



Personal Property Policy Manual

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Property Management Group

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Policy Manual

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

- Overview of Property Management Policies
- 1.0 General Policies
- 2.0 Property Management Responsibilities
- 3.0 Acquiring Property
- 4.0 Property Control
- 5.0 Property Records
- 6.0 Property Inventory and Reconciliation
- 7.0 Property Review
- 8.0 Utilization Walk-Through Program
- 9.0 Equipment Held for Future Projects
- 10.0 Disposition of Property
- 11.0 Retirement of Property
- 12.0 Property Removal
- 13.0 Property Loans
- 14.0 Collaboration
- 15.0 Technology Transfer
- 16.0 Property Belonging to Others
- 17.0 Subcontractor Property
- 18.0 Miscellaneous Property
- 19.0 Fleet Management
- **APPENDIX A: CONTROLLED SUBSTANCE SECURITY PLAN**
- **APPENDIX B: SENSITIVE ITEM LIST**
- **APPENDIX C: ANNUAL INVENTORY PLAN**
- **APPENDIX D: GLOSSARY**

Property Management System Review

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 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 taggable property to custodians, and evaluates and approves requests for removal of property from the laboratory. 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 assure Division compliance with property policies. Property Representatives are responsible for ensuring that all division property records are accurate and current.

Although some Property Representative functions may be appropriately delegated to others, the Property Representative remains 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 career employees 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 gross negligence of the custodian. "Gross negligence" in this context means intentional neglect or reckless disregard for the duty to protect government property.

2.10 Property Management Organization

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

2.11 Property Management Advisory Board

The Property Management Advisory Board (PMAB) serves at the request of the Laboratory Property Manager; providing objective, and independent advice, input and feedback on a broad range of personal property management issues and topics. The Board's agenda is also generated by specific tasking by the Property Manager as well as by self-identified initiatives. (see Advisory Board Charter attached)

3.0 Acquiring Property

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

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

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 acquired by a university 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 after June 1, 1994, not meeting controlled or sensitive criteria, remains with the campus.

3.1 Receiving and Tagging Property

3.11 Receiving Property

All property items must be received in the Receiving department or at an officially designated forward delivery location. Under unusual circumstances Property Management may authorize an exception for delivery to another location. If an exception is granted, the individual who takes delivery of the item(s) must, upon receipt of the item, create an official record and forward copies to Property Management and the Receiving Department the same day.

3.12 Tagging Property

Property tagging must be completed as part of the official receiving function for all controlled and sensitive items. Payment will not be authorized until the item has been officially received. Unusual circumstances may dictate an exception to this procedure, but it must be authorized by Property Management but only upon completion of an official receiving record.

3.13 Fabricated Assets

Upon notification from Property Accounting or the Division that an item has been built with funds established from a fabrication account, Property Management will review the equipment, barcode tag it, take two digital photographs of it and create the asset in the Asset Management System. Property Management will not create an asset if they cannot inspect and tag it.

3.14 Controlled Substances

Controlled Substances are acquired, received, utilized, secured, inventoried and disposed of in accordance with the Laboratory's Controlled Substance Security Plan. (APPENDIX A)

3.15 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.

Two types of Laboratory property are tagged with a unique number and recorded in the Property Database:

Controlled Property

Property that does not lose its identity throughout the lifecycle, has a useful life of two or more years, and an acquisition or fabrication cost of at least \$5,000, 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)

All controlled and sensitive property items are subject to inventory, assigned and tagged with a unique property identification number and recorded in the database.

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:

- Administrative controls.
- Property marking.
- Property number tagging and recordkeeping.
- Sensitive property determination.
- Physical control.

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

Property meeting the definition of sensitive is placed on the Sensitive Property List (Appendix B). The list is reviewed annually and items are either added or deleted as appropriate. The list is submitted to the Site Office for review and approval.

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 information about property that is transferred between FMS and the Asset Management System.

