



# **Personal Property Policy Manual**

**Issued by**

**Lawrence Berkeley National Laboratory  
Property Management Group**

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# Policy Manual

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Further information about Berkeley Laboratory policies is available in the [Regulations and Procedures Manual \(RPM\)](#).

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# Overview of Property Management Policies

This Manual sets forth the Property Management policies governing the acquisition, management, control, utilization and disposition of Government property entrusted to Lawrence Berkeley National Laboratory (LBNL) by the U.S. Department of Energy (DOE). These policies reflect the requirements defined in Contract 31, between the University of California and the DOE, for managing the Government's property as well as internally established policy. This Policy Manual has been reviewed and approved by the DOE, and is the authoritative document to be referred to in resolving personal property management issues at the Laboratory. Significant changes to or deviations from the policies defined in this manual must be approved by the DOE.

## **1.0 General Property Policies**

### **1.1 Official Use Regulations**

All property purchased by the Laboratory with DOE funds is U.S. Government property and must be used solely for official purposes, which are defined as, "the performance or support of Laboratory work or other purposes authorized by the Laboratory." Government-funded property, facilities and services may not be used for private commercial gain or personal benefit.

This policy recognizes and authorizes the "Acceptable Use" of a Government asset by a Laboratory employee as defined in RPM Section 9.01.

### **1.2 Non Government Owned Property**

Non Government owned personal property shall not be installed in, affixed to, or otherwise made a part of, any Government-owned personal or real property. This restriction does not apply to the use and installation of privately owned decorative items or memorabilia in the workplace, provided that the structure or safety of the facility is not thereby degraded.

### **1.3 Theft of Laboratory Property**

Theft, illegal possession, unlawful disposition, appropriation, or misuse of government property constitute federal offenses. Persons who engage in conduct prohibited by the Laboratory Property Management policies are subject to corrective action up to and including dismissal. The U.S. Attorney General or District Attorney may pursue criminal prosecution with consequences including fines and/or imprisonment.

### **1.4 Non-Laboratory Employees**

Non-Laboratory employees who are furnished Government property in the name of an employee (Custodian) are responsible for following Laboratory Property Management policy. User privileges may be revoked for failure to follow such policy.

## **2.0 Property Management Responsibilities**

### **2.1 University / Laboratory Director**

The University of California, through the Berkeley Laboratory Director, is responsible for the efficient and economical management of all personal property in the custody of the Laboratory throughout its life cycle. Areas of responsibility include proper acquisition, receiving, identification, storage, use, maintenance, excess, salvage, and disposal.

### **2.2 Deputy Director and Chief Operating Officer**

The responsibility and accountability for the efficient and economical management of all personal property in the custody of the Laboratory flow through the Deputy Director and Chief Operating Officer from the Director to Laboratory line management.

### **2.3 Chief Financial Officer**

The Chief Financial Officer is responsible for assuring the effective implementation of Property Management policy.

### **2.4 Division Director Responsibilities**

Division Directors are responsible for the general management, proper use, maintenance and protection of property entrusted to their Divisions. Their decisions regarding acquisition, need, and storage of property items as well as the management of storage and operating areas, must be in compliance with Laboratory policies.

The Division Director or proxy will designate a Division Property Representative to carry out assigned property management responsibilities.

### **2.5 Business Managers**

Business Managers represent the Division Director in the execution of divisional property management responsibilities. The Business Manager is the primary management interface between the division and core Property Group.

### **2.6 Division Line Management**

Line Management is responsible for informing all property custodians/users of their responsibilities toward property, and ensuring effective management of property within the Division. Line Management determines the need for assigning accountable property to custodians. Line Management takes corrective action on violations of property management policy.

### **2.7 Division Property Representative**

The Property Representative is the primary interface with the core Property Group on day to day operational activities involving personal property. Property Representatives are responsible for executing and/or coordinating several specifically defined decentralized property management activities and act to promote Division compliance with property policies. Property Representatives are responsible for ensuring that all division property records are accurate and current.

Some Property Representative functions may be appropriately delegated to others, however, the Property Representative is the primary point of contact for the Division on property management activities.

### **2.8 Division Property Coordinator**

Property Coordinators may be appointed by Divisions to assist their Property Representatives in the administrative details of property management. Property Representatives and Coordinators work together to execute divisional property management responsibilities.

### **2.9 Property Custodians**

Property Custodians are employees, identified as staff in the Laboratory Directory, who are assigned one or more items of property to use in the performance of their work. Custodians must follow Laboratory Property Management policies and procedures and take reasonable measures to safeguard property against theft, loss, destruction, and damage consistent with the environment in which the property is being properly used.

Property custodians must promptly report lost or stolen property to the Security Office, their Property Representative and the core Property Management Group. They must promptly report property that is damaged or destroyed to their Property Representative and the core Property Group.

Property custodians may be held financially liable for repair or replacement of property that is lost, damaged, destroyed or stolen due to the willful misconduct or negligence of the custodian.

### **2.10 Property Management Organization**

Property Management is responsible for: the development of policy and procedures, quality assurance, division oversight, reviews and inventory management. Property Management is also responsible for support and guidance: training, the Asset Management System and the property web site.

## **3.0 Acquiring Property**

All Laboratory property acquired through Government funding is owned by the United States Government.

Property that has been designated excess by the General Services Administration, the Department of Energy, the Department of Defense, or other federal agency, is considered the first source of supply to the Laboratory.

Property Management, Procurement and Facilities (Receiving) are responsible for identifying acquired items as "equipment" or "sensitive." Property Management and Receiving are responsible for properly marking the property with barcodes and U.S. Government labels as appropriate.

Property acquired by a University of California campus in the course of performing work under an Intra-University Transaction (IUT) is subject to the same policies and procedures as if directly acquired by the Laboratory. Title to property acquired by a campus not meeting controlled or sensitive criteria, remains with the campus at the conclusion of the IUT.

### **3.1 Receiving and Tagging Property**

#### **3.1.1 Receiving Property**

All property items must be received in the Receiving department or at an officially designated forward delivery location.

#### **3.1.2 Tagging Property**

Property tagging shall be completed as part of the official receiving function for all equipment and sensitive items.

### **3.2 Fabricated Assets**

Fabricated assets are items of personal property that are constructed on site at LBNL. Upon written notification from Property Accounting, Property Management will barcode tag and create fabricated assets in Sunflower that meet tagging criteria. Property Management will not create an asset if they cannot inspect and tag it.

### **3.3 Controlled Substances**

Controlled Substances are acquired, received, utilized, secured, inventoried and disposed of in accordance with the Laboratory's Controlled Substance Security Plan. In general, Environment, Health and Safety has overall responsibility for Controlled Substances at the Laboratory. Property Management is responsible for conducting and reporting the outcome of the required annual inventory. (See Appendix A for the Controlled Substance Security Plan)

### **3.4 Marking Property**

Property will be marked as Government property in order to establish ownership. Marking methods may include special labels, etching, dye marking, or other suitable means of establishing ownership when a method beyond conventional tagging is required.

Three types of Laboratory property are tagged with a unique number and recorded in the Property Database. A fourth type of property, Administratively Controlled Property, is tagged identifying it as Government Property.

### **Equipment Property**

Property that has an acquisition or fabrication cost of \$ 5,000 or more and does not lose its identity throughout the lifecycle, regardless of funding.

### **Sensitive Property**

Property that is highly portable, easily converted to personal use and is more susceptible to theft than other equipment. Property is considered sensitive by definition regardless of cost.  
(See Appendix B, Sensitive Item List)

### **High Risk Property**

Property that is especially designed or prepared, export controlled, nuclear weapon components or weapon like components and proliferation sensitive property.

### **Administratively Controlled Property**

Specifically defined equipment costing less than \$ 5,000. (See Appendix E)

All equipment, sensitive and high risk property items are subject to inventory control, assigned and tagged with a unique property identification number and recorded in the database. Administratively Controlled Property is not subject to inventory control.

Identification markings must be removed, to the extent practical, before disposal of property outside of the Department of Energy.

## **4.0 Property Control**

The Laboratory imposes levels of control over property that are consistent with its useful life, cost, and sensitivity:

### **4.1 Administrative Controls**

Administrative controls are placed on all property, regardless of useful life, cost, or sensitivity. The various checks and tracking include

- Independent authorization for purchase.
- Independent verification of receipt.
- Loss and theft reports
- Material pass or shipping document for removal of property.
- Perimeter fencing
- Check out procedures for terminating employees

### **4.2 Property Marking**

Where the property surface is suitable for marking, it will be marked as U.S. Government property in order to establish ownership. The range of marking methods that may be used include special labels such as the Low Value Tag or Barcode Label, etching, dye marking, or other suitable means of establishing ownership.

### **4.3 Property Number Tagging and Recordkeeping**

Property subject to inventory will be tagged with a unique property number and a detailed record will be established in the Property Database. Initial custodial assignment and each change in custodial assignment thereafter is documented by automated e: mail notification to the custodian that an asset has been assigned.

### **4.4 Sensitive Property Determination**

The Laboratory provides to the Site Office a list of proposed Sensitive Property during the second quarter of the fiscal year. The Site Office reviews and approves or modifies the list. See the current approved Sensitive Property List at (Appendix B).

#### **4.5 Physical Control**

Property must be appropriately secured to ensure protection from theft or damage.

### **5.0 Property Records**

The Laboratory maintains records of tagged property that are accurate and current. Individual control records are maintained for the following categories of property: controlled and sensitive.

Perpetual inventory records are maintained for: precious metals, stores inventories, stock records and potable alcohol.

#### **5.1 Property Management Group**

The Property Management Group owns the Asset Management System and is responsible for maintaining it, establishing Laboratory property management standards and criteria, and ensuring that property is effectively managed.

#### **5.2 Procurement**

Procurement is responsible for the accuracy of property data that is transferred between FMS and the Asset Management System.

#### **5.3 Receiving**

Receiving is responsible for tagging sensitive and equipment property upon receipt, and the accuracy of information entered into FMS during the receiving process: manufacturer, model, serial number and DOE barcode number.

#### **5.4 Property Accounting**

Property Accounting is responsible for all capital asset data including the timely capitalization of the asset whether the asset was purchased or fabricated on site.

#### **5.5 Asset Management System**

The Laboratory maintains an automated, centralized property record of all tagged property: the Asset Management System. The record in the Asset Management System for tagged assets contains information such as the following:

- Nomenclature
- Manufacturer and Model
- Acquisition value
- Depreciation
- Net book value
- Acquisition date
- Acquisition account
- Unique identifier (property number)
- Acquisition document number (purchase order number)
- Initial event (acquisition type: purchase, transfer etc)
- Final event (retirement type: sales, transfer, stolen etc)
- Custodian

- Serial number
- Federal Supply Classification (FSC)
- Asset Type
- Asset identification
- Division (steward)
- User
- Location
- Owner (title holder)

### **5.6 Stewardship, Property Representative, Custodian, and Location**

All items of controlled or sensitive property will be associated with a Steward, Property Representative, and a Property Custodian, each with specific responsibilities for the care and recordkeeping of property items.

### **5.7 Change in Division and Property Representative Accountability**

A Property Representative may request a change in stewardship, but the receiving division's Property Representative must accept the change to officially complete the transaction.

The relinquishing Property Representative must provide documentation that supports the transfer. The property custodian and location of the item should be verified before the transaction is accepted. Accountability remains with the relinquishing organization until the transfer has been accepted by the receiving Property Representatives.

### **5.8 Employee Termination**

When an employee's association with the Laboratory is terminated, all tagged property currently assigned to the terminating employee must be accounted for and reassigned by the home division. A reassignment of asset(s) shall not be arbitrary, and requires the new custodian to actively accept the assignment.

## **6.0 Property Inventories**

The following inventories of personal property are planned and managed by Property Management: Equipment Property (annually), Sensitive Property (annually), High Risk Property (annually), Precious Metals (annually), and Controlled Substances (annually). Stores Inventory (annually) is planned and conducted by Facilities and is reported to the Site Office as part of the consolidated annual inventory report. All inventories are conducted in accordance with the approved Annual Inventory Plan. (See Appendix C for approved Annual Inventory Plan)

### **6.1 Property Found on Works**

Untagged equipment and sensitive property items found on the worksite, Property Found on Works (PFOW), will be reported to the core Property Group for investigation and will be tagged and entered into the Asset Management System. The cost of such property will be determined by best estimate or comparative analysis with other like items. Capital property that is determined to be PFOW will be recorded into the property database at zero value per guidance from Property Accounting.

## **7.0 Property Review**

The core Property Group ensures the quality and accountability of the property management system by conducting a review of each division's administrative areas every three years. The purpose of the review is to monitor the accuracy of property custodian assignment, the property number, the serial number, and location and to verify that property assets identified with a barcode number are entered into the property database.

Property Management is responsible for ensuring that reviews are scheduled every three years. The appropriate Property Liaison and the Division Property Representative perform the review together.

The Property Management organization establishes the review process and recommends actions to the division management. The division receiving the recommendations is responsible for correcting any deficiencies or discrepancies within a specified time.

The goal of the Review is to ensure the quality and integrity of the property database and accountability for property by

- Ensuring appropriate application of policies and procedures.
- Comparing property items identified with a barcode number to the property database for accuracy of custodian.
- Comparing property items identified with a barcode number to the property database to ensure that the property has been recorded.

