U.S. DEPARTMENT OF
ENERGY

Safeguards and Security Policy Information Resource

User Guide

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Office of Security Policy
Department of Energy

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TABLE OF CONTENTS

1   Introduction

The safeguards and security (S&S) Policy Information Resource (PIR) website, located at
https://pir.doe.gov, provides users with the fundamental resource and reference materials used in the
development and implementation of the U.S. Department of Energy (DOE) S&S directives. This site
supports the analyses of the functional breakdown of S&S policy and assists in the identification of the
genesis of those protection requirements. Policy questions that may be addressed include

- Why is a requirement included in policy?
- Which requirements are unique to DOE?
- What national policy (protection requirements) is not accounted for in current directives?
- How is national policy implemented through the current directives?
- What are the requirements for a topical area?
- What effect does a change in national policy have on current requirements?

The nine DOE S&S directives (most current version) included on this site are

- DOE O 142.3A *Unclassified Foreign Visitors and Assignments Program*
- DOE O 470.4B *Safeguards and Security Program*
- DOE O 470.5 *Insider Threat Program*
- DOE O 471.6 *Information Security*
- DOE O 472.2 *Personnel Security*
- DOE O 473.1A *Physical Protection Program*
- DOE O 473.2A *Protection Force Operations*
- DOE O 474.2 *Nuclear Material Control and Accountability*
- DOE O 475.2B *Identifying Classified Information*

An annotated (in-context) version of eight of the directives is provided, where requirements are identified
by end note with national policy requirements and text shown at the end of the document. An end noted
version of DOE O 475.2B is not provided.

Although not a comprehensive solution for all needs, this collection is intended to include the most
current version of each policy document. Where available, links are provided to the official source
documents on their related agency websites. Information on how to obtain copies of sensitive documents
or those otherwise not publicly available is also provided.

2   Organization

The PIR website is organized into three main pages or sections: *National Driver & Reference Documents*, *DOE Requirements*, and *National Requirements*, with additional supporting information located in *Resources*. The underlying library of documents and text supporting the website consist of a database of DOE S&S directives, a selected set of annotated DOE S&S directives, associated national policies, standards, references, and requirements.

Each main page is organized with navigation, search and filter utilities at the top; search results, export and bookmark utilities in the bottom left window; and individual record details provided in the bottom right window (Attachment 1). Exploration and management of information is accomplished using

- Filter Lists. Four filter lists (Topical Areas, Subtopics, Category [document], Other) are provided. The filters return records associated with each of the entries and may be used in combination with the simple search.
- Simple Search. The content of each section is searchable using a single term or phrase. Note: Many S&S terms may be used interchangeably with one another where the meaning is the same or nearly the same. Where similar words for a search term have been identified the Related Keywords box will display and provide a set of alternate terms (example: vault, safe, security container, etc.).
- Export Results. Use this tool to export search results to a Microsoft (MS) Word (.docx) or MS Excel (.csv) file.
- Bookmark. Apply this tool after filtering and/or searching records. The conditions used to get the current set of records may be saved or bookmarked (as supported by each browser) to quickly recreate the search and resulting record set.

Individual records are represented as "cards" in the Results window and are color-coded by section (see Attachment 1). Each card provides general document or requirement information, access to a .pdf of the document and a link to the document source (when available). Additional information for each record is provided in the Detail window. Further information on the Results and Detail windows are provided in the following sections.

Additionally, a glossary and acronym list are provided to support consistency in terminology use and understanding within the DOE S&S enterprise.

2.1   National Driver & Reference Documents

Selecting this link takes the user to the laws, regulations, standards, and other policy documents providing the basis for establishment of DOE S&S policies, requirements, and responsibilities for Departmental elements and contractors. These documents and the requirements they contain are considered the "drivers" for DOE S&S requirements.

National Driver & Reference Documents

Find laws, regulations, standards and reference documents by topic, subtopic, or category.

Additional materials which provide supporting information, such as guides, best practices, industry standards, etc., are also included here and are considered references.

Using the Filters

Information in this section may be searched or filtered using one or more of the following selections.

- Simple search. Titles and abstracts for the documents in this section are searchable using a single term or phrase. This search may be used in combination with filters.
- Topical Areas (TA). Topical areas represent the major S&S topics associated with their respective directive. The number to the right of each TA represents the number of documents, both drivers and references, associated with it. When a TA is selected, the entries in the Subtopic and Category filter are reduced to those directly related to the selected TA. Multiple TAs may be selected.
- Subtopics. Subtopics are defined for each of the TA and generally follow the organization of the respective directive. The number to the right of each subtopic represents the number of documents, both drivers and references, associated with the subtopic. Subtopics may be selected in any combination without first selecting a TA. As selections are made, entries in the TA and Category filters will reduce to those related to the selected subtopic.
- Category. The Category filter provides the option to select records by document type.
- Other (not titled). Selections in this filter provide the option to view only driver documents, or only reference documents.

