### Contractor Requirements Document

(Supplemented) Form

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<th>CRD #: O 470.4B Admin Chg 1  (Supplemented Rev. 0)</th>
<th>Title: Safeguards and Security Program</th>
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<td>Applicable Contractor(s): RCC <em>X</em> OccMed <em>X</em> PRC <em>X</em> MSC <em>X</em> Other</td>
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**Section A – Headquarters CRD:**

CRD DOE O 470.4B, Admin Chg 1. Safeguards and Security Program, Attachment 1
Section B – General Clarifications:

1. Attachment 2, Section 1, Safeguards and Security Program Planning, Chapter II, Security Conditions Item 3 - Contractors provide pre-planned protective measures to the RL SES Division Director as well as updates as protective measures change.

2. Attachment 2, Section 2, Survey, Review and Self-Assessment Programs - Non-Possessing Contractors survey frequency - Every 5 years. If the contractor due for review is a sub-contractor to one of the Hanford Site Prime contractors, the pre-review questionnaire will be provided to the MSA FOCI point-of-contact to provide to the sub-contractor for completion and forward to the RL-SES FSOM.
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Section C – Specific Clarifications:

1. OccMed and RCC – Chapter 1 Security Plans is not applicable to these contracts.

2. Attachment 2, Section 2. Survey, Review and Self-Assessment Programs

   a. CH2M HILL Plateau Remediation Company survey frequency – Every 18 months
   b. Mission Support Alliance survey frequency – Every 18 months
   c. Advanced Technologies Laboratory survey frequency – Every 4 years
   d. Bechtel National Inc. survey frequency – Every 4 years
   e. Washington River Protection Solutions survey frequency – Every 4 years
   f. Washington Closure Hanford survey frequency – Every 4 years

The above recommended schedule is based on a Satisfactory rating in all applicable SAS topical areas for an individual contractor. Should a survey result in one or more topical areas being rated Marginal or Unsatisfactory, the review frequency will be re-examined with emphasis towards a more frequent assessment cycle until performance returns to “Satisfactory.” Contractors shall conduct self-assessments at intervals consistent with frequency of periodic surveys above.

3. Attachment 2, Section 1 Safeguards and Security Program Planning, Chapter II Security Conditions, Item 3

   Applicable contractors may use the DOE SECON Quick Reference tool to establish response measures.

The following are clarifications to the response measures.

   a. Measure 2 is clarified as follows:
      - Ensure that security personnel have access to building floor plans and emergency evacuation plans for all site facilities.
      - Ensure that security personnel are able to seal off “target areas” immediately.
      - Ensure that key personnel required to implement security plans are on-call and readily available.
      - Maintain the site Emergency Management Team (EMT) on recall. Recall time shall be determined by the Director, RL-SES, on a case-by case basis (i.e., graded approach).
      - Expand Operations Security measures.
      - Exercise bomb threat procedures.

   b. Measure 3 is clarified as follows:
      Secure buildings not in regular use. Maintain a list of all facilities.

   c. Measure 12. is clarified as follows:
      Maintain EMT personnel on recall; periodically exercise recall to ensure readiness. Recall time shall be determined by the Director, RL-SES, on a case-by case basis (i.e., graded approach). Keep all other personnel involved in implementing special response/contingency plans on call. Identify, contact, and brief specialists that may be required for unique contingencies; coordinate lines of communication.

   d. Measure 14 is clarified as follows:
      Move automobiles and objects, such as trash containers, newspaper boxes, crates, etc., at least 30 yards from buildings of a sensitive or prestigious nature. Identify any areas where an improvised explosive device could be hidden (i.e., pallet stacks, trash piles, stacked construction supplies, etc.).
If the configuration of the facility or area precludes implementation of this measure, take appropriate compensatory measures per local plans [frequent inspection by explosive trained K-9 teams, if available, controlled access to parking areas, etc.]. Consider centralized parking.

e. Measure 15 is clarified as follows:
Secure buildings not in regular use.

f. Measure 17 is clarified as follows:
Implement screening procedures at mail distribution locations to identify possible explosive or incendiary devices or other dangerous material. If available, have K-9 teams inspect suspicious items and screen mail periodically. Provide guidance concerning suspicious packages. Encourage employees to inspect their individual mail, report suspicious items to security, and refrain from handling such items until cleared by appropriate authority.

g. Measure 18 is clarified as follows:
Implement screening procedures for other deliveries at designated inspection points to identify explosives and incendiary devices. Use K-9 teams for inspections, when available. Instruct site personnel to report suspicious packages to security and refrain from handling them until cleared by appropriate authority.

h. Measure 19 is clarified as follows:
Increase security force patrols of locally designated soft targets to improve deterrence and build confidence among site personnel.

i. Measure 22 is clarified as follows:
Randomly verify the identity of personnel entering property protection areas and other sensitive activities specified in local plans (i.e., inspect identification badges and grant access based on visual recognition). Use of automated access control systems at interior security areas is acceptable and encouraged where practical.

