

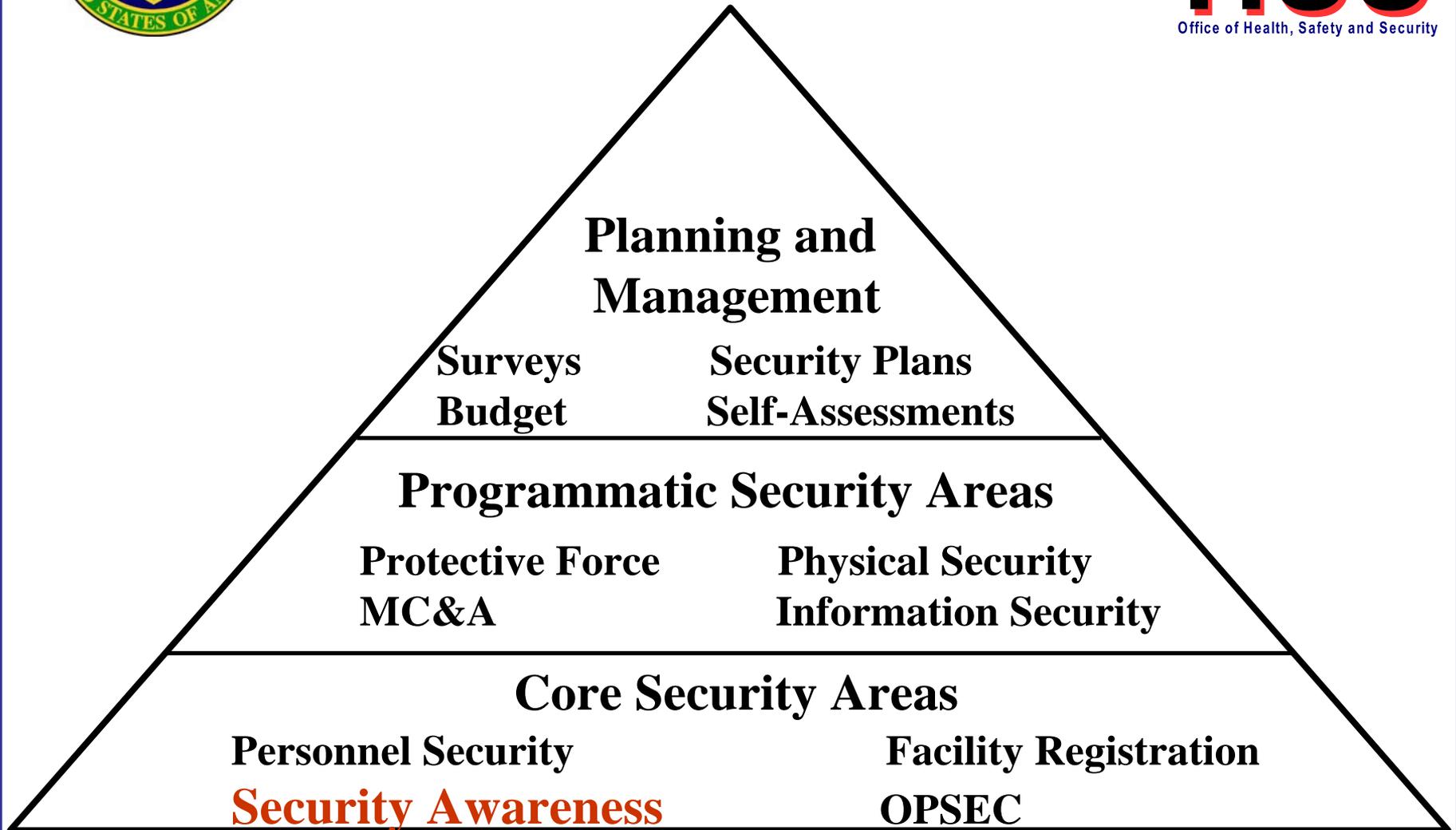


Security Policy

Richard L. Donovan
Deputy Director, Office of Security Policy



Security Policy Builds on a Solid Base





Fundamental Assumption



Base programs, including security awareness, are effectively implemented.

