

**SAFEGUARDS AND SECURITY AWARENESS QUALITY PANEL**  
**Oak Ridge, Tennessee**  
**April 19, 2007**

**Introduction**

The Safeguards and Security Awareness Quality Panel (SSAQP) met on April 19, 2007 in Oak Ridge, Tennessee. Loren Evenson, HS-71, Chair, called the meeting to order. The SSAQP meeting followed a two-day workshop of the Security Awareness Special Interest Group (SASIG). SASIG Steering Committee members who are DOE/NNSA or contractor employees are voting members of the SSAQP. The Chair described the SSAQP's mission and relationship to the Safeguards and Security (S&S) Program and the SASIG, as follows:

- The S&S Awareness Program supports several Quality Panels; however, the only S&S discipline that currently has both a Quality Panel and a Special Interest Group is the S&S Awareness Program.
- The main difference is that a Special Interest Group promotes sharing of resources among members and provides opportunities, such as a workshop, to hear about new S&S policy and program initiatives.
- A Quality Panel serves as a forum for input from the field on DOE S&S Awareness policy development and provides a means by which representatives from the field and other programs can discuss and make recommendations on new policy.

**Meeting Agenda**

Review of SSAQP Charter  
Issues Relevant to the Safeguards and Security Awareness Program  
Taskings for the SASIG  
Location for 2008 SSAQP  
Membership Changes  
Adjournment

**List of Attendees**

SSAQP Panel Members

Loren Evenson, HS-71	301-903-4803	loren.evenson@hq.doe.gov
Valerie Anderson, ORISE	865-576-1020	valerie.anderson@orise.orau.gov
Kristine Inskip, INL	208-526-0715	kristine.inskeep@inl.gov
Joyce Jenks, DOE Idaho	208-526-9521	jenksjm@id.doe.gov
Kent Oelrich, LLNL	925-423-3300	oelrich1@llnl.gov

### At-large Participants

Nancy Cross, Y-12	865-576-6926	N2C@y12.doe.gov
Jerry Eisele, ORISE	865-576-2208	jerry.eisele@orise.orau.gov
Sandy Womble, ORISE	865-576-2208	sandy.womble@orise.orau.gov
Carolyn Alvarez, ORISE	865-576-3085	carolyn.alvarez@orise.orau.gov
Charles Montoya, SNL/NM	505-844-2697	cjmonto@sandia.gov
Renee Perry, LSO	925-423-4717	renee.perry@oak.doe.gov
Danny Nunn, ORNL/ETTP	865-276-1455	nunnld@wsi-or.net
Sharon Jakubowski, ORISE	865-241-1331	sharon.jakubowski@orise.orau.gov

## **Discussion**

### ***Review of SSAQP Charter***

Panel members reviewed the current Charter and after discussion, accepted the Charter with minor changes that reflect the new Headquarters organizational structure.

### ***Issues Relevant to the S&S Awareness Program***

#### Issue 1: Directives

- The major emphasis of a Quality Panel is on improving the program's directive by revisions and new policy development.
- This normal course of business is moot at this time, because most such actions are on indefinite hold. All S&S directives are undergoing a zero-based review with the objective of fundamentally revising them to focus on core requirements.
- We lost a few Awareness requirements when the S&S directives were streamlined in 2005; it is likely that we will lose more in the next edition. One way to look at it is that the 2005 effort streamlined the number of directives; the next effort will streamline the number of requirements.
- We can still consider the requirements in DOE O 470.4 and DOE M 470.4-1, Section K, Safeguards and Security Awareness Program. The panel discussed the following possible revisions:
  - DOE is adding a requirement for certifying adjudicators for Personnel Security Specialist. In light of that action, it may be possible and prudent to put back the specific requirement that a Security Awareness Coordinator be formally trained in job duties.
    - Follow-up action for SASIG: Determine whether Coordinators are getting authorization from their management to attend training, or are they being denied this opportunity due to the deletion of the training requirement in 2005. Courses are offered at the NTC/CTA.
  - Put back the "methods" paragraph of the supplementary awareness activities requirement that was deleted in 2005. Without this paragraph detailing possible activities to promote awareness, site management may

authorize only minimal activities to meet the requirement. We strongly feel that a variety of security awareness reminders throughout the year are necessary to focus workers on safeguards and security and to reduce security incidents.