On a random basis, visually inspect the interior of vehicles and the exterior of suitcases, briefcases, packages, and other containers. Increase the frequency of detailed vehicle inspections (trunk, undercarriage, glove boxes, etc.) and the frequency of detailed inspections of suitcases, briefcases, and other containers.

j. Measure 25 is clarified as follows:
Provide duress alarm capability to critical/sensitive personnel identified by RL and Contractor management. Implement additional measures if warranted by the threat and existing vulnerabilities (e.g., personnel should alter established patterns of behavior when traveling in public areas).

k. Measure 28 is clarified as follows:
Participate in local emergency planning activities to determine if operational activities near the area might create emergencies that could affect the site/facility (e.g., airports, railroads, etc.).

l. Measure 33 is clarified as follows:
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Randomly verify the identity of personnel entering the site/facilities, including facilities located in the Tri-Cities, WA, under DOE control. Inspect security badges for tampering. On a random basis, visually inspect the interior of all vehicles and the exterior of all suitcases, briefcases, packages, and other containers. Increase the frequency of detailed vehicle inspections (trunk, undercarriage, glove boxes, etc.) and the frequency of detailed inspections of suitcases, briefcases, and other containers.

m. Measure 38 is clarified as follows:
Erect barricades to control direction of traffic flow at critical/sensitive facilities. Erect barriers at facilities vulnerable to bomb attack as identified through the vulnerability analysis process.

n. Measure 46 is clarified as follows:
Increase inspections of vehicles entering the site. Inspections should include cargo storage areas, undercarriage, glove boxes, and other areas where explosives, incendiary, chemical or biological devices, or other dangerous items could be concealed.

o. Measure 48 is clarified as follows:
Increase inspections of baggage, such as suitcases, packages, and briefcases, brought on the site for the presence of explosives, incendiary, or other dangerous items.

Section D – General Supplemental Requirements

1. Attachment 5 Section 1, Incident Identification and Reporting Requirements - Provide notification to the RL Incidents of Security Concern Program Manager of any incident of security concern upon the classification of the incident. Both Category A and Category B incidents will be reported and closed through SSIMS despite the option indicated in subsection 6., Incident Closure, regarding Category B incidents.

2. Facility Clearances and Registration of Safeguards and Security Activities. The following general requirements are added to those of Att. 3 Section 1:

a. REGISTRATION. When the scope of a contract will require DOE access authorizations, the prime contractor shall query the Safeguards and Security Information Management System (SSIMS) to determine if the contractor is registered and possesses a DOE facility clearance.

   1) If a facility is registered in the SSIMS, the level of facility clearance shall be compared with the level required for the pending RL-related contract/sub-contract.

      (a) If the level of security clearance on the SSIMS is equal to or greater than that required for the RL-related contract/sub-contract, the prime contractor shall request a copy of the latest FDAR and complete the Contract Security Classification Specification (CSCS) Form DOE-F-470.1 and submit the completed form to the RL Facility Clearance Operations Manager (FCOM). (Note: The CSCS form is available on Hanford Site Forms.)

      (b) If the level of security clearance on the SSIMS is less than that required for the RL-related contract/sub-contract, the facility must be upgraded to meet local needs. In this case, the prime contractor shall complete the CSCS form and DOE-F-470.2, Facility Data and Approval Record (FDAR), and submit the completed form to the RL FCOM. (Note: The FDAR form is available in the Hanford Site Forms.)
2) If the facility is not registered on the SSIMS, the prime contractor shall contact the Central Verification Activity, Defense Security Service (CVA) to determine if the facility is registered with the Department of Defense (DoD).

