Protective Force Survey Schedule

		Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
Week One	AM	• In-brief • Safety Briefing • Badging	• Shift Change • Training - plans - records - JAs - Staff - Quals	• Documents - Plans - GOs - SOs - SIRP • Post Checks	• Management - Interviews - Budget - Lab Over-sight - CBA • Post Checks	• ARAPT • Physician • Post Checks	• Open*
	PM	• Document Review	• Training (continued) • Post Checks	• Shift Change • Post Checks • ARAPT	• Qualifications - running - firearms	• Post Checks • Training (if necessary)	• Open

		Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
Week Two	AM	• Armory - Ammo - Firearms • Vehicles • Equipment	• Management Interviews (if necessary)	• Report Writing	• Report Writing	• Report Writing	
	PM	• SRT Equipment	• Open	• Report Writing	• Report Writing	• Report Writing	

* Data Collection may continue on days marked "open" if necessary. Additional data collection on "open" days will be coordinated through POCs.

Security Systems

INT. TA 55 COORDINATE MOA

NIGHT (MAY GO TO WED ON MONDAY

		Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
Week One	AM	• In-brief • Safety Briefing • Badging	• ~~Interior IDS~~ • FAR/NAR PERFORMANCE TESTING	TA-55 • Interior IDS • ~~FAR/NAR~~ • PIDAS • ECF equipment	• Interior IDS • VTR logs • FAR/NAR • Back-up Power	• Interior IDS • FAR/NAR • ~~PIDAS~~ • ECF equipment TA-55	• Open
	PM	• Document Review	TA-16 • Interior IDS • Back-up Power • Commo	• PIDAS • ARO • Back-up Power • CCTV NIGHT TAUR	• Commo • CCTV	• PIDAS • ~~ARO~~ • ~~Back-up Power~~ ~~CCTV~~	• Open

		Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
Week Two	AM	TA-18 MAA • Interior IDS • FAR/NAR • PIDAS • ECF equipment	• Interior IDS • FAR/NAR • PIDAS • ECF equipment	• Report Writing	• Report Writing	• Report Writing	
	PM	• PIDAS • ARO • Back-up Power • CCTV	• PIDAS • ARO • Back-up Power CCTV	• Report Writing	• Report Writing	• Report Writing	

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Physical Security

		Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
Week One	AM	• In-brief • Safety Briefing • Badging	• Protective Lighting • Barriers • Fences • Walls, Ceilings, Floors	• Protective Lighting • Barriers • Fences • Walls, Ceilings, Floors	• Protective Lighting • Barriers • Fences • Walls, Ceilings, Floors	• Lock and Key	• Open
	PM	• Document Review	• Access Control • Property Protection	• Access Control • Property Protection	• Access Control • Property Protection	• Lock and Key	• Open

		Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
Week Two	AM	• Fences	• Open	• Report Writing	• Report Writing	• Report Writing	
	PM	• XO-8	• Open	• Report Writing	• Report Writing	• Report Writing	

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Transportation Security*

		Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
Week One	AM	• In-brief • Safety Briefing • Badging	• Vehicle Records • Procedures • Interviews	• Shipping records • Locks and seals	• Open	• Open	• Open
	PM	• Document Review	• Interviews (continued)	• Open	• Open	• Open	• Open

* This schedule may shift to the second week depending on the Inspector assignments.

Security Badges, Credentials, and Shields*

		Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
Week One	AM	• In-brief • Safety Briefing • Badging	• Badge Inventory • Procedures • Lost or unaccounted for badges	• EIS • Foreign Visitors	• Open	• Open	• Open
	PM	• Document Review	• Shields	• Open	• Open	• Open	• Open

* This schedule may shift to the second week depending on the Inspector assignments.