5.3 Receiving

Receiving is responsible for 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 controls the financial data in the Asset Management System for all capital assets and fabrications.

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

Any Property Representative may initiate a change in stewardship, but both property representatives must agree on the transfer of stewardship.

The relinquishing Property Representative must provide documentation that supports the transfer. The property custodian and location of the item must be verified before the transaction can take place. Accountability remains with the relinquishing organization until the transfer has been acknowledged by both 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 Inventory and Reconciliation

The core Property Group is responsible for developing and implementing an Annual Inventory Plan (Appendix C) that is reviewed and approved by the Site Office. Divisions will inventory and reconcile personal property (Controlled and Sensitive) assigned to them in accordance with the plan.

6.1 Property Found on Works:

Untagged controlled and sensitive property items found on the worksite (PFOW) will be reported to the core Property Group for investigation and will be tagged and entered into the Asset Management System.

6.2 Precious Metal:

The core Property Group is responsible for planning and conducting the precious metal inventory. Four unannounced spot checks will be conducted annually.

6.3 Controlled Substance:

The core Property Group is responsible for planning and conducting the controlled substance inventory.

6.4 Inventory Adjustments

Property Management reviews adjustments to the inventory and determines whether or not appropriate reconciliation efforts and remedial action have been taken. When the found Property has been identified and documented to satisfy the procedures for recording property in the Database, Property Management formalizes the adjustment and approves the inventory.

6.5 Nonconforming Inventories

A Division must report to Property Management if it is unable to satisfy even the minimum requirements, despite strenuous efforts to reconcile its inventory. If this occurs, the Division Property Representative will prepare a report explaining the causes for loss of control and outlining the remedial actions planned and implemented to safeguard against waste, loss, theft, and misuse of property. The report will be signed by the Division Director and sent to Property Management along with the list of property that cannot be located. Property Management will forward the inventory report to DOE for review.

In some cases, especially based on a statistical sampling inventory, a division with non-conforming inventory results may be required to perform a 100% inventory.

6.6 DOE Access to Inventory Records

In accordance with the terms of the contract, DOE has the right to inspect inventory records.

6.7 Reconciling the Inventory

If the inventory results in unaccounted-for items, Property Management will conduct a formal review of the process to determine whether or not all due diligence has been applied to locate any unaccounted-for property. Items that remain unaccounted for are considered to be candidates for retirement.

Each division prepares documentation for all unaccounted-for property items, submits the documentation to Property Management, and formally recommends unaccounted-for property items for retirement. Property Management reviews the Division list and if it concurs with the recommendations, initiates retirement of the unaccounted-for items.

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 has implemented a walk through program of all space based on a three year cycle.

Property Management, through the Property Representative, is responsible for ensuring that reviews are scheduled every three years. 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 to provide for waiving a scheduled walk through. Successive scheduled walk throughs cannot be waived.

Property Management conducts the Walk-Through with the participation of the Property Representative. Line Management, the Business Manager and a representative from DOE is invited to participate.

A written report is prepared and issued after each walk through. Property Management validates Walk-Through actions and, if necessary, recommends any remedial action to the division management, who is responsible for developing a plan to correct the deficiencies or discrepancies within a specified time.

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

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

It is Laboratory policy that supplies, materials and equipment no longer required for the needs of the Laboratory either be made available to Government and state agencies through the excess process or be sold to reduce the cost of Laboratory operations, as appropriate.

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.

Property that is excess to the needs of the Laboratory is made available to other DOE entities through the Energy Asset Disposal System (EADS) and to other government agencies through the General Services Administration (GSA) reutilization process.

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

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

The Information Technology Division is responsible for the policy and procedures for clearing, sanitizing, and destroying information system storage media, memory devices, and other related hardware utilized at the Laboratory.