(a) If the facility is registered with the DoD at a level equal to or greater than that required for the RL-related contract/sub-contract, the prime contractor shall complete the CSCS and FDAR forms and submit them to the RL FCOM. (Note: The DoD facility registration information shall be entered in Blocks 23a, f and g of the FDAR form.)
(b) If the level of the DoD security clearance is less than that required for the RL-related contract/sub-contract, the facility must be upgraded to meet local needs. Therefore, the prime contractor shall complete the CSCS and FDAR forms per the instructions, and submit them to the RL FCOM.
(c) If the facility is not registered in SSIMS or with CVA, the prime contractor shall request a FOCI submittal through the DOE Online Submittal system and forward to DOE-RL for determination. The contractor will request written confirmation (e/mail or facsimile) of the facility clearance information. The prime contractor will then complete the required CSCS and FDAR forms.
(d) Upon approval of a CSCS and/or an FDAR, the prime contractor shall enter the data in the SSIMS as soon as possible but no later than ten (10) working days after receipt of the CSCS/FDAR form from the FCOM. Immediately after SSIMS data entry, the CSCS and/or FDAR form(s) shall be signed or initialed and dated, as appropriate, and the original copy returned to the RL FCOM.

b. CHANGES IN REGISTRATION DATA

1) The prime contractor shall submit to the RL FCOM a revised CSCS and/or FDAR form, as appropriate, for change in facility registration data (e.g., extension of contract, change in location of performance, change in address, change of key security personnel).
2) The prime contractor shall enter the revised facility registration information into the SSIMS as soon as possible but no later than ten (10) working days of receipt of the approved CSCS/FDAR form(s) from the FCOM.

c. TERMINATION OF REGISTRATION

1) Upon completion of an RL-related contract/sub-contract involving DOE access authorizations, the prime contractor shall complete a CSCS form, an FDAR form (when RL is the Lead Responsible Office (LRO)) and a Certificate of Non-Possession (Exhibit A) supplied by SES.
2) The prime contractor security organization shall verify, by signing the Security Certification (Exhibit B) that all DOE classified matter has been properly disposed of (provide a Certificate of Non-Possession signed by Contractor’s FSO) and all DOE security badges have been returned and all DOE access authorizations have been terminated, as appropriate. The Certificate of Non-Possession will be completed and signed prior to or on the final close out date. The Certificate of Non-Possession will be attached to the CSCS form and provided to the RL FCOM. (Note: Before canceling access authorizations, SSIMS should be checked to see if another DOE facility maintains active contract for the Contractor and, if so, a FDAR transferring cognizant responsibility should be initiated).
3) The prime contractor shall terminate the facility registration on the SSIMS as soon as possible but no later than ten (10) working days of receipt of the approved CSCS/FDAR form(s) from the RLFCOM.

d. EXHIBITS

1) Exhibit A – Certificate of Non-Possession

2) Exhibit B – Security Certification (Contract Closeout)

II. Attachment 2 Section 2, Survey, Review, and Self-Assessment Programs.

(a) The contractor shall assign a finding owner for each finding and assure that an appropriate level of root-cause or apparent cause is performed and corrective actions are identified for each finding. The contractor shall have appropriately trained personnel conduct the causal analysis.

(b) The contractor shall perform an apparent-cause analysis for identified findings/incidents unless the finding/incident meets the requirements of a root cause analysis or a root cause analysis is directed by RL. A root cause analysis is required for a finding/incident where the cause cannot be determined by an apparent cause analysis, and the finding/incident indicates a single failure point (where there are no other supplemental or redundant security measures in place to mitigate the issue) that would likely lead to one of the following security incidents:

i. Loss of accountability, theft, or diversion of Category I or II quantities of SNM

ii. Confirmed loss or unauthorized disclosure of classified matter

iii. Radiological sabotage incident as defined by the Graded Security Protection Policy, DOE ) 470.3B

iv. Significant vulnerability to the overall Site security posture

v. Significant vulnerability to a PA or MAA

(c) Suggestions from internal self-assessments shall be documented but do not require a corrective action plan or causal analysis.

(d) The contractor shall consolidate proposed corrective actions into a Corrective Action Plan (CAP). The contractor shall submit the proposed CAP to RL for approval within 45 working days after receipt of the final survey report. If either the root-cause or apparent cause analysis cannot be accomplished within the 45 days, specific milestones and an estimated completion date must be included in the CAP.

(e) The contractor shall submit to the RL Facility Survey Operations Manager (FSOM) by the 10th of January, April, July, and October a consolidated quarterly corrective action status update for all open findings. When a change in finding status occurs between reporting periods, the contractor shall immediately send a status update to RL.

(f) If an approved estimated date of completion for a finding cannot be met, the contractor shall submit a written explanation via e-mail to RL. A new estimated completion date must be approved by RL via e-mail response.

