

**U.S. Department of Energy**  
**Washington, D.C.**

**ORDER**

DOE 5630.15

8-21-92

**SUBJECT: SAFEGUARDS AND SECURITY TRAINING PROGRAM**

1. PURPOSE. To establish procedures for standardizing and implementing the Department of Energy (DOE) Safeguards and Security Training Program for safeguards and security personnel, and to prescribe the policy, responsibilities, and authority for that training program.
2. CANCELLATION. DOE N 5630.2, SAFEGUARDS AND SECURITY TRAINING PROGRAM, of 12-31-91.
3. APPLICATION TO CONTRACTS. Except as excluded under paragraph 4, the provisions of this Order are to be applied to covered contractors and they will apply to the extent implemented under a contract or other agreement. A covered contractor is a seller of supplies or services involving access to and protection of classified matter, nuclear materials or other safeguards and security interests under a procurement contract or subcontract.
4. EXCLUSION. DOE facilities and activities regulated by the Nuclear Regulatory Commission (NRC) are exempt from the requirements of this Order. Office of Civilian Radioactive Waste Management (RW) personnel and activities not directly associated with the NRC licensed facilities and thus not covered by the NRC directives are subject to the provisions of this Order.
5. REFERENCES. Refer to Attachment 1.
6. DEFINITIONS. Refer to Attachment 2.
7. POLICY AND OBJECTIVES. DOE and DOE contractor personnel involved in DOE safeguards and security programs and activities shall be trained to a level of proficiency and competence that provides high assurance that the safeguards and security programs of the Department shall be successful. As a means to providing such assurance, the following key elements shall be an integral part of the Safeguards and Security Training Program:
  - a. Safeguards and security training methodology and courses shall be standardized throughout DOE. The scope and level of training provided to individuals shall be tailored to their assigned duties and responsibilities and shall be based upon an analysis of their prior safeguards and security experience and training.
  - b. Safeguards and security training programs shall be based on the results of job analyses to document the review and codification of major tasks and skill requirements identified as a result of those analyses.

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- c. Knowledge and performance-based testing shall apply to all required training to measure the skills acquired from the training programs developed.
- d. For specialized skill requirements, such as armorers, personnel security specialists, nuclear materials custodians, and technical security countermeasures technicians, performance testing will form the primary basis for certification.
- e. A Training Approval Program shall be developed and implemented to assure that safeguards and security training conducted at DOE facilities other than the Safeguards and Security Central Training Academy (CTA) meet established standards in course content and presentation, utilize DOE certified instructors, and have available facilities and equipment to perform such training.
- f. Employees, including minorities, women, and persons with disabilities, shall be provided reasonable opportunities for career development consistent with existing or anticipated work force needs.
- g. The provisions of this Order shall be fully implemented within 3 years after the date of this Order.

## 8. RESPONSIBILITIES AND AUTHORITIES.

### a. Secretarial Officers shall:

- (1) Provide resources for and assure implementation of effective safeguards and security training programs in support of Departmental Elements under their individual cognizance.
- (2) Require covered DOE contractors to:
  - (a) Develop, implement, and manage a comprehensive safeguards and security training program in accordance with provisions of this Order except paragraph 8.
  - (b) Provide annual training needs assessments for CTA-conducted and other Federal agency-conducted safeguards and security courses to their cognizant DOE Field Office or Departmental Element.
  - (c) Develop provisions for the sharing of training technology, facilities, and resources with other DOE Elements and contractors in accordance with this Order.
  - (d) Implement and provide updated information to support the development and maintenance of a standardized DOE safeguards and security training records management system.

