

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

ORDER

DOE 5630.17

9-29-92

SUBJECT: SAFEGUARDS AND SECURITY (S&S) STANDARDIZATION PROGRAM

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1. PURPOSE. To provide policies, procedures, responsibilities and authority for the S&S Standardization Program to ensure the most effective and efficient use and procurement of S&S equipment and systems.
 2. CANCELLATION. DOE 5632.10, SAFEGUARDS AND SECURITY (S&S) EQUIPMENT STANDARDIZATION, of 1-12-90.
 3. APPLICATION TO CONTRACTS. Except as excluded in 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 that is awarded a procurement contract or a subcontract involving access to classified matter, special nuclear materials, unclassified sensitive information, or other security interest.
 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. See Attachment 1.
 6. DEFINITIONS. Definitions of terms commonly used in the S&S Program are provided in the "Safeguards and Security Definitions Guide" which is maintained and distributed by the Office of Safeguards and Security. In addition, the following definitions are pertinent to this Order:
 - a. S&S Equipment. Includes S&S equipment used by protective personnel in the performance of their duties; equipment used to control and account for special nuclear material in storage, process, and transit; exterior and interior access control and intrusion detection equipment and systems; and all S&S safety-related equipment.
 - b. Standardization. The process to make S&S equipment, systems and training similar throughout the DOE complex, in order to achieve cost savings and/or cost avoidance, to facilitate both contingency efforts and Order compliance, and to promote safety.
 - c. Common Procurement. Acquisition of identified S&S equipment through the process described in this Order.

DISTRIBUTION:
All Departmental Elements

INITIATED BY:
Office of Safeguards and Security

- d. Performance Specifications. Minimum criteria required for the procurement of specific items.

7. POLICY AND OBJECTIVES.

- a. It is Departmental policy to standardize S&S equipment and systems where operational and financial benefits can be achieved.
- b. The objectives of this program are to determine where equipment standardization is appropriate and to achieve cost savings and other efficiencies through the examination and implementation of procurement alternatives, including full and open competition wherever possible.

8. RESPONSIBILITIES AND AUTHORITIES.

a. Secretarial Officers shall:

- (1) Assure participation, in coordination with the Director of Security Affairs (SA-1) and field elements that report to Secretarial Officers, in efforts to standardize S&S systems and equipment and to develop performance specifications for specific S&S items or systems.
- (2) In coordination with affected field elements that report to the Secretarial Officers, make appropriate arrangements for funding to provide necessary equipment and systems which adhere to the goals of the S&S Standardization Program.
- (3) When possible in the design of new facilities, incorporate the use of standardized S&S equipment, without impacting the integrity and flexibility of the new design effort. When new S&S equipment is identified and approved for standardization, coordinate with the Director of Safeguards and Security (SA-10) for incorporation into the S&S Standardization Program.

b. Director of Procurement, Assistance and Program Management (PR-1) shall:

- (1) Provide guidance and assistance to SA-10 in development of standardization policy and program implementation to field elements.
- (2) When possible in the design of new facilities, incorporate S&S Standardization Program into formal policy.

c. Director of Security Affairs (SA-1) shall:

- (1) Issue policy on implementation of the S&S Standardization Program and provide procedures and requirements for procurement of standardized items and systems.

- (2) Determine, based on recommendations from SA-10, which equipment and systems are to be part of the standardization program and whether common procurement or the development of performance specifications will be pursued.
- (3) Approve exceptions to these requirements if adverse impacts are demonstrated.

d. Director of Safeguards and Security (SA-10) shall:

- (1) Identify S&S equipment and systems for standardization and/or common procurement and recommend these items to SA-1 for inclusion in the program.
- (2) Provide guidance for program implementation, including coordination with appropriate Departmental elements and procurement and safety officials in the implementation of the S&S Standardization Program through common procurement and/or performance specification development.
- (3) Develop policy, in coordination with PR-1, on the implementation of the S&S Standardization Program, including the process for identification of items to be included, surveys of user needs, procedures for purchasing and other procurement activities, and integration of safety, technology development, and other pertinent Departmental activities.
- (4) Establish, maintain and distribute a data base of standardized S&S items, to include details on performance history, design considerations and technical contacts.
- (5) Recommend to SA-1, in coordination with cognizant field element and Secretarial Officer, when an exception should be granted.

e. Assistant Secretary for Environment, Safety and Health (EH-1) shall:

- (1) Through the Director of Quality and Safety Programs (EH-32) provide assistance to SA-10 to ensure safety policy is considered and incorporated into the development of performance specifications and implementation of common procurement.
- (2) Through the Deputy Assistant Secretary for Security Evaluations (EH-4) provide independent inspection, performance testing, and evaluation to assess S&S programs implemented under this Order.

f. Director of Information Resources Management Policy, Plans, and Oversight (AD-24) is responsible for the overall management of the Communications Security (COMSEC), Emissions Security (TEMPEST), Protected Distribution

System (PDS), Secure Voice, and Unclassified Computer Security (UCS) Programs for the Department, will provide assistance to SA-10 when appropriate, and assure these programs integrate the requirements of this Order.

