



# EFCOG Safeguards and Security Working Group

## Office of Security Enforcement Presentation

October 5, 2011

*Steven G. Crowe and Russell A. Barnes*  
*Office of Security Enforcement*  
*Office of Enforcement and Oversight*



# Office of Security Enforcement Presentation Overview



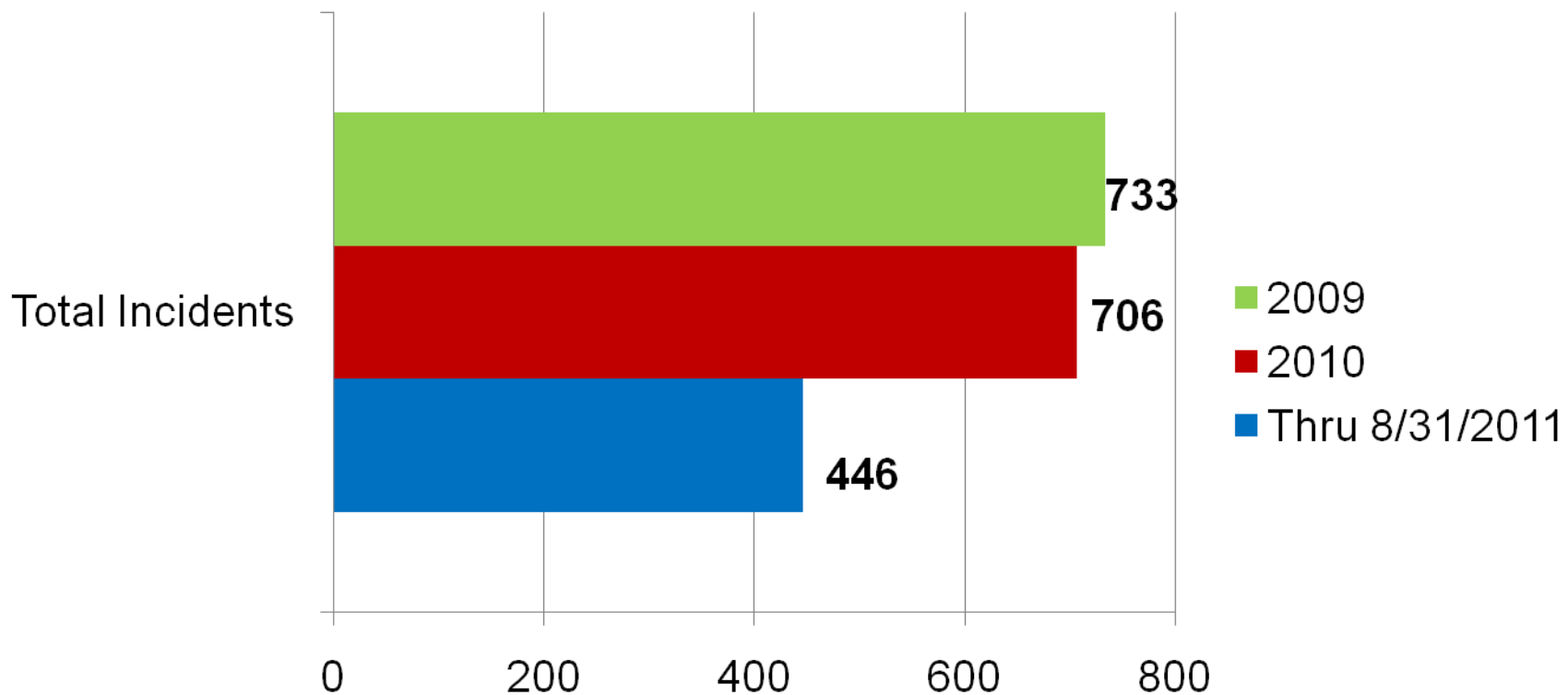
- ✓ **Security Incident Data (2009 – August 31, 2011)**
- ✓ **Regulatory Assistance Review Results**
- ✓ **Proposed EFCOG S&S Working Group Activities**



