

**SAFEGUARDS AND SECURITY WORKING GROUP  
2008 ANNUAL REPORT TO THE DIRECTORS**

**Introduction**

The EFCOG Executive Directors approved the formation of the Security Working Group (SWG) in March 2005 to help fulfill the Critical Few objectives in the area of security. In 2008 the name of the Working Group (WG) was changed to Safeguards and Security Working Group (SSWG) to more accurately reflect the scope of the working group.

The vision of the group is to promote excellence in safeguards and security across the complex with the purpose of providing a strong focus for meeting the DOE's safeguards and security challenges by enhancing the protection of special nuclear materials, classified matter, property, and cyber systems. Through the sharing of information and lessons learned, and by facilitating the application of information and techniques in an efficient and cost effective manner, the measured performance of security across the complex will consistently and continuously improve.

The scope of the WG's includes that of three subgroups in the areas of Physical Protection (SSG), Material Control and Accountability (MC&ASG) and Cyber Security (CSSG).

**Membership**

The SSWG membership continues to grow with the involvement of new members in newly identified tasks. As of January 2008 Jim Mulkey (Y-12) and Obie Amacker (PNNL) served as the Chair and Co Chair respectively. Joe Riddle (SRS) serves as the SSWG Secretariat. Mike Bebon (BNL) serves as the EFCOG sponsoring Executive Director.

The SSWG is composed of three Subgroups: The CSSG is chaired by Joe Riddle (SRS); the SSG is chaired by Judith Johns (Y-12); and the MC&ASG is chaired by Geneva Johnson (NTS). In addition to the chair, vice-chair, and subgroup chairs, the charter calls for a steering committee. Due to prolonged inactivity and changes to the at large representatives without replacement, the steering committee was reconstituted during the past year. The charter identified membership includes:

SSWG Chair,  
SSWG Vice-Chair,  
SSG Chair,  
CSSG Chair,  
MC&A SG Chair,  
Nuclear Security Information Exchange (NSIE) Representative,  
Up to three (3) at large contractor representatives,  
One or more DOE sponsoring Executives, and an

EFCOG Sponsoring Director serves as an ex-officio member.

DOE sponsors of the SWG include the following:

Glenn Podonsky	Chief Health, Safety, and Security Officer
Bradley Peterson	NNSA, Associate Administrator for Defense Nuclear Security
Amy Whitworth	NNSA MC&A Program Manager
Jim McConnell	NNSA Nuclear Safety
Linda Wilbanks	NNSA CIO
Chip Lagdon	DOE Nuclear Safety
Bob Walsh	Director of Security for Energy, Science and Environment

## **OBJECTIVES AND ACHIEVEMENTS**

### **Safeguards and Security Working Group**

The SSWG is focused on the physical protection of DOE assets. Their scope includes effective implementation strategies in response to complex wide identified issues which fall within the responsibilities of the three subgroups. Issues such as the implementation of the Topical Report on the Interface between Safety and Security, review of the DOE 413.3 guide on the implementation of Security into project controls, and Security Metrics are some of the activities pursued or completed. Much of the focus at the working group level was on reestablishment of the steering committee with the first meeting being held in October 2008. Additional work was focused on the charter development, revisions and establishing administrative controls for activities consistent with the EFCOG manual for the working group and subgroups. Charter revisions and or new charters will be presented to the EFCOG board during the first quarter of 2009. Action tracking, formality of work scope definition documents and meeting templates were also put in place at the working group level for all subgroups. A new subgroup to cover the area of MC&A was initiated in the spring with a meeting of the NNSA sponsor and participants from across the complex. A charter, election of the Chair, Vice Chair, and Secretary and initial work scope was subsequently defined in the summer and fall, with the charter to be presented for approval in January 2009.

The SSWG's interests intersect with a number of other EFCOG groups. For example, the implementation of 10 CFR 824, 851 and the Price Anderson Act Amendment form an interaction with the Regulatory and Security Working Group. A Joint meeting was held in the spring of 2008. The meeting was beneficial to all participants in ensuring that work was not duplicated and simultaneously ensuring that critical elements were covered. In addition, through cross memberships, the SSWG maintains liaisons with other organizations such as the NSIE, the Institute of Nuclear Material Management (INMM), the World Institute of Nuclear Security (WINS) and the Nuclear Energy Institute. It is expected that implementation of 10 CFR 824, "Procedural Rules for the Assessment of Civil Penalties for Classified Information Security Violations," will continue to require interactions with the Regulatory and Security Working Group during the coming year.

### **Security Subgroup**

The Security subgroup continues to be the most active of the subgroups. The subgroup is chaired by Judith C. Johns (Y-12) and co chaired by Ron R. Smith (ORNL). The major issues initially identified as candidates for task activities included a review of pro-force injury rates, security metrics, security culture, security peer reviews, implementation of 10CFR 824, security policy, materials, control and accountability, and other issues of interest to the security community. Noting the extensive list of potential activities the task were prioritized and focus was concentrated on the safety/security interface implementation, Pro-force injury rates and security metrics.

Work on the safety and security interface implementation was considered to be out side the scope of the EFCOG charter and the implementation was deferred to the program offices and line organizations where appropriated funding was available. Work in the development and implementation of a methodology for a high level indicator of the security status of the complex was the focus of the “security metrics” task. The initial phase of the task was completed with a report which was provided to the DOE sponsors in the spring of 2008. The results of the work were also presented in various small forums to DOE personnel and with the EFCOG community at the 2008 annual meeting. Work was completed on the Pro Force injury rate with the report to be completed in the first quarter of 2009. The primary focus of the task was to provide an understanding and recommendations in reference to an apparent increase of pro force injury rates which exceeded that of the working population among DOE contractors. An increased interest in the revisions to the Impact Measurement Index (IMI) emerged during the year. Therefore, a workshop for the review and training of the most recent revisions to the “Impact Measurement Index” for the evaluation of security items of concern was scheduled for December 2008. However, due to evolving revisions and changes to the new policy the activity has been postponed until 2009.

