Safeguards and Security
Funding Profile by Subprogram and Activity

(dollars in thousands)

	FY 2012 Current	FY 2013 Annualized CR*	FY 2014 Request
Protective Forces	35,370	—	38,141
Security Systems	10,902	—	13,319
Information Security	5,118	—	4,164
Cyber Security	15,536	—	17,599
Personnel Security	5,108	—	5,143
Material Control and Accountability	2,121	—	2,397
Program Management	6,418	—	6,237
Total, Safeguards and Security	80,573	81,066	87,000

*FY 2013 amounts shown reflect the P.L. 112-175 continuing resolution level annualized to a full year. These amounts are shown only at the "congressional control" level and above; below that level a dash (—) is shown.

Public Law Authorizations

Public Law 95-91, "Department of Energy Organization Act", 1977
Public Law 102-468, "Energy Policy Act of 1992"
Public Law 109-58, "Energy Policy Act of 2005"
Public Law 110-69, "America COMPETES Act of 2007"
Public Law 111-358, "America COMPETES Reauthorization Act of 2010"

Overview

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

Global information sharing and open scientific collaboration are essential for the successful pursuit of scientific research and the achievement of scientific breakthroughs. As a result, SC laboratory campuses and networks have been designed to facilitate ready exchange of and access to scientific information. This openness presents security challenges across the SC national laboratory system. The SC S&S program is designed to ensure that appropriate measures are in place to address these challenges. Specifically, the program has established the following priorities: to protect special, source, and other nuclear materials, radioactive materials, and classified and sensitive information at SC laboratories; to provide physical controls at SC national laboratory facilities to mitigate other security risks, including risks to valuable assets and laboratory employees; to provide cyber security controls for SC national laboratory information systems to protect data while enabling the mission; and to ensure that site security programs result in the secure workplace required to facilitate scientific advances.

The S&S program is organized into seven functional areas: Protective Forces, Security Systems, Information Security, Cyber Security, Personnel Security, Material Control and Accountability, and Program Management.

Program Planning and Management

S&S partners closely with DOE site offices and laboratory management to ensure close integration of security measures with laboratory operations. SC security program planning is based on physical security risk assessments that have been completed at each site. This approach provides an information baseline for use in integrating S&S considerations, facilitating management evaluation of program elements, determining

appropriate resources, and establishing a cost-benefit basis for analyses and comparison. In partnership with S&S Program Managers, SC site offices and laboratories assess the local threat to mission specific assets and implement baseline security elements to mitigate risk. The result of these efforts is a resource proposal and a site specific S&S Baseline Level of Protection. This Baseline Level of Protection:

- Relies on national standards and rigorous peer reviews where possible, appropriately aligns risk tolerance and acceptance with fiscal constraints, and recognizes the diversity in the SC site missions and assets.

- Provides for the scalability of requirements, defines clear roles and responsibilities, and aligns accountability for performance with the appropriate Federal and contractor management.

- Encourages the use of technology where appropriate.

An essential step in implementing the S&S Baseline Level of Protection is to undertake a physical security risk assessment, which is required at each SC site to provide the basis for implementation and for funding requests.

Explanation of Funding and Program Changes

The FY 2014 request will maintain security throughout DOE sites and support continued progress toward the Baseline Level of Protection. The program will also continue implementation of technologies to incrementally reduce reliance on the use of personnel for routine access control and other security services. The increased FY 2014 request supports infrastructure investments in access control systems, upgrades necessary to meet Homeland Security Presidential Directive-12 (HSPD-12) requirements at laboratories, and the cyber security enhancements needed to ensure laboratories are properly protected against emerging threats and persistent attacks against SC Information Technology systems. In addition, the FY 2014 request includes funding to fully support SC's portion of the new Protective Forces Contract at Oak Ridge National Laboratory (ORNL), and the additional protection needed to secure the Category 1 Special Nuclear Material in Building 3019 at ORNL.

(dollars in thousands)

	FY 2012 Current	FY 2014 Request	FY 2014 Request vs. FY 2012 Current
Protective Forces	35,370	38,141	+2,771

The increased request provides funding to fully support SC's portion of the new Protective Force Contract at ORNL. The increased funds will be used to pay for technical surveillance counter measures, use of the paramilitary training facility, emergency support for special response teams, and access to a classified network for security operations.