ACCESS TO TECH AREAS

		Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
Week One	AM	o	TA-16 Paul Mathis Larry Spaulding Matt Pincock Red Jones	TA-55 Paul Mathis Larry Spaulding Matt Pincock Red Jones	TA-3 Paul Mathis Larry Spaulding Matt Pincock Red Jones	TA-18 Paul Mathis Larry Spaulding Matt Pincock Red Jones	
	PM		TA-16 Paul Mathis Larry Spaulding Matt Pincock Red Jones	TA-55 Paul Mathis Larry Spaulding Matt Pincock Red Jones	TA-3 Matt Pincock Red Jones	TA-18 Paul Mathis Larry Spaulding Matt Pincock Red Jones	

		Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
Week Two	AM	TA-55 Matt Pincock Red Jones	TA-18 Matt Pincock Red Jones				
	PM	TA-55 Matt Pincock Red Jones Paul Mathis Larry Spaulding	TA-18 Matt Pincock Red Jones Paul Mathis Larry Spaulding				

There may be a need to have these individuals regain access to a Tech Area on a day that is not yet listed. If so, we will work with the facility's schedule (within reason).

DOE-AL SECURITY SYSTEMS SURVEY (7/23/01-8/3/01)

Tuesday July 24, 2001

AM TA03-440 Elmer's presentation
Performance Team presentation
FAR/NAR presentation

PM TA-16 (Go Green Areas) 1400 (Meet at Access Control Center)
Contact: Charla Hohner 7-9786 996-1752

Wednesday July 25, 2001

AM TA-55 PIDAS
Contact: (Rueben Peck/Relf Price)

PM 1400 Interior Alarms PF4

1930 Lighting/Night Assessment at TA55 and TA18

Thursday July 26, 2001

AM 0830 TA-55 PA& MAA Entrance
SNM Detectors (Perry H.)
Metal Detectors

PM X-Division and CCN Vaults/VTR's (TA03 Area)

Friday July 27, 2001

AM TA-18 PIDAS (Casa 1 & Casa 2)

PM 1330 Briefing NMSSUP at TA-3 Building 440 (Kirk 5-0473/996-1692)
Training and Procedures presentation
SAS Construction cable cut at TA-3 Building 440

Monday July 30, 2001

AM 0830 Interior IIDS TA-18 w/Walk test personnel

PM 1400 TA-18 Generator at TA-18 (Paul Sanchez)

Tuesday July 31, 2001

AM Maintenance Document review
Procedures review

PM Backup Power TA-64 Building 1 and TA-03 Building 440 (Tentative)

Deliverables Prior to Departure

Team Members:

1. Written rating rationale by subtopic (may use working paper documentation)
2. Written report sections
3. Working papers
4. Disks with report data
5. Verbal approval to depart from Team Lead
6. Notify Rhonda of departure time and date
7. Keys (Judy, Gary, Rhonda)
8. Parking permit (John Andrews)
9. Dosimeters

Topic Leads:

1. Written rating rationale for overall topic rating
2. Signatures on rating summary forms
3. Information for management close-out briefing
   a. Deficiencies
   b. Areas of emphasis

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LANL
CMPC SECURITY SURVEY
PLANNING OUTLINE

MONDAY, JULY 23, 2001

Introductions, Overall Site CMPC Orientation
Revisit any Prior Year Findings
Documentation Review
Planning Documents
LANL Procedures/Guides
Training Program
SSSP
LANL Self-Assessment Report
Begin Review of Selected CMPC Accounts
- Random selection of CMPC accounts for review
- Classified mail channels

TUESDAY, JULY 24, 2001

Validate Any Findings
Perform Data Gathering
Destruction of classified parts to include training, procedures, and observation of destruction
- Review X Division CMPC accounts and other selected accounts
- Conduct limited scope Performance Tests

WEDNESDAY, JULY 25, 2001

Continue Findings Validation, If Necessary
Continue Data Gathering
AM – TA- 18 – Review of accounts and conduct limited scope performance tests
PM – Review randomly selected CMPC accounts and performance tests

THURSDAY, JULY 26, 2001

Continue Findings Validation, If Necessary
Continue Data Gathering
- AM – TA-55
- PM - Review randomly selected CMPC accounts and conduct Limited scope performance tests