#### Issue 2: Stolen, Lost and Missing Badges

- The issue of stolen, lost and missing badges is taking on much greater significance with the advent of HSPD-12 credentials, which will be issued by all Federal agencies and may allow bearers to gain access to other agencies' facilities. This prospect means that rather than being primarily the agency's problem, every stolen, lost or missing badge of any agency may become a problem for all agencies.
- We partially addressed this issue last year when examining what actions Security Awareness could play in resolving the problems associated with out-processing cleared personnel.
- Badges are, of course, issued to both cleared and uncleared personnel, and are the primary responsibility of Physical Security (Access Control). However, as with many S&S issues, it takes two or more programs working together to provide a satisfactory resolution.
- The most obvious role for Security Awareness is to provide awareness on the importance of (1) protecting the badge, (2) reporting a stolen, lost or missing badge, and (3) returning the badge when terminating. Of course, Security Awareness can also provide immediate instruction on returning the badge when conducting a Termination Briefing – all persons who are terminating their access authorizations must return their badges because they are also terminating employment and no longer need it, or because they must be issued a new badge that reflects their new access authorization status.
- But a major part of the Security Awareness responsibility is to identify S&S problems at the particular facility and attempt to determine what role Awareness can play in correcting the situation.
- One way to do this is to review security reports. A Security Incident Report must be filed on stolen badges, but not on lost or missing badges. Reports of lost or missing badges may be made to the badging office when seeking a replacement badge.
- A recent cursory review at Headquarters of all DOE Incident Reports on stolen badges for the last 5 years was conducted. The finding was startling, because way over half of the reports were from just two facilities and many facilities had no reports. No conclusion was drawn, because no analysis was conducted to determine, for example, if these two facilities really had high theft rates, or whether something else was at play; e.g., that there was a fine imposed for each missing badge, but not for a stolen badge, or that a new badge was immediately issued upon receipt of a stolen badge report, but not if the badge was reported missing. Analysis of the situation may lead one to conclude that the facility does not have a stolen badge problem, but a problem with a policy or a contract

- provision that is compelling some to falsely report in order to evade the consequences of the policy or the contract.
- Assuming that analysis has shown that there is a stolen, lost, or missing badge problem that cannot be blamed on a policy or contract provision, Awareness personnel at affected facilities should determine what they can do to help solve the problem. The answer may require collaboration with Operations Security, Access Control, or other personnel to define roles and responsibilities. If stolen, lost or missing badges are determined to pose a significant security risk, means to minimize the risk should be sought.
  - It would be helpful if any facility that has found a solution or partial solution to these badge problems would share it with emphasis on the Awareness portion.

### ***Recommendations for Safeguards and Security Awareness Policy Development***

The panel recommends that some S&S Awareness Program requirements that were removed from the 2002 Manual be addressed by a revision to DOE M 470.4-1, Section K, Safeguards and Security Awareness Program: Specifically,

- that a Security Awareness Coordinator be trained in job duties, and
- that supplementary awareness activities be detailed.

In addition, the panel recommends determining if any requirements for badge protection (e.g., making employees aware of protecting badges, reporting stolen, lost and missing badges, and returning badges when terminating) should be added to the Awareness directive.

### ***Taskings for the SASIG***

#### Task 1:

Revise the Safeguards and Security Awareness Handbook, Version 3, June 2004, to address the requirements of DOE O 470.4 and DOE M 470.4-1.

#### Task 2:

Complete the Refresher Briefing for Off-Site Personnel. This briefing, which will be posted on the SASIG Website, is for cleared off-site personnel who may rarely, if at all, go on site. The refresher briefing developed by the SASIG Special Task Group has not been finalized. The final draft is provided for review by SASIG Steering Committee members. Comments can be discussed during the monthly conference calls with a comment deadline of June 22, followed by publication within 30 days.

#### Task 3:

Submit S&S Awareness products for posting on the Website. Products, such as briefings and posters, will be reviewed by the DOE Advisor for consistency with national and DOE policy before being posted under S&S Awareness Program Resources.

## **Location for 2008 SSAQP**

The panel discussed locations for next year's Quality Panel meeting. Two panel members from Idaho advised that they were eager to host and discussed the possible arrangements. No other offers to host were presented. The panel deferred the vote to the SASIG Steering Committee (SC) to be taken at the SC meeting directly following the SSAQP. To save on costs, the SSAQP meeting and the 2008 SASIG workshop and SC meeting will be scheduled the same week.

## **Membership Changes**

We will defer membership to the SC meeting. All SC Steering Committee members who are DOE/NNSA or contractor employees are also members of the SSAQP.

## **Adjournment**

## **Minutes Approval**

These minutes of the SSAQP have been reviewed and are approved.

Loren Evenson, HS-71

Chair

Safeguards and Security Awareness

Quality Panel Name

April 27, 2007

Date