams Office of Safeguards and Security, OS-20 241-8160
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	08/20/1999	ORO Control Form	11/13/2002
ORO O 470, Chapter VII, Chg. 2, Pages VII-1 thru VII-6	08/20/1999	ORO O 470, Chapter VII, Chg. 3, Pages VII-1 thru VII-6	11/13/2002

ORO Directives are available on the ORO Directives Management Home Page at http://www.ornl.gov/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 11/13/2002
Signature: DMG Team Leader, AD-440 Date

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

Rev. 01/30/2002

U.S. Department of Energy

Oak Ridge Operations

ORO O 470
Chapter VII
Change 3

Date: 11/13/2002

SUBJECT: PROTECTION AND CONTROL OF SAFEGUARDS AND SECURITY INTERESTS

1. PURPOSE. This chapter correlates to DOE 5632.1C, PROTECTION AND CONTROL OF SAFEGUARDS AND SECURITY INTERESTS, dated July 15, 1994, and DOE M 5632.1C-1, MANUAL FOR PROTECTION AND CONTROL OF SAFEGUARDS AND SECURITY INTERESTS, dated July 15, 1994, 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 VII, Change 2, PROTECTION AND CONTROL OF SAFEGUARDS AND SECURITY INTERESTS, dated August 20, 1999.
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. Director, Office of Safeguards and Security.
 - (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 "cognizant local Departmental authority for safeguards and security," and "Departmental elements" in DOE M 5632.1C-1. May perform those tasks assigned to "local authority" in DOE M 5632.1C-1.
 - (4) Performs those tasks identified in DOE 5632.1C, subparagraphs 6a(1)(b), (c), (g)-(i), and (k); and 6i(2).

- b. Director, Environmental Services Group, in coordination with COR, performs those tasks identified in DOE 5632.1C, subparagraphs 6a(1)(j) and 6i(1).
 - 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's Representatives perform those tasks identified in DOE 5632.1C, subparagraphs 6a(1)(a), (d)-(f), and (l); and 6a(2)-(3).
 - 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 Director, Office of Safeguards and Security.
 - 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 Office of Safeguards and Security.
5. REQUIREMENTS AND PROCEDURES. Information concerning the Prevention of Theft of Government Property Program is provided in Attachment 2 of this chapter.
 6. REFERENCES. Office of Safeguards and Security "Guide for Implementation of the DOE Standard Badge," dated September 9, 1994.
 7. DEFINITIONS.
 - a. **Federal Building Complex** - Includes the Federal Building; Buildings 2714-H, 2714-K, 2714-J, 1916-T2; and the Turnpike Building. 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.

Attachment 1 - Contractor Requirements Document.

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 COR:

1. Using a graded approach, develop and implement a protection and control program that is consistent with DOE policy (paragraph 5) and program requirements (paragraph 7) of DOE 5632.1C; DOE M 5632.1C-1, Chapters I-XIV; 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 "Guide for Implementation of the DOE Standard Badge."
3. Establish and maintain programs to ensure that employees are aware of and comply with those responsibilities identified in DOE M 5632.1C-1, Chapter XIV, subparagraph 2b.
4. Prepare physical protection plans for unclassified irradiated reactor fuel in transit that conform to the requirements of DOE M 5632.1C-1, Chapter IV.
5. Provide appropriate safeguards and security-related training to employees and ensure that they are made aware of and understand their responsibilities for protecting and controlling safeguards and security interests.
6. May perform those tasks assigned to "local authority" in DOE M 5632.1C-1.
7. Establish procedures for the prevention of theft of Government property in accordance with the Program described in Attachment 2 of this chapter.
8. Perform preliminary inquiries of theft and/or diversion of Government property and provide a report concerning the incident, as soon as possible, to the Director, ORO Office of Safeguards and Security. Also, as appropriate, notify cognizant Federal (including the DOE OIG), 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 DOE OIG), 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 Director, ORO Office of Safeguards and Security.
 - (e) Function as the point-of-contact for the Director, ORO Office of Safeguards and Security, 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 Director, ORO Office of Safeguards and Security, 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 Director, ORO Office of Safeguards and Security, identifying:
 - (1) Trends.
 - (2) Area(s) of concern.
 - (3) Recovery rates.
 - (4) Cost impacts.
 - (5) Recommendations.