

FY 2000 Program Plan
Office of Safeguards and Security Evaluations
U.S. Department of Energy

October 1999

Chapter 1

Introduction

Background and Purpose

This plan outlines the objectives, program structure, and anticipated activities of the Office of Safeguards and Security Evaluations (OA-10) for Calendar Year 2000. The safeguards and security evaluation program conducted by OA-10 provides DOE and contractor managers, Congress, and other stakeholders with an independent evaluation of the effectiveness of DOE safeguards and security policy and programs, and the effectiveness with which these policies and programs are implemented at the various facilities throughout the DOE complex.

The safeguards and security evaluation program is a mature operation, informed by nearly two decades of operational experience. The challenges expected in the year 2000, however, will require continuous improvement in all aspects of the process, in order to fulfill the responsibilities placed upon this office in its role as a key element of the Department of Energy's recently-created Office of Independent Oversight and Performance Assurance.

Objectives

The objectives of the safeguards and security evaluation program are to:

- Provide independent assurance that DOE safeguards and security policy prescribes appropriate protection for all security interests under the purview of DOE;
- Provide independent assurance that DOE protection programs are implemented in such a way as to assure adequate security;
- Identify Department-wide protection issues derived from analysis of independent oversight activities; and
- Perform studies, evaluations, and analyses as directed by senior Departmental managers.

To accomplish these objectives, the safeguards and security evaluation program must be responsive, accurate, and focused. The program must address both evolutionary trends in adversary characteristics and unanticipated national and international events, while ensuring that evaluations are consistent with long-standing Departmental standards. Most importantly, the program must arrive at its judgments through an open and even-handed process, support its judgments with its technical credibility, and present its results in a clear and decisive manner.

Organization

The Office of Safeguards and Security Evaluations, along with the Office of Cyber Security and Special Reviews and the Office of Emergency Management Oversight, resides within the Office of Independent Oversight and Performance Assurance, the independent oversight arm of the Office of the Secretary of Energy. This organizational framework provides program independence from DOE elements that have line and/or program management responsibilities for safeguards and security programs and policies.

Program Requirements and Responsibilities

The creation of the Office of Independent Oversight and Performance Assurance and the location of the Office of Safeguards and Security Evaluations within this office are by Secretarial Directive. Specific program requirements and responsibilities are set forth in this Secretarial Directive and in DOE Order 470.2, *Safeguards and Security Independent Oversight Program*.

Major program requirements include, but are not limited to:

- Developing and maintaining DOE safeguards and security independent oversight policies, procedures, standards, and guidelines;
- Implementing safeguards and security independent oversight policies, procedures, standards, and guidelines;
- Scheduling, planning, and conducting safeguards and security inspections and related evaluation activities;
- Maintaining awareness of the status of findings identified during appraisals through the evaluation of corrective action plans, monitoring the status of corrective actions, and verifying closure of findings during site visits;
- Identifying and coordinating safeguards and security policy issues and concerns with the Office of Security and Emergency Operations for resolution;
- Providing timely reports of the results of all appraisal activities to the Secretary of Energy;
- At the direction of the Secretary of Energy, provide evaluations of safeguards and security policies, programs, and implementation to appropriate DOE managers in various written formats (e.g. Inspection Reports, Follow-up and Focused Review Reports, Special Study Reports)
- Provide input to the Department's *Annual Report to the President on Safeguards and Security at Nuclear Weapons Facilities*.

Achievements in Calendar Year 1999

During CY 1999, the Office of Safeguards and Security Evaluations achieved the following significant results:

- Conducted comprehensive inspections at Lawrence Livermore National Laboratory, Sandia National Laboratories-New Mexico and California, Los Alamos National Laboratory, and the Y-12 Plant;
- Conducted S&S Site Profiles and Profile Follow-ups at the Kansas City Plant, Oak Ridge National Laboratory, and the Savannah River Site;
- Prepared a detailed historical review of safeguards and security issues for the GAO;
- Conducted Focused or Follow-up Reviews at Rocky Flats, TSD, and at the four national nuclear weapons laboratories;
- Supported corrective action review and Site Safeguards and Security Plan Verification and Validation process at Lawrence Livermore National Laboratory;
- Established relations with the U.S. Army Survivability/Lethality Analysis Directorate and the Army Material Systems Analysis Agency at Aberdeen Proving Ground to obtain more precise data concerning adversary and protective force weapons capabilities;
- Acquired and implemented the Joint Tactical Simulation computer modeling tool as a means of enhancing the office's ability to analyze facility tactical plans;
- Expanded the total number of Composite Adversary Team (CAT) members and improved CAT capabilities through the conduct of tactical training at facilities provided by the Nevada Test Site
- Acquired new equipment, including state-of-the-art radios, to support CAT operations;
- Assisted the Office of Defense Programs, the Albuquerque Operations Office, and the Los Alamos National Laboratory in developing a defensible ARGUS cost/benefit analysis in support of the physical security system line item upgrade at Los Alamos;
- Received authorization to increase the number of Federal staff members in the office and identified several candidates for these positions;

- Participated on working groups such as the Threat Assessment working group and the working group formed to revise the SSSP process.
- Played a major role in the creation of the new Office of Independent Oversight and Performance Assurance;
- Prepared and published a revised and updated Inspection Process Guide;
- Participated on the DOE Security Council.

