

U. S. DEPARTMENT OF ENERGY  
 SAFEGUARDS AND SECURITY SURVEY REPORT

|   |          |   |        |
|---|----------|---|--------|
| <b>Facility Name, Reporting Identification Symbol (RIS), and Address:</b><br>Bates Midtown Division (CES)<br>909 Prince Avenue<br>Midtown, OH 45201   |          | <b>Classified Mailing Address:</b><br>Bates Midtown Division<br>ATTN: Document Custodian<br>909 Prince Avenue<br>Midtown, OH 45201  |        |
|   |          | <b>Classified Shipping Address:</b><br>Bates Midtown Division<br>ATTN: Document Custodian<br>FOR: Ovid Foster<br>Midtown, OH 45201  |        |
| <b>Facility Security Officer:</b> Ronald Limmins<br><b>Telephone Number:</b> (804) 312-5566   |          | <b>Facility MC&amp;A Manager:</b> Ovid Foster<br><b>Telephone Number:</b> (804) 312-5567  |        |
| <b>Contract, Purchase Order, Inquiry or Access Permit Number:</b><br>Various DOE contracts and Purchase Orders  |          | <b>Foreign Ownership, Control or Influence Certificate Submitted:</b><br><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No  |        |
| <b>Facility Importance Rating (check one):</b><br><input type="checkbox"/> Class A <input checked="" type="checkbox"/> Class B <input type="checkbox"/> Class C <input type="checkbox"/> Property Protection <input type="checkbox"/> Other _____ |          |   |        |
| <b>Other Interests:</b><br><input type="checkbox"/> Computer <input type="checkbox"/> Communication Center <input type="checkbox"/> SCIF <input type="checkbox"/> Access Permit <input type="checkbox"/> Other <u>DNA</u>                         |          |   |        |
| <b>Date of Survey:</b><br>November 11-14, 1987  |          | <b>Findings:</b><br><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No   |        |
| <b>Date of Previous Survey:</b><br>November 4-8, 1986   |          | <b>Unresolved Findings:</b><br><input type="checkbox"/> Yes <input type="checkbox"/> No   |        |
| <b>Highest Classification of:</b><br>Documents: S/RD<br>Materials: S/RD<br>Work: S/RD   |          | <b>Nuclear Material:</b><br><input type="checkbox"/> Category I <input type="checkbox"/> Category IV<br><input checked="" type="checkbox"/> Category II <input type="checkbox"/> DNA<br><input type="checkbox"/> Category III |        |
| <b>Description of Interest(s):</b><br>For active security interests, see Exhibit "D" of this report.  |          |   |        |
| <b>Responsible Field Office:</b><br>CH, AL, PNR, SAN, SNR   |          | <b>Other Office(s) with Interests:</b>  |        |
| <b>Surveying Office:</b><br>CH  |          | <b>Report Prepared by:</b><br>David Jones   |        |
| <b>Report Approved by:</b><br>Thomas W. Martin  |          | <b>Distribution Date:</b><br>December 10, 1987  |        |
| <b>Distribution:</b>  |          |   |        |
| HQ, OSS   | 3 copies | SNR   | 1 copy |
| AL  | 1 copy   | SAN   | 1 copy |
| OR  | 1 copy   | CH  | 1 copy |
| PNR   | 1 copy   |   |        |

|   | <u>Rating</u> |
|---|---------------|
| <b>PROGRAM PLANNING AND MANAGEMENT</b>                  |               |
| Planning Process .....                                  | S             |
| Organization and Management .....                       | S             |
| Safeguards and Security Plans .....                     | S             |
| Reporting and Notification .....                        | S             |
| Resolution of Findings .....                            | S             |
| Rating .....  | S             |
| <b>PROTECTION PROGRAM OPERATIONS</b>                    |               |
| Physical Security Systems .....                         | S             |
| Property Protection .....                               | S             |
| Protective Force .....                                  | S             |
| System Performance Tests .....                          | S             |
| Rating .....  | S             |
| <b>MATERIAL CONTROL AND ACCOUNTABILITY</b>              |               |
| Program Management .....                                | S             |
| Materials Accounting .....                              | S             |
| Material Control .....                                  | S             |
| Administrative Controls .....                           | S             |
| System Performance Tests .....                          | S             |
| Rating .....  | S             |
| <b>INFORMATION SECURITY</b>                             |               |
| Management Program .....                                | S             |
| Control of Secret and Confidential Information .....    | S             |
| Control of Top Secret Documents .....                   | DNA           |
| Classified Material Control .....                       | S             |
| Security Infractions/Violations .....                   | S             |
| Classification Guidance .....                           | S             |
| Technical Surveillance Countermeasures .....            | S             |
| System Performance Tests .....                          | S             |
| Rating .....  | S             |
| <b>COMPUTER SECURITY</b>                                |               |
| Computer Security Management and Planning .....         | DNA           |
| Protection of Information Assets .....                  | DNA           |
| Physical Protection of Computing Resource Assets .....  | DNA           |
| Continuity and Reliability of Critical Operations ..... | DNA           |
| TEMPEST Program .....                                   | DNA           |
| Rating .....  | DNA           |
| <b>OPSEC</b>  |               |
| OPSEC Program Structure .....                           | S             |
| Vulnerability Assessment .....                          | S             |
| Rating .....  | S             |
| <b>PERSONNEL SECURITY</b>                               |               |
| Personnel Clearance Program .....                       | S             |
| Selective Reinvestigation Program .....                 | S             |
| Security Education Program .....                        | S             |
| Visitor Control .....                                   | S             |
| Rating .....  | S             |
| <b>FACILITY SURVEY AND APPROVAL</b>                     |               |
| Facility Register .....                                 | S             |
| Facility Approval Process .....                         | S             |
| Security Surveys .....                                  | S             |
| MC&A Surveys .....                                      | S             |
| Rating .....  | S             |

EXAMPLE

Rate Each Item: S – Satisfactory    M – Marginal    U – Unsatisfactory    DNA – Does Not Apply