### **8.0 Utilization Walk-Through Program**

The Laboratory shall conduct utilization walk throughs of all operating space at least once every two years for the purpose of identifying unneeded and underutilized property. Observations of a division's space made during routine liaison activities and annual inventories, in addition to analysis of division asset activity may be used as a basis for waiving a scheduled walk through.

Untagged controlled and sensitive property items found on the work site during a Walk-Through will be appropriately tagged and recorded into the Property Database.

### **9.0 Equipment Held For Future Projects (Facilities Warehouse Operations)**

It is the policy of the Laboratory to maximize the use of personal property. The intent of the Equipment Held For Future Projects program is that property will be

- Retained when economically justified
- Made available for use by others

On the basis of approved economic justification for retention, requesting groups place in storage such property for a known future use or a potential use in either planned projects or future experiments.

The EHFFP program excludes the following:

- Spare equipment that is a backup for equipment in service,
- Spare equipment and equipment that is defined as standby,
- Excess plant equipment,
- Original crating material held for reuse.

### **10.0 Disposition of Property (Facilities Warehouse Operations)**

Supplies, materials and equipment no longer required for the needs of the Laboratory are made available to DOE, other Government and state agencies through the excess screening process.

Facilities Management's, Warehouse Group administers the Laboratory program for the disposition of government property through donation, reutilization, and sales. The Warehouse Group determines the most beneficial method for final disposition of excess and scrap material to minimize waste and to maximize reutilization and proceeds.

Excess property is equipment and material no longer needed by a division. It includes both property numbered items (sensitive and controlled) and non property numbered items.

All personal property shall be reviewed against "high risk" criteria prior to being disposed of.

#### **10.1 Reutilization of Property**

The Laboratory encourages the reutilization of property within and between divisions and to other Government agencies.

#### **10.2 Cleaning, Sanitizing and Destruction of Hard Drives (Facilities Warehouse Operations)**

The Information Technology Division is responsible for the policy and procedures for cleaning, sanitizing, and destroying information system storage media, memory devices, and other related hardware utilized at the Laboratory. The execution of the policy and procedures is assigned to Facilities Warehouse Operations.

All computer hard drives are removed and destroyed when the asset enters the excess process. This applies equally to computers that are being placed into excess from an off site location. Any exception to this policy must be approved in writing by IT, and copied to the Property Manager.

### **11.0 Retirement of Property**

Property that is worn out, lost, stolen, destroyed, abandoned, damaged beyond repair, or otherwise loses its individual identity or title no longer rests with the DOE is retired from Sunflower using the Request to Retire Property form. Property Management reviews and approves all retirement requests. The Facilities, Warehouse Operations is responsible for retiring property from the Excess Module based on method of disposition.

#### **11.1 Abandonment of Property**

Property may be abandoned if it is off-site in a domestic location, has no commercial value, or if the value of the property is so low that the cost of its care and handling would exceed the estimated proceeds from its sale. The Property Manager is authorized to approve domestic abandonments and to determine whether it is in the best interests of the Government to screen property prior to abandonment. Requests to abandon property in a foreign country are reviewed and submitted to DOE for approval.

#### **11.2 Trade-Ins**

All Trade Ins are processed through Procurement in accordance with Procurement Standard Practice, 45.3 Exchange or Upgrade of Government Property. This includes property under warranty where the vendor has a policy of replacement rather than repair. Upon receipt of a completed Exchange (Trade/Trade In) Or Upgrade Notification Form and Shipping Document, or suitable documentation indicating an asset has been transported off Site for trade in, Property Management will retire the asset from the asset management system.

Any adjustment to the acquisition cost of a new capital asset, based on trade-in, is the responsibility of Property Accounting.

#### **11.3 Loss, Damage, Destruction and Theft of Property**

Property Management reports the loss, damage, destruction and theft of all sensitive and equipment items greater than \$1000.00 per asset, to the Site Office within 24 hours of being made aware of the loss. If willful misconduct or negligence contributed to the loss, damage or destruction of Government Property the custodian may be held financially accountable.

Property is considered lost if its location is unknown and all efforts to locate the item have failed. Property is considered destroyed or damaged when the item is beyond economical repair.

#### **11.4 Thefts (deleted-see 11.3)**

#### **11.5 Dismantled/Cannibalized Property**

Property Management retires dismantled, or cannibalized, property upon receipt of a Property Asset Retirement Form, which must include supporting documentation. Property Management will not retire the item unless the circumstances are documented in sufficient detail to establish that the property has been dismantled.

#### **11.6 Property Unaccounted-for as a Result of Inventory**

Property Management ensures that appropriate reconciliation efforts and remedial actions have been performed before it approves the results of the inventory. Upon approval of the inventory results, Property Management provides a list of assets that were unlocated to the Security Office and Property Accounting.

#### **11.7 Property Transfers**

Property that is no longer needed may be transferred outside the Laboratory. Property may be transferred to other DOE facilities, to other federal agencies, or to other public (nonfederal) agencies. Property being transferred to another DOE facility or DOE contractor is not subject to screening. Property being transferred to another Federal or public agency, may or may not be screened depending on the circumstances. The Property Manager is responsible for making the determination on screening.

Property Management reviews and the Property Manager approves all transfer agreements. When the transfer has been completed, Property Management will retire the asset from the property database.

#### **11.8 Donations of Property (Facilities Warehouse Operations)**

Excess personal property that has completed appropriate screening through the Federal Disposal System/Energy Asset Disposal System (FED/EADS) and has become surplus to the needs of Federal agencies and other eligible recipients may be considered for donation.

In accordance with 41 CFR 102-37, surplus personal property may be donated to educational institutions or non-profit educational organizations for educational activities.

In support of Executive Order 12999 and in compliance with the 41 CFR 109.50.2, to improve math and science education programs, property that has become excess to the needs of the Laboratory may be gifted to K-12 school districts or to non-profit educational organizations.

Facilities Management manages and coordinates the Laboratory's donation and Gift Program.

##### **11.8.1 Donations to Institutions of Higher Education (Facilities Warehouse Operations)**

Laboratory property on loan to qualifying institutions of higher education may be donated to the institution at the expiration of the loan if the property is no longer needed by the Laboratory and is not picked up during expedited screening in EADS.

#### **11.9 Sale of Property (Facilities Warehouse Operations)**

Property may be sold after completing the excess screening process. Sales of surplus items can be accomplished by bid lot, on line, personal or scrap sales. Property numbered assets that are sold are retired from the Asset Management System. Government markings shall be removed from assets at the time of sale.

Laboratory employees shall be given the same opportunity to acquire Government personal property as is given to the general public, provided employees warrant in writing prior to award that they have not either directly or

indirectly: (1) obtained information not otherwise available to the general public, (2) participated in the determination to dispose of the property, (3) participated in the preparation of the property for sale, or (4) participated in the determination of the method of sale.

The Property Manager, Warehouse Supervisor and warehouse staff and prior custodians of assets are prohibited from participating in such sales.

## **12.0 Property Removal**

Property may be removed from the Laboratory with proper authorization and documentation. This policy applies to the removal of all property in the custody of the Laboratory, all property identified as property of the Laboratory, and all property known by the individual removing the item to be in the custody of the Laboratory. Removal is authorized by:

1. Property Pass: used for removals by individuals for specifically-identified items to track and document, (1) the authorized use of Government assets at a personal residence, (2) Government assets approved for use on official travel, and (3) the removal of Government assets to an off site location for use on Laboratory business.
2. Shipping document: used for shipments by commercial carrier or items hand-delivered by Laboratory personnel to off-site locations. Property Management must approve all shipping documents, in advance of shipment, when tagged property is being shipped off site.
3. The following are exceptions to this policy and do not require a Property Pass for removal from a Laboratory worksite. The authorization to take these mobile assets on and off site is inherent in their issuance/assignment to a custodian.
  - Radio pagers
  - Cell phones
  - Personal data assistants

## **13.0 Property Loans**

Laboratory property may be loaned for research, studies and other efforts that result in benefits to both the Laboratory and the borrower. Property may be loaned to other DOE facilities or contractors, federal agencies or an organization that has a valid Federal contract, grant, or treaty. Domestic loans may be made for up to three (3) years and foreign loans for up to five (5) years, both require DOE approval and must be documented using a Personal Property Loan Agreement, DOE F 4420.2. The Property Manager is authorized to approve one three year extension of a domestic loan. The Laboratory will not procure or retain property for the purpose of making a loan and property will not be loaned to consultants for work under a consulting agreement with the Laboratory. Property shall not be loaned to an individual.

Exception: In emergency conditions, Property may be loaned to local agencies in support of military operations or in consideration of health, safety or security requirements.

## **14.0 Collaboration**

Laboratory property provided (acquired or fabricated) as LBNL support to a formal collaboration is managed in accordance with the policies in this manual. Such property remains accountable to the steward and custodian of record until the collaborative effort ends, and the property is returned to the Laboratory. A formal collaboration must be supported by a written agreement, signed by the collaborators identifying each collaborator's role and responsibility. Tagged property provided in support of a collaboration is subject to all inventory requirements.

**Exception:**

In the case of a formal collaboration, where it is known or determined from the onset that the Laboratory's property supporting the collaboration will not be returned to the Laboratory, such property will be transferred by donation or abandonment to the host organization at the earliest opportunity. The request to transfer by donation or abandonment will be provided to the DOE for review and approval. Such property is not subject to screening.

### **15.0 Technology Transfer**

Property developed by the Laboratory that advances the national technology base may be provided to outside researchers or to commercial firms capable of marketing the technology. The property will be loaned, not granted, to recipients in every case in which the use is consistent with the nature of the property and the technology development strategy. However, property may be transferred as part of a licensing agreement.

The Technology Transfer Office is responsible for

- Reviewing and approving requests to transfer Laboratory-developed property that advances the national technology base to outside researchers and commercial firms.
- Determining whether Laboratory-developed property should be loaned or transferred to the outside researcher or commercial firm.
- Maintaining supporting records on Laboratory-developed property loaned or transferred to outside researchers and commercial firms.

Each employee who possesses Laboratory-developed property that advances the national technology base must obtain prior approval from the Technology Transfer Office before requesting removal or shipment to an outside researcher or commercial firm. For tagged property, the approval of the Property Manager is also required.

Property Management is responsible for formalizing loan agreements between the Laboratory and outside organizations.

### **16.0 Property Belonging to Others**

Property belonging to others is personal property that is in the custody of the Laboratory but that the Laboratory does not hold title to; it may belong to other DOE contractors, federal agencies, vendors, subcontractors or other entities. Such property will be identified with a Property of Others sticker.

All property belonging to others must be supported by a borrow agreement, lease agreement, subcontract, MOU/MOA or Work For Others Agreement that establishes a formal relationship between the Laboratory and other party, defines and limits the Laboratory's liability for the property and authorizes its use at the Laboratory. Personal property not supported by such an agreement is prohibited from being brought onto/into Laboratory space.

PROR TO PLACING ANY PROPERTY OF OTHERS INTO USE THE REQUESTOR SHALL CONSULT WITH THEIR DIVISION SAFETY COORDINATOR REGARDING ANY AND ALL SAFETY ISSUES THAT MAY BE ASSOCIATED WITH PROPERTY.

#### **16.1 Lease To Own (LTO)**

Lease To Own (LTO) property that meets the criteria for tagging must be tagged, recorded in the Asset Management System and tracked. The Asset Management System must reflect that title rests with the lessor until the final payment is made, at which time the title shall be changed to reflect the Department of Energy (DOE).

#### **16.2 Property Borrowed for Use**

Property may be borrowed from other Department of Energy facilities, other Federal Agencies or private sector organizations when it is practical and economical. Borrows should be for a relatively short period of time. Such borrows are managed, tracked and controlled by the Laboratory using the lending organizations loan form as the

source document. All borrowed property must be inspected by the Division Safety Coordinator prior to placing in use. Electrical property that has not been listed or accepted by a Nationally Recognized Testing Laboratory (NRTL) may not be used until it has been inspected by the Authority Having Jurisdiction (AHJ).

#### **16.2.1 Property Borrowed for Testing**

Property may be borrowed from a commercial vendor for testing or evaluation. Property that is borrowed for testing and evaluation is approved, managed, tracked and controlled by the division executing the borrow. A Borrowing Personal Property For Testing form must be completed and signed by the Custodian, the Requester's supervisor, Division ES&H Representative and an individual with authority to sign for the Lender before the property may be placed into use. A Borrow for Testing does not establish or imply an obligation on the part of the Laboratory to do other than return the property at the conclusion of the test.

#### **16.3 Fellowships**

Fellowships are awards to an individual, not to the Laboratory and are not made with DOE funds. Property acquired using funds provided under a fellowship, if known at the time of acquisition, will be identified with a Property of Others sticker. Such property may travel with the fellow, as in the case of a Seaborg Fellowship, when he leaves the Laboratory to pursue research at another facility.

#### **16.4 Grants**

Grants are normally made to the University and not to the Laboratory. If property is acquired with grant funds awarded to the Laboratory, the specific grant must be reviewed to determine who holds title to the property. If the grant is silent as to title then title to any property purchased with grant funds shall be recorded as resting with the Government, barcode tagged and recorded into the Asset Management System.

#### **16.5 Work for Others (WFO)**

Property purchased with funds flowing from Work for Others (WFO) Agreements will be tagged and have title reflected as resting with the Government. The final determination of title will not be made until the WFO agreement is completed. The general rule is that property costing \$ 5,000 or more will belong to the sponsor and property costing less than \$ 5,000 will become the property of the Laboratory.

