

# DIRECTIVES CONTROL FORM - ORO O FINAL DIRECTIVE

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

1. **NUMBER AND TITLE OF DIRECTIVE:** **ORO O 470, Chapter XI, Chg. 1, SECURITY OF FOREIGN INTELLIGENCE INFORMATION AND SENSITIVE COMPARTMENTED INFORMATION FACILITIES**
2. **PURPOSE OF TRANSMITTAL:**  New Directive  Revised Directive  Page Change
3. **THIS DOCUMENT MAY AFFECT THE WORK PERFORMED BY THE FOLLOWING CONTRACTORS:** (Check appropriate boxes)
- No (all contractors)
- Yes If yes, whom?  LMES  LMER  ORAU  SURA
- Bechtel Jacobs Company
- Other contractors (list by type) All other contractors and subcontractors having access to FII, including SCI.

*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 to (1) indicate the correct correlating DOE Order (DOE 5639.8A), (2) revise paragraph 4 to reflect current ORO organizational structure, and (3) update the ORO Directive referenced in paragraph 6.
5. **CONTACT POINT:** Pat Belland Safeguards and Security Division, AD-43 576-0914  
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 O 470, Chapter XI<br>Pages XI-1 through XI-4 | 09/30/1996   | ORO O Control Form<br>ORO O 470, Chapter XI,<br>Chg. 1, Pages XI-1 through XI-4 | 04/23/1999<br>04/23/1999 |

*ORO Orders are available on the ORO Directives Management Home Page  
[[http://www.ornl.gov/doe\\_oro\\_dmg/orchklst.htm](http://www.ornl.gov/doe_oro_dmg/orchklst.htm)] within 5-10 working days after receipt of this Control Form.  
The ORO Orders 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*  
Jennifer H. Cusick, AD-440 04/23/1999  
Signature Management Analyst, AD-440 Date

**INSTRUCTIONS TO ADDRESSEES: THIS FORM IS TO BE FILED WITH THE DIRECTIVE AND RETAINED**  
Rev. 08/04/1998

# U.S. Department of Energy

Oak Ridge Operations

ORO O 470 Chapter XI Change 1
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DATE: 04/23/1999

## **SUBJECT: SECURITY OF FOREIGN INTELLIGENCE INFORMATION AND SENSITIVE COMPARTMENTED INFORMATION FACILITIES**

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1. PURPOSE. This Chapter correlates to DOE 5639.8A, SECURITY OF FOREIGN INTELLIGENCE INFORMATION AND SENSITIVE COMPARTMENTED INFORMATION FACILITIES, dated July 23, 1993, by assigning responsibility and accountability and providing administrative and/or contractual guidance to ORO and its contractors. Nothing in this issuance changes any requirements contained in any DOE Order.
2. CANCELLATION. This Chapter cancels and replaces ORO O 470, Chapter XI, SECURITY OF FOREIGN INTELLIGENCE INFORMATION AND SENSITIVE COMPARTMENTED INFORMATION FACILITIES, dated September 30, 1996.
3. APPLICABILITY. The provisions of this Chapter apply to ORO Principal Staff and contractors and subcontractors who perform work for the Department that requires access, receipt, storage, processing and/or handling of Foreign Intelligence Information (FII), including Sensitive Compartmented Information (SCI).
4. RESPONSIBILITIES.
  - a. Assistant Manager for Administration (AMA).
    - (1) Serves as the Senior ORO Intelligence Operation and Control Official.
    - (2) Delegates approval authority to the Director, Safeguards and Security Division (SSD), for requests for Sensitive Compartmented Information (SCI) access from ORO, contractors, and subcontractors.
  - b. Director, Safeguards and Security Division.
    - (1) Approves requests for SCI access from ORO, contractors, and subcontractors before they are forwarded by the Special Security Officer (SSO), Field Intelligence Element (FIE) to the Director of Energy Intelligence (NN-30), Headquarters (HQ).
    - (2) Performs those tasks identified in DOE 5639.8A, subparagraphs 8f(2)-(8), as directed by AMA.
    - (3) Processes applicants for SCI access authorization and forwards files to the Director, Office of Security Affairs (NN-50), HQ.
    - (4) Provides the AMA and Federal Building Complex Security Manager with a quarterly listing of all SCI-cleared personnel within ORO.

c. Principal Staff and Director, Field Intelligence Element.

- (1) Establish, manage, and operate facilities that receive, store, process, and disseminate FII, including SCI, in a manner that conforms to the requirements of DOE 5639.8A.
- (2) Report within two hours of discovery any incident or security-related situation that could be construed as involving a compromise, possible compromise or suspected compromise of FII, including SCI, to the Contracting Officer's Representatives (COR) and the Director, SSD. The initial notification may be oral or written, but in all cases will be followed within 24 hours by a formal written report of inquiry/investigation.
- (3) Under whose supervision procurement requests are initiated, perform those tasks identified in DOE 5639.8A, subparagraph 8b(2).

d. Contracting Officer's Representatives.

- (1) Perform those tasks identified in DOE 5639.8A, paragraph 8b(1).
- (2) Ensure that any deficiencies noted as a result of SSD surveys/inspections are addressed with corrective actions designed to meet FII management, control, and security requirements.

e. Division Directors and above are responsible for validating the "need-to-know" for individuals in their organization on OR F 5635.4-1, the locally-produced Document Access Authorization Form.

**NOTE:** Forms should be reviewed annually or whenever a job change occurs to ensure continued access to FII is necessary. If "need-to-know" is no longer required, Central Library must be contacted immediately to withdraw access.

5. REQUIREMENTS AND PROCEDURES. None.

6. REFERENCES. ORO O 470, Chapter III, INFORMATION SECURITY PROGRAM, dated December 30, 1996, and any revisions, which establishes responsibilities for foreign intelligence activities within ORO.

7. DEFINITIONS. **Field Intelligence Element (FIE)** is an element of ORO or of any ORO contractor that has been recognized in writing by NN-30 as an extension of DOE HQ that performs unique and critical FII operations in direct support of the Department's intelligence mission as defined in Executive Order 12333. The FIE's mission may require interface with Intelligence Community agencies.

8. CONTRACTOR REQUIREMENTS DOCUMENT. See Contractor Requirements Document, Attachment 1 of this Chapter.

9. ATTACHMENTS.

Attachment 1 - Contractor Requirements Document.

**CONTRACTOR REQUIREMENTS DOCUMENT**

Contractors identified in paragraph 3 of this Chapter will accomplish the following, to the extent set forth in their contract:

1. Establish, manage, and operate facilities which receive, store, process, and disseminate FII, including SCI, in a manner that conforms to the requirements of DOE 5639.8A.
2. Report within two hours of discovery any incident or security-related situation that could be construed as involving a compromise, possible compromise or suspected compromise of FII, including SCI, to the cognizant COR or Site Manager and to SSD. The initial notification may be oral or written, but in all cases will be followed within 24 hours by a formal written report of inquiry/investigation.