

U.S. Department of Energy

Washington, D.C.

ORDER

DOE 5630.11

1-22-88

SUBJECT: SAFEGUARDS AND SECURITY PROGRAM

*Cancelled by
DOE 5630.11A*

of 12-7-92

1. PURPOSE. To establish the policy and responsibilities for the Department of Energy safeguards and security program.

2. BACKGROUND.

- a. This Order serves as the general policy document for the Department of Energy Safeguards and Security (S&S) Program. The S&S program consists of the following key elements:
- (1) Safeguards and security program planning, which establishes a standardized approach to protection program planning, and prescribes policy, objectives, responsibilities, and authority for the planning process;
 - (2) Protection program operations, which establishes policies and objectives for the physical protection of security interests and baseline physical protection standards to ensure effective protection programs;
 - (3) Material control and accountability, which establishes policies responsibilities, and authorities for control and accountability of nuclear materials;
 - (4) Operations security, which establishes the policy, responsibilities, and authorities for implementing an operations security program;
 - (5) Information security, which establishes the policy, objectives, responsibilities, and authorities for the protection of classified matter/facilities and establishes minimum protection requirements and standards for those interests;
 - (6) Computer security, which establishes uniform requirements, policies, responsibilities, and procedures for the development and implementation of a classified computer security program to ensure the security of classified information in ADP systems;

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- (7) Personnel security, which establishes the policy, responsibilities, and authorities for implementing the personnel security program; and,
 - (8) Safeguards and security facility approvals and surveys, which establishes requirements for granting facility approvals prior to permitting safeguards and security interests on the premises and the conduct of onsite security and/or nuclear material control and accountability surveys of facilities with safeguards and security interests.
- b. Specific policy, responsibilities, requirements and procedures associated with these components are contained in the Department's S&S related directives and apply to specific operations and facilities as appropriate. The chart in Attachment 1 reflects the overall S&S program by major component and the related directives series primarily associated with each component.
3. POLICY. To protect DOE interests from theft or diversion of special nuclear material (SNM), sabotage, espionage, loss or theft of classified matter or government property, and other hostile acts which may cause unacceptable adverse impacts on National security, or on the health and safety of employees, the public, or the environment.
4. IMPLEMENTATION. The S&S program is intended to:
- a. Provide in a graded manner, levels of protection appropriate to particular S&S interests in accordance with the potential risks to National security, and the health and safety of employees or the public.
 - b. Comply with applicable statutory requirements, international agreements and Executive orders affecting DOE facilities and operations, and, consistent with the Department's mission and where supported by appropriate cost/benefit analysis, reduce identified S&S vulnerabilities to acceptable risk levels even where not mandated by specific requirements.
 - c. Maintain overall comparability of protection levels as those provided for similar Nuclear Regulatory Commission (NRC) licensed facilities.
 - d. Convey that line management is responsible for effective S&S performance.
 - e. Ensure that the Assistant Secretary for Defense Programs, DP-1, develops Departmental S&S policy and through an independent oversight program assures effective safeguards and security performance.

5. CONCEPT OF OPERATIONS.

- a. Numerous activities and assets under the Department of Energy are vital to the national defense and energy security. Accordingly, the Department must ensure appropriate levels of protection from acts of theft, diversion, sabotage, espionage, or other hostile acts which may cause unacceptable risks to National security or health and safety of employees, the public, or the environment.
- b. Levels of protection appropriate to particular S&S interests are provided through the development and execution of a comprehensive S&S program. The S&S program begins with the identification of what is threatened or at risk - the target, and how the target is at risk - the threat. A comprehensive understanding of the nature of the threat and the vulnerability of the potential target is necessary to ensure that a cost efficient program can be planned and executed. This is provided in a vulnerability/risk type analysis at a level appropriate to the security interest.
- c. The acceptance of some level of risk is inherent in any activity. The level of protection developed take into account the nature of the threat and the vulnerability of the potential target. A rational and responsive balance will be obtained through the planning and execution of a comprehensive S&S program.
- d. In planning and execution of its S&S programs, the Department will be guided by the policy of accepting appropriately low risk at its facilities. The Department's S&S Orders, supplemented by approved and relevant standards and criteria based on these Orders, procedural guides, and technical handbooks, identify those requirements for a S&S program which shall be considered in developing and implementing specific site protection programs. This will be accomplished by developing these specific site S&S programs based on vulnerability/risk analyses. The programs will, with a high degree of confidence, deter, deny, contain, mitigate, or neutralize the identified threat.
- e. Although there will be many S&S program features consistently applied across all Departmental activities, S&S programs will be tailored to address specific site characteristics. Protection program planning and the Master Safeguards and Security Agreement (MSSA) processes enable cognizant Headquarters and field managers to design and implement a protection program tailored to their respective operational needs recognizing ongoing programs and unique requirements.