##### **16.5.1 Work for Others-National Institute for Health (NIH)**

All property purchased by the Laboratory, under Work for Others Agreements funded by the National Institute for Health (NIH) is a standing exception to Section 16.5. Title to such property rests with the Regents.

#### **17.0 Subcontractor Property**

Property that is furnished to or acquired by a subcontractor in the course of performing work under a subcontract, purchase order, or any other procurement action or funding document written by Procurement is Government property, unless otherwise specified in the subcontract.

Subcontractors are accountable for all government property in their possession, and they must manage, control, and protect that property in a manner consistent with the Laboratory's Property Management Policies. Subcontractor property falls into one of two categories: Government Furnished Property (GFP) or Subcontractor Acquired Property (SAP). All subcontractor property is subject to Laboratory inventory requirements.

Subcontractor Property is managed in accordance with Procurement SP 45.1, dated October 1, 2008, Government Property and Property Management's implementing procedures for Subcontractor Property.

## **18.0 Miscellaneous Property**

### **18.1 Precious Metals**

Precious metals are specifically defined by the DOE as; Gold, Iridium, Osmium, Palladium, Platinum, Rhodium, Rhuthenium and Silver. They may be held only by Laboratory career employees. Holdings valued at less than an acquisition cost of \$250 will not be tracked and will be considered consumed at the point of receipt. Precious metals are inventoried annually.

### **18.2 High Risk Property**

It is the policy of the Laboratory to identify High Risk property as early as possible in its life cycle, and control it through the disposition process. High Risk property is identified in the personal property database, and is defined as Especially Designed or Prepared Property, Export Controlled Property, Nuclear Weapon Components or Weapon-Like Components and Proliferation Sensitive Property.

### **18.3 Gifts**

#### **18.3.1 Receiving Gifts**

The Laboratory cannot accept gifts. Gifts may be given to the University of California and used at the Laboratory. The Sponsored Projects Office processes all gifts in accordance with University policy and submits documentation to Property Management. Property gifted to the University is identified as Property of Others. It is not barcode tagged.

#### **18.3.2 Giving Gifts**

The Laboratory is not authorized to give gifts of Government personal property. The Laboratory utilizes the Energy Related Laboratory Equipment (ERLE) program as the gifting mechanism.

### **18.4 Controlled Materials**

The following materials are controlled:

- Sealed radioactive sources—EH&S Division controls this activity.
- Hypodermic Needles, Syringes and Potable Alcohol are managed and physically controlled, from receipt to the point of use, at the division level, to prevent improper or illegal use.
- Returnable Containers: Containers furnished by vendors are controlled administratively and physically by the divisions to ensure their prompt return to the vendor for credit.
- Chemicals: Chemicals are controlled by ES+H.

### **18.5 Materials and Equipment in Stores (Facilities)**

Facilities Management is responsible for managing the Laboratory's Stores Operation and for the preparation and issuance of Stores Policy and Procedures. Stores inventories are identified in the Property Manual and the Annual Inventory Plan but are Facilities Management's responsibility to execute. Inventory results are provided to Property Management for reporting to DOE.

### **18.6 Property Reports**

The Laboratory provides the DOE with the following annual and on-occurrence property reports:

#### **Annual**

- Exchange/sale transactions
- Excess property furnished to nonfederal recipients
- Precious Metals Holdings

**On Occurrence**

- Physical inventories of
  - ✓ Equipment
  - ✓ Sensitive Items
  - ✓ Precious Metals
  - ✓ Controlled Substances
- Loss, Damaged, Destroyed and Stolen property
- On Line Sales (quarterly)

**19.0 Fleet Management (Facilities)**

In accordance with the prime contract, the Laboratory will comply with all applicable vehicle fleet regulations and/or will meet the requirements and regulations of the GSA Fleet Management organization. (Title 41 CFR 109, 41 CFR 102-5 and 102-34, and Executive Order 13423)

**19.1 Use of Laboratory-Furnished Vehicles**

Laboratory-furnished vehicles shall be used solely for official use. The driver of any Laboratory-furnished vehicle must have a valid California driver's license. Any passengers must also be on official business.

**19.2 Vehicle Reports**

The Laboratory will provide the following reports to DOE according to the schedule below:

**Annual**

- Motor vehicle/truck data.
- Unused passenger vehicle authorizations.
- Exempt motor vehicles.
- Annual forecast of passenger vehicles.
- Annual motor vehicle use objectives.

**Quarterly**

- Motor vehicle use.

**On Occurrence**

- Lost/stolen license plates.

**APPENDIX A**

**CONTROLLED SUBSTANCE PROTOCOL**



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# Controlled Substance Security Plan

(Schedules I, II, III, IV and V Controlled Substances)

Guidelines for Acquiring & Accounting for Controlled Substances for Scientific Use



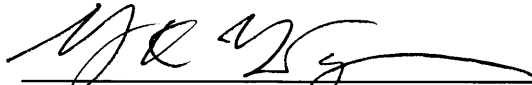
Lawrence Berkeley National Laboratory  
University of California  
Berkeley, California

Effective March 7, 2007  
Revision 2 - August 2008

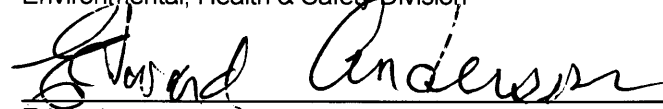
## Controlled Substance Protocol for the Ernest Orlando Lawrence Berkeley National Laboratory

March 2007

Revision 2

  
\_\_\_\_\_  
Howard K. Hatayama, Division Director  
Environmental, Health & Safety Division

3/7/07  
(Date)

  
\_\_\_\_\_  
Ed Anderson  
Office of the Chief Financial Officer - Procurement

3/5/07  
(Date)

  
\_\_\_\_\_  
William Llewellyn  
Facilities - Shipping & Receiving

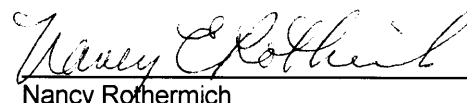
3/5/07  
(Date)

  
\_\_\_\_\_  
Dan S. Lunsford  
Environmental, Health & Safety Division/Integrated Safeguards & Security -  
Security & Emergency Operations

3/5/07  
(Date)

  
\_\_\_\_\_  
John Morgan  
Office of the Chief Financial Officer - Property Management

3/5/2007  
(Date)

  
\_\_\_\_\_  
Nancy Rothermich  
Environmental, Health & Safety Division - Waste Management

3/5/07  
(Date)

Future revisions to the CSSP will be summarized in the "Revision Section" and reflected within the primary document. All revisions are reviewed by the CSSP team members and the respective BSO representative. The updated document is posted on the EH&S website with updated copies provided to team members and the BSO. The CSSP signature page is only updated when there is a change in membership.



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## Foreword

The Controlled Substance Protocol (Protocol) was created to comply with Section 802(6) of Title 21, 21 CFR Part 1300 of the United States Code & California Health & Safety Code Section 11100. The Lab is not a distributor of controlled substances as defined in Section 802. As such, a protocol needed to be created for Schedules I, II, III, IV, and V Controlled Substances use in science and research. Thus, in October 2006 the process of planning and developing the Protocol began.

The Protocol serves as a guide for Lab stakeholders who either use controlled substances in science and research projects or are involved in its procurement, receiving, delivering, handling, securing, inventorying, and disposal. The goal was to develop guidelines and best practices to ensure safety, accountability, security, and compliance when receiving, distributing, using and disposing of controlled substances.

The Protocol is a living document subject to updates as deemed by scientific research. When updates are needed, the Controlled Substances Advisory Committee (Appendix B) will convene to integrate newly introduced best practices.

Howard K. Hatayama  
Division Director  
Environment, Health & Safety Division



# Revisions

## Revision II (August 2008)

<u>Section</u>	<u>Revision</u>	<u>Page</u>
Appendix A	All references to transporting controlled substances between UC Berkeley and LBNL are removed.	
Appendix E	Expanded to include Schedule III, IV & V substances	24
Appendix D & F	Removed Changed to Appendix C & Appendix D	39 & 42

## Revision I (May 2007)

<u>Section</u>	<u>Revision</u>	<u>Page</u>
3	<b>Roles &amp; Responsibilities</b>	
	<ul style="list-style-type: none"><li><b>Principal Investigator (PI)</b></li></ul>	11
	PI designates an alternative signer for each order by providing a "Designated Alternate Signer" memo to Procurement's Controlled Substance Liaison Officer	11
	Upon receipt of chemical, PI enters inventory into Lab's Chemical Management System (CMS)	
	<ul style="list-style-type: none"><li><b>Procurement</b></li></ul>	13
	Procurement receives "Designated Alternative Signer" memo from PI	
	<ul style="list-style-type: none"><li><b>Security</b></li></ul>	14
	Security will contact University of California Police Department's Captain of Operations to arrange transport of substance to University of California Berkeley destination	
4	<b>Acquisition Guidelines</b>	
	<ul style="list-style-type: none"><li><b>Initiation of Process</b></li></ul>	16
	PI provides Procurement with a "Designated Alternative Signer" memo indicating the name and signature of the full-time, LBNL employee who can sign for receipt of the	



<u>Section</u>	<u>Revision</u>	<u>Page</u>
	substance in the absence of the PI	
	<ul style="list-style-type: none"><li>• <b>Procurement</b></li></ul>	17
	Procurement receives PI's "Designated Alternative Signer" memo and sends copy to Receiving	
	<ul style="list-style-type: none"><li>• <b>Receiving</b></li></ul>	
	After delivery of substance, Receiving provides PI with a copy of the Controlled Substance Protocol	18
	<ul style="list-style-type: none"><li>• <b>Security</b></li></ul>	
	Provides a copy of the Controlled Substance Protocol to PI	19
	If destination of package is University of California-Berkeley, Security contacts UC Police Department's Captain of Operations to coordinate transport and delivery with a copy of the Controlled Substance Protocol	19
<b>Appendix D</b>	"Designated Alternative Signer" Sample Memo	38
<b>Appendix E</b>	Chain of Custody Flow Chart for Transportation of Substance to UC Berkeley	39
<b>Appendix F</b>	Chain of Custody Form	41
	Original to Controlled Substance Liaison Officer Copies to Receiving, Security, Property Management	



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# 1 Executive Summary

## Goals

- To ensure and maintain accountability of controlled substances
- To successfully facilitate obtaining controlled substances for research
- To ensure compliance with appropriate federal, state, and local codes, regulations and laws
- To make the protocol easily accessible and timely to all stakeholders and users to ensure continuity and consistency in the handling and use of controlled substances
- To develop and implement best practices in procurement, accountability, security, and disposal of controlled substances

## Objective

To develop protocols to achieve the above stated goals in a safe and secure manner in support of science.

## Summary

Controlled substances are regulated by Section 802(6) of Title 21, 21 CFR Part 1300, United States Code & California Health & Safety Code Section 11100. Scientists can use controlled substances in their research. It is LBNL's goal to develop guidelines and best practices to ensure safety, accountability, security, and compliance when receiving, distributing, using and disposing of controlled substances.

This protocol is developed to ensure consistency, accountability and make available a process in which all Lab stakeholders can use when working with controlled substances.



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## 2 Controlled Substances Used at LBNL

The Controlled Substance Liaison Officer (CSLO) assists Principal Investigators (PIs) in procuring controlled substances on Schedules I, II, III, IV and V for scientific use. Examples of substances used in research by LBNL PIs are listed below:

- Cocaine
- Demerol
- Ethanol
- Hydromorphone
- Morphine
- Nembutal
- Piperdine
- Phenylacetone
- Sodium Pentobarbital

Controlled substances listed on Schedules I, II, III, IV and V (Appendix A) are subject to the protocols contained in this document.

LBNL has a license to purchase only on Schedules I, II, III, IV and V substances. For any questions regarding these materials, please contact the Controlled Substance Liaison Officer (CSLO).

**Absolutely no controlled substances can be transported  
between UC Berkeley and DOE facilities.**

### Authorities

DOE Order 580.1 4. Requirements, h. Controlled Substances, Hypodermic Needles, Syringes and Potable Alcohol

Section 802(6) of Title 21, 21 CFR Part 1300, United States Code & California Health & Safety Code Section 11100



## 3 Roles and Responsibilities

### Principal Investigator (PI)/Researcher

1. Contacts Procurement (Controlled Substance Liaison Officer) to initiate controlled substance acquisition process for research usage
2. Maintains purchase, use and disposal records, documentation and usage log book
  - a. Schedules I, II, III, IV and V
  - b. If substance is brought to LBNL by a scientist from another lab, Lab Security must be notified<sup>1</sup>
3. Completes proper paperwork for ordering
  - a. For each order, PI designates a back-up or assistant to receive delivery
  - b. The back-up or assistant must be a full-time, career LBNL employee (see Appendix C for sample "Designated Alternative Signer" memo)
4. Keeps controlled substances in a locked repository (reference DOE Order 580.1 4. Requirements, h. Controlled Substances, Hypodermic Needles, Syringes and Potable Alcohol)
5. Chemical Management System
  - a. Upon receipt of chemical, PI or researcher enters data into Lab's Chemical Management System (CMS)
6. Reports theft, loss and movement on- and/or off-site to EH&S Security and Property Management immediately

**Absolutely no controlled substances can be transported  
between UC Berkeley and DOE facilities.**

<sup>1</sup> **Note:**

Any controlled substance not processed by the Controlled Substance Liaison Officer (CSLO) must be reported to the Lab Security Manager and/or Site Access Manager prior to its arrival at LBNL, e.g. a scientist from another lab brings a controlled substance to LBNL for use.