Conduct Performance Tests

FRIDAY, JULY 27, 2001

Continue Findings Validation, If Necessary
Continue System Reviews
Continue Data Gathering
Continue Performance Tests

SATURDAY, JULY 28, 2001

Begin Report Writing

SUNDAY, JULY 29, 2001

Day Off

MONDAY, JULY 30, 2001

Continue Findings Validation, If Necessary
Continue Data Gathering
Continue System Reviews
Continue Report Writing

TUESDAY, JULY 31, 2001

Continue Findings Validation, If Necessary
Complete Data Gathering
Complete System Reviews
Continue Report Writing

WEDNESDAY, AUGUST 1, 2001

Complete Report Writing
Be Available for Assistance to Others

THURSDAY, AUGUST 2, 2001

Murder Board
Working Closeout
Be Available for Assistance to Others

FRIDAY, AUGUST 3, 2001

Management Closeout

INSPECTION PLAN FOR CLASSIFIED MATTER PROTECTION AND CONTROL

Los Alamos National Laboratory, New Mexico

Introduction

The purpose of this portion of the inspection is to evaluate the organization's process for the control and protection of classified matter in use and storage. This will include a review of procedures, facilities, and equipment used to protect classified matter that is being generated, received, transmitted, used, stored, reproduced, and or destroyed. Special attention will be paid to the LANL systems governing CMPC to include (1) how CMPC procedures are developed, distributed, and implemented and (2) the training of personnel with CMPC responsibilities to include classified material custodians, individuals responsible for destruction of matter, and those individuals responsible for the inter-site transport and distribution of classified matter.

References

- DOE Order 471.2A, "Information Security Program."
- DOE Manual 471.2-1C, "Classified Matter Protection and Control Manual."
- DOE Order 5632.1C, "Protection and Control of Safeguards and Security Interests."
- DOE Manual 5632.1C-1, "Manual for Protection and Control of Safeguards and Security Interests."
- DOE Policy for Non-Standard Storage of Classified Matter
- Local procedures, policy guides, and training material

INSPECTION CONDUCT

Organization and Management - Personnel responsible for managing and implementing (classified matter custodians) the Classified Material Protection and Control Program at LANL will be interviewed. Interviews will focus on the users' knowledge of DOE/NNSA CMPC security requirements and LANL procedures for ensuring compliance with DOE/NNSA requirements.

CMPC Plans and Procedures – LANL procedures for the marking, storage, transportation, destruction of classified matter. Selected plans will be reviewed during the document review portion of the inspection. System tests will be conducted based on information contained in those plans.

Classified Parts In Nonstandard Storage Configurations – A review will be made of LANL conformance to the new AL procedures for non-standard storage.

CMPC Training – The training materials and records for all CMPC custodians and other individuals who play an integral role in the CMPC program at LANL will be reviewed.

Performance Tests – Limited scope performance tests will be performed during the survey. These tests could include but not be limited to:

- Observation of classified mail coming into LANL and distributed throughout LANL;
- Review of (1) how classified parts are destroyed, (2) training of individuals who destroy the parts, and (3) the procedures that govern these operations.
- Observation of how classified parts and documents are sent to other facilities.

Resolution of Previous Findings - A listing of previous findings will be reviewed. Any open findings, especially, will be reviewed and determination of projected closure will be made.

Validation of 2001 Findings

All tentative findings will be validated with facility staff prior to finalization for presentation at the closeout meeting. Findings will be clearly defined and referenced to appropriate sections of the DOE Orders, DOE Policy, and local policy documentation.

Ratings

Evaluation of data and justification of findings will be provided. Written impact statements and ratings rationale will be provided in writing.

LOS ALAMOS NATIONAL LABORATORY
2001 Safeguards and Security Survey

Inspection Plan – PERSONNEL SECURITY

I. INTRODUCTION

This topical area deals with the granting of personnel access to facilities and the safeguards and security interests within them. The element of access authorization to a facility and material within applies to both assigned staff and visitors to the facility. Safeguards and security training of personnel granted access to the facility is a key factor in these controls and of the safeguards and security program as a whole.

