

Safeguards and Security
Funding Profile by Subprogram

(dollars in thousands)

	FY 2009 Current Appropriation	FY 2010 Current Appropriation	FY 2011 Request
Safeguards and Security			
Protective Forces	33,708	34,567	36,471
Security Systems	7,857	8,347	8,475
Information Security	4,494	4,550	4,141
Cyber Security	18,993	19,824	20,752
Personnel Security	5,517	6,412 ^a	7,257 ^a
Material Control and Accountability	2,238	2,249	2,413
Program Management	7,796	7,051	6,991
Total, Safeguards and Security	80,603	83,000	86,500

Public Law Authorizations:

Public Law 95–91, “Department of Energy Organization Act”, 1977

Public Law 109–58, “Energy Policy Act of 2005”

Public Law 110–69, “America COMPETES Act of 2007”

Program Overview

Mission

The mission of the Office of Science (SC) Safeguards and Security (S&S) program is to support the Departmental research missions at SC laboratories by ensuring appropriate levels of protection against unauthorized access, theft, diversion, loss of custody, destruction of Department assets, or hostile acts that may cause adverse impacts on fundamental science, national security, and the health and safety of DOE and contractor employees, the public, and the environment.

Background

Successfully executing the SC mission requires national and international information sharing and open scientific collaboration. SC laboratories collaborate with universities and research facilities at every corner of the globe through virtual interconnections. Therefore the SC physical and virtual security posture must be flexible and responsive to efforts to functionally integrate international research. In addition, some laboratories must implement security measures to protect classified information, special nuclear material, irreplaceable Departmental property, or shared tools of discovery.

Subprograms

The S&S program functional areas include:

Protective Forces: Security officers/access control officers and security police officers assigned to protect S&S interests.

^a For security investigations, FY 2010 includes direct appropriations funding of \$184,000 for federal field personnel; an additional estimate of \$5,816,000 will be used from chargebacks for contractors. The respective amounts for FY 2011 are \$178,000 and \$5,822,000.

Security Systems: Personnel, equipment, hardware and software structures, and plans and procedures used to protect S&S interests.

Information Security: Personnel for execution of the administrative policies and procedures for identifying, marking, and protecting classified and sensitive unclassified information and materials from unauthorized disclosure.

Cyber Security: Personnel for protection of computing resources and data against unauthorized access to or modification of information (whether in storage, processing, or transit), as well as ensuring data availability when required for the completion of assigned tasks by Departmental employees.

Personnel Security: Personnel for execution of policies, procedures, processing security clearance applications and activities for granting individuals access to classified matter and/or special nuclear material and allowing Foreign Nationals access to DOE facilities.

Material Control and Accountability: Personnel, systems, and procedures necessary to establish and track nuclear material inventories, control access to and detect loss or diversion of nuclear material.

Program Management: Personnel, policy, oversight, and administration that establish the general requirements for S&S planning associated with the preceding programs. The process also includes reviews of program activities.

Benefits

The S&S program protects DOE assets and resources, thereby allowing the programmatic mission of the Department to be conducted in an environment that is secure and based on the unique needs of each site. The Integrated Safeguards and Security management strategy utilizes a graded approach enabling each facility to design a security protection program that meets facility and science-specific threat scenarios.

Program Planning and Management

S&S planning and management identify the resources necessary to ensure protection of Department assets and identify changes in resource requirements (operational requirements, capital equipment, and general plant projects). Planning and management also entails a review of line item construction projects that directly or indirectly impact risk. The source of directional changes usually comes from revised S&S policy, directives, guidance, or other Departmental requirements. Management and oversight activities include contractor self-assessments and external audits, inspections, surveys, and program reviews conducted by the Department's Inspector General, the Office of Health, Safety and Security, the SC Deputy Director for Field Operations, and the Integrated Support Center. Addressing the results of these oversight activities informs tactical and strategic five-year plans.