(g) When the contractor considers all corrective actions for a finding to be completed, the contractor shall prepare a Finding Validation/Closure Request and forward it to the RL FSOM via e-mail requesting closure of the finding.

(h) If after validation the finding is considered “open” the contractor shall coordinate with RL to determine an appropriate course of action.
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(i) In the case where a finding is no longer valid or is overcome by changing events and may not require corrective action and/or validation, the contractor may request closure.

3. The following general requirements are added to those of Attachment 2, Section 2, Survey, Review and Self-Assessment Program.
   a. Self-assessment reports shall: a. Include the assessment of all applicable DOE F 470.8 topical and sub-topical areas of the facility’s S&S program, utilizing personnel knowledgeable of the topical or sub-topical area.
   b. Be suitable for use by management in determining the effectiveness of S&S performance and compliance with applicable DOE directives.
   c. List findings resulting from self-assessment activities.
   d. Be available for review by the Surveying Office.
   e. Be provided to RL SES, for information, upon completion.
   f. All working papers and other non-record documentation associated with the performance of the assessment must be retained until the completion of the next assessment.

4. DEVIATION REQUEST FORMAT. The following general requirements are added to those of Attachment 2, Section 1, Chapter I, (2).
   a. Request Number. An alphanumeric identifier beginning with “SO” followed by the routing symbolized in the DOE National Telephone Directory, followed by the last two digits of the year of the request’s date, followed by the three-digit number that is next in the sequence of requests from that Field Element in that calendar year. For example, the third request from the Richland Operations Office during 2001 would be SO-RL-01-003. The requesting official shall obtain the deviation number from the RL SES Facility Clearance Operations Manager before the request is formally submitted.

Section E - Specific Supplemental Requirements:

Section F - Implementation Impacts

DOE O 470.4B Admin Chg 1 retires DOE O 470.4A, DOE M 470.4-1 Chg 2, and DOE O 142.1. The requirements identified in this SCRD need to be incorporated into Hanford Site contractors contracts as a driver to provide information not required in the CRD for DOE O 470.4B Admin Chg 1.
EXHIBIT A

Security Certification
(To be completed by Prime Contractor or U.S. Department of Energy)

Subcontractor Name:
Subcontract Number:

☐ This subcontract did not involve the possession of classified matter and/or special nuclear materials.

☐ All classified matter and/or special nuclear material possessed in conjunction with the work performed under this subcontract has been returned to the Department of Energy or disposed of in accordance with DOE directives.

☐ Classified matter and/or special nuclear material possessed in conjunction with the work performed under this subcontract are being retained for work under another active subcontract.

• Active Subcontract No: __________
• Retention is authorized until: __________ (as documented on the CSCS form and certificate of possession).

                                                Date: __________
Name and Signature of Prime Contracting Official

Access Authorizations:

☐ No DOE access authorizations (security clearances) were associated with this subcontract.

☐ All DOE access authorizations based upon this subcontract have been terminated in accordance with DOE directives.

                                                Date: __________
Name and Signature of Prime Contracting Security Official
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EXHIBIT B

Certificate of Non-Possession

Subcontractor Name:
Subcontract Number:

The subcontractor identified below has completed all classified work in support of DOE Prime Contract Number:

The following security actions have been completed:

1. Classified Documents/Materials: (Check appropriate block)

☐ No Classified documents or materials were created or received by company employees under this subcontract.

☐ All classified documents, materials, computer disks, and other media created and/or received under this subcontract have been returned to DOE custody or destroyed in accordance with DOE instructions.

☐ All classified documents, materials, computer disks, and other media, created or received under this subcontract have been returned to DOE custody or destroyed in accordance with DOE instructions, except for those documents, materials, and media which are being retained for future use on another DOE contract.

☐ A Certificate of Possession for the retained documents was issued by DOE on the following date:

2. Personnel Security Clearances and Badges: (Check appropriate block)

☐ No personnel security clearances were granted under this subcontract. All Building Access Only security badges have been returned to DOE custody.

☐ All personnel security clearances granted under this subcontract have been terminated. DOE security badges for employees with terminated clearances have been returned to DOE custody.

☐ All personnel security clearances granted under this subcontract have been terminated, or have been transferred to another DOE subcontract. DOE security badges for employees with terminated clearances have been returned to DOE custody.

_________________________________________  ____________
Signature of Facility Security Officer            Date

[Type Name of FSO for the Subcontractor]

_________________________________________
Typed/Printed Name of Facility Security Officer

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