The DOE Personnel Security Program is a major component in the protection of DOE security interests. It is the only program to focus on individual eligibility for access throughout the life of the access authorization; i.e., from the granting of access to its termination.

A strong personnel security program represents a logical and cost-effective approach to protecting against the "insider threat." Insiders represent a major threat since they usually have extensive knowledge of a facility and have unescorted access. Since the human element may represent the weakest link in any protection program, it is important that management recognizes the significance of an effective personnel security program. Coupled with human reliability programs, such as the Personnel Security Assurance Program (PSAP) and the Personnel Assurance Program (PAP) for those individuals who have access to Category I quantities of special nuclear material (SNM) or who are assigned nuclear explosive safety duties, the Personnel Security Program can provide an even more meaningful degree of protection.

Subtopical Areas

The following subtopical areas comprise Personnel Security:

A. Access Authorization (Personnel Clearance)
B. Security Education Briefings and Awareness
C. Control of Visits
D. Unclassified Visits and Assignments by Foreign Nationals
E. Personnel Assurance Program
F. Personnel Security Assurance Program

A. ACCESS AUTHORIZATION (Personnel Clearances)

Description

The process of determining eligibility for access authorization is at the heart of the Personnel Security Program, and is the first line of defense against the insider threat. The DOE established a structured and uniform approach for determining eligibility for DOE access authorization. Only individuals whose jobs require access to classified matter and/or special nuclear material are processed for access authorization. Pre-employment screening is required of management and operating (M&O) contractor employees being hired for positions requiring such access. The DOE contracts out the security background investigations (BIs); however, DOE may accept the results of other government agency BIs if they meet DOE requirements. The results of a BI and other relevant information are reviewed and adjudicated by DOE in accordance with the criteria set forth in Title 10 Code of Federal Regulations Part 710 (10 CFR 710).

References

- DOE Order 472.1B, "Personnel Security Activities"
- DOE Manual 472.1-1, "Personnel Security Program Manual"
- 10 CFR 710, "Criteria and Procedures for Determining Eligibility for Access to Classified Matter or Special Nuclear Material"

Survey Content

The survey consists of an evaluation of the implementation and management of access authorization procedures at DOE facilities.

Documentation

Reviewing documentation will facilitate understanding the facility's access authorization program and identifying procedures. This information will also assist in developing appropriate performance testing, if deemed appropriate. (?) All documents will be reviewed for correctness, consistency, agreement, and to ensure that they are current. The following documents will be requested and reviewed during the survey to validate compliance and performance:

Training Records: In-house training records will be reviewed to determine whether the training is relevant and effective and the personnel security staff is knowledgeable of their responsibilities.

Personnel Security Files (PSFs): Selected PSFs will be reviewed to determine:

- Whether the procedure for terminating access authorization is followed.
- If incidents are reported in a timely manner, to include positive drug tests.

Internal Procedures/Records: The procedures will be reviewed for consistency with DOE policy. Records will be reviewed to determine:

- Whether the procedures for verifying initial and continued need for access authorization meet DOE requirements and are implemented as described.
- Whether the procedure for cancellation of request for background investigations is followed.

Interviews

Interviews provide background information and explanation as to how policies and procedures are implemented. They may be conducted during any phase of the survey process to clarify records or observe performance conditions. Interviews will be conducted to determine whether the requirements for an effective access authorization program are understood and implemented.

The following people will be interviewed:

- Individuals responsible for personnel security activities will be interviewed to determine whether they are familiar with their specific duties, whether they have received adequate training for the functions they perform, and whether sufficient resources have been allocated.
- Individuals responsible for personnel security activities will be interviewed to discuss internal procedures and to discuss how these procedures are implemented.
- Supervisors and cleared employees will be interviewed to determine whether their current job requirements warrant their particular level of access authorization and to assure they are knowledgeable of their individual reporting requirements.

Performance Measures

Since the bulk of the survey conducted for personnel security is measurable through review of documents, observations and interviews, performance based testing will be reserved to evaluate any areas that might require more extensive review.

