

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 VII, Change 4, PROTECTION AND CONTROL FOR 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. 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 correlating Directive; (2) update organization titles; and (3) update Paragraph 6, References.

5. **CONTACT POINT:** Mike Wise Safeguards, Security, and Emergency Management, OS-20 576-8773
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	11/13/2002	ORO Control Form	02/02/2005
ORO O 470, Ch. VII, Chg. 3	11/13/2002	ORO O 470, Ch. VII, Chg. 4	02/02/2005

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 02/02/2005
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

U.S. Department of Energy

Oak Ridge Operations

ORO O 470 Chapter VII Change 4

Date: 02/02/2005

SUBJECT: PROTECTION AND CONTROL OF SAFEGUARDS AND SECURITY INTERESTS

1. PURPOSE. This Chapter correlates to DOE O 473.1, PHYSICAL PROTECTION PROGRAM, dated December 23, 2002, and DOE M 473.1-1, PHYSICAL PROTECTION PROGRAM MANUAL, dated December 23, 2002, 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 3, PROTECTION AND CONTROL OF SAFEGUARDS AND SECURITY INTERESTS, dated November 13, 2002.
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 Safeguards, Security, and Emergency Management (AMSSEM).
 - (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 473.1. May perform those tasks assigned to "local authority" in DOE M 474.1-1.
 - b. Team Leader, Business Management Team, in coordination with COR, performs those tasks identified in DOE O 473.1; DOE O 461.1A, PACKAGING AND TRANSFER OR TRANSPORTATION OF MATERIALS OF NATIONAL SECURITY INTEREST; and DOE M 461.1-1, 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 473.1, subparagraphs 5m(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 AMSSEM.
 - 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 AMSSEM.
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. Attachment 4, "*Security Badge Specifications*," and Attachment 4, Appendix 1, "*Security Badge Specifications (OUO)---Issued Separately*," of DOE M 473.1-1, PHYSICAL PROTECTION PROGRAM MANUAL, dated December 23, 2002.
 - b. DOE O 461.1A, PACKAGING AND TRANSFER OR TRANSPORTATION OF MATERIALS OF NATIONAL SECURITY INTEREST, dated April 26, 2004.
 - c. DOE M 461.1-1, PACKAGING AND TRANSFER OR TRANSPORTATION OF MATERIALS OF NATIONAL SECURITY INTEREST MANUAL, dated September 29, 2000.
 - d. 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; 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.
 - 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 473.1 and DOE M 473.1-1, 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 and maintain programs to ensure that employees are aware of and comply with those responsibilities identified in DOE M 473.1-1.
4. Prepare physical protection plans for unclassified irradiated reactor fuel in transit that conform to the requirements of DOE M 473.1-1, Chapter II; and DOE M 460.2-1, RADIOACTIVE MATERIAL TRANSPORTATION PRACTICES.
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 473.1-1.
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 Assistant Manager, Safeguards, 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 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 Assistant Manager, Safeguards, Security, and Emergency Management (AMSSEM).
 - (e) Function as the point-of-contact for the AMSSEM, 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 AMSSEM 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 AMSSEM, identifying:
 - (1) Trends.
 - (2) Area(s) of concern.
 - (3) Recovery rates.
 - (4) Cost impacts.
 - (5) Recommendations.