

HEADQUARTERS PROCEDURES FOR PROCESSING AND TRACKING POLICY DEVIATIONS

- I. Variations are approved conditions that technically vary from Departmental safeguards and security directive or Headquarters Facilities Master Security Plan (HQFMSP) requirements, but afford equivalent levels of protection without compensatory measures.

Requests for variations are prepared by the Headquarters Security Officer (HSO) for the Headquarters Element requiring the alternative procedure.

For Non-NNSA Headquarters (HQ) Elements:

Variations may be approved by the Head of the Headquarters Element, and implemented after obtaining the concurrence of the Director, Office of Security Operations, (HS-1.3) through the Deputy Director, Office of Health, Safety and Security (HS-1).

Duration of Variations for Non-NNSA HQ Elements: 5 Years from date of concurrence by HS-1.3.

For NNSA Headquarters Elements:

Variations may be approved by the cognizant Deputy Administrator after obtaining the concurrence of the Associate Administrator for Defense Nuclear Security, who must promptly notify the Office of Headquarters Security Operations, Deviation Program Manager, HS-1.31, by providing a copy of the approved deviation for entry in SSIMS.

The Deviation Program Manager will submit the variance to the subject matter expert in the Office of Security Operations for review. Any concerns about the variance will be submitted in writing to the Headquarters Security Officer for NNSA.

Duration of Variations for NNSA HQ Elements: 5 years from date of concurrence by the Associate Administrator for Defense Nuclear Security.

- II. Waivers are approved nonstandard conditions that deviate from a Departmental safeguards and security directive or the HQFMSP requirements that if uncompensated would create a potential or real safeguards and security vulnerability. Waivers, therefore, require implementation of compensatory measures (e.g., additional resources to implement enhanced protection measures) for the duration of the waiver.

For Non-NNSA Headquarters (HQ) Elements:

Waivers may be approved by the Head of the Headquarters Element, and implemented after obtaining the concurrence of the Director, HS-1.3, through the Deputy Director, HS-1.

Duration of Waivers for Non-NNSA HQ Elements: 2 Years from date of concurrence by HS-1.3.

For NNSA Headquarters Elements:

Waivers may be approved by the cognizant Deputy Administrator after notifying the NNSA Office of Defense Nuclear Security at least 30 days prior to waiver approval, and obtaining the concurrence of the Associate Administrator for Defense Nuclear Security. Prior to concurrence, the Associate Administrator for Defense Nuclear Security must notify the Office of Headquarters Security Operations, Deviation Program Manager, HS-1.31, by providing a copy of the approved deviation for entry in SSIMS.

The Deviation Program Manager will submit the waiver to the subject matter expert in the Office of Security Operations for review. Any concerns about the waiver will be submitted in writing to the Headquarters Security Officer for NNSA.

Duration of Waivers for NNSA HQ Elements: 2 years from date of concurrence by the Associate Administrator for Defense Nuclear Security.

NOTE: The Chief Health, Safety and Security Officer must concur on waivers to national policy requirements, such as the National Industrial Security Program or the Personnel Security Program.

- III. Exceptions are approved deviations from a Departmental safeguards and security directive or an HQFMSP requirements that create a safeguards and security vulnerability. Exceptions must be approved **only** when correction of the condition is not feasible and compensatory measures are inadequate to preclude the acceptance of risk.

Exceptions to All Safeguards and Security Program Directive Requirements for HQ Elements and Facilities:

Exceptions for non-NNSA HQ Elements and NNSA HQ Elements facilities must have the concurrence of the Director, HS0-1.3, through the Deputy Director, HS-1, and the approval of the Deputy Secretary prior to implementation.

Duration of Exceptions: 3 years from date of approval by the Deputy Secretary.

Compensatory Measures: Compensatory measures implemented as the basis for an exception request must be subject to formal vulnerability assessments. Compensatory measure implementation must be tested and validated.

Annual Validation: The need for an exception must be validated annually (every 12 months) by the Headquarters Security Officer for that Element and documentation submitted to the Office of Headquarters Security Operations, Deviation Program Manager, HS-1.31.

Attachments:

Format for Memorandum

Deviation Format

MEMORANDUM FOR SHEILA BRUMAGE, HEADQUARTERS DEVIATION
OPERATIONS MANAGER
HEADQUARTERS TECHNICAL AND INFORMATION
SECURITY TEAM
OFFICE OF HEADQUARTERS SECURITY OPERATIONS

FROM: HEADQUARTERS SECURITY OFFICER
HEADQUARTERS ELEMENT

SUBJECT: Request for Deviation

We request the (concurrence or approval) of the Director, Office of Security Operations, of the attached (variance, waiver or exception) from the requirements to (brief description of the deviation) as set forth in (DOE Order or Manual Number or the Headquarters Facilities Master Security Plan).

The attached Deviation has been approved by (Name and Title of the Head of the Element). Please notify me as soon as possible of your decision on this request.

If you have any questions, please feel free to contact me at (HSO's phone number).

Attachment

DEVIATION REQUEST

Request Number _____
(This number will be assigned by HS-1.31)

1. **Type of Deviation.** (Variance, Waiver, Exception)
2. **Directive Citation.** Title and date of the directive(s) from which a deviation is being requested with a citation (paragraph or other provision) and summary of the directive's requirement.
3. **Impacted Entity.** Identification of the specific facility (Safeguards and Security Information Management System facility code number), process, procedures, systems, etc.
4. **Deviation Justification.** Specific description of the deviation and the associated reason or rationale for the deviation request. A description of the relationship of the subject of the deviation request or other safeguards and security interests shall be included if they are significantly affected.
5. **Protective Measures.** Description of the current measure(s) used for protection and an evaluation of the effectiveness of such measure(s); description of alternate/compensatory measure(s) or level(s) or protection to be provided as an alternative to the Order requirement(s).
6. **Duration.** Expected duration of the condition for which the deviation is requested, including milestones for correcting, alleviating, or eliminating the deviant condition, if applicable:

NOTE: Timetable for Headquarters deviations are as follows:

Variance: 5 Years from date of HS-1.3 concurrence.

Waiver: 2 Years from date of HS-1.3 concurrence.

Exception: 3 Years from date of Deputy Secretary's approval.

7. **Risks.** Evaluation of the risk associated with the deviation, if approved. Results of vulnerability analyses and performance tests conducted on proposed alternative(s) shall be included.

(Signature of Head of the Element or Deputy Secretary)
Typed Name of Head of Element or Deputy Secretary
Organization Name

(_____ Date _____)