E. PERSONNEL ASSURANCE PROGRAM

Description

Essentially a Human Reliability Program, the Personnel Assurance Program (PAP) was created as a certification program to assure the suitability of individuals for nuclear explosive duties from a safety standpoint.

PAP evaluation elements are medical examinations, psychological testing, drug screening and supervisory reviews. An individual in the PAP must have a DOE "Q" access authorization, which includes an initial investigation and reinvestigation every five years. Training in recognizing aberrant behavior is provided to PAP participants.

References

10 CFR Part 711
DOE O 452.2A
MOA dated 3/9/95

Survey Content

This is primarily a safety program, for which the site PAP Certifying Official has cognizance. The survey content will focus on reporting requirements.

Documentation

Documentation, including Personnel Security Files and reports of derogatory information will be reviewed as deemed necessary. Review of documents will be dependent on the outcome of the interviews.

Interviews

Interviews provide background information and explanations as to how PAP policies and procedures are implemented at they related to reporting derogatory information. The following will be interviewed.

- The PAP Facilitator at LAAO will be interviewed to discuss the process by which derogatory information is reported to the PAP Certifying Official and, in turn, to personnel security. Any subsequent interviews will be determined by the results of this interview.

F. PERSONNEL SECURITY ASSURANCE PROGRAM

Description

The Personnel Security Assurance Program (PSAP) is a continuous evaluation program for individuals who have direct access to, protect, or transport Category I quantities of SNM; perform duties as nuclear material production reactor operators; or people with the potential for causing unacceptable damage to national security.

The purpose of the PSAP is to ensure that these individuals meet the highest standard of reliability. The objective is to identify individuals whose judgment may be impaired by physical or psychological disorders, use of controlled substances, or use alcohol habitually to excess. Continuous evaluation is accomplished through an initial assessments and recurring annual assessments consisting of supervisory reviews, medical assessments, management evaluations, and security determinations. An individual in the PSAP must have a DOE "Q" access authorization, which includes an initial investigation and a reinvestigation every five years.

Training in observation of aberrant behavior is provided to PSAP supervisors and employees to assure that individuals in the PSAP are aware of behavior that may indicate a security concern.

The PSAP is concerned with the risk to national security posed by an individual and how that risk might be minimized. The ability of a person to physically perform a job is generally not a criterion in a PSAP determination; but trustworthiness, reliability, and sound judgment are of concern.

References

10 CFR Part 710 Subpart B
DOE O 472.1B
DOE M 472.1-1

Survey Content

The survey will consist of an evaluation of the implementation and management of the PSAP. This will include review of procedures, files and other pertinent records. All phases of the process will be evaluated which will include interviews with the medical staff, supervisors, and management officials. Individuals responsible for PSAP activities will be interviewed.

Documentation

All documents will be reviewed for consistency with DOE directives and to determine if they effectively support the PSAP. The following documents will be reviewed.

- Site Implementation Plan, Policies, and Procedures.
- Training Records/Materials. Determine if they are complete and adequately maintained. Evaluate if training materials are sufficient for the training staff and for the training of all personnel. If possible, the evaluator will attend a training session to determine the effectiveness of training.
- Examine any reports of unusual conduct, derogatory information or aberrant behavior to determine who made the report (supervisor/manager/individual) and what action was taken.
- Review drug testing procedures and databases to assess random and 12-month requirements.
- PSAP files will be reviewed for accuracy and to assess general requirements such as drug testing and timeframes.

Interviews

Meetings will be scheduled and interviews conducted to determine the adequacy of PSAP procedures and their implementation.

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The following people will be interviewed:

- Individuals responsible for PSAP will be interviewed to determine whether they are familiar with their specific duties, whether they have received adequate training for the functions they perform, and whether sufficient resources have been allocated.

- Individuals responsible for PSAP will be interviewed to discuss internal procedures and to discuss how these procedures are implemented.

- Site Occupational Medical Director to discuss his role and responsibilities and knowledge of the program.