Once the controlled substance arrives at the Lab, the appropriate elements of this protocol apply.



## Roles and Responsibilities (continued)

### Principal Investigator (PI)

7. Prior to disposal
  - a. Contact EH&S Waste Management for disposal
    - i. Waste Management provides Project ID for disposal services
  - b. Contact Property Management for disposal inventory
    - i. Custody terminates upon completion of transfer or disposal process
    - ii. Request inventory of assigned substance upon first knowledge (and prior to completion) of termination of employment
    - iii. Informs supervisor of results of inventory
  - c. Transfer assigned substance to a new custodian prior to termination
    - i. Inform supervisor, Lab Security and Property Management of transfer



---

## Roles and Responsibilities (continued)

### Procurement

1. Registers with Drug Enforcement Agency and maintains license
2. Receives or requests from PI a "Designated Alternative Signer" memo and sends copy to Receiving for each purchase order
3. Maintains restricted item list
4. Designates primary and back-up buyer as the Controlled Substance Liaison Officer (CSLO)
5. Maintains Procurement Policy and Procedure
6. Approves and processes purchase requisitions
7. Sends copy of approved Purchase Order for any Controlled Substance to Property Management
8. Maintains purchase and registration records
9. Notifies Lab Security for new user lab security check
10. Receives annual controlled substances inventory report
11. Participates on the Controlled Substance Advisory Committee (CSAC)

### Receiving

1. Receives and secures controlled substance
2. Maintains receiving records
3. Notifies Lab Security of shipment arrival within 1 business day
  - a. Begins chain of custody process (See Appendix D: Chain of Custody Form)
  - b. Copies Property Management on notification to Lab Security of shipment arrival
4. Participates on the Controlled Substance Advisory Committee (CSAC)



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## Roles and Responsibilities (continued)

### Security

1. Assists with the transportation of the controlled substance, as required
2. Ensures controlled/locked repository (reference DOE Order 580.1 4. Requirements, h. Controlled Substances, Hypodermic Needles, Syringes and Potable Alcohol)
3. Facilitates chain of custody process (see Appendix D: Chain of Custody Form)
4. Communicates with principal investigator to resolve any Security concerns
5. Establishes points of contact, as necessary, such as principal investigators
6. Reviews annual controlled substances inventory report
7. Participates on Controlled Substances Advisory Committee (CSAC)
8. Facilitates transfer of custody when Principal Investigator (PI) is terminated
  - a. Upon notification of PI termination, validates transfer of custody with Property Management and new custodian of substance
9. Facilitates police report upon notification of controlled substance theft or loss

### EH&S Waste Management

1. Maintains contract with an appropriate vendor for proper disposal
2. Assists PI in packaging material for disposal
3. Provides and maintains Controlled Substances Disposal Instructions for both Schedule I-II and Schedule III-V controlled substances
4. Processes contractor invoices for disposal
5. Interact with appropriate PIs/Users and agencies, as needed
6. Participates on the Controlled Substances Advisory Committee (CSAC)



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## Roles and Responsibilities (continued)

### Property Management

1. Performs annual physical inventory and conducts inventories for transfers and disposal
  - a. Forwards results to Lab Security and Procurement/CSLO
2. Maintains appropriate records
3. Participates on the Controlled Substance Advisory Committee



---

## 4 Acquisition Guidelines

### Initiation of Process

1. Researcher initiates purchase request
2. PI approves researcher's request
3. Approved requisition is entered into PeopleSoft by appropriate division office
4. PI provides to Procurement a "Designated Alternative Signer" memo indicating the name and signature of the full-time, LBNL employee who can sign for receipt of the substance in the absence of the PI
5. CSLO (buyer) validates requisition and initiates procurement process

If substance is brought to LBNL by a scientist from another lab, Lab Security Manager and or Site Access Manager must be notified to ensure compliance with this protocol.



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## Acquisition Guidelines (continued)

### Procurement

1. Receives Principal Investigator's/Researcher's
  - a. Request for obtaining controlled substance through respective Division via ePro approval process
  - b. "Designated Alternative Signer" memo
2. Contacts respective vendor for
  - a. Pricing
  - b. Availability of item
3. Creates Purchase Order (PO) and forwards to Vendor
  - a. Forwards copy to Vendor and requires acknowledgement
  - b. Forwards copy of PO to PI
  - c. Forwards copy of PO to Property Management
  - d. Maintains original PO
  - e. Forwards Vendor acknowledgement to PI
4. Contacts Shipping & Receiving to make them aware of upcoming shipment
  - a. Sends email to [receiving@lbl.gov](mailto:receiving@lbl.gov) and follows up with phone call with arrival date (within 24 hours before arrival of shipment) and tracking number
  - b. Forwards PO# to Shipping & Receiving
  - c. Sends copy of PI's "Designated Alternative Signer" to Receiving
5. Receives notification from Shipping & Receiving that substance has arrived
  - a. Contacts PI to indicate substance has arrived and ready for pick-up or transport by Lab Security



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## Acquisition Guidelines (continued)

### Receiving

1. Receives substance
  - a. Staff reviews work instruction for distribution of substance
  - b. Carrier arrives at Building 69 Receiving Dock
  - c. Package is received
  - d. Scanned into Receiving Tracking System (starts paper trail)
  - e. Informs Receiving staff and sends confirmation email to CSLO (buyer)
  - f. Secures in cage
2. Notifies PI or Authorized Signer for Transfer
  - a. PI travels to Building 69 to take possession of package or
  - b. Package may be delivered via Lab Security or Lab Transportation and PI signature required upon delivery.
3. Initiates Delivery
  - a. Initiates chain of custody process (see Appendix D: Chain of Custody Form)
  - b. After delivery by Transportation is complete (Receiving Lead)
  - c. Notifies Property Management of completed delivery via email
  - d. Forwards a copy of Chain of Custody signed record to Property Specialist
4. Releases controlled substance to
  - a. PI with a copy of the Controlled Substance Protocol
  - b. Or Lab Security



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## Acquisition Guidelines (continued)

### Security

1. Assist with transportation, as required
2. Ensures controlled/locked repository, as required (reference: DOE Order 580.1 4. Requirements, h. Controlled Substances, Hypodermic Needles, Syringes and Potable Alcohol)
3. Continues chain of custody process
4. Communicates with PI to resolve any security concerns
5. Provides a copy of the Controlled Substance Protocol to PI or Designated Alternative Signer
6. Establishes points of contact, as necessary

### Transportation

1. Delivers package via the Lab Transportation Department
2. Uses IBox tracking system to record the next custodian in the chain of custody process (e.g. PI or Lab Security) of the controlled substance package
3. Releases or delivers package to the name listed on the package
  - a. Signature is required with proof of identification via Lab badge
  - b. Provides a copy of the Controlled Substance Protocol document to PI or Designated Alternative Signer
4. Ensures controlled/ locked repository, as required (reference: DOE Order 580.1 4. Requirements, h. Controlled Substances, Hypodermic Needles, Syringes and Potable Alcohol)
5. Notifies Receiving upon completion of delivery



## 5 Custodianship Guidelines

### Principal Investigator (PI) / Researcher

1. Picks-up substance from Shipping & Receiving or receives from Lab Security
  - a. Signs and maintains chain of custody form
  - b. Receives copy of Controlled Substance Protocol
2. Keeps controlled substances in locked repository (ref: DOE Order 580.1 4. Requirements, h. Controlled Substances, Hypodermic Needles, Syringes and Potable Alcohol)
3. Reports theft, loss, or movement on- and/or off-site to Lab Security and Property Management<sup>2</sup> immediately
4. Contacts Procurement and EH&S Waste Management when ready to dispose of substance
5. Notifies Security upon termination of PI employment
6. Submits Requisition to Procurement/CSLO if additional substance is needed when original substance is depleted

**Absolutely no controlled substances can be transported between UC Berkeley and DOE facilities.**

<sup>2</sup> **Note:**

Any controlled substance not processed by the Controlled Substance Liaison Officer (CSLO) must be reported to the Lab Security Manager and/or Site Access Manager prior to its arrival at LBNL, e.g. a scientist from another lab brings a controlled substance to LBNL for use.

Once the controlled substance arrives at the Lab, the appropriate elements of this protocol apply.



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## Custodianship Guidelines (continued)

### Property Management

1. Performs annual physical inventory and conducts inventories for transfer and disposal
  - a. Schedules inventory
  - b. Conducts inventory
  - c. Prepares inventory report
2. Issues annual physical inventory report to Director, EH&S
  - a. Copy to Procurement Director
  - b. Copy to CSLO
  - c. Copy to Lab Security Manager
  - d. Copy to Office of Internal Audit (OIA)
  - e. Copy to Controlled Substance Custodians
  - f. Copy to Berkeley Site Office (BSO)
3. Maintains appropriate records
  - a. Updates controlled substance records upon notification of custody status changes (e.g. termination of PI, relocation of substance, transfer of custody)
4. Provides controlled substance disposal container (zip lock bags) to PI

### EH&S Waste Management

1. Interacts with regulatory agencies as needed



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## 6 Disposal Guidelines

### Principal Investigator (PI)/Researcher

1. Contacts Procurement/CSLO, Property Management and EH&S Waste Management to begin disposal process
2. Ensures controlled substance is inventoried for disposal
3. Completes vendor Return Request form, following Controlled Substances Disposal Instructions
4. Completes US Postal Service Return Receipt Request and Receipt for Certified/Registered Mail forms
5. Hand-carry delivery of controlled substance package (and USPS forms) to Shipping or via Lab Security Services
  - a. Provides Project ID for shipment costs
  - b. Must deliver package to Shipping same day disposal inventory is conducted
6. Chain of Custody Form is signed and shows transfer of substance from PI or researcher to Shipping or Lab Security Services

### EH&S Waste Management

1. Assist the PI in preparing the controlled substance for disposal according to Waste Management process and protocols
2. Provides "Controlled Substance Disposal Instructions" to PI
3. Process the disposal vendor invoice

### Property Management

1. Performs controlled substance disposal inventory
  - a. Must be performed same day controlled substance is delivered to Shipping by PI
2. Provides controlled substance disposal container (zip lock bags) to PI



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## Disposal Guidelines (continued)

### Procurement/CSLO

1. Assists PI in completing vendor Return Request forms for controlled substances on Schedule I-II and Schedule III-V
2. For controlled substances under Schedule I-II, CSLO receives Return Request form, submitted by PI, for processing with disposal vendor
  - a. Distributes DEA form and pre-addressed mailing label from vendor to PI

### Shipping

1. Ships controlled substance disposal package to vendor according to Controlled Substance Disposal Instructions



## 7 Controlled Substance Advisory Committee

### Program Overview

A Controlled Substance Advisory Committee (CSAC) has been established and shall meet when necessary to discuss controlled substance issues that impact this protocol. The members of the advisory committee are:

<b>Chair</b>	Division Director, Environmental, Health & Safety (EH&S) or designee
<b>Committee Members</b>	Control Substance Liaison Officer, OCFO – Procurement
	Security Manager, Security & Emergency Operations (SEO) Group Leader, EH&S
	SEO Program Manager, EH&S – SEO
	Security Operations Manager, EH&S – SEO
	Transportation Manager, Facilities
	Representative, Berkeley Site Office
	Waste Management Group Leader or designee, EH&S
<b>Adjunct Members</b>	Property Manager, OCFO – Property Management
	Principal Investigator, TBD

The CSAC will conduct an annual assessment of the established protocol and activities during the fourth quarter of the fiscal year and will be scheduled by Procurement. Based on best practices and research needs, the protocol will be updated. The completed revised protocol will be forwarded to the CSAC chair for approval.



# Appendix A: Schedules of Controlled Substances

CITE- 21 USC Sec. 812 01/22/02

Website URL: <http://www.usdoj.gov/dea/pubs/csa/8121.htm>

TITLE 21 – FOOD AND DRUGS CHAPTER 13 – DRUG ABUSE PREVENTION AND CONTROL  
SUBCHAPTER I – CONTROL AND ENFORCEMENT Part B – Authority To Control; Standards and Schedules

Sec. 812. Schedules of controlled substances

## **-STATUTE-**

(a) Establishment There are established five schedules of controlled substances, to be known as schedules I, II, III, IV, and V. Such schedules shall initially consist of the substances listed in this section. The schedules established by this section shall be updated and republished on a semiannual basis during the two-year period beginning one year after October 27, 1970, and shall be updated and republished on an annual basis thereafter.

(b) Placement on schedules; findings required Except where control is required by United States obligations under an international treaty, convention, or protocol, in effect on October 27, 1970, and except in the case of an immediate precursor, a drug or other substance may not be placed in any schedule unless the findings required for such schedule are made with respect to such drug or other substance. The findings required for each of the schedules are as follows:

(1) Schedule I. –

(A) The drug or other substance has a high potential for abuse.

(B) The drug or other substance has no currently accepted medical use in treatment in the United States.

(C) There is a lack of accepted safety for use of the drug or other substance under medical supervision.

(2) Schedule II. –

(A) The drug or other substance has a high potential for abuse.