- **Security policy depends on this in many ways. Examples include:**
 - **Number, characteristics, and actions of insiders**
 - **Required characteristics of storage containers**
 - **Access requirements for security areas**
 - **Document markings**



Fundamental Assumption



**So, let's focus for a moment on
Security Awareness.**



The Challenge of Security Awareness



Comments from Laboratory Management

(extracted from the Redmond Report)

- **There is an acute need for realistic awareness training so people will realize the problem did not go away with the Cold War and they are still targets.**
- **Concrete examples, real incidents, and their consequences are required to get people's attention. Scientists must be captured intellectually.**
- **One lecture given by an experienced former FBI agent, tailored to the laboratory audience, was a huge success.**
- **There are laboratory divisions standing in line for tailored presentations.**



The Challenge of Security Awareness



Extracts from the 2002 Hamre Report

- **The deteriorated relationships between scientists and engineers and the security and counterintelligence community must be rebuilt.**
- **Security must be integral to the overall operations of the laboratories.**
- **Communication about these [security] policies and relevant education and training programs must be improved.**



The Challenge of Security Awareness



Recommendation from the 2005 Mies Report

**Upgrade the quality, relevance, and ownership of
security training programs.**



Security Policy



- **We need to keep you informed on topics such as:**
 - The need for specific policies
 - How particular policies fit into the overall security program
 - Points of contact for specific questions
- **We need to provide a “user friendly” way to get specific information.**
 - HS-70 web site: <http://www.hss.doe.gov/SecPolicy/>
 - Frequently Asked Questions
 - Links



HS-70 Web Site



DOE | Office of Health, Safety and Security | Security Policy - Windows Internet Explorer provided by DOE COE

File Edit View Favorites Tools Help

Back Forward Stop Home Search Favorites Refresh Print Mail Stop

Address <http://www.hss.doe.gov/SecPolicy/> Go Links

ABOUT DOE | ORGANIZATION | NEWS | CONTACT US SEARCH GOV

U.S. DEPARTMENT OF ENERGY

SCIENCE & TECHNOLOGY ENERGY SOURCES ENERGY EFFICIENCY THE ENVIRONMENT PRICES & TRENDS NATIONAL SECURITY SAFETY & HEALTH

OFFICE OF HEALTH, SAFETY AND SECURITY SECURITY POLICY

Text size: [Smaller](#) - [Normal](#) - [Larger](#) - [Largest](#)

Security Policy

- Home
- Sub Offices
- Mission & Functions
- Regulations & Orders
- Reports
- Guidance Documents
- News
- Protective Force FAQ
- Related Links

Office of Health, Safety and Security

National Threat Advisory:
ELEVATED
Significant Risk Of Terrorist Attacks

The threat level in the airline sector is HIGH or Orange [Read more](#)

HSS LATEST NEWS

April 2007 Standards Actions [More News...](#)

Welcome to the Office of Security Policy

Mission and Functions

The Office of Security Policy develops and promulgates safeguards and security policy governing the protection of National Security and other critical assets entrusted to the Department and manages DOE-wide activities for foreign national visits and assignments and determinations of

HSS Document Notification Service

Register

HSS Quick Reference

- Practical Approaches to Facility and Activity Walkdowns (March 2007)
- Homeland Security Presidential Directive 12 (HSPD-12)
- Departmental Representative to the DNFSB
- DOE Pandemic Influenza Information
- 10 CFR 851 Rulemaking
- Official Use Only Program
- Commercial & Industry Standards
- DOE Directives, Regulations, and Standards
- HSS Reporting Databases
- HSS Reports
- HSS Regulations and Orders

http://www.energy.gov/ Internet

Start | Inboxes - Microso... | DOE | Office o... | Oak Ridge SAS... | Oak Ridge S&S... | 11:42 AM



HS-70 Web Site



DOE | Office of Health, Safety and Security | Security Policy - Windows Internet Explorer provided by DOE COE

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites

Address <http://www.hss.doe.gov/SecPolicy/regs.html> Go Links

ABOUT DOE | ORGANIZATION | NEWS | CONTACT US SEARCH GO

 **U.S. DEPARTMENT OF ENERGY**

SCIENCE & TECHNOLOGY ENERGY SOURCES ENERGY EFFICIENCY THE ENVIRONMENT PRICES & TRENDS NATIONAL SECURITY SAFETY & HEALTH

OFFICE OF HEALTH, SAFETY AND SECURITY SECURITY POLICY

Text size: [Smaller](#) - [Normal](#) - [Larger](#) - [Largest](#) You are Here: DOE > HSS > SecPolicy

Security Policy

- Home
- Sub Offices
- Mission & Functions
- Regulations & Orders
- Reports
- Guidance Documents
- News
- Protective Force FAQ
- Related Links


Office of Health, Safety and Security

Office of Security Policy Regulations and Orders

U.S. CODE of FEDERAL REGULATIONS:

- [Code of Federal Regulations](#)
- Department of Energy
Part 710--Criteria and Procedures for Determining Eligibility for Access to Classified Matter or Special Nuclear Material
- Part 712, Human Reliability Program
- Department of Energy
Part 824--Procedural Rules for the Assessment of Civil Penalties for Classified Information Security Violations
- Department of Energy
Part 860--Trespassing on Department of Energy Property
- Department of Energy (General Provisions)
Part 1016--Safeguarding of Restricted Data
- Department of Energy (General Provisions)
Part 1044--Security Requirements for Protected Disclosures Under Section 3164 of the National Defense Authorization Act for fiscal year 2000