Results Card

Results cards for this section are color-coded purple. Information included on each card

- Top row: Document number/identifier
- Center text: Document title
- Bottom row: Options to download a .pdf of the document, or link to the official document location (when available)


As filters and/or searches are applied the record set will update. When the desired record set is achieved, options to export the results to a MS Word (.docx) or MS Excel (.csv) file are available. The search may also be saved by bookmarking the page.

Detail Card

For each document in the Results window, the Detail card (bottom right) provides the title, a brief document abstract and list of requirements that have been identified as drivers for DOE S&S requirements. The list is organized by TA, with text to the right of the requirement citation (in gray type) showing the related subtopic(s).

Information included on each Detail card

- Document identifier and title
- Document abstract
- Topical Area (driver documents only)
- List of document requirements identified as S&S drivers and related subtopical area (driver documents only)
- Options
  - Download .pdf of document (when available)
  - Link to the official document location (when available)
  - Document status
  - Export option
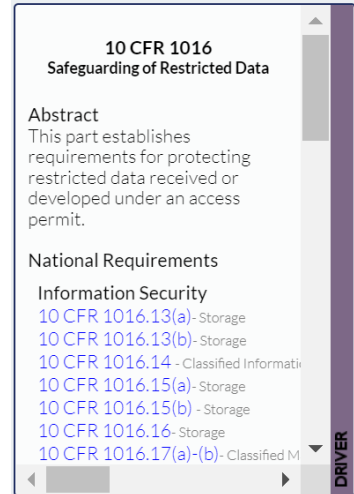
Selecting a requirement from the *National Requirements* list displays a popup card to the left of the original card. Note this card is color-coded green to indicate it belongs to the National Requirements page.

Contents of the National Requirements popup card include

- National policy citation
- Title of section where requirement is found
- Requirement text
- Link to document
- List of DOE requirements organized by TA, for which the citation is considered a driver.
- Export option
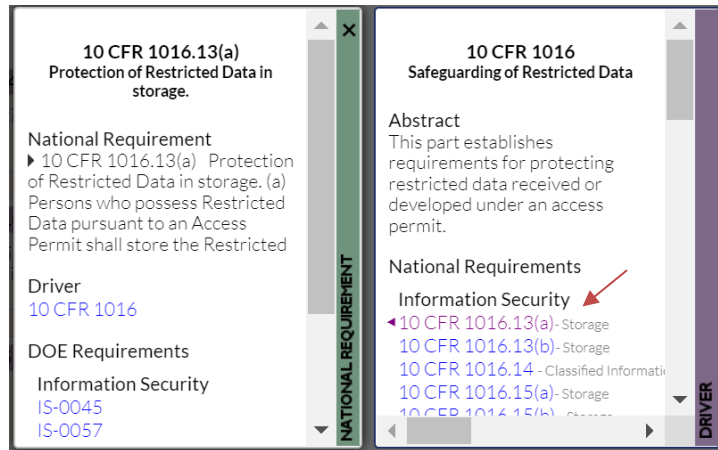
Selecting a requirement from the list of *DOE Requirements* displays a second popup card to the left of the National Requirement card. Note this card is color-coded tan to indicate it belongs to the DOE Requirement section.

Contents of the DOE Requirement popup card include

- DOE requirement number (corresponds to the end noted requirement in the related in-context document)
- Requirement text
- List of national requirements that are considered drivers for the requirement
- Link to the in-context document
- Export option
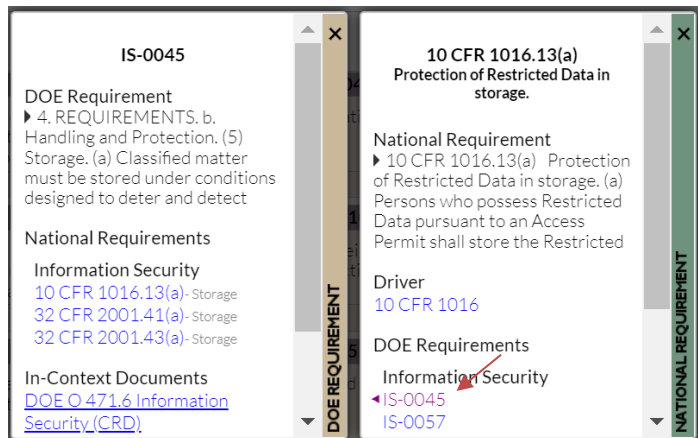
2.2   DOE Requirements

ImageSafeguards and security requirements contained in the nine S&S directives (Section 1) are listed in the DOE Requirements page. Requirements are organized by topical and subtopical areas.

