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# **OPERATIONS SECURITY PROGRAM**

**GUIDANCE FOR LANL SUB-CONTRACTORS**

**LOS ALAMOS NATIONAL  
LABORATORY**

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## **OPERATIONS SECURITY PROGRAM GUIDANCE FOR LANL SUB-CONTRACTORS**

Operations Security (OPSEC) is defined by DOE Order 471.2A as a program to “help ensure that sensitive information is protected from compromise and secured against unauthorized disclosure.”

OPSEC is not “just another security program.” It is a systems analysis methodology employing elements of traditional security, intelligence, counterintelligence, and deception. The goal of OPSEC is to keep our critical and sensitive information from our adversaries by discovering unguarded (unclassified) pathways that may lead to critical and sensitive (classified or unclassified) information and implementing cost-effective countermeasures that will eliminate or minimize the pathway or “vulnerability.”

One example of a pathway might be sensitive (unclassified) information discarded in the trash. A determined adversary who has access to trash, and is given the opportunity to retrieve material for later analysis could exploit this information. A countermeasure might be to shred all sensitive materials before they go into the trash.

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## **INTRODUCTION**

This guidance describes the methods to be used in setting up an OPSEC Program for Los Alamos National Laboratory (LANL) sub-contractors. It contains a description of the purpose, scope, applicability, guidance levels, method of assigning levels, detailed components and specific guidance for developing an effective, appropriate OPSEC Program at LANL sub-contractor facilities.

## **PURPOSE**

This guide is published to provide a means to appropriately structure OSPEC Programs at LANL sub-contractor facilities. Implementing OPSEC at these facilities will help ensure the protection against inadvertent release of information that could be collected by foreign intelligence operations or other adversaries to piece together information concerning sensitive or classified activities, projects or operations. This guide identifies a range of OPSEC structure components to be used by contractors of all sizes to develop an appropriate and effective OSPEC Program. The guide is to be used by the LANL OPSEC Program Office to determine OPSEC structures for sub-contractors to LANL.

It is the intent of this OPSEC Program Guidance that OPSEC protections afforded at all levels of LANL sub-contractors be appropriate. It is also the intent of this OPSEC Program Guidance that OPSEC protections installed at higher sub-contracting levels not be compromised by activities occurring at lower sub-contracting levels.

## **SCOPE**

Sub-contractors to LANL are required by the security clause incorporated in their contracts to comply with all DOE S&S directives, including DOE Order 471.2B, Chapter II, *“Operations Security.”*

## **Applicability**

Recognizing that sub-contractors vary in size, resources, and length of sub-contract, OPSEC programs implemented for sub-contractors should be designed to afford at least a minimum level of OPSEC protection and understanding for all sub-contracts with increasing levels of OPSEC protection and understanding for more sensitive sub-contracts. All sub-contracts dealing with classified information or material will be subject to review using this guidance.

## **OPSEC GUIDANCE LEVELS**

OPSEC Programs will be structured at three levels. Level I will require a minimum level of OPSEC protection and guidance. Level II will require a higher level of OPSEC protection and guidance. Level III will require a complete OPSEC Program.

An evaluation will be required to determine appropriate OPSEC Program level assignment. A member of the LANL OPSEC Program Office, a representative from the LANL Classification Office, and the LANL Program Manager, with coordination of the OPSEC representative (the OPSEC Manager) or Point of Contact (POC) will perform the evaluation for the sub-contractor to LANL.

## **GUIDANCE CATEGORIES**

Listed below are descriptions of the guidance categories. Within graded categories items are listed in order from most important to least important.

**Facility Importance Ratings** (A, B, C, AP, and PP) are developed by DOE for every classified facility under DOE cognizance.