- g. Director, Naval Nuclear Propulsion Program (NE-60), 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) Participate in the standardization, common procurement and/or development of performance specifications in coordination with the PSO lead element and with SA-1.
 - (2) In coordination with affected program offices, make appropriate arrangements for funding to provide necessary equipment.
 - (3) Assure that DOE area offices and contractors comply with established standards.
 - (4) Assure the procurement request packages, for each procurement requiring the application of this Order, include:
 - (a) Identification of the Order and the specific requirements or paragraphs with which a contractor or other awardee is to comply.
 - (b) Requirements for the flowdown of provisions to any subcontract or subaward.
 - (5) If an adverse impact would result, submit requests for exceptions of specific standardization requirements to SA-1 for approval. Disapproval by SA-1 may be appealed to S-3.
- i. Procurement Request Originators (the individuals responsible for initiating a requirement on DOE F 4200.33 "Procurement Request Authorization") or such other individuals(s) as designated by the cognizant Heads of Departmental Elements 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; (3) identification of the paragraphs or other portion of this Order with which the awardee, or, if different, a

subawardee, is to comply; and (4) identify need for and process any exceptions to this Order prior to submitting a procurement request to the Contracting Officer.

- j. Contracting Officers shall ensure items submitted for procurement are in accordance with the criteria in this Order, or that an exception has been granted.
- k. Chief Financial Officer (CR-1) shall assist in the transfer of funds for common procurement from other Allotment and AFP holders.

9. REQUIREMENTS.

- a. Equipment and systems in the S&S Standardization Program shall be selected on the basis of compliance with DOE and DOE adopted life safety codes, providing a cost savings or other benefit to the Department. Other criteria to be considered in the determination are reducing maintenance costs, increasing worker safety, enhancing mission capability, facilitating contingency efforts, and reducing training costs.
- b. Items will be standardized either through the development and issuance of Headquarters and Field Element approved performance specifications or by common procurement.
- c. New facility designs will incorporate the use of standardized S&S equipment and systems where possible without compromising design flexibility and still meet performance criteria.
- d. Information regarding flowdown provisions for these requirements (as established by the procurement request originator) may be transmitted in a written communication to the Contracting Officer rather than a procurement request package.

10. SUPPLEMENTARY MANUALS AND GUIDANCE. Supplementary requirements to this Order shall be published as a DOE Manual. The manual shall contain standards and procedures for the identification and procurement of S&S equipment and systems. Such a manual will be coordinated and published through the Departmental Directives System.

BY ORDER OF THE SECRETARY OF ENERGY:



DOLORES L. ROZZI
Director of Administration
and Human Resource Management

REFERENCES

1. Atomic Energy Act of 1954 (42 U.S. C. 2201k) as amended:
 - a. Chapter 12, "Control of Information," sections 141-146, inclusive, which sets forth the principles for the control of Restricted Data.
 - b. Chapter 14, "General Authority," section 161, "General Provisions," which sets forth the authority necessary to perform the functions of the Department and the Nuclear Regulatory Commission.
 - c. Chapter 18, "Enforcement," sections 221-233, which sets forth the authority necessary to protect Restricted Data and to safeguard property and establish criminal penalties for violation of provisions of the Atomic Energy Act.
 - d. Chapter 18, "Enforcement," section 229, "Trespass Upon Commission Installations," which sets forth the authority to issue regulations and establishes penalties for violating these regulations relating to the entry upon or carrying, transporting, or otherwise introducing or causing to be introduced any dangerous weapon, explosive, or other dangerous instrument or material likely to produce substantial injury or damage to persons or property, into or upon any facility, or installation, or real property of the Department or the Nuclear Regulatory Commission.
2. DOE EV 061945, Department of Energy Explosives Safety Manual, which provides information and guidance related to the safe use and storage of explosives.
3. Department of Energy Organization Act, as amended, Section 661 which sets forth authority to carry firearms and make arrests while protecting the Strategic Petroleum Reserve.
4. Federal Specification W-A-450-C, "Interim Federal Specification, Alarm Systems," which provides specifications for interior alarm systems.
5. Federal Specification AA-D-6008, which provides specifications for vaults.
6. "Design Basis Threat Policy for the Department of Energy (DOE) Programs and Facilities" (U), of March 1992, issued by the Assistant Secretary for Security Affairs, which identifies and characterizes the range of potential generic adversary threats to the Department's nuclear programs and facilities which could adversely impact national security and the health and safety of the public. This document is classified and is available through the local S&S office.
7. National Institute of Justice Standard 0101.02, Ballistic Resistance of Police Body Armor, 2-28-84, which identifies levels of protection for personnel protective armor.

8. Title 5 Code of Federal Regulations (CFR) Part 1320, Paperwork Reduction Act, which directs the identification and clearance of information collections levied on the public, including contractors, state and local government units, and persons who perform services for the Department on an individual basis.
9. Title 10 CFR Part 100, Reactor Site Criteria, which guides the evaluation of the suitability of proposed sites for power and test reactors.
10. Title 10 CFR Part 1046, Physical Protection of Security Interests; Subpart B, Protective Force Personnel, Appendix A, which provides medical and physical fitness qualification standards for Departmental contractor employees at Government-owned facilities, whether or not privately operated.
11. Title 10 CFR Part 1049, which provides guidance on limited arrest authority and use of force for SPR Protective Force Officers.
12. Title 41 CFR Chapter 101, Federal Property Management Regulations, which sets forth introductory material concerning the Federal Property Management Regulations System; its content; types; publications, including Federal specifications and standards; authority; applicability; numbering; deviation procedures; as well as agency consultation, implementation, and supplementation.
13. DOE 5630.11, SAFEGUARDS AND SECURITY PROGRAM, of 1-22-88, which provides policies for the Safeguards and Security Program.