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 Management alone is authorized to retire actual property from the database. The Offsite Warehouse is authorized to retire assets as salvaged, donated or sold "as is" in Bid-Lot-sales. Following are the justifications for retirement of property:

- Abandonment
- Excess Disposal (salvaged/sold)
- Trade In
- Return Property of Others
- Asset Creation Error
- Incorporated into Larger System
- Transfer
- Dismantled/Cannibalized
- Returned to Vendor
- Unaccounted for after Inventory
- Donation
- Stolen
- Unlocated

11.1 Trade-Ins

Trade Ins are processed through Procurement. This policy includes property under warranty where the vendor has a policy of replacement rather than repair. Upon notification from Procurement that a Trade In has been processed Property Management retires the asset.

Any adjustment to the acquisition value based on trade-in is a Property Accounting function.

11.2 Loss, Damage and Destruction of Property

Property is considered lost if its location is unknown and all efforts to locate the item have not yielded positive results. Property is considered destroyed or damaged when the item is beyond economical repair. The Property Management Division approves retirement of the item in the Asset Management System when the circumstances of the loss, destruction, or damage beyond economical are stated in sufficient detail to establish that the equipment is not likely to be located later at the Laboratory or found to be in working order.

Any residual property is processed as excess.

Property Management reports all loss, damage and destruction of property greater than \$1000.00 per asset to the Site Office on a quarterly basis.

Line Management is responsible for formally reviewing the circumstances surrounding the loss, damage or destruction and taking action as appropriate.

11.3 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 cannot retire the item unless the circumstances are documented in sufficient detail to establish that the property has been dismantled. Upon acceptance of the evidence, Property Management authorizes retirement of the property number. Any residual property is processed as scrap.

11.4 Stolen Property

The Laboratory security organization investigates missing property reports to establish whether in fact a theft has taken place. When the Laboratory security organization establishes that property has been stolen, it is reported to Property Management on an Incident Report. Property Management approves the retirement of stolen property based on the Incident Report.

Property Management reports all stolen property to the Site Office on a quarterly basis.

11.5 Abandonment of Property

Property may be abandoned if it is off-site, 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 request to abandoned property is submitted by the Property Representative, after approval by the Business Manager. The Property Manager is authorized to approve domestic abandonments. Requests to abandon property in a foreign country are reviewed and submitted to DOE for approval.

11.6 Property Unaccounted-for as a Result of Inventory

Property Management ensures that appropriate reconciliation efforts and remedial action 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 Transferred Outside the Laboratory

Property that is no longer needed can be transferred outside the Laboratory. Property may be transferred to other DOE agencies, to other federal agencies, or to other public (nonfederal) agencies.

Property Management must review and the Property Manager approves all transfer agreements. When the transfer documentation is complete, Property Management retires the asset.

11.8 Donations of Property

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.

Prior to gift or donation, the property must be made available for reutilization to the Laboratory and DOE.

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

11.8.1 Donations to Institutions of Higher Education

Laboratory property on loan to qualifying institutions 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

Property is sold after completing the excess screening process. Disposition of surplus items can be accomplished by public, competitive sales using the sealed bid method or bid-for-assets. Property numbered assets that are sold are retired from the Asset Management System by the Warehouse Group, based on the shipping document. Government markings are 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. The documentation identifies the individual removing the property, the property being removed and justification. 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 sign off on all shipping documents, in advance of shipment, when tagged property is involved. If the property being shipped is associated with a purchase order, authorization by the procurement organization is required.
3. No shipping document shall be processed or shipment executed when tagged property is being shipped to a domestic location without a copy of the High Risk Review being attached or to a foreign location without a copy of the High Risk Review and Export Control Review being attached.
4. The following are exceptions to this policy. A Property Pass is not required for removal of the following items from a Laboratory worksite:

- Stationery items, binders or work papers
- Laboratory briefcases.
- Radio pagers/cell phones/personal data assistants
- Computer diskettes.

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. Loans are for the purpose of ensuring continued research, development and training activities. Property may be loaned to other DOE organizations or contractors, federal agencies or an organization that has a valid Federal contract, grant, treaty, international or collateral agreement substantiating that the property will be used only for official purposes. Property Management is responsible for ensuring that loans are conducted consistent with property regulations.

