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Office of Health, Safety, and Security, Office of Security Policy: FY 2013 Accomplishments

October 2013

Norma Uecker
Michael Schwartz



Prepared for the U.S. Department of Energy
under Contract DE-AC05-76RL01830

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Richland, Washington 99352

Acronyms and Abbreviations

DOE	U.S. Department of Energy
FY	fiscal year
HS-51	Office of Security Policy, Office of Health, Safety, and Security
HSS	Office of Health, Safety and Security
PIR	policy information resource
PNNL	Pacific Northwest National Laboratory
PST	policy structure tool
S&S	safeguards and security

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1.0 Scope and Budget

The information security resource capability at Pacific Northwest National Laboratory (PNNL) provides technical assistance to the U.S. Department of Energy (DOE) Office of Health, Safety, and Security (HSS), Office of Security Policy (HS-51). This includes assistance in the development of innovative, integrated, and cost-effective safeguards and security (S&S) policies that provide a sound basis for the protection of DOE's assets. Also included is the responsibility to develop tools and media that support outreach and implementation of S&S policies.

Detailed financial data is provided monthly under separate cover. The forecasted budget for fiscal year (FY) 2014 was drastically reduced.

2.0 FY 2013 Activities and Accomplishments

2.1 Tools

The policy information resource (PIR) structure consists of the policy structure tool (PST) database and the PIR website (<https://pir.labworks.org>). The PST database was designed for the storage of information gathered during the FY 2005–2006 S&S activities identifying national policies and the corresponding DOE requirements by programmatic directive (also known as “drilldown”). The PST database also provides the infrastructure and data for the PIR website. Together, these tools continue to serve the needs of the S&S community by providing fundamental resource and reference materials used to develop and implement DOE directives. In addition, these tools support analyses of the functional breakdown of S&S policy and assist in identifying the genesis of those requirements. PNNL provides ongoing development, maintenance, and technical support of these tools. Both the website and database use development, test, and production environments to provide a thorough design, testing, and pre-production review of new features before release to the user community. Each system also employs version control and routine daily backups managed by the PNNL’s Information Technology group.

In FY 2013, HSS requested the PIR website and the supporting database be moved from lab works to the DOE HS web services. This transition is ongoing pending PNNL being granted access to the DOE server.

2.1.1 PIR Structure

The PIR website, as the communication interface for the PST, was launched in 2009. Significant increases in capability and refinement of the structure were addressed with each succeeding year. Significant developments were completed during the past year. Most important was the development and implementation of a new user interface. The redesign of the website was successfully deployed by PNNL on May 24, 2013. This interface, which includes the *See it in Action!* video clip, allows the user to answer the following policy questions:

1. Why is a requirement included in policy?
2. Which requirements are unique to DOE?
3. What national policy is not accounted for in current directives?
4. How is national policy implemented through the current directives?
5. What are the requirements for a topical area?
6. What effect does a change in national policy have on current requirements?
7. What is the status of a requirement?

Additional enhancements included:

- assigning contractor or federal responsibilities to each requirement
- adding definitions and acronyms from S&S technical standards
- adding in-context documents
- increasing the automated crosswalk capability.

The new website also included the development and deployment of a restricted page. This page, which was completed in June 2013, allows HS-51 staff to access information not available to the general user. This information included targets, objectives, and change form data. Maintenance and quality assurance activities are employed to make sure that the PIR contents remain accurate. The PIR glossary and acronym lists are updated to reflect current DOE policy. A central email (<mailto:PIRadmin@pnnl.gov>) is also available for user support and suggestions.

2.1.2 PST

In support of the second phase of development activities for the PIR, the PST required several structural modifications to further define data attributes and handle access controls for the limited page. These changes were implemented with PIR development activities.

2.1.3 Electronic Alerts

An electronic alert process allows PNNL to maintain the collection of nationally-driven directives. As specific national drivers are updated, the revised policies are captured in the PIR tool, and change forms are created to inform HSS of the change as well as the potential impacts to existing DOE policy. This system is electronically tied to the PIR structure tools, allowing for automated notification.

In an effort to support HSS S&S policy reform efforts, significant time was spent identifying a comprehensive collection of national policies that affect DOE's S&S program. To make sure that policy makers within HSS are informed of changes affecting their areas of responsibility, change forms are developed outlining the change and its anticipated impact on DOE policy. These change forms, along with a copy of the policy, are provided on a continual basis.