Security Systems	10,902	13,319	+2,417

Risk assessments completed as part of the Security Baseline Level of Protection identified security system upgrades to improve security system operations by either augmenting or replacing staff FTEs through entry control automation. This allows for site-specific incremental savings without increasing risk.

These savings partially offset increases to support implementation of technology upgrades and infrastructure investments in automated access control systems. The request also provides funding for upgrades necessary to meet the requirements for a common identification standard for federal employees and contractors at SC laboratories, mandated under HSPD-12.

	FY 2012 Current	FY 2014 Request	FY 2014 Request vs. FY 2012 Current
Information Security	5,118	4,164	-954

Funding decreases to accommodate laboratory and program priorities. Funding at this level will maintain proper document marking, storage, and protection of information.

Cyber Security	15,536	17,599	+2,063

The increased request provides funding to support the cyber security enhancements needed to ensure that laboratories are properly protected against emerging threats made evident by persistent attacks against SC IT systems. Funding will be used to support threat assessments, risk management, configuration management, and network management.

Personnel Security	5,108	5,143	+35

Funding increases to accommodate the additional facility users and visitors, including foreign nationals, anticipated as a result of the expanded interest in SC laboratory programs.

Material Control and Accountability (MC&A)	2,121	2,397	+276

Funding increases to accommodate changes in site specific MC&A programs.

Program Management	6,418	6,237	-181

Funding decreases to accommodate laboratory and program priorities. Funding at this level maintains direction, oversight and administration, and security program planning.

Total, Safeguards and Security	80,573	87,000	+6,427

Protective Forces

<u>Overview</u>

The Protective Forces element supports security officers, access control officers, and security policy officers assigned to protect S&S interests. Activities within this element include access control and security response operations as well as physical protection of the Department's critical assets and SC facilities. In addition, activities to maintain operations are aimed at providing effective response to emergency situations, random prohibited article inspections, security alarm monitoring, and performance testing of the protective force response to various event scenarios.

<u>Funding and Activity Schedule</u>

Fiscal Year	Activity	Funding (dollars in thousands)
FY 2012	Funding in FY 2012 maintains the necessary protective forces and the equipment, facilities, and training needed to ensure effective performance.	35,370
FY 2013	The FY 2013 Request was for $33,750,000 to maintain the current security posture at a level that is consistent with SC laboratory needs.	—
FY 2014	The FY 2014 request provides funding to fully support SC's portion of the new Protective Forces Contract at Oak Ridge and maintains protection levels, equipment, facilities, and training needed to ensure effective performance at all SC laboratories.	38,141

Security Systems

<u>Overview</u>

The Security Systems element provides physical protection of Departmental material, equipment, property, and facilities, including buildings, fences, barriers, lighting, sensors, surveillance devices, entry control devices, access control systems, and power systems operated and used to support the protection of DOE property, classified information, and other interests of national security.

<u>Funding and Activity Schedule</u>

Fiscal Year	Activity	Funding (dollars in thousands)
FY 2012	Funding maintains the systems currently in place, including S&S personnel required to operate and service them.	10,902
FY 2013	The FY 2013 Request proposed $13,685,000 to support investments in federal access control systems and upgrades (e.g., badge card readers and access system software and hardware) needed to meet HSPD-12 requirements.	—
FY 2014	Funding in FY 2014 will support the federal access control systems and upgrades needed to meet HSPD-12 requirements and implementation of technologies that will incrementally reduce reliance on the use of personnel for routine access control, employee verification, and other security services.	13,319

Information Security

Overview

The Information Security element provides support to ensure that sensitive and classified information is accurately and consistently indentified, reviewed, marked, protected, transmitted, stored, and ultimately destroyed. Specific activities within this element include management, planning, training, and oversight for maintaining security containers and combinations, marking documents, and administration of control systems, operations security, special access programs, technical surveillance countermeasures, and classification and declassification determinations.

Funding and Activity Schedule

Fiscal Year	Activity	Funding (dollars in thousands)
FY 2012	Funding provided for personnel, equipment, and systems necessary to ensure sensitive and classified information is properly safeguarded at SC laboratories.	5,118
FY 2013	The FY 2013 Request proposed $4,344,000 to accommodate laboratory and program priorities.	—
FY 2014	Funding will maintain Information Security efforts to ensure proper document marking, storage, and protection of information.	4,164

Cyber Security

Overview

The Cyber Security element provides appropriate risk management tools and controls for sensitive or classified information which is electronically processed, transmitted, or stored. Risk management controls ensure that information systems, including the information contained within the systems, maintain confidentiality, integrity, and availability in a manner consistent with the SC Research mission and possible threats.