- f. Assessment of possible environment, safety, and health impacts at the field organization level and review by the Assistant Secretary for Environment, Safety, and Health (EH-1) provides a means to resolve any issues which may arise in the execution of S&S programs.
- g. Responsibility for the development and execution of effective S&S programs flows from the program senior officials to line management. Inspection and evaluation at the field organization level and independent oversight by the Assistant Secretary for Defense Programs (DP-1) assists in ensuring effective and efficient S&S performance consistent with Departmental directives.
- h. Alternate or equivalent means of providing adequate safeguards and security may be proposed to meet a specific requirement of this Order. Such exceptions should be developed by the Heads of Field Elements. There are two categories of exceptions:
 - (1) Those which alter the protection philosophy or performance standards of protection systems detailed in DOE Orders or affecting interests covered by the threat guidance issued by DP-1. These exceptions should be submitted to DP and program elements for review and concurrence prior to implementation. Written records of such exceptions should be included in appropriate field organization safeguards and security policy documents and MSSAs.
 - (2) Those which provide an alternate or equivalent means of protection but do not alter the protection philosophy or performance standards detailed in DOE Orders or do not affect interests covered by the threat guidance issued by DP-1. These exceptions are approved by the Heads of Field Elements. Written records of such exceptions should be included in appropriate Field Office safeguards and security policy documents.

6. DEFINITIONS.

- a. Line Organization is the chain of command which extends from the Secretary through the Under Secretary, to the Heads of Headquarters Elements who set program policy and plans and develop assigned programs, to the field organization managers who are responsible to the Heads of Headquarters Elements for execution of these programs, to the contractors who conduct the programs. Safeguards and Security is an integral part of each program. Accordingly, line management responsibility for S&S functions flows from the Secretary through the Under Secretary, to the Heads of Headquarters Elements, and the field organization managers, to the contractors.

- b. Heads of Headquarters Elements are for purposes of this Order, senior outlay program managers and include the Assistant Secretaries for Conservation and Renewable Energy, Defense Programs, Fossil Energy, and Nuclear Energy, the Director of Energy Research, and the Director of Civilian Radioactive Waste Management. This definition also includes the Administrators of the Bonneville and Western Area Power Administrations.

7. REFERENCES.

- a. DOE 5500.1A, DEPARTMENT OF ENERGY EMERGENCY MANAGEMENT SYSTEM OF 2-26-87, which establishes policy and requirements for an emergency management system.
- b. DOE 5610.2, CONTROL OF WEAPON DATA, of 8-1-80, which establishes the policy and requirements for control of weapon data.
- c. DOE 5631.1A, SECURITY EDUCATION PROGRAM, of 12-22-86, which establishes the policy and requirements for security education and awareness programs.
- d. DOE 5631.9, ISSUANCE, CONTROL, AND USE OF BADGES, PASSES, AND CREDENTIALS, of 2-3-88, which establishes the policy and requirements for control of credentials, badges, and passes.
- e. DOE 5631.4, CONTROL OF CLASSIFIED VISITS, of 5-25-84, which establishes the policy and requirements for control of classified visits.
- f. DOE 5634.1, SECURITY SURVEY AND FACILITY APPROVAL, of 5-2-87, which establishes the policy and requirements for the establishment and approval of security activities and subsequent inspection.
- g. DOE 5635.2B, PROTECTION OF CLASSIFIED NATIONAL SECURITY COUNCIL INFORMATION, of 4-19-85, which establishes the policy and requirements for the control and protection of classified National Security Council information.
- h. DOE 5636.4, SECURITY MANUAL FOR CLASSIFIED AUTOMATED DATA PROCESSING SYSTEMS, of 7-13-83, which establishes the policy and requirements for the protection of classified computer systems.
- i. DOE 5650.2A, CLASSIFICATION OF INFORMATION, of 5-8-85, which establishes the policy and requirements for the classification of information.
- j. DOE 5670.1, MANAGEMENT AND CONTROL OF FOREIGN INTELLIGENCE, of 8-22-86, which establishes the policy and requirements for the control of foreign intelligence.

- k. Title 10 CFR Part 1016, Safeguarding of Restricted Data, which establishes policy and requirements for the protection of Restricted Data.
- l. Atomic Energy Act of 1954, as amended, Section 161, Chapter 14, Title 42 U.S.C. 2201, which establishes standards and instructions to govern the possessions and use of special nuclear material, source material and byproduct material and necessary procedures to promote the common defense and security or to protect health or to minimize danger to life or property.