(B) The drug or other substance has a currently accepted medical use in treatment in the United States or a currently accepted medical use with severe restrictions.



I Abuse of the drug or other substances may lead to severe psychological or physical dependence.

(3) Schedule III. –

(A) The drug or other substance has a potential for abuse less than the drugs or other substances in schedules I and II.

(B) The drug or other substance has a currently accepted medical use in treatment in the United States.

I Abuse of the drug or other substance may lead to moderate or low physical dependence or high psychological dependence.

(4) Schedule IV. –

(A) The drug or other substance has a low potential for abuse relative to the drugs or other substances in schedule III.

(B) The drug or other substance has a currently accepted medical use in treatment in the United States.

I Abuse of the drug or other substance may lead to limited physical dependence or psychological dependence relative to the drugs or other substances in schedule III.

(5) Schedule V. –

(A) The drug or other substance has a low potential for abuse relative to the drugs or other substances in schedule IV.

(B) The drug or other substance has a currently accepted medical use in treatment in the United States.

I Abuse of the drug or other substance may lead to limited physical dependence or psychological dependence relative to the drugs or other substances in schedule IV.

I Initial schedules of controlled substances Schedules I, II, III, IV, and V shall, unless and until amended (FOOTNOTE 1) pursuant to section [811](#) of this title, consist of the following drugs or other substances, by whatever official name, common or usual name, chemical name, or brand name designated:

(FOOTNOTE 1) Revised schedules are published in the Code of Federal Regulations, Part 1308 of Title 21, Food and Drugs.



## SCHEDULE I

(a) Unless specifically excepted or unless listed in another schedule, any of the following opiates, including their isomers, esters, ethers, salts, and salts of isomers, esters, and ethers, whenever the existence of such isomers, esters, ethers, and salts is possible within the specific chemical designation:

(1) Acetylmethadol.

(2) Allylprodine.

(3) Alphacetylmethadol. (FOOTNOTE 2)

(FOOTNOTE 2) So in original. Probably should be "Alphacetylmethadol."

(4) Alphameprodine.

(5) Alphamethadol.

(6) Benzethidine.

(7) Betacetylmethadol.

(8) Betameprodine.

(9) Betamethadol.

(10) Betaprodine.

(11) Clonitazene.

(12) Dextromoramide.

(13) Dextrophan.

(14) Diampromide.

(15) Diethylthiambutene.

(16) Dimenoxadol.

(17) Dimepheptanol.

(18) Dimethylthiambutene.

(19) Dioxaphetyl butyrate.



- (20) Dipipanone.
- (21) Ethylmethylthiambutene.
- (22) Etonitazene.
- (23) Etoxeridine.
- (24) Furethidine.
- (25) Hydroxypethidine.
- (26) Ketobemidone.
- (27) Levomoramide.
- (28) Levophenacymorphan.
- (29) Morpheridine.
- (30) Noracymethadol.
- (31) Norlevorphanol.
- (32) Normethadone.
- (33) Norpipanone.
- (34) Phenadoxone.
- (35) Phenampromide.
- (36) Phenomorphan.
- (37) Phenoperidine.
- (38) Piritramide.
- (39) Propheptazine.
- (40) Properidine.
- (41) Racemoramide.
- (42) Trimeperidine.



(b) Unless specifically excepted or unless listed in another schedule, any of the following opium derivatives, heir salts, isomers, and salts of isomers whenever the existence of such salts, isomers, and salts of isomers is possible within the specific chemical designation:

- (1) Acetorphine.
- (2) Acetyldihydrocodeine.
- (3) Benzylmorphine.
- (4) Codeine methylbromide.
- (5) Codeine-N-Oxide.
- (6) Cyprenorphine.
- (7) Desomorphine.
- (8) Dihydromorphine.
- (9) Etorphine.
- (10) Heroin.
- (11) Hydromorphinol.
- (12) Methyldesorphine.
- (13) Methylhydromorphine.
- (14) Morphine methylbromide.
- (15) Morphine methylsulfonate.
- (16) Morphine-N-Oxide.
- (17) Myorphine.
- (18) Nicocodeine.
- (19) Nicomorphine.
- (20) Normorphine.
- (21) Pholcodine.
- (22) Thebacon.



I Unless specifically excepted or unless listed in another schedule, any material, compound, mixture, or preparation, which contains any quantity of the following hallucinogenic substances, or which contains any of their salts, isomers, and salts of isomers whenever the existence of such salts, isomers, and salts of isomers is possible within the specific chemical designation:

- (1) 3,4-methylenedioxy amphetamine.
- (2) 5-methoxy-3,4-methylenedioxy amphetamine.
- (3) 3,4,5-trimethoxy amphetamine.
- (4) Bufotenine.
- (5) Diethyltryptamine.
- (6) Dimethyltryptamine.
- (7) 4-methyl-2,5-dimethoxyamphetamine.
- (8) Ibogaine.
- (9) Lysergic acid diethylamide.
- (10) Marihuana.
- (11) Mescaline.
- (12) Peyote.
- (13) N-ethyl-3-piperidyl benzilate.
- (14) N-methyl-3-piperidyl benzilate.
- (15) Psilocybin.
- (16) Psilocyn.
- (17) Tetrahydrocannabinols.



## SCHEDULE II

(a) Unless specifically excepted or unless listed in another schedule, any of the following substances whether produced directly or indirectly by extraction from substances of vegetable origin, or independently by means of chemical synthesis, or by a combination of extraction and chemical synthesis:

- (1) Opium and opiate, and any salt, compound, derivative, or preparation of opium or opiate.
- (2) Any salt, compound, derivative, or preparation thereof which is chemically equivalent or identical with any of the substances referred to in clause (1), except that these substances shall not include the isoquinoline alkaloids of opium.
- (3) Opium poppy and poppy straw.
- (4) coca (FOOTNOTE 3) leaves, except coca leaves and extracts of coca leaves from which cocaine, ecgonine, and derivatives of ecgonine or their salts have been removed; cocaine, its salts, optical and geometric isomers, and salts of isomers; ecgonine, its derivatives, their salts, isomers, and salts of isomers; or any compound, mixture, or preparation which contains any quantity of any of the substances referred to in this paragraph.

(FOOTNOTE 3) So in original. Probably should be capitalized.

(b) Unless specifically excepted or unless listed in another schedule, any of the following opiates, including their isomers, esters, ethers, salts, and salts of isomers, esters and ethers, whenever the existence of such isomers, esters, ethers, and salts is possible within the specific chemical designation:

- (1) Alphaprodine.
- (2) Anileridine.
- (3) Bezitramide.
- (4) Dihydrocodeine.
- (5) Diphenoxylate.
- (6) Fentanyl.
- (7) Isomethadone.
- (8) Levomethorphan.
- (9) Levorphanol.



- (10) Metazocine.
- (11) Methadone.
- (12) Methadone-Intermediate, 4-cyano-2-dimethylamino-4,4-diphenyl butane.
- (13) Moramide-Intermediate, 2-methyl-3-morpholino-1, 1-diphenylpropane-carboxylic acid.
- (14) Pethidine.
- (15) Pethidine-Intermediate-A, 4-cyano-1-methyl-4-phenylpiperidine.
- (16) Pethidine-Intermediate-B, ethyl-4-phenylpiperidine-4-carboxylate.
- (17) Pethidine-Intermediate-C, 1-methyl-4-phenylpiperidine-4-carboxylic acid.
- (18) Phenazocine.
- (19) Piminodine.
- (20) Racemethorphan.
- (21) Racemorphan.

I Unless specifically excepted or unless listed in another schedule, any injectable liquid which contains any quantity of methamphetamine, including its salts, isomers, and salts of isomers.



### SCHEDULE III

(a) Unless specifically excepted or unless listed in another schedule, any material, compound, mixture, or preparation which contains any quantity of the following substances having a stimulant effect on the central nervous system:

- (1) Amphetamine, its salts, optical isomers, and salts of its optical isomers.
- (2) Phenmetrazine and its salts.
- (3) Any substance (except an injectable liquid) which contains any quantity of methamphetamine, including its salts, isomers, and salts of isomers.
- (4) Methylphenidate.

(b) Unless specifically excepted or unless listed in another schedule, any material, compound, mixture, or preparation which contains any quantity of the following substances having a depressant effect on the central nervous system:

- (1) Any substance which contains any quantity of a derivative of barbituric acid, or any salt of a derivative of barbituric acid.
  - (2) Chorhexadol.
  - (3) Glutethimide.
  - (4) Lysergic acid.
  - (5) Lysergic acid amide.
  - (6) Methyprylon.
  - (7) Phencyclidine.
  - (8) Sulfondiethylmethane.
  - (9) Sulfonethylmethane.
  - (10) Sulfonmethane.
- I Nalorphine.

(d) Unless specifically excepted or unless listed in another schedule, any material, compound, mixture, or preparation containing limited quantities of any of the following narcotic drugs, or any salts thereof:

- (1) Not more than 1.8 grams of codeine per 100 milliliters or not more than 90 milligrams per dosage unit, with an equal or greater quantity of an isoquinoline alkaloid of opium.
- (2) Not more than 1.8 grams of codeine per 100 milliliters or not more than 90 milligrams per dosage unit, with one or more active, non-narcotic ingredients in recognized therapeutic amounts.



(3) Not more than 300 milligrams of dihydrocodeinone per 100 milliliters or not more than 15 milligrams per dosage unit, with a fourfold or greater quantity of an isoquinoline alkaloid of opium.

(4) Not more than 300 milligrams of dihydrocodeinone per 100 milliliters or not more than 15 milligrams per dosage unit, with one or more active, nonnarcotic ingredients in recognized therapeutic amounts.

(5) Not more than 1.8 grams of dihydrocodeine per 100 milliliters or not more than 90 milligrams per dosage unit, with one or more active, nonnarcotic ingredients in recognized therapeutic amounts.

(6) Not more than 300 milligrams of ethylmorphine per 100 milliliters or not more than 15 milligrams per dosage unit, with one or more active, nonnarcotic ingredients in recognized therapeutic amounts.

(7) Not more than 500 milligrams of opium per 100 milliliters or per 100 grams, or not more than 25 milligrams per dosage unit, with one or more active, nonnarcotic ingredients in recognized therapeutic amounts.

(8) Not more than 50 milligrams of morphine per 100 milliliters or per 100 grams with one or more active, nonnarcotic ingredients in recognized therapeutic amounts.

(e) Anabolic steroids.

#### **SCHEDULE IV**

(1) Barbital.

(2) Chloral betaine.

(3) Chloral hydrate.

(4) Ethchlorvynol.

(5) Ethinamate.

(6) Methohexital.

(7) Meprobamate.

(8) Methylphenobarbital.

(9) Paraldehyde.

(10) Petrichloral.

(11) Phenobarbital.



## SCHEDULE V

Any compound, mixture, or preparation containing any of the following limited quantities of narcotic drugs, which shall include one or more nonnarcotic active medicinal ingredients in sufficient proportion to confer upon the compound, mixture, or preparation valuable medicinal qualities other than those possessed by the narcotic drug alone:

- (1) Not more than 200 milligrams of codeine per 100 milliliters or per 100 grams.
- (2) Not more than 100 milligrams of dihydrocodeine per 100 milliliters or per 100 grams.
- (3) Not more than 100 milligrams of ethylmorphine per 100 milliliters or per 100 grams.
- (4) Not more than 2.5 milligrams of iphenoxylate and not less than 25 micrograms of atropine sulfate per dosage unit.
- (5) Not more than 100 milligrams of opium per 100 milliliters or per 100 grams.

### -SOURCE-

(Pub. L. 91-513, title II, Sec. 202, Oct. 27, 1970, 84 Stat. 1247; Pub. L. 95-633, title I, Sec. 103, Nov. 10, 1978, 92 Stat. 3772; Pub. L. 98-473, title II, Sec. 507I, 509(b), Oct. 12, 1984, 98 Stat. 2071, 2072; Pub. L. 99-570, title I, Sec. 1867, Oct. 27, 1986, 100 Stat. 3207-55; Pub. L. 99-646, Sec. 84, Nov. 10, 1986, 100 Stat. 3619; Pub. L. 101-647, title XIX, Sec. 1902(a), Nov. 29, 1990, 104 Stat. 4851.)

### -MISC1-

## AMENDMENTS

1990 – Subsec. I. Pub. L. 101-647 added item (e) at end of schedule III.

1986 – Subsec. I. Pub. L. 99-646 amended schedule II(a)(4) generally. Prior to amendment, schedule II(a)(4) read as follows: “Coca leaves (except coca leaves and extracts of coca leaves from which cocaine, ecgonine, and derivatives of ecgonine or their salts have been removed); cocaine, its salts, optical and geometric isomers, and salts of isomers; and ecgonine, its derivatives, their salts, isomers, and salts of isomers.”

Pub. L. 99-570 amended schedule II(a)(4) generally. Prior to amendment, schedule II(a)(4) read as follows: “Coca leaves and any salt, compound, derivative, or preparation of coca leaves (including cocaine and ecgonine and their salts, isomers, derivatives, and salts of isomers and derivatives), and any salt, compound, derivative, or preparation thereof which is chemically equivalent or identical with any of these substances, except that the substances shall not include decocainized coca leaves or extraction of coca leaves, which extractions do not contain cocaine or ecgonine.” 1984 – Subsec. (c). Pub. L. 98-473, Sec. 507(c), in schedule II(a)(4) added applicability to cocaine and ecgonine and their salts, isomers, etc.