- Interview the individuals responsible for drug testing. Observe actual drug testing if possible.

Performance Measures

Several methods exist by which performance can be measured. Since the primary intent is to determine whether access authorization procedures are effective, the data collection activities will educate the evaluator and assist in the formation of specific performance tests. Listed below is a technique that may be employed when evaluating the effectiveness of the procedures.

- Supervisors, managers and PSAP participants to determine if they have received training and if they are aware of their responsibilities to include reporting unusual conduct.

IV. CONTROL OF VISITS

Description

Strategies for the protection of DOE property (including nuclear materials) and information have been incorporated into applicable requirements established by DOE order. These strategies, when combined with visitor control procedures, ensure that only appropriately cleared individuals gain access to security areas and facilities.

Visitor control is designed to protect various DOE security interests, property and facilities (including appropriate contractor facilities). Access to DOE facilities is controlled by personnel who have been assigned the responsibility for assuring that only persons with proper authorization are admitted. Access to security areas, classified matter/information, special nuclear material or vital equipment is limited to persons who possess appropriate access authorization and who need such access or information in order to perform their official duties.

The DOE visitor control program addresses security concerns raised by visits and technical exchanges by universities, private industry, other governmental agencies, and foreign governments. Visitors gain access on a daily basis to some of the nation's most sensitive facilities engaged in various activities, from unclassified, non-sensitive energy research to nuclear weapons programs.

Access is limited to persons possessing appropriate access authorizations who require access in the performance of their official duties. Visitors to classified matter, areas or facilities are required to follow the notification and approval procedures that ensure that identity and access authorization level are accurately established.

Those visitor control procedures involving entrance and exit inspection/searches are covered in the PPO topic inspection plan, under Physical Security.

References

DOE Order 470.1, Chapter VIII

Survey Content

Evaluation of the implementation and management of the control of visitors to DOE facilities used to establish identity and access authorization, and visitor control requirements to deny access to security interests for which visitors are not authorized access.

Documentation

Reviewing documentation will help in understanding the facility's visitor control program and identifying the systems used for access control. Additionally, this information will assist in developing ideas for performance testing. All documents will be reviewed to identify inconsistencies and contradictions and to determine if they are current and accurate. The following documents will be reviewed:

- DOE Form 5631.20 "Request for Visit or Access Approval" (Notification and Approval of Incoming and Outgoing Classified Visits Records): The form should be complete and submitted in a timely manner to ensure the visitor is not delayed or denied access to classified areas or information to accomplish assigned tasks. Information limiting the visitor's access must be distributed to points of contact and escorts.
- Visitor Control Logs: Can be compared with visit requests to ensure uncleared individuals were not granted access to a facility or program.
- Local Visitor Control Procedures: Determine consistency with DOE policy. Procedures should ensure adherence to the dates of the visit, level of access afforded, and areas of the facility to be visited. Particular attention will be directed toward procedures used to communicate the limitations of the visit between the visitor control office and facility points of contact or escorts.
- Security Infraction Records: To determine incidents where visit hosts or escorts may have failed to meet their obligation to accompany their visitors and limit their access to unapproved areas.

Interviews

Interviews provide background information and explanations as to how policies and procedures are implemented. They may be conducted during any phase of the survey process, to clarify records or observed performance conditions. Interviews will be conducted to determine whether the requirement for an effective "need-to-know" policy regarding National Security Information, Restricted Data, Formerly Restricted Data and Nuclear Weapon Data is fully understood.

The following people will be interviewed:

- Employees responsible for processing and controlling classified visits: Determine whether staff are aware of their responsibilities and the need to verify access authorization levels and access requested.
- Individuals responsible for processing, controlling, and approving visits of uncleared U.S. citizens: Determine whether the requirement for an effective "need-to-know" policy regarding SCI, RD and NWD is fully understood, and to determine if they are fully aware of their responsibilities.