Chapter 2

Planning Assumptions, Goals, and Objectives

Program Goals for Calendar Year 2000

The major goals for the year are to:

- Conduct performance-based comprehensive inspections at the Department's highest priority locations;
- Conduct follow-up and focused reviews in accordance with the established priorities for such activities;
- Provide input to the Department-wide assessment of the status of safeguards and security programs;
- Provide input to the Department's Annual Report to the President regarding the status of protection at nuclear weapons program sites;
- Be prepared to respond to special information requirements at the direction of the Secretary of Energy;
- Enhance the Office of Safeguards and Security Evaluations resource and technical base; and
- Enhance program performance through training and continuous improvement processes.

Planning Assumptions

The major assumptions used in the planning process are:

- The current mission, roles, and responsibilities of the Office of Safeguards and Security Evaluations, as reflected in Secretarial Directives and DOE Order 470.2 will remain unchanged;
- There will be continued emphasis on and Secretarial support for the safeguards and security oversight program;
- Once the current expansion of the office in accordance with recent authorizations is completed, the overall budget and resources for the program will remain stable and available;
- The current processes used by the program are conceptually sound.

Program Objectives for Calendar Year 2000

Specific objectives for the year are to:

- **Meet program baseline requirements** by planning, scheduling, and conducting inspections and reviews of key facilities, by conducting follow-up reviews as required, and by conducting special studies in support of the overall objectives of the Office of Independent Oversight and Performance Assurance.
- **Work together with the Office of Cyber Security and Special Reviews and the Office of Emergency Management Oversight** to plan, schedule, and conduct appropriate joint oversight activities;
- **Expand the Federal staff** by completing the currently mandated staffing plan, adding continuity and strength of technical expertise in all essential program areas;
- **Implement process improvements** by expanding contact with Department of Defense and other federal agencies to improve our technical knowledge base and resource capabilities, acquiring additional performance testing resources, and further developing the capabilities of the Composite Adversary Team;
- **Continue to strengthen the scope and depth of information security reviews** across the complex by way of an enhanced evaluation method of site vulnerability assessments for all classified information media, and through increased office resources supporting individual site inspection activities.
- **Continue to strengthen protection strategy analysis capabilities** by further development and use of the recently acquired Joint Tactical Simulation (JTS) system.

Chapter 3

Program Activities, Priorities, and Resources

This section addresses the Office of Safeguards and Security Evaluations activities planned for Calendar Year 2000 and the priorities for those activities. Activities scheduled and expected to be completed during the last quarter of 1999 are also discussed in this section.

Activities and Priorities

The activities of the Office of Safeguards and Security Evaluations center on providing the Secretary of Energy detailed and timely information concerning the ability of Department facilities to protect national security interests. These activities primarily consist of three types of assessments:

- **Comprehensive Inspections** that are conducted to formally evaluate the overall effectiveness of protection programs at a particular site. These large-scale inspections consider all the standard protection topical areas and customarily involve assigning a performance rating to each. Comprehensive inspections at facilities with significant holdings of Special Nuclear Materials will also typically include large-scale performance tests of the facility's tactical response capability. Comprehensive inspections result in an overall facility rating that reflects fulfillment of performance requirements in the topical areas, the integrated performance of the entire security system in protecting Special Nuclear Materials and information, and the performance of line management in implementing effective protection programs.
- **Special Inspections** serve as a flexible tool for enhancing the Office of Safeguards and Security beyond comprehensive inspections. Although special inspections can be adapted to serve a variety of purposes, they will typically be used to investigate specific issues at a particular facility. Their limited scope and the limited number of personnel assigned characterize special inspections.
- **Follow-up Reviews** that monitor the status of protection issues resulting from comprehensive inspections and focused reviews. The Office of Safeguards and Security Evaluations is responsible for reporting current status of all issues to senior Departmental managers and other stakeholders. Follow-up reviews will customarily employ only a limited number of subject matter experts, selected to address the issues requiring follow-up investigation.

The schedule of activities for fiscal year 2000 and the first quarter of fiscal year 2001 comprises 18 activities, including four comprehensive inspections, five follow up reviews, and five focused reviews and three other on-site reviews.

Resources

As was the case in Calendar Year 1999, the personnel resources available to the Office of Safeguards and Security Evaluations remain the most critical constraint placed on program functions. A significant expansion of the Federal staff was authorized for 1999 and the Office will be fully staffed by January 1, 2000. This staff increase will allow the Office to effectively maintain the pace established by the Secretary's directives during fiscal year 1999. The office expects that levels of contractor support for the upcoming year will remain stable.

The Office of Cyber Security and Special Reviews typically supplies the complete cyber security topical team for inspection activities that include cyber security. In addition, the Office of Emergency Management Oversight will participate in several inspections during fiscal year 2000 to provide focused review of emergency management issues. The activities of these three Offices will be closely coordinated to ensure that maximum utilization is made of complementary skills resident in each.

In summary, the Office of Safeguards and Security Evaluations will conduct more formal reviews in CY 2000 than have been performed since 1991. As staff resources increase through the year, the office will increase the pace of operations still farther. Its goal will be to achieve a pace of evaluation sufficient to support at least one visit to each key facility each year.