Alerts

- 27 acronyms were added as a result of new DOE directives
- 44 changes were made to the glossary
- 47 changes in national and DOE policies were identified

2.2 Policy Development Support

As has been the case for many years, PNNL continues to provide technical, analytical, and administrative support to HSS. Its subject matter experts continue to be a major asset and are key contributors to a multitude of security disciplines. During FY 2013, PNNL's team provided expertise in the development of draft P2013-06, *Safeguards and Security Survey and Self-Assessment Planning, Conduct, And Reporting Technical Standard*. Technical assistance was also provided to the development and subsequent publication of 10 CFR Part 1046, *Physical Protection of Security Interests*. Ongoing technical and administrative support continues to be provided for policy development, as requested.

PNNL provided technical assistance to the development, and subsequent publication, of 10 CFR Part 1046, *Physical Protection of Security Interests (2013)*.

In-context versions of each S&S order were developed and included as a resource in the PIR. The in-context version consists of an endnoted copy of the directive with a hover capability that, when activated, shows the national policies driving that requirement.

2.3 Management Support

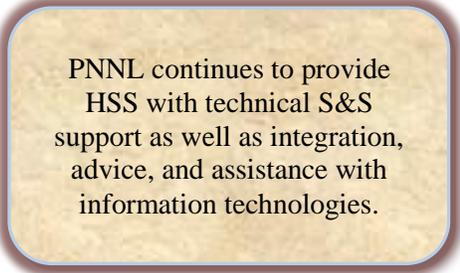
Financial and project management support is provided to make sure the quality of the products is maintained and that schedules and budgets meet the HSS targets. Briefings were provided to HSS staff and management regarding the PST/PIR enhancements. HSS, along with PNNL, engaged in activities to publicize the PIR, such as the development of posters and business cards highlighting the tools, capabilities, and location.

Monthly progress and statistical reports were provided to make sure activities were being tracked. The reporting mechanism was augmented by frequent dialog with HSS staff and management.

2.4 FY 2013 Deliverables

The following list includes deliverables and assistance provided by PNNL to HSS during FY 2013:

- provided weekly activity reports
- distributed monthly financial information and PIR statistical reports
- gave new/updated national policy change/publication notices to HS-51
- assisted HS-51 in the development, revision, or update to DOE S&S directives, as requested
- maintained an electronic library of security policies, associated drivers, and correlation (drilldown) information that is current with technology
- enhanced tools and marketing materials needed for S&S policy analysis, development, and outreach
- correlated (drilldown) tools and comprehensive correlation records (drilldown) for current directives for which HS-51 is the office of primary interest
- developed and released an enhanced interface for making the requirements database a resource for field S&S planners, implementers, and operators
- provided technical assistance necessary during the transition of the PIR from lab works to HSS.gov address.



PNNL continues to provide HSS with technical S&S support as well as integration, advice, and assistance with information technologies.

3.0 Looking Forward: Planning for FY 2014

Although budgets were drastically reduced, it is anticipated that the need for S&S services will continue in areas such as policy development, technical standards development, and PIR structure enhancements/expansions. New processes and improvements for development and implementation of policy and tools for sustainability will continue to be the main objectives for FY 2014. PNNL will continue to provide subject matter experts and administrative support, as requested. This support will include, but is not limited to, the following tasks:

- provide assistance for DOE S&S policy development activities, as requested
- support tools to be used in policy analysis, development, and outreach initiatives, as directed
- maintain a structured compilation of all relevant current and historical requirements from all sources for protecting classified information, special nuclear material, and other HS-51 interests
- notify HS-51 when requirements change
- maintain a web-based index of S&S references containing national-level requirements
- provide recommendations for improving HS-51's systematic awareness of changing national requirements (alerts)
- complete the PIR move to the HSS website
- provide technical assistance for the development and coordination of S&S policy that supports the major goals and missions of DOE, including the DOE Strategic Plan.

4.0 References

Draft P2013-06, *Safeguards and Security Survey and Self-Assessment Planning, Conduct, and Reporting Technical Standard*

10 Code of Federal Regulation Part 1046 (2013), *Physical Protection of Security Interests*



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