Performance Measures

The following techniques will be employed when evaluating the effectiveness of the program:

- Review procedures for the control of classified visits to determine consistency with DOE policy. Procedures should assure adherence to the dates of the visit, level of access afforded, and areas of the facility to be visited. Particular attention should be directed toward procedures used to communicate the limitations of the visit (that is, the areas and levels of access) between the visitor control office and facility points of contact or escorts.
- Review a sample of DOE F 5631.20s (when their use is required) to determine whether they contain adequate information and were submitted in time to allow the visited site to process the request. If deficiencies are noted, it may be prudent to review additional forms.
- Review a sample of classified visitor badge requests - lists of visitor badges issued or visitor logs - to ensure that visit requests were received for each badge requested. If deficiencies are noted, review additional forms.
- Review badge/pass system policies and procedures to determine whether they are consistent with DOE requirements, and whether the implementing procedures are consistent with site-specific policies. Determine if the appropriate access control is being achieved.
- Review visitor logs and badge records and interview personnel in the badge office to determine if visitors' badges and passes are being recovered at the conclusion of the visit. Determine what actions are taken if a visitor forgets to turn in a badge.
- Interview staff and personnel who are responsible for requesting visit authorizations to determine if the requirement for an effective need-to-know policy regarding National Security Information, Restricted Data, and Nuclear Weapon Data is fully understood.
- Observe badge checks and the wearing of badges by personnel during the course of normal operations to determine if procedures are being followed. Inspect badges/passes for proper identifying/access information and compare with visitor control records. Observe badge/pass preparation and accountability. Inspect containers used to store badge inserts and unissued badges.
- Interview operating personnel to identify problems in the operation of DAVACs and WDACs.

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Inspection Plan

SECURITY EDUCATION BRIEFINGS AND AWARENESS

Description

Security education is an integral element of the DOE's safeguards and security program, affecting all Departmental elements and staff performing work for the DOE who require access authorizations, access to classified facilities, classified matter, Special Nuclear Materials (SNM), or DOE security areas. As a condition of access each employee is required to attend certain briefings applicable to their specific access needs. The primary goal of the program is to inform employees of their security responsibilities associated with DOE programs and activities, alerting them to actual or potential threat, and motivating them to maintain a high level of security awareness.

The DOE requires the formulation and maintenance of a structured safeguards and security education program. As a condition of access to DOE security areas, SNM or classified matter, all DOE and DOE contractor employees will attend briefings that may include, but are not limited to, initial, comprehensive, refresher and termination briefings. Each is characterized below, with suggestions on how to ensure the security education training presented is in compliance with DOE Orders and is effective in informing employees of actual or potential threats, while motivating them to maintain a high level of security awareness.

Security education programs will be designed to include site-specific topics that address areas of concern to local management. To provide effective training, the program will be established and maintained with full knowledge and consideration of the personnel security access authorization requirement, physical security features of the facilities and their programs, nature of the work, the classification and sensitivity of information, and numbers and levels of personnel in the facilities for which security protection is provided.

References

- DOE Order 1240.2B, "Unclassified Visits and Assignments by Foreign Nationals," 08/21/92
- DOE Order 200.1, "Information Management Program," 09/30/96
- DOE Order 1500.3, "Foreign Travel Authorization," 11/10/86
- DOE Order 5632.1C, "Protection and Control of Safeguards and Security Interests," 07/15/94
- DOE Order 5650.2B, "Identification of Classified Information," 12/31/91; Change 2, 04/28/93
- DOE Order 470.1, "Safeguards and Security Program," 09/28/95
- DOE Order 471.2, "Information Security Program" 09/28/95
- DOE Order 472.1, "Personnel Security Activities" 09/25/95

Survey Content

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Although it is easy to determine program compliance by comparing program activities with applicable DOE orders, it is not often easy to determine program effectiveness; and ensuring a program is in compliance does not guarantee that it is effective. When evaluating any security education program it is essential that the inspector look beyond compliance. With adequate preplanning this can be accomplished. In addition to meeting DOE requirements, key elements to an effective program include genuine management support and interest; clear program implementation plans and procedures; articulated program responsibilities; and use of the security education program as a communication channel to address local security problems.
The ultimate goal of the survey is to determine if employees know their safeguards and security responsibilities. This can be determined by closely examining the security education program, reviewing infraction records, and interviewing employees who have attended various briefings to determine what they learned.