Budget Overview

In June 2009, the Office of Health, Safety and Security held a Security Director's Conference which resulted in emerging themes for policy changes within the Department that addressed how policy is developed and implemented. Additionally, plans to manage a revised risk acceptance model, methods the Department can use to change the risk adverse culture, and the role of S&S oversight were overarching topics discussed at this meeting. The Office of the Chief Information Officer also conducted a review of Departmental directives. The resulting recommendation for cyber security was that the Department replace all cyber security related directives with National Institute of Standards and Technology standards. SC has initiated a security industry best practices study. As this study moves forward, adjustments to the functional areas and funding reallocations within the S&S program may be required. The outcome of the best practices study is intended to inform the revision and standardization

of baseline requirements across SC, which will clarify minimum standards and codify a set of principles on which future budget requests can be built.

The FY 2011 submission provides direct funding for S&S for the SC base program. Costs of routine security for Work for Others will be provided via full cost recovery. Extraordinary security requirements for the Work for Others projects will be directly charged to customers. Site security activities that pertain to the institutional security requirements will be charged to either indirect or general and administrative costs.

Estimates of Security Cost Recovered by Science, Safeguards and Security

(dollars in thousands)

	FY 2009 Current Appropriation	FY 2010 Current Appropriation	FY 2011 Request
Safeguards and Security			
Ames National Laboratory	0	0	26
Argonne National Laboratory	0	0	1,044
Brookhaven National Laboratory	0	0	810
Lawrence Berkeley National Laboratory	0	0	932
Pacific Northwest National Laboratory	0	0	1,000
Princeton Plasma Physics Laboratory	0	0	29
Oak Ridge National Laboratory	0	0	3,900
Oak Ridge Institute for Science and Education	0	0	400
SLAC National Accelerator Laboratory	0	0	50
Total, Security Cost Recovered	0	0	8,191

Detailed Justification

(dollars in thousands)

	FY 2009	FY 2010	FY 2011
Ames Laboratory	1,067	980	1,007
Ames Laboratory is operated as an open site and additional access restrictions and protection strategies are applied according to the laboratory's site security plan. The integration of Ames Laboratory with the buildings and activities of Iowa State University has implications for site security planning and site utilization.			
Argonne National Laboratory	9,787	8,742	8,985
Argonne National Laboratory has been allocated funding through Environmental Management to begin clean up of a significant quantity of safeguards interests. These interests will require greater levels of protection and material control and accountability during the transition.			
Brookhaven National Laboratory	11,824	11,632	11,955

The threat spectrum for Brookhaven National Laboratory is based upon the current DOE Graded Security Protection Policy for DOE programs and facilities as well as other threat/risk assessments conducted by the laboratory and the Federal Bureau of Investigation. In addition, the Suffolk County

(dollars in thousands)

FY 2009	FY 2010	FY 2011
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Police Department has identified the laboratory as one of the most likely targets of an attack and includes it on their “Critical Infrastructure List.” The laboratory’s protection strategies consider the adversary capabilities associated with local threat documents and the site’s facility protection categories.

Chicago Office 1,222 1,222 0

FY 2009 and FY 2010 funding provides for protective force services at Fermi National Accelerator Laboratory which is transferred to Fermi National Accelerator laboratory in FY 2011, consistent with the contract period.

Fermi National Accelerator Laboratory 2,024 2,169 3,486

As a basic science research laboratory facilitating scientific excellence, Fermi National Accelerator Laboratory is engaged in providing unclassified, open, and collaborative work environments.

Lawrence Berkeley National Laboratory 5,529 5,059 5,201

The laboratory serves a large community of continental and intercontinental visitors. Consistent with the terms of the contract with the University of California, no sensitive or classified research is conducted by the laboratory or allowed on-site. S&S funding supports secure but open collaborative efforts on- and off-site.

Oak Ridge Institute for Science and Education 1,710 1,626 1,671

The S&S program implements a comprehensive, graded-approach strategy for the protection of DOE assets. With the exception of three limited security areas which afford protection of classified matter up to and including the Secret Restricted Data level, all the facilities are designated as property protection areas for the purpose of protecting other government owned assets.

Oak Ridge National Laboratory 9,094 8,895 9,144

The S&S budget supports the laboratory in its role as a world leader in scientific research, emerging technologies, and national security research. The site supports research in areas related to detection, inhibition, and response to the use of unconventional weapons and radiation dispersal devices in the United States.