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.

13.1 Prohibitions:

- The Laboratory will not procure or retain property for the purpose of making a loan.
- Property will not be loaned to consultants for work under a consulting agreement with the Laboratory. Property will not be loaned to an individual.

13.2 Loan Conditions/Terms:

- Loans require approval of the Organizational Property Management Officer (OPMO).
- All loans must be documented by a Personal Property Loan Agreement, DOE F 4420.2
- Domestic loans may be approved for a period of three years; Foreign loans for a period of one year with provisions for one year extensions, with a maximum loan period of five years.
- Foreign loans require the approval of the DOE Property Executive.

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 and 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 or donated to the host organization at the earliest opportunity.

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.

All property belonging to others that meets the criteria for *controlled* or *sensitive* property, with the exception of borrowed or leased property, must be tagged, recorded in the Asset Management System and tracked, until returned to the owner.

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 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.

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 Laboratory.

16.2 Property Borrowed for Use

Property may be borrowed from the Department of Energy or other Federal Agencies when it is practical and economical. Borrows are normally for less than one year.

16.2.1 Property Borrowed for Testing

Property that is borrowed from a commercial vendor for testing in anticipation of acquiring the property is the sole responsibility of the division executing the borrow. The division is responsible for documenting the borrow in writing, adequately addressing the Laboratory's liability and managing and controlling the asset until it is either returned to the vendor or formally acquired. If it is acquired and requires tagging it is the responsibility of the custodian to notify Property Management.

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 agreement.

Subcontractors are accountable for all government property in their possession, and they must manage, control, and protect that property in a manner consistent with DOE Contract 31 and Laboratory Property Management Policies and Procedures. Subcontractor property falls into one of two categories: Government Furnished Property (GFP) or Subcontractor Acquired Property (SAP).

The Property Management Group is responsible for ensuring that property at subcontractor sites is controlled, administered, and disposed of according to Property Management Policies and Procedures.

Conditions:

- The subcontractor must have an approved property management system
- Subcontractors in possession of property valued at \$500,000 or more are required to submit written property management procedures and are subject to audit and/or inventory by Laboratory Property Management.
- The Property Management Group is responsible for ensuring that all property is recovered, accounted for, and/or covered by some formal agreement at the completion of the subcontract. Procurement cannot close an agreement/subcontract with Government Furnished Property (GFP) or Subcontractor Acquired Property (SAP) unless they have cleared all property issues.

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 are made available to Laboratory researchers and engineers and may be held only by Laboratory career employees. As of May 1, 2004, holdings valued at less than an acquisition cost of \$250 will not be tracked and will be considered consumed at the point of receipt. Previous holding below the \$250 threshold will also be considered to have been consumed.

Annual inventories are conducted in accordance with the Laboratory's Inventory Plan.

18.2 High Risk Property

The Laboratory shall take all reasonable steps to safeguard and protect Government property meeting the definition of "high risk". All property shall be reviewed against "high risk" criteria before being transported off site.

18.2 Gifts

The Laboratory cannot accept gifts. Gifts may be given to the University of California and used at the Laboratory. The Sponsored Projects Office will process the gift in accordance with University policy and submit documentation to Property Management. Property gifted to the University to be used at the Laboratory is barcode tagged, entered into the Asset Management System and is managed in accordance with Property Management policy. Title is reflected in the Asset Management System as resting with the University.

18.3 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

18.4 Materials and Equipment in Stores

The Laboratory does not have a Stores Operation. A Shop Stock operation exists in the Facilities Management Division and its use is restricted to that Division. Facilities Management is responsible for any and all Stores policies and procedures.

18.5 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.
- Stolen Property Report.
 - Loss, Damage, Destruction (quarterly)
 - On Line Sales (quarterly)
 - Balanced Score Card (quarterly)

On Occurrence

- Physical inventories of controlled property.
- Physical inventories of sensitive property.
- Walk-Through reports.