DOE Requirements

Find the actions to be taken by DOE/NNSA employees or contractors, and view their associated national drivers.

Using the Filters

Information may be searched or filtered using one or more of the following selections.

- Simple search. DOE requirements in this section are searchable using a single term or phrase. This search may be used in combination with filters.
- Topical Areas (TA). Topical areas represent the major S&S topics associated with their respective directive. The number to the right of each TA represents the number of associated requirements. When a TA is selected, the entries in the Subtopic filter are reduced to those that are directly related to the selected TA. Multiple TAs may be selected.
- Subtopics. Subtopics are defined for each TA and generally follow the organization of the directive. The number to the right of each subtopic represents the number of associated requirements. Subtopics may be selected in any combination without first selecting a TA. As selections are made, entries in the TA filter will reduce to those related to the selected subtopic(s).
- Other 1 (not titled). Options for this filter include
  - "DOE Only". This filter will find requirements that are specific to DOE and do not have a related national policy driver(s).
  - "Include national requirements". This filter will include in search results the national policy requirements not repeated in DOE policy.
- Other 2 (not titled). Options for this filter will select records that are applicable to "All", "Contractor", "Federal" requirements.

Results Card

Result cards for this section are color-coded tan. Information included on each card

CPF-0882

Attach 1 Contractor Requirements Document (CRD) U.S. DOE contractors

Contractor   DOE

- Top row: Requirement number (corresponds to end note number in the associated in-context document)
- Center: Abbreviated requirement text
- Bottom row: Implementation responsibility (federal, contractor, or federal/contractor). "DOE" in the bottom right corner indicates the requirement does not have a corresponding national policy requirement.

Detail Card

The Detail card (bottom right) provides the full text of the DOE requirement selected in the Results window and a list of national policy citations considered as drivers for the requirement. Text to the right of the citation (in gray type) indicates the subtopical area(s).

Information included on each Detail card

- Requirement number (corresponds to the end noted requirement in the in-context document)
- Requirement text
- List of national requirements (drivers) for the DOE requirement. (Select the link to view national requirement text.)
- Link to the in-context document.
- Export option
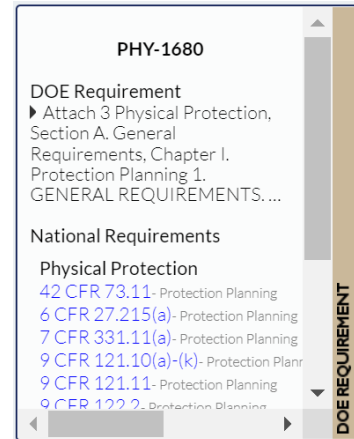
Selecting a citation from the *National Requirements* list displays a second popup card to the left of the original card. Note this card is color-coded green to indicate it belongs to the National Requirements page.

Contents of the National Requirements popup card include

- National policy citation
- Title of section where requirement is found
- Requirement text
- Link to document
- List of DOE requirements, organized by TA, for which the citation is considered a driver.
- Export option
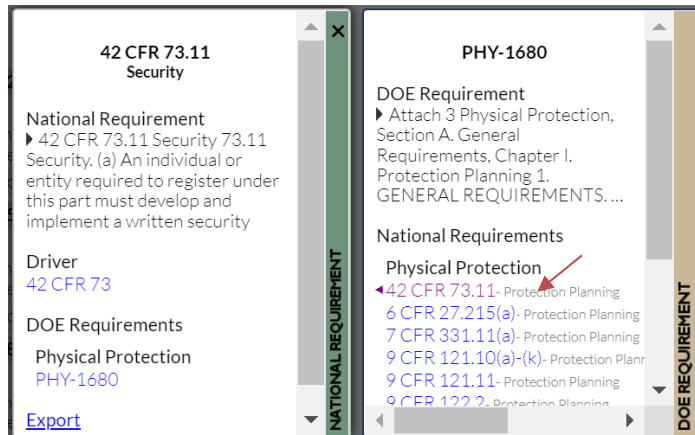
2.3   National Requirements

Selecting the National Requirements page takes the user to national policy requirements from the laws, regulations, standards, and other policy documents that are the basis for DOE S&S policies. These requirements are considered the drivers for DOE S&S requirements. National requirements not included in DOE directives will also be found here.
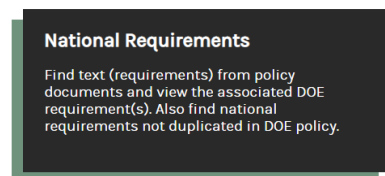
Using the Filters

Information in this section may be searched or filtered using one or more of the following selections.