# Security Incident Data

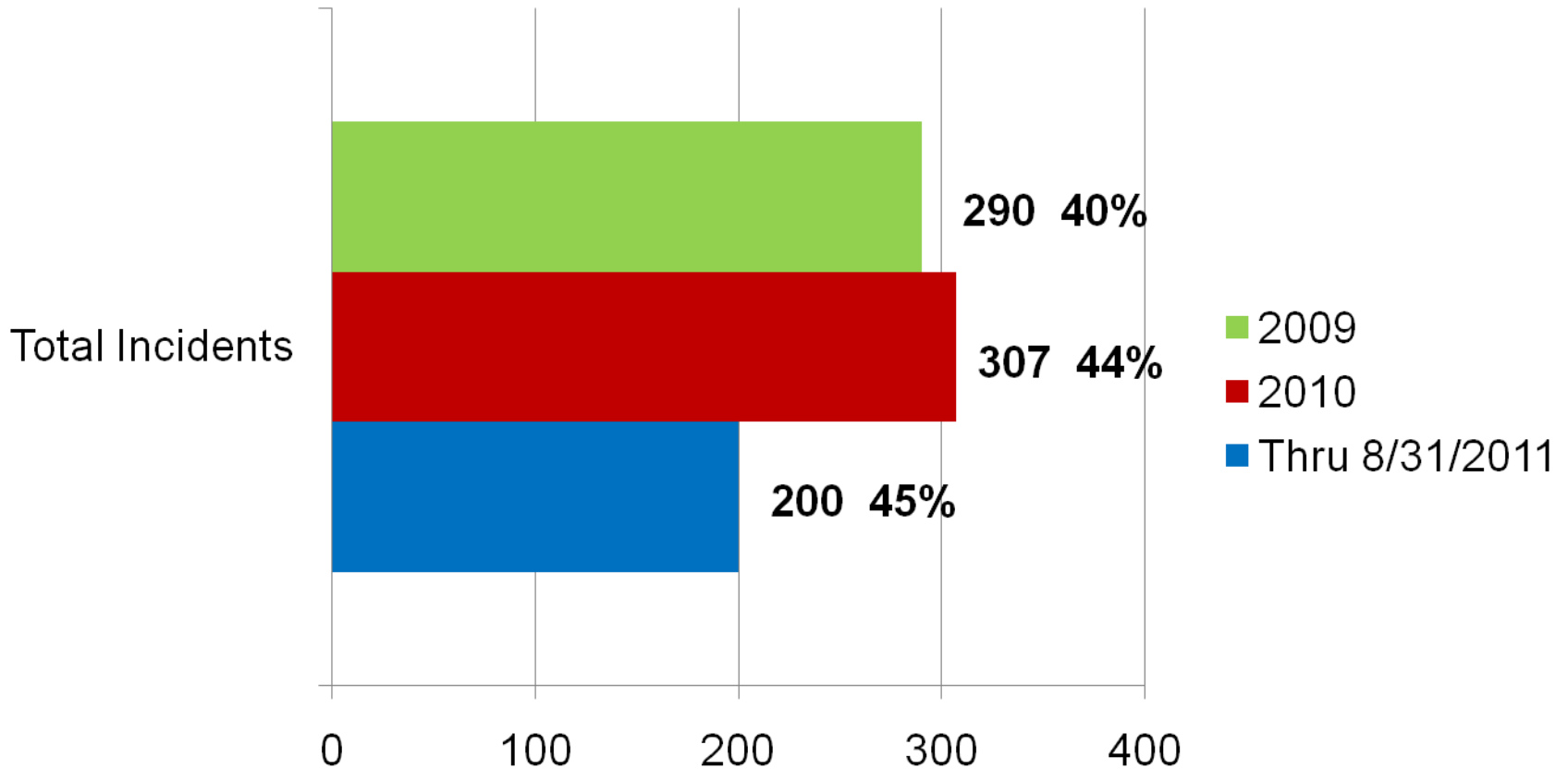


# Total Incidents Reported in SSIMS



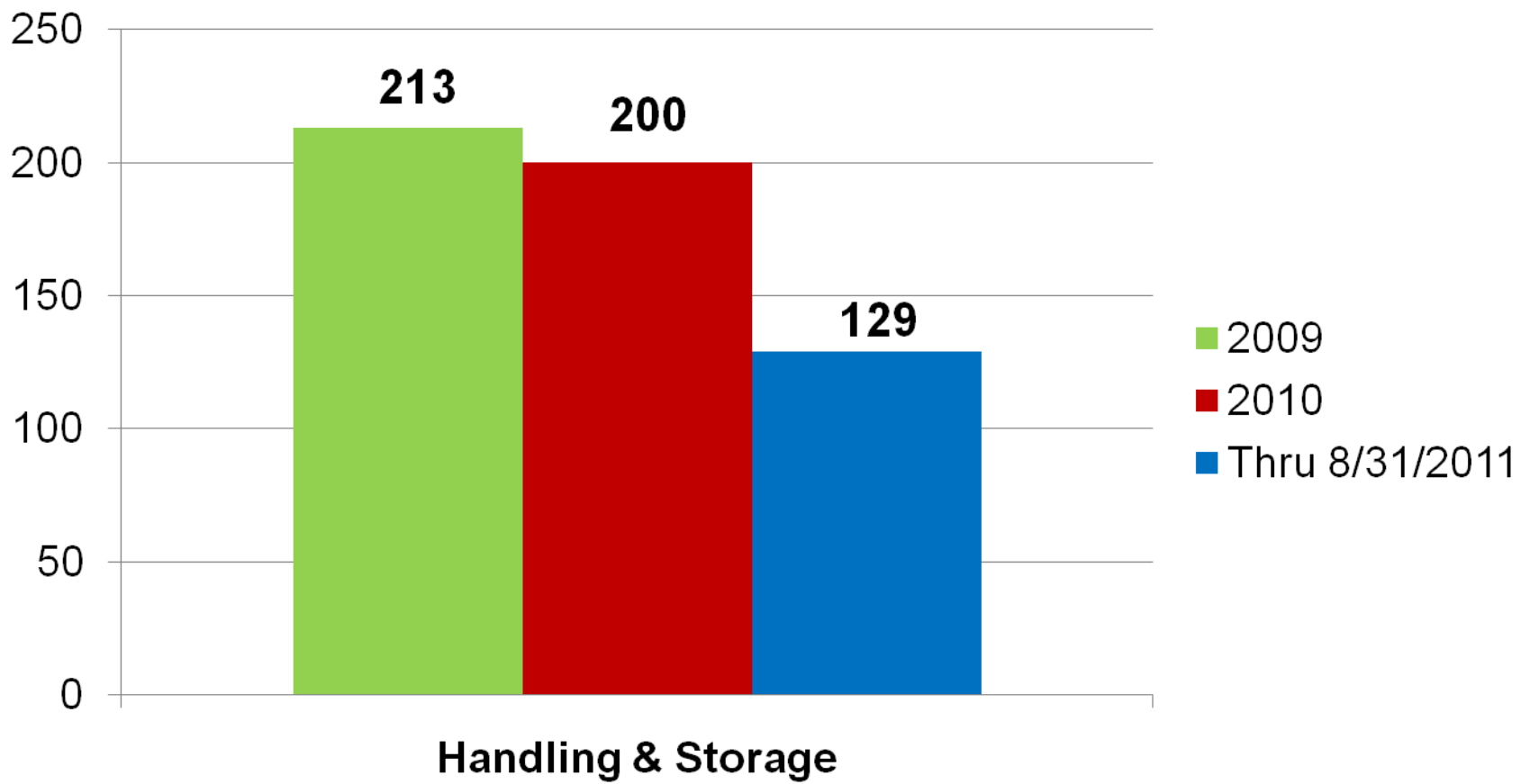


# Incidents Involving Protection of Classified Information (10 C.F.R. Part 824 Related)



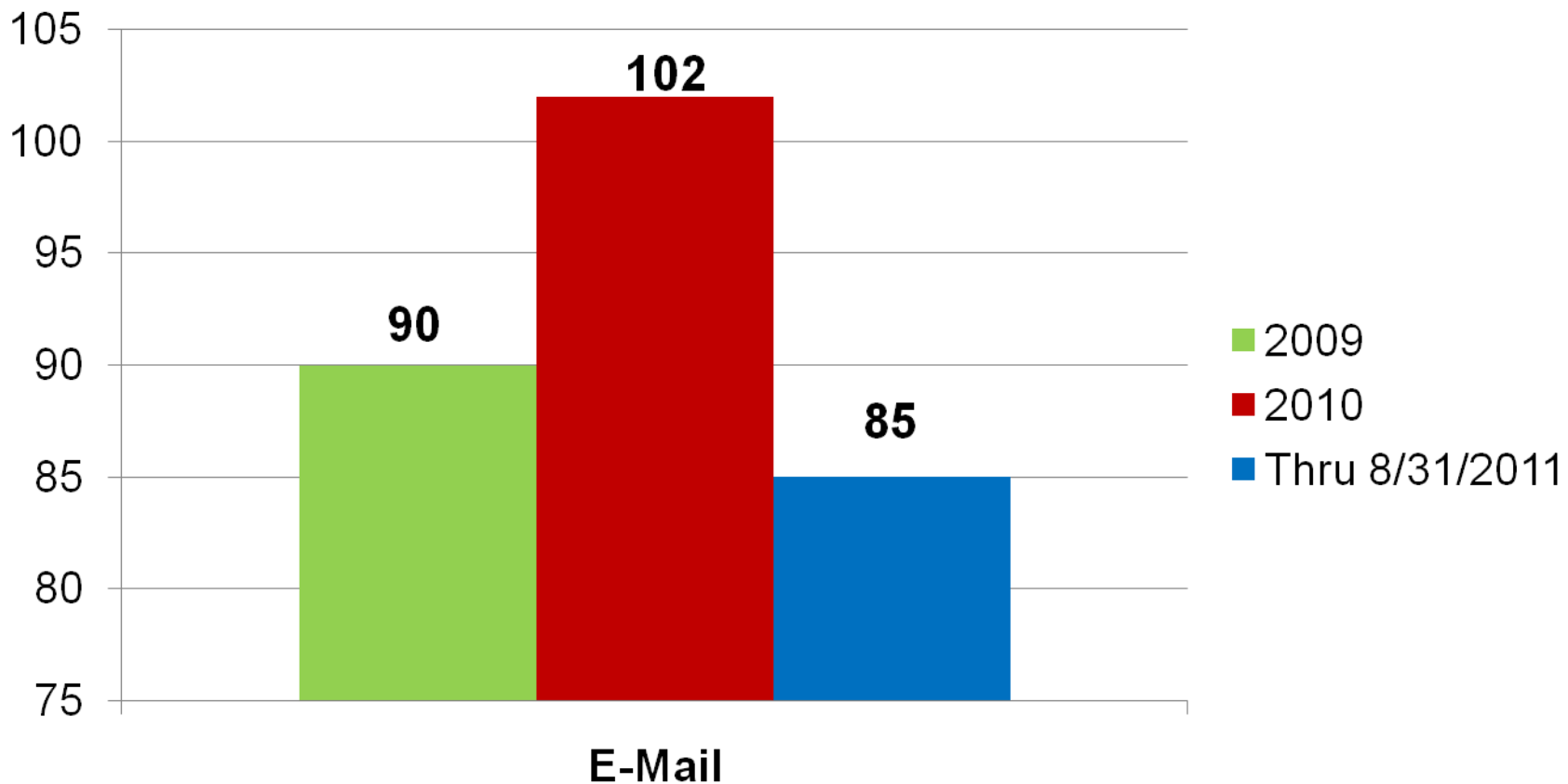


# Incidents Involving Classified Information



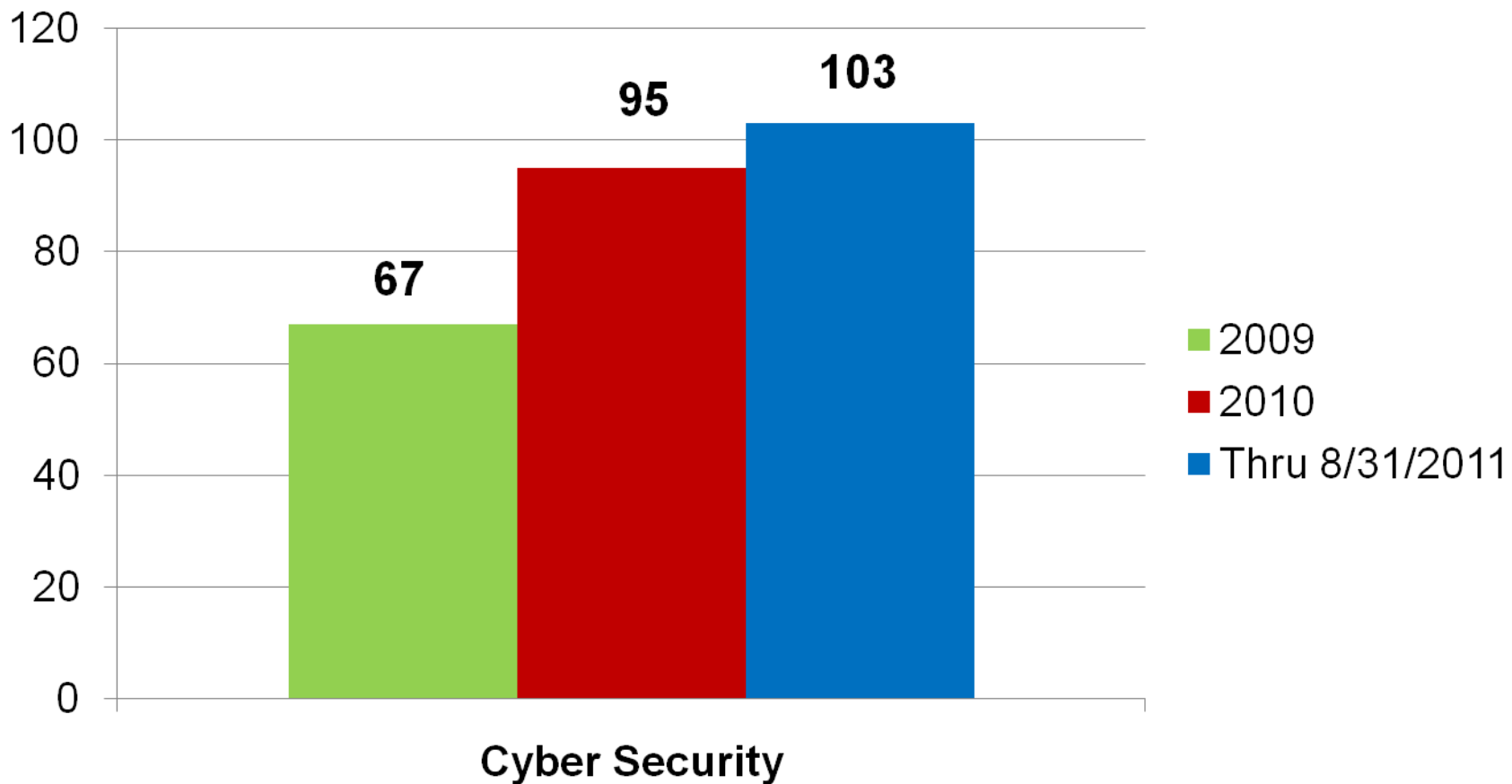


# Incidents Involving Classified Information



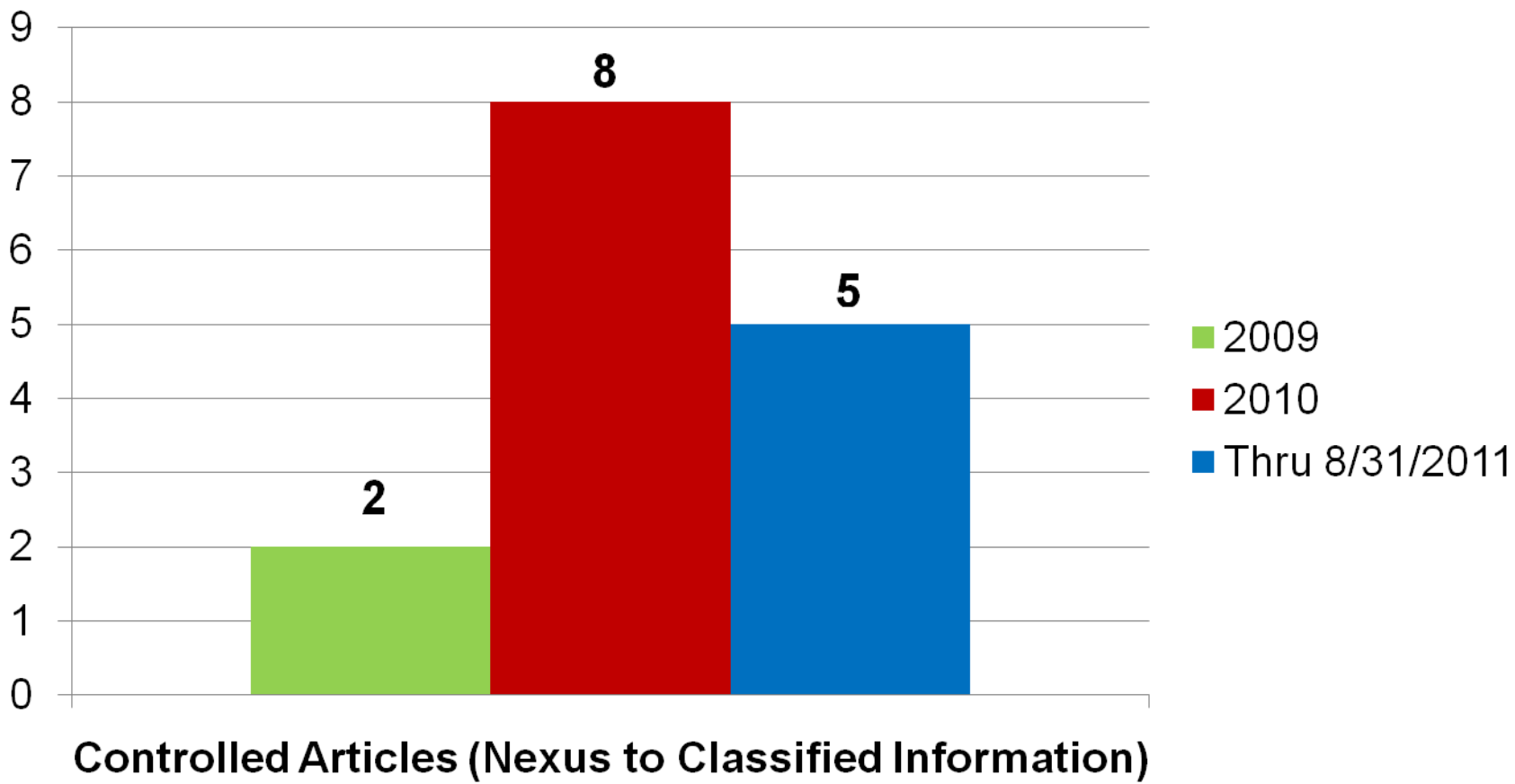


# Incidents Involving Classified Information





# Incidents Involving Classified Information





# Regulatory Assistance Review Results



# Regulatory Assistance Reviews