Documentation

Reviewing the documentation will help in understanding the facility's program and learning about the education and awareness needs. Additionally, this information will assist in developing ideas for performance testing. All documents will be reviewed to identify inconsistencies and contradictions and to determine if they are current and accurate. The following documents will be reviewed prior to or during the survey:

Program Management Files: Should contain all correspondence related to the security education program; may contain letters which indicate management support for the program. Identify special provisions for delegation of authority for oversight of contractor and subcontractor security education. Assure compliance with DOE Orders and may identify deviations.

- Lesson Plans: Provide required information for each type of briefing, with references for teaching/training aids and methods of presentation.

- Instructional Aids (Includes Student Handouts): May indicate management support, assist in helping students understand or remember important aspects of the training.

- ~~Safeguards and Security Awareness Coordinator Appointment Letter~~: Should be current and accurate.

- Attendance Records: Will indicate who has received specific training. Can be compared with badge issuing records and can be used to identify potential employees for interviews.

- Evaluation Records: Provides a historic record of students' reaction to training and potential effectiveness of specific lessons. Can also be used to identify potential employees for interviews.

no test or measurement mechanism

- Awareness Tools (Posters, Newsletters, etc.): Should be site-specific, current, visible, and meet DOE requirements. Can indicate management support.

- Security Infraction a Violation Records: May indicate trenc o identify training effectiveness, or may indicate problem areas.

Interviews

Interviews will be conducted to determine the adequacy of security education documentation and training materials and evaluate whether the training supports organizational areas of concern. If interviews are conducted at various locations at the facility, will ask to see posters or awareness aids that may have been distributed for display.

The following people will be interviewed:

- Safeguards and Security Manager (Contractor and DOE): Consider their knowledge of the program and its goals. Determine what guidance and resources they provide the Coordinator. Also evaluate the use of the security education program as a communication channel to address security problems.

- DOE and Contractor Security Education Coordinator: Determine if they have knowledge of DOE Orders, possess writing and presentation skills, and are aware of security related incidents and threats.

- Security Education Training Attendees: Interviews of people who have attended training should focus on the quality of the training and retention of information presented by the instructor.

- Site Managers and Supervisors: Determine if supervisors and managers assigned throughout the facility are familiar with the security education provided and have knowledge of the frequency and effectiveness of the training.

Performance Measures

Several methods exist by which performance can be measured. Since the primary intent is to determine whether the security education program is effective, the data collection activities will educate the inspector and assist in the formation of specific performance tests.

Listed below are techniques that may be employed when evaluating the effectiveness of the program.

- Attendance at scheduled briefings to evaluate the information covered, presentation style, briefing room environment, training aids, knowledge and enthusiasm of the instructor, and quality of student handouts. Lesson plans and visual aids will be examined to ensure they adequately support the overall presentation. Question and answer sessions will be evaluated to determine the instructor's ability to respond effectively.

- Select 10 to 15 records to conduct random sampling comparisons of security education records with badging records or other personnel records. Determine if individuals were issued badges for access prior to receiving the required briefings. If access authorizations have been granted prematurely, expand the scope of the review and identify trends that may be indicative of a larger problem.
- Prepare a brief "knowledge test" for each type of briefing and ask employees who have attended the briefings to complete the test. This will assist in evaluating the effectiveness of the training, but will not be used by itself to make that determination.
- Consider whether security infractions and violations are unusually high. If so, carefully analyze available information to determine whether it results from a lack of security awareness training, or whether awareness training has intensified employee participation in detecting and reporting security infractions and violations.
- Examine visual aids (posters, videos, handouts, newsletters, and booklets) to determine if they are current, support security awareness, and are consistent with briefing content and DOE policy. Posters will be checked to determine whether themes relate to security problems and agree with DOE policy.