- (e) Appoint an individual to serve as the primary point-of-contact for safeguards and security training programs.
- b. Director of Administration and Human Resource Management (AD-n) shall oversee the development of training policies and their implementation.
- c. Director of Professional and Technical Training and Development (AD-70) shall:
  - (1) Serve as liaison with the Office of Personnel Management on Departmental training matters.
  - (2) Develop and promulgate Departmentwide policies, standards, procedures, guidelines, and records and reporting requirements concerning DOE employee development and training.
  - (3) Provide advice, guidance, information, and staff assistance regarding employee development and training to DOE organizations, managers, supervisors, and employees,
  - (4) When necessary, enter into agreements with other Government agencies to use their training programs and facilities and to extend to other agencies the programs and facilities of DOE.
  - (5) Audit and evaluate training programs and activities conducted by component organizations throughout DOE. focusing especially on needs assessment, relevancy of training, and training evaluation.
  - (6) Be responsible for development of Departmental policies, standards, and guidance to accomplish a Departmentwide program of professional and technical training and professional development to meet the Department's needs for a technically proficient staff and management for technology based activities.
  - (7) Identify specific professional and technical training and retraining requirements, conduct cost-benefit analyses of training and development options, and establish facilities and/or arrange special programs to meet training needs of technically-proficient professionals.
  - (8) Develop and maintain information systems, for mission accomplishment, to correlate such data as potential retirement plans, skills needs, staff skills inventory, and budget data for their impact on future planning and program level-of-effort.
  - (9) Coordinate with and provide assistance to the Director of Safeguards and Security in assuring that safeguards and security training is in accordance with Department and Government policy.

- (10) Develop and issue audit and evaluation program standards and requirements.
- d. Director of Security Affairs (SA-1) provides management direction and coordination in the development, implementation, and oversight of the comprehensive Departmental safeguards and security training program.
- e. Director of Safeguards and Security (SA-10) shall:
- (1) Develop and issue policy and guidance for safeguards and security training programs and coordinate with AD-70 to assure conformance with Departmental training policy.
  - (2) Assure the development, conduct, and management of uniform and effective safeguards and security training.
  - (3) Provide and manage personnel and budget resources for a standardized safeguards and security training program at the Safeguards and Security Central Training Academy.
  - (4) Assure that a safeguards and security Training Approval Program is developed, implemented and administered.
  - (5) Conduct annual reviews of safeguards and security training programs DOE-wide and report findings as part of the Annual Report to the Secretary on the Status of Safeguards and Security within the DOE.
  - (6) Serve as approving authority for certifying that local safeguards and security training programs meet Departmental standards.
  - (7) Establish policy working groups to assist in the policy development and refinement process.
- f. Director of Safeguards and Security Central Training Academy shall:
- (1) Develop safeguards and security related training based on the direction and guidance provided by SA-10.
  - (2) Standardize safeguards and security training to include a training records management system for training documentation.
  - (3) Develop and maintain effective training facilities and operations.
  - (4) Ensure effective interface with the Office of Security Evaluations (EH-4), DOE Field Offices, Headquarters Elements, and contractor training personnel.

- (5) Develop and maintain a DOE Safeguards and Security Training Resource Center for dissemination of training related information.
  - (6) Implement and maintain a field assistance capability to support Headquarters, DOE Field Office, and DOE contractor training for all safeguards and security activities.
  - (7) Develop and implement a safeguards and security training certification and Training Approval Program.
  - (8) Maintain a professional relationship with other Federal training agencies, to include the Federal Bureau of Investigation, Federal Law Enforcement Training Center, and various Department of Defense training centers.
  - (9) Coordinate utilization of the safeguards and security training resources throughout DOE to support safeguards and security training DOE-wide including the Transportation Safeguards Training Center, national laboratories, and the various training centers throughout DOE which support safeguards and security training objectives.
  - (10) Establish and chair a safeguards and security Training Advisory Committee (TAC).
  - (11) Establish and coordinate Training Working Groups, as required, to evaluate and recommend specific training and guidance.
  - (12) Assess on an annual basis the status of training Departmentwide in each of the safeguards and security topical areas and provide the results to SA-10.
- g. Director of Naval Nuclear Propulsion Program shall, in accordance with the responsibilities and authorities assigned by Executive Order 12344 (statutorily prescribed by Public Law 98-525 (42 U.S. C. 7158, note)) and to ensure consistency throughout the joint Navy/DOE organization of the Naval Nuclear Propulsion Program, implement and oversee all policy and practices pertaining to this DOE Order for activities under the Director's cognizance.
- h. Heads of Field Elements shall:
- (1) Develop and issue specific guidance for implementation of this Order.
  - (2) Assure DOE site-specific safeguards and security training programs are developed, conducted, certified, and managed in accordance with this Order.