### **Cyber Security Subgroup**

The CSS is focused on the growing threat to computer and information systems, and the need to track and demonstrate compliance with regulations. The CSS has been reconstituted during the past year with an emphasis on interaction between the DOE contractors and establishing the interface with the appropriate DOE sponsors. Joe F. Riddle (SRS) coordinated major revisions to the charter and implementation of the revised charter have been the focus of the working group this year. Much of the specific work activities have in large measure been performed by other forums which bring Chief Information Officer’s (CIO’s) and cyber security specialists together. These have included, for example, the systems of labs computing Coordinating Committee (SLCCC), which represents the many the national laboratories but excluded the facilities. In addition, the split CIO functions between the DOE and NNSA have complicated cyber security policy and approach. With the organizational changes within the DOE it is

expected that the new cyber subgroup will be significantly more engaged with the DOE during the coming year.

### **MC&A Subgroup**

The MC&ASG was established during 2008, following extensive discussions with the DOE sponsor and MC&A specialist from across the complex. A charter was developed and Geneva L. Johnson (NTS) and Michael Mitchell (Pantex) were elected as Chair and Vice Chair respectively. One of the initial contributions of the group was the open communications which were established between contractor sites on MC&A related issues and best practices. The issues formed a basis of prioritized work which the group would focus on with the DOE sponsor concurrence. The most significant item to be address with the sponsor's concurrence was a review and subsequent recommendations on the reporting associated with the Nuclear Material Management and Safeguards System (NMMSS). The prioritized list will be maintained and updated as appropriated to support the program initiatives across the complex.

## **PLANNING FOR NEXT YEAR**

### **Safeguards and Security Working Group**

The SSWG will complete the membership of the steering committee and convene its Steering Committee meetings to coincide with the working group and subgroup meetings. Other initiatives under consideration for the working group are:

- Continued interaction between the SSWG, and the Regulatory and Security Working Group and other working groups, both within and outside the DOE proper.
- Support the Waste Management Conference, 2009 EFCOG Panel
- Develop a more comprehensive membership to be inclusive of applicable EFCOG members.
- Develop an EFCOG SSWG presentation for use in interactions between the SSWG and interface organizations.
- Develop a relationship with the World Institute for Nuclear Security thru the exchange of information and expertise.

### **Security Subgroup**

- Initiate task group and work to develop a methodology for identification and characterization of the security culture for organizations individually or complex wide.
- Develop a more comprehensive membership to be inclusive of applicable EFCOG members.
- Continue work to support the implementation recommendations of the complex wide security metrics task.
- Continue work to issue a finalized report with recommendations for the Protective Force injury rate task activity.
- Develop a review and training workshop for support of the new Impact Measurement Index (IMI) policy implementation.
- Develop and implement a peer review process to support the implementation of the 10CFR 824, “Procedural Rules for the Assessment of Civil Penalties for Classified Information Security Violations”

### **Cyber Security Subgroup**

- Establish a prioritized list of issues to be considered for task activities with concurrence of the DOE sponsors.
- Establish well defined DOE sponsors to support the Cyber Subgroup activities.
- Reconstitute the Cyber Security Subgroup
- Develop a more comprehensive membership to be inclusive of applicable EFCOG members.

### **MC&A Subgroup**

- Finalize the report to include a review of the NMMSS reporting system. The review will include recommendations for the DOE sponsors.
- Obtain Charter approval.
- Develop a more comprehensive membership to be inclusive of applicable EFCOG members.

### **LESSONS LEARNED**

The SSWG competes with other security initiatives across the DOE and NNSA enterprise. A concerted effort is required to ensure that there is not a duplication of task and that the groups work together in a supportative fashion in lieu of a stovepipe contentious relationship.

### **EFFECTIVENESS EVALUATION**

The SWG has a significant role to play within the EFCOG community; the full benefits and contribution that can be made to improving the overall effectiveness and efficiency of the complex security has not yet been achieved. However, there has been significant improvement in the communication across the complex in many areas most specifically that of interactions between contractors and the newly established office of Enforcement HS-40, within HSS. HS-40's engagement in the quarterly working group and subgroup meetings has been shown to be valuable to the individual sites in the open communication and dialogue. The value of the SSWG to the NNSA NA-70 continues to improve as more and more comprehensive complex wide tasks are supported.

### **RECOMMENDATIONS**

There are a number of challenges for this Working Group that should be considered for information by the EFCOG Board of Directors. These include:

- The CSSG subgroup charter has been amended to be chaired within the SSWG and not chaired as part of the System of Labs Coordinating Committee (SLCCC). The changes will be noted in the revised subgroup charter submitted as approved by the Sponsoring Director. The SLCCC is nonexistent, being replaced by the National Laboratory CIO Council. A working relationship will be established with the National Laboratory CIO Council and other cyber professionals within the complex.
- The SSWG has been careful to avoid the tendency to take on more responsibility and work than can be reasonable for accomplishment with the part time resources of the working group and the current membership.
- Much readjustment will be required following the change in Leadership of the DOE.
- The revised SSWG charter will be forwarded to the EFCOG Board of Directors thru the Sponsoring Director for Approval. The subgroup's revised charters as approved by the Sponsoring Director will be attached for information.