(1) Class "A" facility importance ratings are assigned those facilities which are:

- (a) Judged by Heads of Field Elements to be engaged in administrative activities considered to be essential to the direction and continuity of the overall DOE nuclear weapons program;
- (b) Engaged in research and development, manufacture, production, assembly, or storage of nuclear weapons or weapon assemblies;
- (c) Engaged in research and development, manufacture, production, assembly, or operation of military reactors;
- (d) Engaged in major research and development in uranium enrichment or operation of major uranium enrichment facilities;
- (e) Involved in research and development, manufacture or production, and assembly of non-nuclear weapon components, assemblies, and parts essential to the weapons or military reactors programs;
- (f) Receiving, handling, and storing Top Secret documents (exclusive of keying material for secure communications) over an extended period; or
- (g) Possessors of Category I quantities of SNM owned by DOE.

(2) Class "B" facility importance ratings are assigned to the following facilities:

(a) Possessing security interests other than the type categorized for Class "A" facilities and which handle and store Secret weapon data documents or Secret research and development reports;

(b) Other than the type categorized for Class "A" facilities, in the uranium enrichment program;

(c) Possessing Category II quantities of SNM owned by DOE;

(d) DOE national laboratories with security interests other than the type categorized for Class "A" facilities; or

(e) Emergency operations centers (except those unmanned, which are Class "C" facilities).

(3) Class "C" facility importance ratings are assigned to facilities, which are:

(a) Engaged in manufacturing, research and development, administrative or consultant activities, including machine and specialty shops, automatic data processing, printing and photographic work, and design engineering where the security interests are limited in scope;

(b) Possessors of Categories III and IV quantities of SNM;

(c) Established for classified bid negotiations or quotations;

(d) Authorized to retain classified matter (except SNM) other than that noted under paragraphs 1b(2)(a) and (b), above, after completion or other agreement; or

(e) Federal records centers holding DOE security interests.

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(4) Class "AP" (Access Permit) facility importance ratings are assigned to those facilities at which restricted data is received, originated, or stored under an access permit.

(5) Class "PP" (Property Protection) facility importance ratings are assigned to those facilities at which a special standard of protection must be applied when significant monetary value, DOE program continuity, national security considerations, or protection of the public health and safety constitutes an important DOE responsibility. Basic considerations include physical protection to prevent or deter acts of arson, civil disorders, riots, sabotage, terrorism, vandalism, and theft or destruction of DOE property and facilities.

**Highest Classification Held** identifies whether Top Secret, Secret, or Confidential information (whether Restricted Data, Formerly Restricted Data, or National Security Information) or material is involved in the contract.

**Special Nuclear Material (SNM) Category/Attractiveness** identifies the amount of SNM (I, II, and/or III) held by the sub-contractor and the probability that it could be subject to radiological sabotage, theft, and/or diversion.

**Security Interest/Sensitivity** describes whether there is a high, medium, or low foreign intelligence interest or sensitivity about the activities or outputs of the contract. This determination is made in coordination with intelligence liaisons, classification officers, and the associated program representatives either from DOE, LANL, or the agency sponsoring the activity or the contractor.

**Number of Cleared Employees** working on the contract.

**Dollar Amount** of the contract.



**Currently Active** describes whether or not the contract deliverable is still under development or construction.

**DOE Safeguards and Security (S&S) Division Cognizance** identifies whether or not DOE has S&S cognizance over the contract.

**Other Agency Security Cognizance** identifies whether DOE ceded S&S cognizance to another Federal Agency. If this occurs, it is expected that a review will be made as to the extent of the OPSEC protection, if any, provided by the other agency.

### **ASSIGNING GUIDANCE LEVELS**

General guidance is listed below for assigning sub-contractors to a particular level, either Level I, Level II, or Level III. Included is a description of OPSEC activities associated with each level. The activities are developed from the DOE Office of Security Evaluations Standards and Criteria for OPSEC and can be used to establish an appropriate OPSEC Program for all sub-contracts.

It is the intent of this OPSEC Program guidance that the highest level of OPSEC protection and understanding be applied to the contract that is consistent with the contract's resources sensitivity. Note: It is expected that flexibility will be used when assigning a contract to a specific level.