- (3) Review training programs under their cognizance to assure that all safeguards and security training is maintained at acceptable levels.
- (4) Appoint an individual to serve as the primary point-of-contact for the safeguards and security training programs under the cognizance of that DOE Field Element.
- (5) Assess annually the status of training in each of the safeguards and security topical areas applicable to their programs.
- (6) Implement a standardized DOE safeguards and security training records management system and provide updated information to the Safeguards and Security Central Training Academy and other Departmental Elements to support the development and maintenance of that system.
- (7) Designate an individual(s) to be responsible for bringing to the attention of the contracting officer each procurement falling within the scope of this Order. Unless another individual is designated, the responsibility is that of the procurement request originator (the individual responsible for initiating a requirement on DOE F 4200.33, "Procurement Request Authorization").
- (8) Assist contractors in utilizing the training resources of the Office of Personnel Management and other Federal agencies, and to the extent practical, encourage contractors to make contractor safeguards and security training programs available to Federal employees.
- (9) Require covered DOE contractors to:
  - (a) Develop, implement, and manage a comprehensive safeguards and security training program in accordance with provisions of this Order except paragraph 8.
  - (b) Provide annual training needs assessments for CTA-conducted and other Federal agency-conducted safeguards and security courses to their cognizant DOE Field Office or Departmental Element.
  - (c) Develop provisions for the sharing of training technology facilities, and resources with other DOE Elements and contractors in accordance with this Order.
  - (d) Implement and provide updated information to support the development and maintenance of a standardized DOE safeguards and security training records management system.
  - (e) Appoint an individual to serve as the primary point-of-contact for the safeguards and security training programs.

- i. Procurement Request Originators (the individuals responsible for initiating a requirement on DOE F 4200.33) or such other individual(s) as designated by the cognizant Head of Departmental Element shall bring to the attention of the cognizant contracting officer the following: (1) each procurement requiring the application of this Order, (2) requirements for flowdown of provisions of this Order to any subcontract or subaward, and (3) identification of the paragraphs or other portion of this Order with which the awardee, or, if different, a subawardee, is to comply.
- j. Contracting Officers, based on advice received from the procurement request originator or other designated individual, shall apply applicable provisions of this Order to awards falling within its scope. For awards, other than management and operating contracts, this shall be by incorporation or reference using explicit language in a contractual action, usually bilateral.

9. CONCEPT OF OPERATIONS.

- a. The Safeguards and Security Training Program shall encompass training in the following topical areas:
  - (1) Safeguards and Security Program Planning and Management.
  - (2) Protection Program Operations, including Physical Security, Security Systems and Protective Forces.
  - (3) Materials Control and Accountability.
  - (4) Information Security, including Computer Security, Technical Surveillance Countermeasures, Operations Security, and Classified Matter Protection and Control.
  - (5) Personnel Security.
  - (6) Facility Approvals and Surveys.
- b. Safeguards and security training shall be provided to individuals to assure they are qualified to perform the assigned safeguards or security task or responsibility. Initial and refresher training shall be tailored to develop the required knowledge and skills.
- c. The Safeguards and Security Central Training Academy shall provide the focus for standardization of training in safeguards and security courses and programs. This shall be accomplished through a program of training standardization, certification of key skill personnel, development of skills enhancement courses, and approval of facility training programs.