Start | Internet | 11:44 AM



Today's Presentation

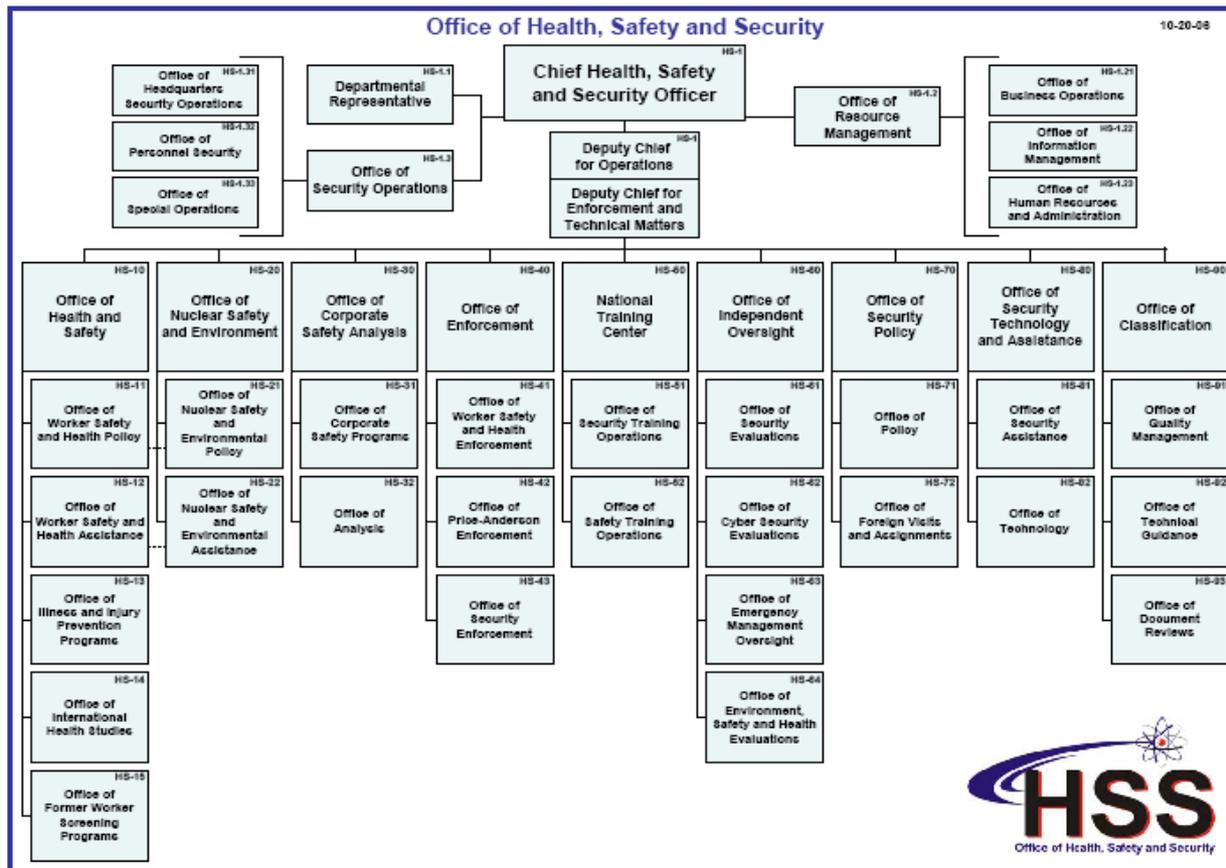


Pursuing my goal of providing potentially useful information, today's presentation will provide an update on some of the recent initiatives in security policy.

- HSS Organization**
- S&S Guide for DOE O 226.1A**
- S&S Guide for DOE O 413.3A**
- DOE M 470.4-4, CREM Changes**
- Zero-Based Policy Review**



HSS Organization





S&S Guide for DOE Order 226.1A



- **DOE Order 226.1 has been modified to complete DOE commitments to the DNFSB**
- **Among the changes is an implementation date for S&S, cyber security, and emergency management (90 days after issuance)**
- **The draft S&S guide will identify the current S&S program elements that, if effectively implemented, will largely satisfy the requirements of 226.1A (surveys, self-assessments, etc.)**



S&S Guide for DOE Order 413.3A



- **Order on Program and Project Management for the Acquisition of Capital Assets**
- **Revised order includes requirements for increased S&S involvement in projects and acquisition**
- **Implementation of ISSM policy**
- **Guide will describe an approach to these requirements that is commensurate with security risks**



