## Office of Secure Transportation
## Policy Information

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<tr><td colspan="3" align="center">**Policy Background**</td></tr>
<tr><td colspan="2">**Document Title:**<br><br>**Operational Requirements for Surety**</td><td>**Document Number:**<br>*(Assigned by POPD)*<br>**OST P 6.10B**</td></tr>
<tr><td>**Document Owner(s):**<br>Josef Hart, ESTD</td><td colspan="2">**Policy Approval Authority:**<br>Craig A. Tucker, ADA</td></tr>
<tr><td colspan="3">**Notify of Changes to Policy:**<br>OST Federal and Contractor Employees</td></tr>
<tr><td colspan="3">**Record Document(s):**<br><br>*See* Internal and External Record Documents on attached.</td></tr>
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<tr><td colspan="3" align="center">**Policy History**</td></tr>
<tr><td>**Rev**</td><td>**Date**</td><td>**Description of Change** *(Include name of individual making the revision)*</td></tr>
<tr><td>B</td><td>04/14/08</td><td>Reduced the complexity of the Policy in the new format, J. Hart.</td></tr>
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## OFFICE OF SECURE TRANSPORTATION

### POLICY NUMBER:  OST P 6.10B

**TITLE:  Operational Requirements for Surety**

**EFFECTIVE DATE: 04/14/08**

**PURPOSE:**  This Policy establishes the surety policies for operational equipment, the procedures associated with control of the operational equipment, and the processes of a critical nature that must be utilized in the operational surety program.  Facilities must establish a surety program that meets the intent of this Policy, follow the requirements of this Policy, and/or establish a desktop procedure to assist in meeting these requirements.  This requires the active participation of personnel at all levels in the organization.

**SCOPE:**  The requirements outlined in this Policy apply to all federal and contractor personnel responsible for OST facilities and operations.

**PROPONENT:**  Engineering Systems and Technology Division (ESTD)

**EXTERNAL RECORD DOCUMENTS:**
- CG-SS-4, *Unclassified Controlled Nuclear Information (UCNI) General Guideline* (U)
- CG-TSS-3, *Transportation Safeguards System Classification and UCNI Information Guide* (U)
- DOE M 231.1-2, *DOE Occurrence Reporting and Processing of Operations Information* (U)

**INTERNAL RECORD DOCUMENTS:**
- AM1007, *OST Operational Surety Manual* (U)
- CG-SGT-1, *Safeguards Transporter Classification and Unclassified Nuclear Control Information Guide* (U)
- CS-001, *Incident Response and Handling Work Instruction*
- CS-004, *Escort Procedures and Training Work Instruction*
- OST P 6.01A, *Incidents of Security Concern* (U)
- OST P 6.06B, OST *Information System Account Management Program*
- FA9001, *Federal Agent Standard Operating Procedures* (U)
- SU5002, *Two Person Control (TPC), Padlock Procedure*
- SU5003, *TPC, Shipping Container Procedure*
- SU5005, *Tamper Indicating Device* (TID) *Procedure*
- TCCS 7-001, *Transportation Command and Control Systems (TCCS) Security Plan*

### POLICY

1. **Objectives/Expectations**
   a. Communicate the surety policy for equipment, the procedures associated with equipment, and/or the critical processes that must be utilized within OST to control facilities and operations as described in AM1007.

b. Clearly convey the requirement for use of AM1007, by facilities and operations.

c. Define the requirement within AM1007 for TPC. TPC has been identified as a means to protect the functional integrity of equipment. TPC will reduce the possibility that a single individual, whether intentionally or unintentionally, could compromise the integrity of equipment that is designed to protect nuclear weapons and/or special nuclear material.

2. **Responsibilities**

a. ESTD has responsibility for the overall ownership of the Operational Surety Program to include:

    (1) Maintaining this Policy and the integration of the operational surety program. ESTD will also provide clarification or interpretation regarding the content of this policy.