19.0 Fleet Management

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 13149)

19.1 Use of Laboratory-Furnished Vehicles

Laboratory-furnished vehicles must be used solely for official use. The driver of any Laboratory-furnished vehicle must produce a valid California driver's license. Any passengers must also be on official business. It is Laboratory policy not to require employees to use privately owned vehicles 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
SECURITY PLAN**



Controlled Substance Security Plan

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

Guidelines for Acquiring & Accounting for Controlled Substances for Scientific Use



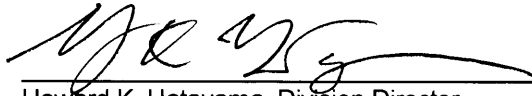
Lawrence Berkeley National Laboratory
University of California
Berkeley, California

Effective March 7, 2007
Revision 2 - August 2008

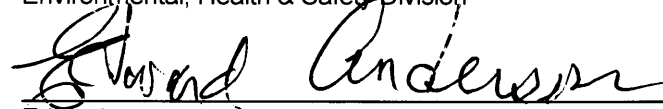
Controlled Substance Protocol for the Ernest Orlando Lawrence Berkeley National Laboratory

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)



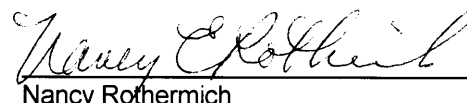
William Llewellyn
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John Morgan
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3/5/2007
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Nancy Rothermich
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3/5/07
(Date)

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.



Table of Contents

Table of Contents	3
Foreword.....	5
Revisions	6
1 Executive Summary	8
Goals	8
Objective	8
Summary.....	8
2 Controlled Substances Used at LBNL.....	9
Authorities	9
3 Roles and Responsibilities	10
Principal Investigator (PI)/Researcher.....	10
Procurement	12
Receiving	12
Security	13
EH&S Waste Management	13
Property Management	14
4 Acquisition Guidelines	15
Initiation of Process	15
Procurement	16
Receiving	17
Security	18
Transportation.....	18
5 Custodianship Guidelines.....	19
Principal Investigator (PI) / Researcher.....	19



Property Management	20
EH&S Waste Management	20
6 Disposal Guidelines	21
Principal Investigator (PI)/Researcher.....	21
EH&S Waste Management	21
Property Management	21
Procurement/CSLO.....	22
Shipping	22
7 Controlled Substance Advisory Committee.....	23
Program Overview.....	23
Appendix A: Schedules of Controlled Substances.....	24
Appendix B: Controlled Substance Advisory Committee.....	38
Points of Contact	38
Appendix C: Designated Alternate Signer (Sample Memo)	39
Appendix D: Chain of Custody Form	40
Appendix E: Glossary.....	42



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	Roles & Responsibilities	
	<ul style="list-style-type: none">Principal Investigator (PI)	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">Procurement	13
	Procurement receives "Designated Alternative Signer" memo from PI	
	<ul style="list-style-type: none">Security	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	Acquisition Guidelines	
	<ul style="list-style-type: none">Initiation of Process	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">• Procurement	17
	Procurement receives PI's "Designated Alternative Signer" memo and sends copy to Receiving	
	<ul style="list-style-type: none">• Receiving	
	After delivery of substance, Receiving provides PI with a copy of the Controlled Substance Protocol	18
	<ul style="list-style-type: none">• Security	
	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
Appendix D	"Designated Alternative Signer" Sample Memo	38
Appendix E	Chain of Custody Flow Chart for Transportation of Substance to UC Berkeley	39
Appendix F	Chain of Custody Form	41
	Original to Controlled Substance Liaison Officer Copies to Receiving, Security, Property Management	



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.



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 notified¹
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.**

¹ **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)



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)



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.



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 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



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



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 Management² 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.

² **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.



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



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



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:

Chair	Division Director, Environmental, Health & Safety (EH&S) or designee
Committee Members	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
Adjunct Members	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.