DOE M 470.4-4

Information Security



- **Changes to reduce resource burdens while maintaining protection and accountability**
- **Changes include:**
 - **Modifying the number of allowable custodians/alternate custodians based upon site specific needs and procedures**
 - **Providing for appropriate temporary storage of ACREM**
 - **Modifying required inventory frequency**
- **Revised Manual is awaiting final signature**



Zero-Based Policy Review



Senior Level Review Group



- **A representative group of senior Headquarters and Field personnel.**
 - **Included representatives of Energy, Science, and NNSA**
 - **Included Federal and Contractor Managers**
 - **Included Headquarters Policy Managers and Staff**
 - **Oak Ridge personnel involved: Butch Clements (Y-12) and Paul Gubanc (ORNL)**
- **Recommendations formed the basis for the current policy review**



Senior Level Review Group Recommendations



- **Zero-based policy review**
- **Performance based requirements with performance metrics**
- **Evaluate implementation impacts before RevCom**
- **Enhanced communication with field throughout process**



Zero-Based Policy Review



- **Approach**
 - **Current requirements are a good place to start**
 - **Requirements Database**
- **Working Groups**
 - **HQs and Field Composition**
 - **Validate Requirements**
 - **Validate Source of Requirements**
 - **Document Decisions**
- **Designated writer and thorough technical edit**



- **Red Teams**
 - **Evaluate Requirements Implementation**
 - **Operational impacts**
 - **Cost impacts**
- **Reconcile Red Team/Working Group issues**
- **Pre-RevCom coordination with Program Offices and Field**
- **RevCom**



Requirements Database



Drilldown Database

File Edit View Insert Format Records Tools Window Help Adobe PDF

Type a question for help

Menu

Drilldown Menu

Data Entry Enter New Requirements

View As form (1 record per view)
 MC&A Requirements
 PF Requirements
 Drivers Form

Reports Requirements (table)
 Requirements Report-All
 Requirements Status
 Requirements - Deleted
 Requirements Summary

Tools 10CFR.1046 Citations

Exit

Requirements

Document: 470.4-6
 Chapter: 1

MC&A Requirements / Drivers

Find Record
 Print Record

Number	Requirement	Security Need Requirement is Intended to Provide (can be more than one):	How effective is this need at meeting the identified security requirement?	Comments
MCA-0003	An MC&A program must be established and maintained for all materials identified in Table I-1, Nuclear Materials.	detect & deter & determine effectiveness of the prgm	High	Need to include a requirement to use an effective tool (NNSA implementing in a test bed).
Decision:	Modify			
Revised Requirement	The site must establish and maintain an MC&A program documented in the MC&A Plan and procedures containing the graded control and accounting mechanisms for nuclear material identified under Table I - Nuclear Materials. The MC&A Plan must serve as the primary safeguards authorization basis. The MC&A Plan must be approved by the DOE cognizant security authority and maintained under configuration control			

Open Driver List
 Delete Citation

Source / Comments	Citation
	74.31(a) General performance objectives. Each licensee who is authorized to possess and use more than one effective kilogram of special nuclear material of low strategic significance, excluding sealed sources, at any site or contiguous sites subject to control by the licensee, other than a production or utilization facility licensed pursuant to part 50 or 70 of this chapter, or operations involved in waste disposal, shall implement and maintain a Commission approved material control and accounting system that will achieve the following objectives: (1) Confirm the presence of special nuclear material; (2) Resolve indications of missing material; and (3) Aid in the investigation and recovery of missing material.
	(c)(8) System capabilities. To meet the general performance objectives of paragraph (a) of this section, the material control and accounting system must include the capabilities described in paragraph (c)(1) through (8) of this section. The licensee shall... Independently assess the effectiveness of the material control and accounting system at least every 24 months, and document management's action on prior assessment recommendations...

Record: 3 of 534

Requirement number



Review Schedule



- **Beginning February 2007**
 - **Protective Force (~50% page reduction)**
 - **Material Control and Accountability (>50% page reduction)**
 - **Red Team drafts – April 2007**

- **Beginning May 2007**
 - **Classified Matter Protection & Control**
 - **Personnel Security**
 - **Physical Security Systems**
 - **Red Team drafts ~ August 2007**



Review Schedule



- **Beginning July/August 2007**
 - **Program Planning & Management**
 - **Safeguards and Security Program**
 - **Red Team drafts ~ October 2007**



Contacts



Barbara Stone

barbara.stone@hq.doe.gov

301.903.4642

Richard Donovan

richard.donovan@hq.doe.gov

301.903.3022

Mitchell McAllister

mitchell.mcallister@hq.doe.gov

202.586.1331



Conclusion



Questions?