Oak Ridge Office 19,174 19,357 19,895

The Oak Ridge Office oversees and manages S&S programs at the Oak Ridge National Laboratory and the Oak Ridge Site Office. This request primarily provides funding for protective forces for these sites.

Office of Scientific and Technical Information 583 490 504

The Office of Scientific and Technical Information’s mission is to collect, preserve, disseminate, and leverage the scientific and technical information resources of DOE. A primary objective is to expand the knowledge base of science and technology and facilitate scientific discovery and application. S&S funding supports classified information protection and unclassified cyber security controls. This request continues to maintain a secure architecture with controls to protect DOE’s electronic R&D information.

Pacific Northwest National Laboratory 11,256 11,163 11,476

The laboratory manages an inventory of special nuclear materials and is approved to possess classified matter. The laboratory is a cyber center of excellence for national research and development efforts. Funding for protective force operations is the responsibility of the Office of Environmental

(dollars in thousands)

FY 2009	FY 2010	FY 2011
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Management.

Princeton Plasma Physics Laboratory 2,242 2,178 2,237

Princeton Plasma Physics Laboratory is effectively integrated with the security controls implemented by Princeton University. The laboratory is considered a property protection area. The tritium inventory is located in four areas within a secured perimeter and a restricted access area.

SLAC National Accelerator Laboratory 2,679 2,643 2,716

The security interests for SLAC include protection of designated property protection areas for people and Departmental property. The remainder of the site is an open extension of the Stanford University campus. Consistent with the terms of the contract with Stanford University, no sensitive or classified research is conducted by SLAC or allowed on-site.

Thomas Jefferson National Accelerator Facility 1,504 1,432 1,470

Entry to the laboratory is controlled to limit access to individuals who have an official purpose at the research facility. No areas are defined as security areas; security interests are protected by employing logical protection strategies. Unclassified sensitive information requiring protection is controlled by employees who are in possession of the documents or information technology system. High value property is protected by the employee custodian of the property.

All Other 908 5,412 6,753

All Other supports the continuation and management of a consistent cyber security approach across the Office of Science laboratory complex, Federal security clearances, and program management needs for SC. Funding will be allocated based on the highest priority needs at the conclusion of scheduled programmatic reviews.

Total, Safeguards and Security	80,603	83,000	86,500
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Explanation of Changes

FY 2011 vs. FY 2010 (\$000)

Ames Laboratory

Increased funding maintains S&S activities at the current level of effort. +27

Argonne National Laboratory

Increased funding maintains S&S activities at the current level of effort. +243

Brookhaven National Laboratory

Increased funding maintains S&S activities at the current level of effort. +323

FY 2011 vs. FY 2010 (\$000)

Chicago Office

Security contract funding is transferred to Fermi National Accelerator Laboratory, consistent with contract. -1,222

Fermi National Accelerator Laboratory

Increased funding is provided to support the security contract transfer from the Chicago Office and to ensure a current level of effort. +1,317

Lawrence Berkeley National Laboratory

Increased funding maintains S&S activities at the current level of effort. +142

Oak Ridge Institute for Science and Education

Increased funding maintains S&S activities at the current level of effort. +45

Oak Ridge National Laboratory

Increased funding maintains S&S activities at the current level of effort. +249

Oak Ridge Office

Increased funding maintains S&S activities at the current level of effort. +538

Office of Scientific and Technical Information

Increased funding maintains S&S activities at the current level of effort. +14

Pacific Northwest National Laboratory

Increased funding maintains S&S activities at the current level of effort. +313

Princeton Plasma Physics Laboratory

Increased funding maintains S&S activities at the current level of effort. +59

SLAC National Accelerator Laboratory

Increased funding maintains S&S activities at the current level of effort. +73

Thomas Jefferson National Accelerator Facility

Increased funding maintains S&S activities at the current level of effort. +38

All Other

An increase in funding is included for security investigations, and those funds will be distributed upon evaluation of site requirements. +1,341

Total Funding Change, Safeguards and Security +3,500

Supporting Information
Operating Expenses, Capital Equipment and Construction Summary

(dollars in thousands)

	FY 2009	FY 2010	FY 2011
Operating Expenses	80,581	83,000	86,500
General Plant Projects	22	0	0
Total, Safeguards and Security	80,603	83,000	86,500