I 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 except 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>LBL Phone</u>
PRIMARY CONTACT	
Howard K. Hatayama or Designee Division Director Environmental, Health & Safety Division (EH&S)	486-4261
ALTERNATE PRIMARY CONTACT	
Dan Lunsford (Primary Contact), Security Manager TBD (Back-up Contact), Program Manager EH&S- Security & Emergency Operations (SEO)	486-6016
SECONDARY CONTACTS	
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



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 2009 Statistical Sample Inventory Plan

SCOPE

Lawrence Berkeley National Laboratory (LBNL) will conduct annual inventories, beginning on February 2, 2009 and concluding on April 30, 2009, to comply with Department of Energy Order 580.1. The inventories will include the following: 1) personal property; 2) controlled substances and 3) precious metals.

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

The FY 2009 Statistical Personal Property Inventory will consist of:

1. All assets with an official name of "Computer-Laptop"
2. All asset with a acquisition cost equal to or greater than \$1,000,000
3. Random sample from the Sensitive category
4. Random sample from the Controlled category
5. Precious Metals
6. Controlled Substances

INVENTORY OWNERS

The Property Management Group will be responsible for the planning and oversight of FY 2009 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).

Procurement's Property Management Group will be responsible for conducting the controlled substances inventory.

Procurement's Property Management Group will be responsible for conducting the precious metals inventory.

LBNL Divisions will be responsible for conducting their individual inventory of formal "Stores"

APPROVAL

The FY 2009 Statistical Inventory Plan will be submitted to DOE-BSO for approval by September 8, 2009.

PRELIMINARY REQUIREMENTS

Timeline

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

Action	Approval Date
Preliminary plan approved by DOE-BSO	Date Approved

Training

LBNL

FY 2009 Statistical Sample Inventory Plan

Property Management will conduct training sessions and provide training material for divisions. Training will include a 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 FY 2009 Statistical Sample Inventory Plan by November 17, 2008.

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 14, 2009.

PHASE 2

Division Physical Inventory

LBNL Divisions will have the responsibility of accounting for all items listed within their program(s) as of February 2, 2009.

Property Management Group will have the responsibility to inventory all items listed on valid loans, listed in AMS, as of February 2, 2009.

Property Management Group will have the responsibility to inventory all controlled substances as of February 2, 2009.

Property Management will have the responsibility to inventory all precious metals identified as of February 2, 2009.

LBNL Divisions will have the responsibility to inventory their formal Stores as of February 2, 2009.

Valid Resolutions

Records that can be used to document that an item has been accounted for between

LBNL

FY 2009 Statistical Sample Inventory Plan

January 21, 2009 and March 31, 2009, 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, 2009 and March 31, 2009 are as follows:

- a. Inventory Manager Approvals
- b. Inventory Affidavit
- c. Other transactions as deemed appropriate by the Inventory Manager

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.

Inaccessible Items

If property is inaccessible due to safety or operational reasons, the Division Property Representative or inventory designee 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 physical inventory begins, Property Management Group will generate weekly reports. These reports will be forwarded to the Division's Business Managers and 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
4. Property Management website

Property Management Group will post official communications regarding the FY 2009 Statistical Inventory on the "Today at Berkeley Lab".

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:

LBNL FY 2009 Statistical Sample Inventory Plan

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.
Past Service Life (PSL) items meeting the re-activation criteria	Division Property Representatives or inventory designees will submit a re-activation request form to Property Management Group to have the PSL item re-activated.

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

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 30, 2009.

Performance threshold will be:

98.5% AMS assets located to achieve LBL's goals.

99.5% AMS asset cost located to achieve LBL's goals.

PHASE 3

Validation

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 statistical sample will be drawn from the original inventory population of assets that were successfully scanned during the inventory
2. a 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 be invited to participate in all validations

The inventory validation process, sample size, and final report will be determined in coordination with the Site Office Contracting Officer.