Subsec. (d). Pub. L. 98-473, Sec. 509(b), struck out subsec. (d) which related to authority of Attorney General to exempt stimulants or depressants containing active medicinal ingredients. 1978 – Subsec. (d)(3). Pub. L. 95-633 added cl. (3).



### **EFFECTIVE DATE OF 1990 AMENDMENT**

Amendment by Pub. L. 101-647 effective 90 days after Nov. 29, 1990, see section 1902(d) of Pub. L. 101-647, set out as a note under section [802](#) of this title.

### **EFFECTIVE DATE OF 1978 AMENDMENT**

Amendment by Pub. L. 95-633 effective on date the Convention on Psychotropic Substances enters into force in the United States (July 15, 1980), see section 112 of Pub. L. 95-633, set out as an Effective Date note under section [801a](#) of this title.

### **CONGRESSIONAL FINDING; EMERGENCY SCHEDULING OF GHB IN CONTROLLED SUBSTANCES ACT**

Pub. L. 106-172, Sec. 2, 3(a), Feb. 18, 2000, 114 Stat. 7, 8, provided that:

"SEC. 2. FINDINGS.

"Congress finds as follows:

"(1) Gamma hydroxybutyric acid (also called G, Liquid X, Liquid Ecstasy, Grievous Bodily Harm, Georgia Home Boy, Scoop) has become a significant and growing problem in law enforcement. At least 20 States have scheduled such drug in their drug laws and law enforcement officials have been experiencing an increased presence of the drug in driving under the influence, sexual assault, and overdose cases especially at night clubs and parties.

"(2) A behavioral depressant and a hypnotic, gamma hydroxybutyric acid ('GHB') is being used in conjunction with alcohol and other drugs with detrimental effects in an increasing number of cases. It is difficult to isolate the impact of such drug's ingestion since it is so typically taken with an ever-changing array of other drugs and especially alcohol which potentiates its impact.

"(3) GHB takes the same path as alcohol, processes via alcohol dehydrogenase, and its symptoms at high levels of intake and as impact builds are comparable to alcohol ingestion/intoxication. Thus, aggression and violence can be expected in some individuals who use such drug.

"(4) If taken for human consumption, common industrial chemicals such as gamma butyrolactone and 1,4-butanediol are swiftly converted by the body into GHB. Illicit use of these and other GHB analogues and precursor chemicals is a significant and growing law enforcement problem.

"(5) A human pharmaceutical formulation of gamma hydroxybutyric acid is being developed as a treatment for cataplexy, a serious and debilitating disease. Cataplexy, which causes sudden and total loss of muscle control, affects about 65 percent of the estimated 180,000 Americans with narcolepsy, a sleep disorder. People with cataplexy often are unable to work, drive a car, hold their children or live a normal life.

"(6) Abuse of illicit GHB is an imminent hazard to public safety that requires immediate regulatory action under the Controlled Substances Act (21 U.S.C. [801](#) et seq.).

"SEC. 3. EMERGENCY SCHEDULING OF GAMMA HYDROXYBUTYRIC ACID AND LISTING OF GAMMA BUTYROLACTONE AS LIST I CHEMICAL.



“(a) Emergency Scheduling of GHB. –

“(1) In general. – The Congress finds that the abuse of illicit gamma hydroxybutyric acid is an imminent hazard to the public safety. Accordingly, the Attorney General, notwithstanding sections 201(a), 201(b), 201(c), and 202 of the Controlled Substances Act (21 U.S.C. [811\(a\)-\(c\)](#), [812](#)), shall issue, not later than 60 days after the date of the enactment of this Act (Feb. 18, 2000), a final order that schedules such drug (together with its salts, isomers, and salts of isomers) in the same schedule under section 202(c) of the Controlled Substances Act as would apply to a scheduling of a substance by the Attorney General under section 201(h)(1) of such Act (relating to imminent hazards to the public safety), except as follows:

“(A) For purposes of any requirements that relate to the physical security of registered manufacturers and registered distributors, the final order shall treat such drug, when the drug is manufactured, distributed, or possessed in accordance with an exemption under section 505(i) of the Federal Food, Drug, and Cosmetic Act (21 U.S.C. 355(i)) (whether the exemption involved is authorized before, on, or after the date of the enactment of this Act (Feb. 18, 2000)), as being in the same schedule as that recommended by the Secretary of Health and Human Services for the drug when the drug is the subject of an authorized investigational new drug application (relating to such section 505(i)). The recommendation referred to in the preceding sentence is contained in the first paragraph of the letter transmitted on May 19, 1999, by such Secretary (acting through the Assistant Secretary for Health) to the Attorney General (acting through the Deputy Administrator of the Drug Enforcement Administration), which letter was in response to the letter transmitted by the Attorney General (acting through such Deputy Administrator) on September 16, 1997. In publishing the final order in the Federal Register, the Attorney General shall publish a copy of the letter that was transmitted by the Secretary of Health and Human Services.

“(B) In the case of gamma hydroxybutyric acid that is contained in a drug product for which an application is approved under section 505 of the Federal Food, Drug, and Cosmetic Act (21 U.S.C. 355) (whether the application involved is approved before, on, or after the date of the enactment of this Act (Feb. 18, 2000)), the final order shall schedule such drug in the same schedule as that recommended by the Secretary of Health and Human Services for authorized formulations of the drug. The recommendation referred to in the preceding sentence is contained in the last sentence of the fourth paragraph of the letter referred to in subparagraph (A) with respect to May 19, 1999.

“(2) Failure to issue order. – If the final order is not issued within the period specified in paragraph (1), gamma hydroxybutyric acid (together with its salts, isomers, and salts of isomers) is deemed to be scheduled under section 202I of the Controlled Substances Act (21 U.S.C. [812I](#)) in accordance with the policies described in paragraph (1), as if the Attorney General had issued a final order in accordance with such paragraph.”

#### **PLACEMENT OF PIPRADROL AND SPA IN SCHEDULE IV TO CARRY OUT OBLIGATION UNDER CONVENTION ON PSYCHOTROPIC SUBSTANCES**

Section 102I of Pub. L. 95-633 provided that: “For the purpose of carrying out the minimum United States obligations under paragraph 7 of article 2 of the Convention on Psychotropic Substances, signed at Vienna, Austria, on February 21, 1971, with respect to pipradrol and SPA (also known as (-)-1-dimethylamino-1,2-diphenylethane), the Attorney General shall by order, made without regard to sections 201 and 202 of the Controlled Substances Act (this section and section [811](#) of this title), place such drugs in schedule IV of such Act (see subsec. I of this section).”



Provision of section 1021 of Pub. L. 95-633, set out above, effective on the date the Convention on Psychotropic Substances enters into force in the United States (July 15, 1980), see section 112 of Pub. L. 95-633, set out as an Effective Date note under section [801a](#) of this title.

#### **SECTION REFERRED TO IN OTHER SECTIONS**

This section is referred to in sections 384, [811](#), 1115, 1523, 1703 of this title; title 10 section 912a; title 19 section 2484; title 20 sections 1415, 7161; title 29 sections 705, 2006; title 41 section 706; title 42 sections 12111, 12210.



# Appendix B: Controlled Substance Advisory Committee

## Points of Contact

<u>Contact Name</u>	<u>LBNL Phone</u>
<b>PRIMARY CONTACT</b>	
Howard K. Hatayama or Designee Division Director Environmental, Health & Safety Division (EH&S)	486-4261
<b>ALTERNATE PRIMARY CONTACT</b>	
Dan Lunsford (Primary Contact), Security Manager TBD (Back-up Contact), Program Manager EH&S- Security & Emergency Operations (SEO)	486-6016
<b>SECONDARY CONTACTS</b>	
Ed Anderson (Primary Contact) Carol Eaton (Back-up Contact) Controlled Substance Liaison Officer (CSLO) OCFO – Procurement	486-4575 486-5252
William Llewellyn (Primary Contact) Tammy Brown (Back-up Contact) Transportation Manager Facilities	486-7726 486-5232
John Morgan (Primary Contact) Dave McFann (Back-Up Contact) Property Manager OCFO – Property Management	486-5728
Landmark Protection Security Operations Manager EH&S – Security & Emergency Operations	486-7791
Nancy Rothermich (Primary Contact) Waste Management Group Leader EH&S – Waste Management	486-4644
Mary Gross Department of Energy, Berkeley Site Office	486-4373



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## Appendix C: Designated Alternate Signer (Sample Memo)

To: Edward Anderson, Controlled Substance Liaison Officer  
From: (PI's Name)  
Subject: Designated Alternate Signer for PO# \_\_\_\_\_

I authorize \_\_\_\_\_, who is a full-time career employee with Lawrence Berkeley National Laboratory, to sign in my absence for substances ordered under PO# \_\_\_\_\_ for [name of substance(s) ordered under this Purchase Order].

Should I not be available for receipt of the above order, \_\_\_\_\_ is authorized to receive and sign for the order and bring it to its destination where it will be placed in "locked repository" (ref: DOE Order 580.1 4. Requirements, h. Controlled Substances, Hypodermic Needles, Syringes and Potable Alcohol).

Signed:

---

Principal Investigator (Date)

Designated Alternate Signer:

---

Signature (Date)

---

Print Name

---

Employee #



## Appendix D: Chain of Custody Form



# Chain of Custody for Schedule I & II Controlled Substances at LBNL for Scientific Research

Chemical: \_\_\_\_\_ Authorized Host: \_\_\_\_\_ Location: \_\_\_\_\_

LBNL PO #: \_\_\_\_\_ LBNL Research Project Name: \_\_\_\_\_ Destination: \_\_\_\_\_

Name (Print)	Signature	Date	Time	Location

**A COPY OF THIS FORM SHALL REMAIN IN THE POSSESSION OF THE RESPONSIBLE INDIVIDUAL CURRENTLY IN POSSESSION OF THE SCHEDULE I OR II CONTROLLED SUBSTANCE.**

**ORIGINAL TO CONTROLLED SUBSTANCE LIAISON OFFICER**

**COPIES TO RECEIVING, SECURITY, PROPERTY MANAGEMENT**



## Appendix E: Glossary

Chain of Custody	<p>Chronological documentation showing the custody, control, transfer, analysis, and disposition of the controlled substance.</p> <p>An identifiable person must always have the physical custody of a controlled substance used for research purposes.</p>
Chain of Custody Form	<p>The documentation used at LBNL showing the transfer of the substance from one person to the next throughout the time the controlled substance is used in LBNL scientific research (See Appendix D)</p>
Controlled Substance Liaison Officer (CSLO)	<p>A DEA-licensed LBNL procurement officer.</p>
Designated Alternate Signer	<p>An LBNL full-time, career employee whom the PI has given the responsibility of signing for the receipt of the controlled substance when the PI is not available on-site.</p>
Ibox	<p>A software tracking system which tracks and sorts packages in the LBNL Receiving environment.</p>
Principal Investigator	<p>Most U.S. Federal and State agencies that support scientific and technical research use the interchangeable titles “Principal Investigator” or “project director” for the scientist or researcher responsible for the technical leadership and administrative accountability of a project. A PI is ultimately responsible for the administration, direction, and management of the project and for its results. Often, funding for the project is also the PI’s responsibility. The designation is specific to a single contract, and terminates with the closing of that project. The designation is thus of a different character than for such ongoing leadership positions as division director, department head, and group leader. A PI is always part of Line Management, and from a Safety Line Management perspective, the PI is no different from any other Staff. A PI’s role may include being a HEERA Supervisor or Matrix Supervisor.</p>
Researcher	<p>At LBNL, an individual engaged in scientific research.</p>

**APPENDIX B**

**SENSITIVE ITEM LIST**

# FY 2007 Sensitive Item List Lawrence Berkeley Laboratory

March 1, 2007

Sensitive property is defined as property that is highly portable, easily converted to personal use and is more susceptible to theft than other equipment. The property listed below is considered **sensitive property** regardless of its acquisition cost. Sensitive property must be barcode tagged and is subject to Laboratory inventory requirements.

Sensitive Property Category	Descriptive Data *	Minimum Acquisition Value
Portable Telephones	Satellite, wireless	No minimum acquisition cost
Computer Peripherals	External Hard Drives	No minimum acquisition cost
Multi-functional Office Equipment	Scanners, fax, copiers, digital senders	No minimum acquisition cost
Computers	Computer PC, Desktop, Laptop, Workstation	No minimum acquisition cost
Personal Digital Assistant with PC connection	Palm Pilot, Palm M505, Handspring, Blackberry	No minimum acquisition cost
Printers	All desk top printers	No minimum acquisition cost
Hand-Held Radios	Two-way	No minimum acquisition cost
Recorders/Players	Video (VCR), tape, dictation machines, digital, compact audio disc (CD), digital video disc (DVD), audiotape, MP3 Player	No minimum acquisition cost
		No minimum acquisition cost
Still cameras and Digital cameras	Exceptions: Instant cameras, close-up, oscilloscope, x-ray, surveillance, and Charge Coupled Device (CCD)	No minimum acquisition cost
Video cameras	TV, movie, digital	No minimum acquisition cost
Video Projector	Digital	No minimum acquisition cost

\*Descriptive data provided are examples of items included in the Sensitive Property Category and are not to be interpreted to be solely those items in the Category.