8. RESPONSIBILITIES AND AUTHORITIES.

- a. The Secretary has overall responsibility and authority for programs and takes necessary management actions, through the Under Secretary, to ensure that the Department's S&S interests are effectively protected.
- b. Heads of Headquarters Elements have primary responsibility to assure that S&S interests under their jurisdiction are protected in accordance with Departmental S&S requirements. Heads of Headquarters Elements shall:
 - (1) Provide program and project direction to the field organizations consistent with the S&S directives and S&S policy guidance requirements.
 - (2) Provide clear and explicit delegations of authority and responsibilities.
 - (3) Review and approve specific site MSSA's and requests for requirement exceptions for facilities over which they have programmatic responsibility, in coordination with cognizant operations offices.
 - (4) Take action to ensure acceptable S&S, including recommending that the field organization head curtail or suspend operations when such operations would result in an immediate and unacceptable risk to National security or the public health and safety.
 - (5) Ensure that budget proposals for their assigned functions provide S&S resources and that DP-1 recommendations on S&S upgrades are addressed in the formulation of budget requests.
- c. Assistant Secretary for Defense Programs (DP-1) provides management direction and coordination in the development, implementation, and oversight of the comprehensive Departmental S&S program. DP-1 shall:
 - (1) Develop S&S policies, standards, guidance, requirements, and procedures for DOE operations.

- (2) Provide advice and assistance concerning S&S programs to line organizations. Coordinate with appropriate Departmental organizations to correct S&S deficiencies, including those which have a programmatic or budgetary impact.
- (3) Review and approve all MSSAs and requests for exceptions which alter the protection philosophy or performance standards of protection systems detailed in DOE Orders or affecting interests covered by the threat guidance issued by DP-1.
- (4) Manage and conduct the Department's independent oversight of field S&S operations and inform the appropriate operations office managers and Heads of Headquarters Elements of the results in a timely manner to ensure program efficiency and effectiveness. Refer deficiencies pertinent to environment, safety, and health to EH-1 for action or information.
- (5) Serve as the central point for coordination within DOE and liaison with other agencies and groups in the development and execution of an effective Departmental S&S program. This will include coordination with Heads of Headquarters Elements and heads of field organizations in resolution of S&S issues applicable to DOE operations and review of proposed statutes, regulations, standards, and requirements for their application to and potential impact on DOE activities.
- (6) Provide a priority listing of S&S corrective actions and upgrade projects to the Heads of Headquarters Elements and the Assistant Secretary for Management and Administration (MA-1).
- (7) Identify needs for research and development to support S&S programs and initiate appropriate actions.
- (8) Provide a central point for the collection, retention, evaluation, and dissemination of information having S&S significance, including threat assessment, protection systems data, and information in support of the international safeguards program.
- (9) Provide a central point for the administration of an effective transportation safeguards system for domestic shipments of nuclear weapons, weapons-related materials, and significant quantities of SNM; and for the development and implementation of programs for transmitting classified matter to the Department of Defense and controlling weapons data.

- (10) Provides a central point for training of key S&S elements cited in paragraph 4.
 - (11) For those facilities not under DP purview, recommends to the Under Secretary the curtailment or suspension of operations at DOE facilities when such an operation would result in an immediate and unacceptable risk to National security or the public health and safety.
- d. Assistant Secretary, Management and Administration (MA-1) provides management direction and coordination in the development, implementation, and oversight of communications security, emissions, and unclassified computer systems.
- e. Heads of Field Organizations are responsible for assuring that all operations under their jurisdiction are carried out consistent with sound S&S practices and in accordance with the S&S directives. In carrying out this responsibility the heads of field organizations shall:
- (1) In conjunction with cognizant Headquarters elements, assure that S&S interests under their jurisdiction are provided protection in accordance with the Department S&S policy.
 - (2) Execute programs and ensure that contractors and their subcontractors execute programs and policies which utilize appropriate S&S program elements for siting, design, construction, operation, maintenance, and modification of DOE facilities and activities.
 - (3) Take such action as may be appropriate to ensure acceptable S&S, including curtailment or suspension of operations when such operation would result in an immediate and unacceptable risk to National security and the public health and safety.
 - (4) Conduct performance tests of S&S systems to verify the maintenance of a high state of effectiveness, as delineated in Departmental Orders and guidance or as agreed in MSSAs.
 - (5) Inspect, test, and evaluate the programs, projects, and facilities of subordinate field activities in accordance with DOE S&S requirements to assure compliance, effectiveness, and efficiency.
 - (6) Develop, validate, and approve Site Safeguards and Security Plans and MSSAs based on vulnerability/risk analyses and approved requirement exceptions for a comprehensive S&S program.

- (7) Approve requests for exceptions to DOE Orders which provide an alternate or equivalent means of protection but do not alter the protection philosophy or performance standards detailed in DOE Orders or do not affect interests covered by the threat guidance issued by DP-1.
- (8) Establish and maintain liaison with regional, State, or local officials as appropriate, and advise the responsible Heads of Headquarters Elements of any requirements issued by these officials that will significantly affect DOE S&S operations.
- (9) Ensure that budget proposals for their assigned functions provide for adequate S&S resources.

BY ORDER OF THE SECRETARY OF ENERGY:



LAWRENCE F. DAVENPORT
Assistant Secretary
Management and Administration

SAFEGUARDS AND SECURITY PROGRAM STRUCTURE