    (2) Maintaining the modules and components under the current asset management tracking program.

    (3) Investigating, documenting, and evaluating all incidents and/or occurrences relating to the Program.

    (4) Authorizing combination changes when one or more person(s) from both the A and B combination knowledge lists no longer have a need to know or depart the organization and have cognizant knowledge of the current combinations; or if a combination has been compromised.

    (5) Approving the use of TID and placement of TID on modules.

    (6) Responding to any reports of missing or damaged TID as indicated in FA9001. [SU5005, TID Procedure]

b. Vehicle Systems Branch (VSB) is responsible for maintaining a master list of personnel having access to issued A and B combination with input from site administrators.

c. Office Managers are responsible for:

    (1) Ensuring their personnel are knowledgeable of the requirements of this Policy and the items that must be placed under TPC. They will also ensure adequate facilities and resources are maintained for a TPC environment.

    (2) Designating primary and secondary individuals as points of contact for the issued combinations of "A" and "B" locking mechanisms.

    (3) Designating a system administrator for the site who will be responsible for maintaining a site list of individuals who have been issued the combinations for "A" and "B" locking mechanisms.

    (4) Providing a list of personnel having access to issued combinations for "A" and "B" locking mechanisms to VSB and the Albuquerque Depot.

    (5) Informing the Albuquerque Depot and OST/VSB of personnel changes affecting key, combination, or code access or the compromise of keys, combinations, or codes.

d. FA9001 provides guidance for handling TPC modules during operational missions.

e. Manager, Office of Mission Operations, is responsible for issuing maintenance transfer codes on a recurring basis. Changes must occur at least annually.

f. Engineering Design Organization is responsible for supporting OST for any redesign, retrofit, upgrade, or trouble-shooting. This organization will also maintain the original master software and documentation in support of operational requirements.

g. Managers, Maintenance Facilities, are responsible for:

    (1) Maintaining control and access to all keys, combinations, and codes for repositories. The site manager or highest managing official is responsible for maintaining TPC repositories, file cabinets, transportation containers, or other locked devices. Department personnel may be given delegated responsibility for specific products.

(2) Ensuring the TID serial number list (if applicable) is maintained and controlled under TPC and any changes of TID by their facility is properly recorded in the TID master list.

h. Managers, Production Facilities, are responsible for developing a site TPC or Surety Plan to ensure the requirements within this Policy are achieved. The control of material requiring TPC may be integrated into other operational documents at the facility. The site-specific plan must, at a minimum, meet the requirements of this Policy.

i. Albuquerque Depot is responsible for:
   (1) Performing maintenance and recurring certifications as indicated on the items listed in AM1007.
   (2) Sergeant & Greenleaf (S&G), A & B combination locks.
   (3) Providing and maintaining the TPC shipping containers, i.e., their integrity and quantities.
   (4) Maintaining a stock of OST-approved TIDs and distributing TIDs to the field as necessary.
   (5) Maintaining a master TID list and issuing updated lists to the field as necessary.

j. Kansas City Depot will ensure authorized personnel are knowledgeable of the requirements of this Policy and the items that must be placed under TPC as listed in AM1007. They will also ensure adequate facilities are maintained for a TPC environment. The Kansas City Depot is authorized to perform maintenance and recurring certifications as indicated on the items listed in the surety manual.

k. The Transportation and Emergency Control Center (TECC) and the Alternate Transportation and Emergency Control Center (ATECC) are responsible for:
   (1) Conducting operations in accordance with established surety procedures and TPC measures.
   (2) The information systems being protected in accordance with (but not limited to) the current, accredited TCCS 7-001, CS-001, CS-004, Policy 6.06B, and other guidance developed by, or in cooperation with the Information Systems Branch.

**APPROVING OFFICIAL:**

_____     4/14/08
Craig A. Tucker, Assistant Deputy Administrator     Date
Office of Secure Transportation