## ✓ Integrated Program Reviews (IPRs) – HS-41, -42 and -43

- |                |   |               |
|----------------|---|---------------|
| - 05/08 - PNNL | – | Report Issued |
| - 09/08 - SRS  | – | Report Issued |
| - 11/08 - SNL  | – | Report Issued |

## ✓ Regulatory Assistance Reviews (Formerly Program Reviews)

- |                         |   |                    |
|-------------------------|---|--------------------|
| - 03/09 - Pantex        | – | Report Issued      |
| - 08/09 - BNL           | – | Report Issued      |
| - 10/09 - Y-12          | – | Report Issued      |
| - 05/10 - LLNL          | – | Report Issued      |
| - 07/10 - Hanford (MSA) | – | Report Issued      |
| - 02/11 - LANL          | – | Report Issued      |
| - 05/11 - Paducah (SST) | – | Report Issued      |
| - 08/11 - INL (BEA)     | – | Report Development |



# Regulatory Assistance Review Results - Improvements



- ✓ **Senior Management Attention to the Overall Security Program**
- ✓ **Routine Communications with Management Concerning Security Incidents/Events**
- ✓ **Reduction of Classified Holdings - Smaller Security Footprint**
- ✓ **Improved Partnership Between Enforcement Coordinators and Security Organizations**
- ✓ **Increased Use of Centralized Issues Management Systems**