- <u>Simple search</u>. Requirement text in this section is searchable using a single term or phrase. This search may be used in combination with filters.
- <u>Topical Areas (TA)</u>. Topical areas represent the major S&S topics associated with their respective directive. The number to the right of each TA represents the number of associated national policy requirements. When a TA is selected, the entries in the Subtopic and Category filter are reduced to those that are directly related to the selected TA. Multiple TAs may be selected.
- <u>Subtopics.</u> Subtopics are defined for each TA and generally follow the organization of the DOE directive. The number to the right of each subtopic represents the number of associated national policy requirements. Subtopics, in any combination, may be selected without first selecting a TA. As selections are made, entries in the TA and Category filters will reduce to those related to the selected subtopic(s).
- <u>Category.</u> The Category filter provides the option to select records by document type.
- <u>Other (not titled).</u> Selecting the "w/o DOE Requirement" option will return a list of national policy requirements that are not repeated in DOE policy.

Results Card

Result cards for National Requirements are color-coded green.

- Top: national policy citation
- Center: Title/subject area
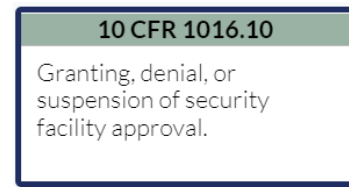


Detail Card

The Detail card (bottom right) provides the full text of the national policy requirement selected in the Results window. A link to the full document and a list of the related DOE requirements (by topical area) are shown below.

Information included on each Detail card

- National policy citation
- Title of document section where requirement is found
- Requirement text
- Link to document
- List of DOE requirements organized by TA, for which the citation is considered a driver.
- Export option
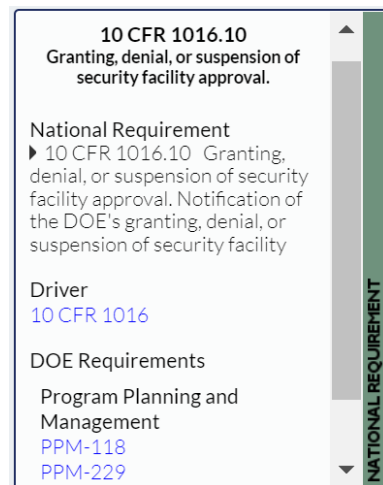
2.4   Resources

Located on the homepage, the Resources section provides links
to several helpful utilities.

Resources

In-Context Documents

Glossary & Acronyms

Recent Changes

Browse Collection

Help / FAQ

2.4.1   In-Context Documents

In-context documents are the annotated versions of each DOE
S&S directive.   Requirements are highlighted and identified by end note, with the related
national policy requirement provided in the end note. End note numbers correspond to the DOE
requirement number used in the website pages. In-context documents may be downloaded.

2.4.2   Glossary & Acronyms

Terms and definitions defined in the Glossary reflect current S&S terminology. The Glossary
may be accessed through the homepage or on each of the 3 main pages. It is not intended that the
definitions imply or be construed as establishing requirements.

2.4.3   Recent Changes

The Recent Changes option give the user a simple way to view content updates to the PIR. Users
may select Last 30, 60, or 90 days or enter their own date.

2.4.4   Browse Collection

This option displays all current documents contained in the PIR. Brief abstracts are provided for
each document, as well as a link to the documents official source (when available).
Historical/superseded documents are retained in the PIR but not viewable by users.

2.5   Help/FAQ and Find Answers to Commonly Asked Questions

The Help/FAQ link is an abbreviated version of this guide. Examples of common searches are
provided in the "Find Answers to Commonly Asked Questions" page. In addition, an interactive
tutorial is available on the homepage.

3   Definitions

The following definitions are specific to the PIR and the processes used in developing the supporting information.

Citation. The abbreviated alphanumeric expression used to identify a specific requirement within a document, i.e., *10 CFR 1016.13a* or *DOE O 153.1 4.a.(1)*.

DOE Only. Requirements that are specific to DOE and do not have a related national policy driver. This term is used as a filter in the DOE Requirements page.

DOE Requirement. The text within a DOE directive that requires an action be taken by a DOE contractor or employee.

Driver. The term used within the PIR to identify national policy that requires an action be taken by DOE. This term is used as a filter in the National Driver & Reference Documents page.

In-context documents. In-context documents are the annotated versions of each DOE S&S directive. Each requirement is identified by end note. The related national policy requirement and text are provided at the end of the document. End note numbers correspond to the DOE requirement number used in the website search and filters.

National Policy. Any principle, course of action, plan, or pronouncement adopted by the Federal government, upon which Federal departments, agencies, offices, employees, contractors and other Federally connected entities must base their own policy, decisions or actions.

National Requirement. Text within national policy that requires an action be taken by DOE.

Reference. Material pertaining to a subject that provides additional supporting information. This term is used as a filter in the National Driver & Reference Documents page.

w/o DOE Requirement. National policy requirements not included in DOE Directives. This term is used as a filter in the National Requirements page.

ATTACHMENT 1. PAGE NAVIGATION