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

LBNL

FY 2009 Statistical Sample Inventory Plan

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

PHASE 4

Inventory Analysis

Inventory data will be analyzed for a variety of themes or trends during the course of the inventory as well as at the conclusion of the inventory.

1. Appropriate actions will be taken as a result of the 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. Property Management Group will be responsible for reporting inventory results to:
 - a. Senior Laboratory management
 - b. DOE-BSO
 - c. Security
 - d. Division Business Managers
 - e. Property Representatives

Attachment A

FY 2009 Statistical Personal Property Inventory Time Table

#	Task	Start	Finish
1	FY'09 Statistical Inventory	February 2, 2009	May 31, 2009
2	Inventory Base Frozen	January 7, 2009	January 7, 2009
3	Divisions Physical Inventory	February 2, 2009	March 31, 2009
4	Divisions submit "Retire" packets to Property Management Division	April 1, 2009	April 30, 2009
5	Validation	April 1, 2009	April 30, 2009
6	Reporting	May 31, 2009	May 31, 2009

Attachment B

Statistical Sample – Summary as of August 2008

	Assets	Acquisition Value
Sensitive Assets	15,626	\$40,238,422
Controlled Assets	8,708	\$594,439,031
Total Assets	24,334	\$634,677,453
Statistical Sample size based on the sampling criteria		

LBNL
FY 2009 Statistical Sample Inventory Plan

Computer Laptops (Asset with an official name of Computer-Laptop)	2,804	6,347,024
Assets with an acquisition value equal to or greater than \$1,000,000	37	\$245,738,433
Sensitive	60	????
Controlled	60	????

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%

Note: Table B data is as of August 2008. Dollar values are subject to change due to day-to-day activities.

Maria C. Robles
Contracting Officer DOE

Date

LBNL
FY 2009 Statistical Sample Inventory Plan

Inventory Affidavit

FY2009 Statistical Sample Inventory Verification

The purpose of this Inventory Affidavit is to affirm that the signer of this document has physically verified the applicable property item(s) and the following data points: DOE property number, manufacturer name, model number, and serial number. By signing this affidavit, the property custodian of record or Property Management personnel has attested to the accuracy of the information contained.

The Property Management Group will utilize this signed affidavit as confirmation of a valid inventory resolution of the applicable property item(s).

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:

- Ä DOE Property Number: _____
- Ä Manufacturer Name: _____
- Ä Asset Description: _____
- Ä Model Number: _____
- Ä Serial Number: _____
- Ä On-site Asset Location Bldg./Rm.: _____
- Ä Off-Site Location
(City/State/Country) _____
- Ä Steward: _____

Reason why the above asset was not barcode scanned:

"My signature affirms and attests that I have physically verified the information above from the actual property item."

 Custodian of Record Signature Employee # Date: _____

 Property Representative Signature Date: _____

 Business Manager Signature Date: _____

Approval:

 Property Management Division Signature Date: _____

*** All affidavits will be reviewed by the Berkeley Site Office during validation.**

APPENDIX D

GLOSSARY

Glossary

Administratively controlled items

Those personal property items for which there is no Departmental 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.

Approving authority

The OPMO or other designated individual authorized to approve a loan.

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, or other government entity 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.

Facilities under DOE field organization cognizance

National laboratories, production plants, and project sites managed and operated by DOE contractors or subcontractors.

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.

Procurement Executive

An individual designated by the Secretary, pursuant to section 16(3) of the Office of Federal Procurement Policy Act, to manage and direct the acquisition system of the executive agency, including the implementation of unique acquisition policies, regulations, and standards of the executive agency. The Under Secretary of Energy, the Administrator of NNSA, and the Director of Procurement and Assistance Management are designated Procurement Executives.

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.

Property Executive

An individual designated by a Procurement Executive as being responsible for the development, promotion, monitoring, administering, coordination and evaluation of the Department-wide personal property management program. The Director, Office of Resource Management and the Director of Procurement and Assistance Management, NNSA, are designated Property Executives.

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.