**The above listing is effective for property purchased on and after March 1, 2007.**

**APPENDIX C**

**ANNUAL INVENTORY PLAN**

# LBNL FY 2008 Statistical Sample Inventory Plan

## SCOPE

Lawrence Berkeley National Laboratory (LBNL) will conduct annual inventories, beginning on January 21, 2008 and concluding on April 30, 2008, to comply with Contracting Officer requirements for FY08. The inventories will include the following: 1) personal property (Sensitive and Controlled); 2) controlled substances and 3) precious metals.

The Property Management Group will be responsible for managing the overall inventory efforts and reporting the results to the appropriate parties. LBNL Programs will be responsible for conducting their inventory.

The FY 2008 Personal Property Inventory will consist of:

### Sensitive and Controlled Property

1. All assets with an official name of "Computer-Laptop"
2. All assets with an acquisition amount equal to or greater than \$ 1M
3. Random statistical sample from the Sensitive category
4. Random statistical sample from the Controlled category

### Controlled Substances

1. All controlled substances

### Precious Metals

1. All precious metals

## INVENTORY OWNERS

Property Management Group will be responsible for the planning and oversight of FY 2008 Statistical Personal Property Inventory. The statistical inventory will consist of four phases: 1) inventory planning 2) division physical inventory; 3) validation, 4) reporting; (see attachment A for Time Table).

The Property Management Group will be responsible for conducting the controlled substance inventory.

The Property Management Group will be responsible for conducting the precious metals inventory.

## APPROVAL

The FY 2008 Statistical Inventory Plan will be submitted to DOE-BSO for approval by September 1, 2007.

# LBNL FY 2008 Statistical Sample Inventory Plan

## PRELIMINARY REQUIREMENTS

### Timeline

The following timeline is provided to document pre-inventory activities.

Action	Approval Date
Preliminary plan approved by DOE-BSO	September 1, 2007

### Training

Property Management will provide training material and coordinate training sessions for divisions. Training will include an inventory manual, safety briefing, inventory plan and schedule overview, barcode reader operation, data uploading (where applicable), and reports.

### Safety Review

Property Management Group will provide emphasis on safety awareness to all inventory participants. The awareness will be specifically designed to have participants conduct their inventory activities in a safe manner. Moreover, it will emphasize the importance of wearing proper equipment, as well as, personal safety.

### System Preparation

Property Management Group will maintain barcode reader upload interface and conduct tests to ensure system reliability. Property Management Group will ensure that when an inventory item is scanned and the data uploaded, the event is recorded in the property database so the asset is counted as physically inventoried.

## PHASE 1

### Communication Plan

Property Management Group will provide the Institution with the scope and timeline of all inventory activities by November 16, 2007.

### Statistical Sampling Methodology

EZ Quant Statistical Sampling program will be used to select the number of assets based on the following criteria:

1. Confidence level equal to 96%
2. Error rate percentage equal to 2%
3. Precision rate percentage equal to 1%

### Freeze Inventory Baseline

The inventory baseline will consist of all active personal property items listed in the Sunflower database as of January 2, 2008.

# LBNL FY 2008 Statistical Sample Inventory Plan

## PHASE 2

### Division Physical Inventory

LBNL Divisions will have the responsibility of accounting for all items listed within their program(s) as of January 2, 2008.

Property Management Group will have the responsibility to inventory all items listed on valid loans, listed in AMS, as of January 2, 2008.

Property Management Group will have the responsibility to inventory all controlled substances purchased as of July 31, 2008. Inventory will be unannounced in 2008.

Precious metal holders will conduct a self inventory, following established self-inventory procedures by August 31, 2008. Inventory will take place July 1-August 31, 2008.

### Valid Resolutions

#### **Property:**

Records that can be used to document that an item has been accounted for between January 21, 2008 and March 31, 2008, are as follows:

1. Bar code reader scan.
  - a. Scanning is the method of choice
2. Property Affidavit for assets off-site.
3. Automated verifications (AMS transactions that create inventory verification) during the inventory time frame
  - a. Inventory asset initial event
  - b. Excess asset initial event
  - c. Retirement
4. Documented Proof (Based upon receipt or execution after the beginning date of the Time Period, listed in the table at I. B)
  - a. Valid shipping document
  - b. Return to Vendor (RTV)
5. Records that can be used to document that an item has been accounted for between January 21, 2008 and March 31, 2008 are as follows:
  - a. Inventory Manager Approvals
  - b. Inventory Affidavit
  - c. Other transactions as deemed appropriate by the Inventory Manager
6. Assets located and resolved during the validation period will be considered positive resolutions.

**Note:** A copy of all documentation used to create an inventory resolution in Sunflower Assets **must** be submitted to the Property Management Group for recordkeeping.

# LBNL

## FY 2008 Statistical Sample Inventory Plan

### **Inaccessible Items**

If property is inaccessible due to safety or operational reasons, the Division Property Representatives or inventory designees will complete an inventory affidavit identifying the property item(s), location, and statement regarding the reason the item(s) could not be physically inventoried.

### **Reporting Status**

After the Division physical inventory begins, Property Management Group will generate weekly reports stating inventory standings to date. These reports will be forwarded to the Division's Property Representatives for dissemination to appropriate division personnel. The reports will be as follows:

1. Lab wide rollup results;
2. Division-level results, sorted by division;
3. Associate Directorate level, sorted by directorate

Property Management Group will post official communications regarding the FY 2008 Statistical Inventory on the "Today at Berkeley Lab".

### **Controlled Substance**

All controlled substances will be weighed or measured by volume, whichever is appropriate for the substance. Written documentation must identify usage.

### **Precious Metal**

Precious metals will be weighed. The custodian's estimate of weight is acceptable for metals that are inaccessible due to being incorporated into an experiment. All usage must be documented in writing.

Individual metals with a value of less than \$ 250 assigned to a custodian are considered used and not subject to inventory.

### **Database Integrity**

Division Property Representatives or inventory designees will take notes on property that requires action to meet Property Management Group compliance and follow-up with appropriate action:

Property meeting tagging criteria but is not tagged	Division Property Representatives or inventory designees will contact Property Management Group for appropriate action.
Weathered or damaged tags in need of replacement	Division Property Representatives or inventory designees will put in a retag request to Property Management Group.
Property tag numbers scanned but not set up in Sunflower	Division Property Representatives or inventory designees will contact Property Management Group to review whether a tagging request is appropriate.
Property tagged in error and not meeting tagging criteria	Division Property Representatives Group or inventory designees will contact Property Management for appropriate action.

Database integrity efforts will not affect the number of items in the inventory base.

# LBNL

## FY 2008 Statistical Sample Inventory Plan

### Document Controls

The Property Management Group will maintain records of all official communications, status reports, validation results, reconciliation documentation, off-site documentation and training records in a centralized location

Divisions will submit "Retirement" packets to Property Management Group by April 11, 2008.

Performance threshold will be:

98.0% AMS assets located to achieve minimum requirement.

99.0% AMS asset cost located to achieve minimum requirement.

## PHASE 3

### Validation

#### **Property:**

The validation will be performed subsequent to the divisions performing the inventory and will be based on a random statistical sample. Two separate random samples will be drawn to validate the inventory:

1. a random statistical sample will be drawn from the original inventory population of assets that were successfully scanned during the inventory,
2. a random statistical sample will be drawn from the original inventory population of assets that were inventoried via the Inventory Affidavit

A Berkeley Site Office representative will participate in all validations

The inventory validation process, sample size, and final report will be determined in coordination with DOE-BSO, prior to the completion of the inventory.

The Property Management Group selects a sampling of items from the inventory base to resolve and compares its resolutions to that of the divisions. Validation items are selected by random sampling the

inventory base of closed (resolved) items. A random sampling application is applied to the inventory base to select the items.

### Controlled Substance

The inventory of controlled substances covers 100 % of qualified material, is conducted by a member of the Core Property Management Group and is not validated.

### Precious Metals

The inventory of precious metals in 2008 is a self inventory conducted by the Custodian and validated by random statistical sampling by the Precious Metals Office (member of the Core Property Management Group).

**LBNL**  
**FY 2008 Statistical Sample Inventory Plan**

**PHASE 4**

**Inventory Analysis**

1. Appropriate actions will be taken as a result of this analysis. This may include:
  - a. Security, and/or line management – custodial and location issues
  - b. Process action team, and/or management to resolve issues i.e., process and/or equipment issues
  
2. Unlocated assets will be analyzed to determine trends, such as:
  - a. Custodians with multiple inventory losses
  - b. Locations with high number of losses
  - c. Similarity of nomenclature or type of assets
  - d. Reasons for loss of equipment

**Reporting**

1. The Property Management Group will be responsible for reporting inventory results to:
  - a. Senior Laboratory management
  - b. DOE-BSO
  - c. Security
  - d. Divisional Property Representatives
  - e. DEA for the Controlled Substance Inventory
  
2. Property representatives will provide inventory results to:
  - a. Division management
  
3. The Property Management Group will provide sufficient information to Property Accounting to allow the necessary write off of assets from the financial records to take place.

\_\_\_\_\_  
Maria C. Robles  
Contracting Officer

\_\_\_\_\_  
Date

# LBNL FY 2008 Statistical Sample Inventory Plan

## Attachment A

### FY 2008 Statistical Personal Property Inventory Time Table

#	Task	Start	Finish
1	FY'08 Statistical Inventory	January 21, 2008	April 30, 2008
2	Inventory Base Frozen	January 2, 2008	January 2, 2008
3	Divisions Physical Inventory	January 21, 2008	March 31, 2008
4	Divisions submit "Retire" packets to Property Management Division	April 1, 2008	April 11, 2008
5	Validation	April 14, 2008	April 18, 2008
6	Reporting	April 21, 2008	April 30, 2008
7	Controlled Substance Inventory	Unannounced	September 30, 2008
8	Precious Metals Inventory	July 1, 2008	August 31, 2008

## Attachment B

### Statistical Sample – Summary as of August 2006

	Assets	Acquisition Value
Sensitive Assets	13,312	\$40,238,422
Controlled Assets	8,336	\$594,439,031
Total Assets	21,649	\$634,677,033
Statistical Sample size based on the sampling criteria	3,550	
Computer Laptops (Asset with an official name of Computer-Laptop)	856	
Assets with an acquisition value equal to or greater than \$1,000,000	37	\$245,796,369

EZ Quant Statistical Sampling program will be used to select the number of assets based on the following criteria:

1. Confidence level equal to 96%
2. Error rate percentage equal to 2%
3. Precision rate percentage equal to 2%

The EZ Quant Statistical Sampling criteria are a deviation from the approved 5 year plan as discussed with the Contracting Officer.

Note:

The above mentioned is as of August 31, 2007. Dollar values are subject to change due to day-to-day activities.



# LBNL FY 2008 Statistical Sample Inventory Plan

## FY2008 Statistical Sample Inventory Retagging Form

Please complete all information requested from the data on the actual property item, sign, date, and submit the affidavit to Property Management Group for approval.

United States Government Property Information:

↻ DOE Property Number:	_____
↻ Manufacturer Name:	_____
↻ Asset Description:	_____
↻ Model Number:	_____
↻ Serial Number:	_____
↻ Asset Location Bldg./Rm.:	_____
↻ Steward:	_____
↻ New LBL/DOE #:	_____

Reason why the above asset needs to be retagged:

\_\_\_\_\_

\_\_\_\_\_  
 Property Representative Signature

Date: \_\_\_\_\_

United States Government Property Information:

↻ DOE Property Number:	_____
↻ Manufacturer Name:	_____
↻ Asset Description:	_____
↻ Model Number:	_____
↻ Serial Number:	_____
↻ Asset Location Bldg./Rm.:	_____
↻ Steward:	_____
↻ New LBL/DOE #:	_____

Reason why the above asset needs to be retagged:

\_\_\_\_\_

\_\_\_\_\_  
 Property Representative Signature

Date: \_\_\_\_\_

# **APPENDIX D**

## **GLOSSARY**

## Glossary

### **Administratively controlled items**

Those personal property items for which there is no requirement for formal property records to be maintained, but for which DOE offices have determined that property records will be maintained for various control purposes.

### **Automatic data processing equipment**

(See definition for information technology)

Note: This cross-reference will serve as a transitional reference until the term information technology is used more broadly within the DOE Complex.

### **Book value**

Acquisition cost less depreciation.

### **Borrower**

A DOE office, contractor, facility or other Federal, State, or local government agency or other organization that can provide a valid Federal contract number or other official basis for the loan of property.

### **Component**

One of the parts that make up a system. A component may be hardware, software, or firmware and may be subdivided into other components.

### **Contracting activity**

An organizational element that has the authority to award and administer contracting and financial assistance instruments.

### **Contracting Officer**

An employee authorized to enter into, administer, and/or terminate contracts, financial assistance awards, leases, and/or sales contracts and make related determinations and findings.

### **Demilitarization**

The act of destroying the military offensive or defensive advantages inherent in certain types of equipment or material, using the methods specified in the Defense Demilitarization Manual, DoD 4160.21-M-1.

### **DOE Contractor**

An on-site contractor, such as a management and operating (M&O) contractor, an environmental restoration and management contractor, or other major prime contractor located at a DOE site, having a contract that includes DOE O 580.1 as a contract requirement.

### **DOE Financial Assistance Rules**

The DOE regulations that establish a uniform administrative system for application, award, and administration of assistance awards, including grants and cooperative agreements.

**DOE organization**

- A DOE Federal management activity, such as an Operations Office, Support Office, Field Office, Area Office, Site Office, and Project Office.
- DOE laboratory staffed by Federal employees.
- The NNSA, except where specifically excluded.