## OPSEC LEVEL GUIDANCE

	<u>Level I</u>	<u>Level II</u>	<u>Level III</u>
Facility Importance Rating	C, AP or PP	B or C	A, B, or C
Highest Classification Held	Secret	Secret	Top Secret
SNM Category/Attractiveness	None	III or more	I, II, or III
Security Interest/Sensitivity	Low	Medium	High
Number of Cleared Employees (contract)	< 10	10-50	> 50
Dollar Amount (contract)	< \$100,000	\$100K-\$1M	> \$1M
Currently Active	Yes	Yes	Yes
DOE S&S Cognizance	Yes	Yes	Yes
Other Agency Security Cognizance	No	No	No

**DESCRIPTION OF OPSEC ACTIVITIES ASSOCIATED WITH EACH LEVEL**

		<b><u>Level I</u></b>	<b><u>Level II</u></b>	<b><u>Level III</u></b>
1.	OPSEC Order 471.2B and supplements are on hand and/or are readily available.	X	X	X
2.	Each organization has an OPSEC Plan that meets the guidelines set forth in the DOE OPSEC Order 471.2B and is addressed in the security plan or its equivalent.			X
3.	Each organization has a security plan that mentions OPSEC's purpose and activities.	X	X	X
4.	There is a procedure in place for the OPSEC Plan to be reviewed, approved, and periodically evaluated by management.			X
5.	The OPSEC Plan has identified goals with a fixed timetable.			X
6.	An OPSEC Manager is appointed/assigned.		X	X
7.	An OPSEC point of contact (POC) is appointed/designated.	X		
8.	The OSPEC Manager ensures that OPSEC threat briefings, education, and training are provided and that OPSEC Assessments are conducted.			X
9.	The OPSEC Manager/POC ensures that OPSEC threat briefings, education, and training are provided.	X	X	X
10.	The OSPEC Manager/POC has the authority commensurate with the responsibility for developing and implementing local OPSEC Programs.	X	X	X
11.	The OPSEC Manager/POC, as the designated representative of management organizations, establishes contact with personnel administering the sub-contract.	X	X	X
12.	There is a formally designated OPSEC Working Group.			X
13.	The OPSEC Working Group meets on a regular basis.			X
14.	Minutes or records of OPSEC meetings are maintained for historical and continuity purposes.			X
15.	The OPSEC Manager/POC will develop an appropriate Critical Program Information (CPI) and associated Indicators List* for the sub-contract.		X	X
16.	The OPSEC Working Group will review annually the threat statement, CPI, the Indicators List and make changes and updates as appropriate.			X
17.	The OPSEC Working Group will develop and prioritize OPSEC Program objectives.			X
18.	CPI and associated Indicators List are prioritized.		X	X
19.	Developed and prioritized CPI and Indicators List are disseminated to appropriate upper management and key personnel.		X	X



		<u>Level I</u>	<u>Level II</u>	<u>Level III</u>
20.	The CPI and Indicators are reviewed and, if necessary, modified periodically to conform to changes in technology, new programs, projects, and variances in threat.		X	X
21.	A local OPSEC threat statement, appropriate to the sub-contract activity, is developed **. The statement is generic at Level II and more specific at higher levels.	X	X	X
22.	As appropriate, the OPSEC Working Group or the POC reviews the local threat statement.	X	X	X
23.	A site-specific OPSEC Assessment schedule is developed.			X
24.	If conducted (required for Level III) OPSEC Assessments are performed in accordance with DOE 471.2B, and:	X	X	X
	• A record of the identified vulnerabilities is maintained as part of the OSPEC Program files;	X	X	X
	• Identified vulnerabilities are analyzed and prioritized;	X	X	X
	• Countermeasures are prioritized for implementation; and	X	X	X
	• Identified vulnerabilities and recommended countermeasures are conveyed to program personnel, sub-contractor's senior management and other pertinent personnel.	X	X	X
*	The LANL OPSEC Program Office is available to assist in developing the CPI and associated Indicators List.			
**	In situations where the sub-contractor does not have the capability to draft a threat statement, the LANL OPSEC Program Office may provide assistance upon request.			

**FOR FURTHER INFORMATION**

If you have additional questions, please contact the OPSEC Program Office at

(505)-665-4843

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