- d. The Safeguards and Security Central Training Academy shall provide a state-of-the-art training facility and program adhering to the standards of this Order. The CTA shall develop and provide standardized training programs courses for individual safeguards and security topical areas as set forth in paragraph 9a and make information associated with these training courses available to DOE organizations and DOE contractors for use in their training programs. In conjunction with the development of standardized courses, the CTA shall also develop standardized procedures for testing individuals to assess proficiency, knowledge, and skills and make the associated information available to DOE organizations and DOE contractors. Emphasis will be placed on providing training to Headquarters and Field Element instructors and instructor-candidates.
- e. A Safeguards and Security Training Resource Center shall be maintained as a repository of current and historical reference materials to support all aspects of the training program.
- f. The Director of CTA shall manage the Academy and shall assure the achievement of program objectives. The Director shall ensure the establishment and maintenance of a professional CTA instructor cadre and shall institute procedures and controls for the effective and efficient utilization of these resources.
- g. The Safeguards and Security Training Advisory Committee (TAC) shall review programs and training issues and provide authoritative advice and recommendations on training programs, courses, training requirements, and personnel qualifications as described in paragraph 10.
- h. The Director of CTA shall be responsible for review of DOE and DOE contractor safeguards and security training programs to assess adherence to established quality standards in course content and presentation. The Director of CTA shall provide recommendations to SA-10 for approving site training programs and courses which meet the established standards as described in paragraph 11.
- i. Instructors of courses at the CTA shall be certified by the Director of CTA. Such certifications remain valid so long as the individual fulfills all required refresher training. Certification requires a record review of qualifications and a recommendation by the individual responsible for the training program. Instructors of courses provided by other DOE elements and DOE contractors shall be certified by the individual responsible for the DOE element or contractor training program.
- j. Personnel performing safeguards and security duties at DOE and DOE contractor facilities shall receive training applicable to the assigned duties which has been reviewed by CTA and approved by SA-10 to ensure adherence to Departmental standards.



- k. Development, review, and presentation of training courses for unique site-specific requirements shall be the responsibility of cognizant sites.
- l. The CTA will develop and maintain a repository of information pertaining to relevant external sources of training and training materials, as well as data regarding needs which cannot be satisfied by Departmental resources. For sensitive U.S. Government training available from sources outside of DOE, coordination will be made with the cognizant SA-10 representative.
- m. The CTA, Headquarters and Field Elements, including contractors, shall implement a standardized training records management system as described in paragraph 12.
- n. The CTA shall establish and maintain effective relationships with other Department and Agency training facilities and operational safeguards and security functions to further the objectives of providing effective and efficient training.

10. TRAINING ADVISORY COMMITTEE.

- a. The purpose of the TAC is to accomplish the following goals and objectives:
  - (1) Review, evaluate, and recommend specific subject areas and curriculum content required to establish standardized training.
  - (2) Recommend and assist in obtaining resources required to support the standardized training program.
  - (3) Review the implementation status of safeguards and security training policy and guidance.
  - (4) Provide annual review and validation of the CTA's operations, course schedule, course approval and certification procedures, and strategic plans.
- b. The TAC shall be chaired by the Director of CTA. The committee membership shall include two senior level officials from SA-10 and two senior officials from DOE Field Offices who are nominated by the chair and approved by SA-10. In addition, there shall be 2 technical advisors who shall be senior personnel from DOE contractor organizations. Technical advisors shall be nominated by the chair and approved by SA-10. Membership and technical advisors shall be for a period of 2 years, or for a time period decided by SA-10. The committee may establish subcommittees and working groups to address specific issues and problems. Working groups will serve in an advisory capacity to the safeguards and security TAC regarding development, resource requirements, and implementation for standardized training, and to perform research on and analyses of pertinent

training issues. These working groups will operate in support of the CTA and provide feedback to other SA-10 directed Safeguards and Security Program Policy Working Groups in specific areas of overlapping interest.

c. The TAC shall meet at least semiannually and at the call of the chair.

11. TRAINING APPROVAL PROGRAM. Training approval is a process to formally recognize safeguards and security training programs and courses, other than CTA programs and courses, that have satisfied established objectives, standards, and criteria. Safeguards and security training program objectives, standards and criteria shall be developed, refined and distributed to Headquarters and Field Elements with interests in safeguards and security training programs to facilitate development of training programs. Site programs shall be examined by representatives of CTA on a recurring basis, but no less than every 3 years, to verify adherence to Departmental standards and objectives.

- a. Initial and recurring reviews for training approval shall consist of a review of all aspects of local training programs to include such areas as program management and structure, course contents, training facilities, observation of course presentations for effectiveness, and evaluation of students.
- b. Instructors shall be evaluated for knowledge in assigned training area and effectiveness in presenting assigned course materials.
- c. Individuals will be tested to evaluate skills and knowledge achieved through course participation.
- d. Training approvals shall remain valid for a period of 3 years.