Funding and Activity Schedule

Fiscal Year	Activity	Funding (dollars in thousands)
FY 2012	Funding in FY 2012 provides for activities to protect SC laboratory computer resources and data.	15,536
FY 2013	The FY 2013 Request proposed $18,422,000 to address emerging cyber security threats.	—
FY 2014	The increased FY 2014 request supports the cyber security enhancements needed to ensure laboratories are properly protected against emerging threats from persistent attacks against SC Information Technology systems. Funding supports threat assessments, risk management, and configuration and network management.	17,599

Personnel Security

Overview

The Personnel Security element encompasses the processes for employee suitability and security clearance determinations at each site to ensure that individuals are trustworthy and eligible for access to classified information or matter. This element also includes the management of security clearance programs, adjudications, security education and awareness programs for Federal and contractor employees, and processing and hosting approved foreign visitors.

Funding and Activity Schedule

Fiscal Year	Activity	Funding (dollars in thousands)
FY 2012	Funding supports the necessary laboratory personnel to grant individual access to classified matter and/or special nuclear material and to allow foreign national's access to SC facilities, consistent with agency procedures. Funding also supports security investigations for federal field personnel and security awareness programs for employees.	5,108
FY 2013	The FY 2013 Request proposed $ 5,000,000 to maintain support for Personnel Security at SC laboratories.	—
FY 2014	FY 2014 funding will maintain support and Personnel Security efforts at SC laboratories.	5,143

Material Control and Accountability

Overview

The Material Control and Accountability (MC&A) element provides assurance that Departmental materials are properly controlled and accounted for at all times. This element supports administration, including testing performance and assessing the levels of protection, control, and accountability required for the types and quantities of materials at each facility; documenting facility plans for materials control and accountability; assigning authorities and responsibilities for MC&A functions; and establishing programs to detect and report occurrences such as material theft, the loss of control or inability to account for materials, or evidence of malevolent acts.

Funding and Activity Schedule

Fiscal Year	Activity	Funding (dollars in thousands)
FY 2012	Funding provides for establishing, controlling, and tracking inventories of special and other nuclear materials at SC laboratories. Activities supported by these funds include measurements, quality assurance, accounting, containment, surveillance, and physical inventories of materials.	2,121
FY 2013	The FY 2013 Request proposed $2,173,000 to provide resources for essential requirements.	—
FY 2014	Funding in FY 2014 maintains proper protection of material at SC laboratories.	2,397

Program Management

Overview

The Program Management element coordinates the management of Protective Forces, Security Systems, Information Security, Personnel Security, Cyber Security, and Material Control and Accountability to achieve and ensure appropriate levels of protections are in place.

Funding and Activity Schedule

Fiscal Year	Activity	Funding (dollars in thousands)
FY 2012	Funding provides for the oversight, administration, and planning for security programs at SC laboratories.	6,418
FY 2013	The FY 2013 Request proposed $6,626,000 to maintain efforts to ensure security procedures and policy support the SC Research mission.	—
FY 2014	FY 2014 funding will maintain direction, oversight, administration, and security program planning. Funding decreases to accommodate changes in laboratory and program priorities.	6,237

Capital Operating Expenses

Capital Operating Expenses Summary

(dollars in thousands)

	FY 2012 Current	FY 2013 Annualized CR	FY 2014 Request
General Plant Projects under $5M	350	—	0

Other Supporting Information

Estimates of Security Cost Recovered by Science, Safeguards and Security

In addition to the direct funding received from the Safeguards and Security Program, sites recover Safeguards and Security costs related to Work for Others (WFO) activities from WFO customers, including the cost of any unique security needs directly attributable to the customer. Estimates of those costs are shown below.

(dollars in thousands)

	FY 2012 Costs	FY 2013 Planned Costs	FY 2014 Planned Costs
Ames National Laboratory	240	—	220
Argonne National Laboratory	1,100	—	1,070
Brookhaven National Laboratory	700	—	700
Lawrence Berkeley National Laboratory	733	—	733
Oak Ridge Institute for Science and Education	600	—	509
Oak Ridge National Laboratory	4,900	—	5,000
Pacific Northwest National Laboratory	5,200	—	4,800
Princeton Plasma Physics Laboratory	70	—	50
SLAC National Accelerator Laboratory	48	—	81
Total, Security Cost Recovered	13,591	—	13,163