- ✓ **Proactive Lessons Learned Activities**



# Regulatory Assistance Review Results - Challenges



- ✓ **Awareness of 10 C.F.R. Part 824 Requirements**
- ✓ **Effectiveness of Self-Assessment Programs**
- ✓ **Availability of Accurate and Timely Trending Data**
- ✓ **Formal Regulatory Screening of Security Assessment Results, Incidents, and Trends**
- ✓ **Restrictive Criteria for Conducting Formal Causal Analysis**
- ✓ **Willingness to Self-Report Programmatic, Recurring, and Willful/Intentional Occurrences - Transparency**



# Proposed EFCOG S&S Working Group Activities



# **Proposed EFCOG S&S Working Group Activity – Self-Assessment**



- ✓ **Develop a Guidance Document that Provides a Consistent Approach to Classified Information Security Assessments**
  - **Common Understanding and Key Elements of an Effective Assessment Program**
  - **Benefits of an Effective Assessment Program**
  - **Objectives for Conducting Assessments**
  - **Scope and Methodology of an Effective Assessment – Compliance and Performance Elements**
  - **Documenting Assessment Results – Verification of Corrective Actions**



# **Proposed EFCOG S&S Working Group Activity – Causal Analysis**



- ✓ **Develop a Guidance Document that Provides a Criteria and Methodology for Conducting a Causal Analysis**
  - **Common Understanding and Key Elements of an Effective Causal Analysis Process**
  - **Benefits of an Effective Causal Analysis Process**
  - **Objectives for the Causal Analysis Process**
  - **Identify Effective Causal Analysis Tools – Graded Approach**
  - **Documenting Causal Analysis Results – Resulting Corrective Actions**



## Contact Information

Steven G. Crowe, Director  
Office of Security Enforcement, HS-43  
[steve.crowe@hq.doe.gov](mailto:steve.crowe@hq.doe.gov)  
301-903-0107

Russell A. Barnes  
Office of Security Enforcement, HS-43  
[russell.barnes@hq.doe.gov](mailto:russell.barnes@hq.doe.gov)  
301-903-6464