12. DOE SAFEGUARDS AND SECURITY TRAINING RECORDS MANAGEMENT SYSTEM.

- a. Records shall be maintained to document training provided to personnel participating in the DOE safeguards and security program. Records of training shall contain course identification, dates accomplished, and scores achieved where applicable. Additional information regarding forms and the computerized Departmental Training Information System is provided in DOE 3410.1B, TRAINING.
- b. Records of training provided to individuals shall be retained in electronic or hard copy form. Records shall be retained according to guidance provided in DOE 1324.2A, RECORDS DISPOSITION and General Records Schedules issued by the Archivist of the United States.
  - (1) Records of training provided at CTA shall be maintained at CTA and shall also be maintained in each individual's file at the Headquarters, DOE Field Office, Departmental Element, or contractor facility.

- (2) Records of training provided at DOE Field Office facilities shall be maintained at the DOE Field Office and shall be provided to the organization sponsoring the individual for inclusion in the individual's record file.
- (3) Records of training provided at contractor facilities shall be provided to and retained by the organization sponsoring the individual.
- (4) Records of training provided at other Government or private facilities shall be secured and maintained by the organization sponsoring the individual.

BY ORDER OF THE SECRETARY OF ENERGY:



DOLORES L. ROZZI  
Director of Administration  
and Human Resource Management



## **REFERENCES**

1. DOE 1324.2A, RECORDS DISPOSITION, of 9-13-88, which assigns responsibilities and authorities and prescribes policies, procedures, standards, and guidelines for the orderly disposition of records of the DOE and its management and operating contractors.
2. DOE 1324.6, AUTOMATED OFFICE ELECTRONIC RECORDKEEPING, of 7-8-87, which provides requirements for managing electronic records: records created, stored, or transmitted using personal computers, word processors, and associated electronic office equipment.
3. DOE 3220.3A, HUMAN RESOURCE DEVELOPMENT FOR MANAGEMENT AND OPERATING CONTRACTORS, of 5-18-92, which prescribes policy, assigns responsibilities, and provides guidance for human resource development programs of management and operating contractors.
4. DOE 3410.1B, TRAINING, of 2-29-88, which prescribes policy, assigns responsibilities, and provides guidance and instructions for establishing, maintaining, monitoring, and evaluating DOE employee development and training programs and activities.
5. DOE 5630.11, SAFEGUARDS AND SECURITY PROGRAM, of 1-22-88, which establishes the policy and responsibilities for the DOE Safeguards and Security Program.
6. DOE 5632.7, PROTECTIVE FORCES, of 2-9-88, which prescribes policies and requirements for training protective forces charged with the protection of security interests at DOE facilities.
7. Title 5, United States Code (U.S.C.), section 4103, which provides authority for agencies to establish, operate, and maintain training programs.
8. Executive Order 11478 which provides that equal opportunity be an integral part of every aspect of personnel policy and practice in the employment, development, and advancement of civilian employees of the Federal Government.
9. Federal Personnel Manual (FPM), chapter 410, which contains policy, basic requirements, and guidance relating to the training of Federal employees.
10. General Records Schedules, General Records Schedules Transmittal No. 2, National Archives and Records Administration, 10-30-89, which provides information on records disposal.



## DEFINITIONS

1. Certification. The verification that a standard of knowledge or skill level pertaining to a safeguards or security discipline has been demonstrated by testing.
2. Instructor. Any person assigned the task of instruction in a formal training program who has been certified by the Director of CTA, or by the individual responsible for the DOE element or contractor training program.
3. Performance-Based Training. A systematic approach to training which is based on tasks and the related knowledge and skills required for job performance. This term is synonymous with the Instructional System Design, Systematic Approach to Training, Criterion Referenced Instruction, Training System Design, and Competency-Based Training.
4. Qualification. The verification that a specific standard of knowledge or experience pertaining to a specified job or task has been demonstrated based on specific test requirements.
5. Training Approval Program. A Department of Energy (DOE), Office of Safeguards and Security, program to formally recognize safeguards and security training programs and courses conducted by an organization other than the Central Training Academy that have satisfied established objectives, standards, and criteria for a quality safeguards and security training program.

NOTE: Other standardized safeguards and security terminology may be found in the "Safeguards and Security Definitions Guide" published and maintained by the Office of Safeguards and Security (SA-10).