**DOE screening period**

The period of time that reportable excess personal property is screened throughout DOE for reutilization purposes and, for selected items, through the Used Energy-Related Laboratory Equipment (ERLE) Grant Program.

**Departmental Motor Equipment Fleet Manager**

The individual responsible for developing and implementing DOE motor equipment policy and for conducting oversight of the DOE motor equipment program. The individuals designated as Property Executives are the Departmental Motor Equipment Fleet Managers for their respective organizations.

**Direct operations**

Operations conducted by DOE personnel.

**Disposal**

The process of redistributing, transferring, donating, selling, abandoning, destroying, or other disposition of Government-owned personal property.

**Domestic loan**

The temporary transfer of idled U.S. Government property or materials to a DOE office or contractor, laboratory, other government entity or other organization for uses that will benefit the U.S. Government and the borrower.

**Education-related and Federal research equipment**

Includes but is not limited to DOE-owned property in FSCG 34, 36, 41, 52, 60, 61, 66, 67, 70, and 74, and other related equipment, which is deemed appropriate for use in improving math and science curricula or activities for elementary and secondary school education, or for the conduct of technical and scientific education and research activities.

**Educationally useful Federal equipment**

Computers and related peripheral tools (e.g., printers, modems, routers, and servers), including telecommunications and research equipment, which are appropriate for use in pre-kindergarten, elementary, middle, or secondary school education. It also includes computer software, where the transfer of licenses is permitted.

**Elementary and secondary schools**

Individual public or private educational institutions encompassing kindergarten through twelfth grade, as well as public school districts.

**Eligible institution**

Any nonprofit educational institution of higher learning, such as universities, colleges, junior colleges, and technical institutes or museums located in the United States and interested in establishing or upgrading energy-oriented education programs.

**Eligible recipient**

Local elementary and secondary schools and nonprofit organizations.

**Energy-oriented education program**

One that deals partially or entirely in energy or energy-related topics.

**Equipment**

For property management purposes, any item of personal property having a unit acquisition cost of \$5,000 or more and having the potential for maintaining its integrity (i.e., not expendable due to use) as an item.

**Equipment held for future projects**

Equipment being retained, based on approved justifications, for a known future use, or for a potential use in planned projects.

**Especially designed or prepared property**

Equipment, materials, and technology designed or prepared especially for use in the nuclear fuel cycle and described in the International Atomic Energy Agency Information Circular 254 Part 1, the Nuclear Suppliers Group Trigger List.

**Experimental vehicle**

A vehicle acquired solely for testing and research purposes or otherwise designated for experimental purposes. Such vehicles are the object of testing and research as differentiated from those used as vehicular support to testing and research. Experimental vehicles are not used for passenger carrying services unless required as part of a testing/evaluation program, and are not subject to statutory price limitations or authorization limitations.

**Export controlled information**

Unclassified U.S. Government technical information under DOE cognizance that, if proposed for export by the private sector, would require a Department of Commerce or Department of State validated license or a DOE authorization, and which, if given uncontrolled release, could reasonably be expected to have adverse affect on U.S. national security or nuclear nonproliferation objectives.

**Export controlled property**

Property which is subject to licensing by the U.S. Department of Commerce, the U.S. Department of State or the U.S. Regulatory Commission, or authorization by the U. S. Department of Energy.

**Facility in standby**

A complete plant or section of a plant, which is neither in service or declared excess.

**Foreign**

Any area outside the United States, Puerto Rico, American Samoa, Guam, the Trust Territory of the Pacific Islands, and the Virgin Islands.

**Foreign loan**

Any foreign shipment of government property or materials to a non-DOE recipient, and which property or materials does not involve joint exercises or joint use between DOE and the foreign recipient for uses that will benefit the U.S. Government and the borrower. The following are not considered foreign loans:

- Property used by DOE and DOE contractors for meetings or brief assignments on foreign soil;
- Property used by DOE and DOE contractors on extended assignments on foreign soil;
- Property specifically identified in Treaties or International Agreements;
- Property sent out for repairs or maintenance; and
- Property specifically identified in joint research and development projects, collaborative agreements, joint experiments, or other joint use agreements.

#### **Foreign Service post**

The local diplomatic or consular post in the area where the excess personal property is located.

#### **Hazardous property**

Any personal property, including scrap or waste, that is ignitable, explosive, corrosive, reactive, or toxic because of its quantity, concentration, or physical, chemical, or infectious characteristics, or that is deemed a hazardous material, chemical substance or mixture, or hazardous waste under the Hazardous Material Transportation Act, the Resource Conservation and Recovery Act, or the Toxic Substances Control Act. Such property can be in solid, liquid, semi-liquid, or contained gas form and may cause or significantly contribute to an increase in mortality or illness, or pose present or potential hazards to human health or the environment when improperly used, treated, stored, transported, disposed of, or mismanaged. Among other things, it includes hazardous materials and hazardous wastes as defined in the FPMR.

#### **Head of the Contracting Activity**

The head of a Departmental element who has been delegated authority by the Director for Procurement and Assistance Management to: award and administer contracts, sales contracts, and/or financial assistance instruments; appoint contracting officers, OPMOs or PAs to represent him/her in administering all contract requirements and obligations relating to Government personal property; and exercise the overall responsibility for managing the contracting activity.

#### **Heads of field organizations**

The heads of any Departmental office located outside the Washington, D.C. metropolitan area. In addition, the Federal Energy Regulatory Commission and the Office of Headquarters Procurement Operations are considered field organizations for purposes of the DOE 580 series directives.

#### **High risk personal property**

Property that, because of its potential impact on public health and safety, the environment, national security interests, or proliferation concerns, must be controlled, and disposed of in other than the routine manner. The categories of high risk property, defined separately in this chapter.

#### **Idle property**

Property or material that is not currently being used but that is not excess.

#### **Information technology**

Any equipment, or interconnected system or subsystem of equipment, which is used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information. Information technology requires high risk controls when it meets any one or more of the following conditions:

- It was used to process classified information, unclassified controlled nuclear information, or export controlled information;
- It cannot be certified as sanitized, ensuring all data, information, and software has been removed from the equipment; and
- It is a computer, or series of computers, categorized by the Department of Commerce as a “high performance computer” or “general purpose computer” and has a composite theoretical performance capability exceeding a specified MTOPS.

#### **Initiator**

The property custodian, Loan Agreement Coordinator, or other authorized individual who originates or establishes the loan.

#### **Inventories**

Stocks of stores, construction, supplies, and parts used in support of DOE programs.

#### **Inventory by exception**

A physical inventory method used to verify and document the existence and location of those items of property whose existence and location have not been verified and documented since the last physical inventory. This method may be used for property that is subject to calibration, maintenance, movement, network operation, or some other form of activity that is documented by a controlling entity.

#### **Inventory management**

The efficient use of methods, procedures and techniques for recording, analyzing, and adjusting inventories in accordance with established policy. The following related functions are included:

- Providing adequate protection against misuse, theft, and misappropriation.
- Providing accurate analyses of quantities to determine requirements so that only minimal obsolescence losses will be encountered, while ensuring adequate inventory levels to meet program schedules.
- Providing adequate and accessible storage facilities and services based upon analyses of program requirements so that a minimum and economical amount of time is required to service the program.

#### **Lender**

The Federal agency or contractor organization responsible for property being loaned.

#### **Loan agreement coordinator**

The DOE or contractor individual who is responsible for documenting and controlling property on DOE loan agreements.

#### **Military property**

Tangible assets that have an estimated useful life of two or more years; are not intended for sale; are intended to be used or available for use in the performance or military missions (to include equipment used in training) and are valued at \$100,000 or more.

#### **Mixed facility**

A facility that is partially DOE-owned and partially contractor owned. The definition does not apply to a facility that is partially owned by an educational or other nonprofit institution under a basic research contract with DOE.

**Motor equipment**

Any item of equipment which is self-propelled or drawn by mechanical power, including motor vehicles, motorcycles and scooters, construction and maintenance equipment, materials handling equipment, and watercraft.

**Motor Equipment Fleet Manager**

The individual responsible for directing the operation of the motor equipment fleet.

**Motor vehicle**

Any equipment, self-propelled or drawn by mechanical power, designed to be operated principally on highways in the transportation of property or passengers.

**Munitions List Items**

Any item contained in the U.S. Munitions List, 22 CFR 121.

**Nuclear weapon components or nuclear weapon-like components**

Parts of whole war reserve nuclear weapons, or of joint test assemblies, trainers, or test devices, including associated testing, maintenance, and handling equipment, or simulate such parts. If the items are classified, the Atomic Energy Act of 1954, as amended, determines their disposition. If the items are unclassified, their disposition is determined by DOE technical experts on the basis of reviews approved by the Director of the Office of Nonproliferation and National Security.

**Nuclear Suppliers Group Dual-Use List**

Nuclear-related material, equipment, and related technology as described in the International Atomic Energy Agency Information Circular 254 Part 2.

**Nuclear Suppliers Group Trigger List**

Nuclear material, equipment, and related technology as described in the International Atomic Energy Agency Information Circular 254 Part 1.

**Organizational Motor Equipment Fleet Manager**

The Federal individual responsible for establishing and administering the organization's motor equipment program.

**Organizational Property Management Officer**

The individual, designated by the Head of a Contracting Activity, responsible for establishing and administering the organization's personal property management program.

**Personal property**

Property of any kind, except for:

- Real estate, interests therein (such as easements and rights-of-way), and permanent fixtures which are Government owned, chartered, rented, or leased from commercial sources by and in the custody of DOE or its contractors.
- Source, byproduct, special nuclear materials, and atomic weapons as defined in section 11 of the Atomic Energy Act of 1954 (42 U.S.C. 2014), as amended.
- Petroleum in the Strategic Petroleum Reserve and the Naval Petroleum Reserves.

**Personal property management**

The development, implementation, and administration of policies, standards, programs, practices and procedures for effective and economical acquisition, receipt, storage, issue, use, control, physical protection, care and maintenance, determination of requirements, maintenance of related operating records, and disposal of personal property (exclusive of the property accounting records).

**Precious metals**

Uncommon and highly valuable metals, including gold, silver, and the platinum group metals—platinum, palladium, rhodium, iridium, ruthenium and osmium.

**Proliferation-sensitive property**

Nuclear-related or dual-use equipment, material, or technology described in the Nuclear Suppliers Group Trigger List and Dual-Use List or equipment, material or technology used in the research, design, development, testing, or production of nuclear weapons.

**Property Administrator**

The individual designated as the authorized representative of the Contracting Officer assigned to administer the contract requirements and obligations relating to Government personal property, including, but not limited to, evaluating contractor personal property management programs and making recommendations concerning acceptability of the contractor property management systems.

**Property custodian**

The DOE Federal or contractor individual who is responsible for the protection, control, and proper use of property under his or her stewardship.

**Radioactive property**

Any item or material which is radioactive or radioactively contaminated and which emits ionizing radiation in excess of background radiation as measured by appropriate instrumentation.

**Sensitive items**

Those items, regardless of value, that require special control and accountability because of susceptibility to unusual rates of loss, theft, or misuse, or due to national security and export control considerations. Items include, but are not limited to, weapons, ammunition, explosives, classified property, laptops, computers, personal digital assistants, other information technology equipment and removable components with memory capability.

**Spare equipment**

Items held as replacement spares for equipment in current use in DOE programs.

**Special nuclear material**

Plutonium, uranium 233, uranium enriched in the isotope 233 or in the isotope 235, any other materials that the Nuclear Regulatory Commission, pursuant to the Atomic Energy Act of 1954, as amended, determines to be special nuclear material, or material artificially enriched by the foregoing, but does not include source material.

**Special purpose vehicles**

Vehicles that are used or designed for specialized functions. They are not generally used to carry passengers, freight, or other materials. Vehicles other than passenger vehicles that are used only during a defined or special contingency, such as evacuation or other similar emergency, may also be classified as special purpose vehicles. These vehicles include, but are not limited to: trailers, semi-trailers, other types of trailing equipment, trucks with permanently mounted equipment (such as aerial ladders), construction and other types of equipment set forth in Federal Supply Classification Group (FSCG) 38, material handling equipment set forth in FSCG 39, and fire fighting equipment set forth in FSCG 42. For reporting purposes within DOE, motorcycles and motor scooters will also be reported as special purpose vehicles.

**Stock record**

A device for collecting, storing, and providing historical data on recurring transactions for each line item of inventory.

**Sub-store**

A geographically removed part of the main store's operation conducted as a subordinate element of it and subject to the same management policies and inventory controls.

**Systems contracting**

A materials management purchasing technique for the purchase of general, common-use, and repetitive supply items in a particular product family. An example is office supplies, purchased from a commercial vendor, that are needed for immediate use instead of purchasing in bulk for future use, storing in warehouses, and issuing to customers by use of a requisitioning system. Systems contracting and just-in-time contracting are synonymous.

**Unclassified controlled nuclear information**

U.S. Government information pertaining to atomic energy defense activities as defined in section 148 of the Atomic Energy Act of 1954, as amended. Such information can relate to aspects of nuclear weapons design, development, and testing; physical security; production; or utilization facilities.

**United States Munitions List**

Articles, services, and related technical data designated as defense articles and defense services by the Arms Export Control Act.

**Watercraft**

Any vessel used to transport people or material on water.