

Safeguards and Security
Funding Profile by Subprogram

(dollars in thousands)

	FY 2008 Current Appropriation	FY 2009 Original Appropriation	FY 2009 Additional Appropriation ^a	FY 2010 Request
Safeguards and Security				
Protective Forces	33,101	34,384	—	35,492
Security Systems	7,862	7,940	—	8,178
Information Security	3,977	4,028	—	4,149
Cyber Security	16,278	19,515	—	20,299
Personnel Security	5,251	5,615	—	5,767
Material Control and Accountability	2,284	2,348	—	2,348
Program Management	7,193	6,773	—	6,767
Subtotal, Safeguards and Security	75,946	80,603	—	83,000
Less Security Charge for Reimbursable Work	-5,605	—	—	—
Total, Safeguards and Security	70,341	80,603	—	83,000

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 conduct of 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, the health and safety of DOE and contractor employees, the public, and the environment.

Background

Prior to FY 2001, S&S activities were funded from overhead accounts at the national laboratories and other facilities. In FY 2001, in an effort to ensure the visibility of safeguards and security, the Department transitioned to a direct-funded approach for S&S activities. Successfully executing the SC mission requires national and international information sharing and open scientific collaboration. SC laboratories have many collaborators, both at the laboratories and internationally through virtual interconnections with universities and research facilities at every corner of the globe. Therefore the SC physical and virtual security posture is required to be cognizant of, flexible, and responsive to efforts to

^a The Additional Appropriation column reflects the planned allocation of funding from the American Recovery and Reinvestment Act of 2009, P.L. 111–5. See the Department of Energy Recovery website at <http://www.energy.gov/recovery> for up-to-date information regarding Recovery Act funding.

functionally integrate international research. Furthermore, some laboratories require protection of classified information, and special nuclear material, while others manage irreplaceable Departmental property and the tools of discovery developed for and by scientists worldwide. The S&S program is designed to ensure that the appropriate measures are in place.

Subprograms

The functional areas in the S&S program are as follows:

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

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

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

Cyber Security: 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: Execution of policies, procedures, and activities for granting individuals access to classified matter and/or special nuclear material and for granting Foreign Nationals access to DOE facilities.

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

Program Management: The policy oversight and administration for the establishment of general requirements for S&S planning for the preceding programs including the reviews of those programs.

Benefits

The S&S program protects DOE assets and resources, thereby allowing the programmatic missions 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 encompasses a graded approach that enables each facility to design its security protection program to meet the facility and science-specific threat scenario.

Program Planning and Management

S&S planning and management identifies the resources necessary to ensure protection of Department assets and identifies changes in resource requirements (operational requirements, capital equipment, and general plant projects) and line item construction projects that directly or indirectly impact risk, or derive from changing S&S policy, directives, guidance, or other Departmental direction. In practice planning and management activities include the contractor self assessments, external assessments by the Integrated Support Center, the Department Inspector General, the Department's Office of Health Safety and Security and reviews by the Science Deputy Director for Field Operations staff office. These audits, inspections and reviews form the basis for tactical and strategic five year plans.

Budget Overview

In FY 2008 and early FY 2009, the Office of Health, Safety and Security archived more than 20 Departmental directives and replaced them with updated versions of Federal mandates. Additionally, the

Office of the Chief Information Officer archived more than 10 Departmental directives and replaced them with 4 revised and updated requirements manuals. To ensure appropriate and adequate execution of these directives, SC has begun evaluating each site's S&S budget from a requirements-based perspective. These evaluations include a "bottoms-up" analysis of the requirements that apply to each site, identifying the programs necessary to meet those requirements, and the cost for implementing those programs with manageable budgets. This budget request is based on appropriations from prior years. As the detailed evaluation process moves forward, adjustments among functional areas may be needed.

Moreover, a recent collaboration with the laboratory Chief Information Officers produced an action plan to address cyber security requirements consistent with the new Departmental cyber security manuals.

The move towards a requirements-based S&S budget and compliance with new cyber requirements is expected to result in opportunities for improvement and enhanced consistency across SC S&S activities. By FY 2011, SC expects to have the requirements-based approach fully implemented at our laboratories.

Detailed Justification

(dollars in thousands)

FY 2008	FY 2009	FY 2010
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Ames Laboratory

944 974 980

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 the Ames Laboratory with the buildings and activities of Iowa State University has implications for site security planning and site utilization.

Argonne National Laboratory

8,562 8,514 8,694

Argonne National Laboratory has been allocated adequate 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 transition.

Brookhaven National Laboratory

10,859 11,349 11,530

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 Investigation. Further, the Suffolk County Police Department has identified the laboratory as one of the highest likely targets of an attack and includes it on their "Critical Infrastructure List". The laboratory's protection strategies consider the highly capable adversaries associated with the Department's lowest facility protection category as well as those identified in local risk and threat documents.

Chicago Office

1,992 1,600 —

FY 2008 funding included HSPD-12 implementation which is now under All Other. Also, FY 2008 and FY 2009 funding provided for protective force services at Fermi National Accelerator Laboratory which is transferred to the laboratory in FY 2010, consistent with the contract period.

(dollars in thousands)

FY 2008	FY 2009	FY 2010
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Fermi National Accelerator Laboratory

2,201

1,734

3,383

As a basic science research laboratory facilitating scientific excellence, Fermi National Accelerator Laboratory is engaged in providing unclassified, open and collaborative work environments. The increase is a result of the transfer of responsibility from the Chicago Office to the laboratory for access control officers/security officers.

Lawrence Berkeley National Laboratory

4,985

5,006

5,059

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 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

1,679

1,617

1,626

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

7,652

8,895

8,895

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 is a Department of Homeland Security Laboratory with the anticipation of research roles particularly 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

18,649

18,699

19,237

The Oak Ridge Office oversees and manages S&S programs at three primary sites in Tennessee—the Oak Ridge National Laboratory, the East Tennessee Technology Park, and the Oak Ridge Institute for Science and Education. This request primarily provides funding for protective forces for these sites.

Office of Scientific and Technical Information

630

490

490

The Office of Scientific and Technical Information's mission is to collect, preserve, disseminate, and leverage the scientific and technical information resources of DOE 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

11,153

11,163

11,163

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 Management.

(dollars in thousands)

	FY 2008	FY 2009	FY 2010
Princeton Plasma Physics Laboratory	2,368	2,075	2,104
Princeton Plasma Physics Laboratory is effectively integrated with the security controls implemented by Princeton University and separated for implementation of the Department's required and enhanced security controls. The laboratory is considered a property protection area. The resident Tritium inventory is located in four areas within a secured perimeter and restricted access controlled area.			
SLAC National Accelerator Laboratory	2,566	2,558	2,615
The security interests for SLAC include protection in designated property protection areas for persons 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	1,626	1,325	1,346
Entry to the laboratory is controlled to limit entry to individuals who have an official purpose at the research facility. No areas are defined as security areas; security interests are protected by employing protection strategies. Unclassified sensitive information requiring protection is controlled by employees who are in possession of the documents or information technology system. High Risk personal property is protected by the employee custodian of the property.			
All Other	80	4,604	5,878
All Other supports the continuation and management of a consistent cyber security approach across the Office of Science laboratory complex and program management needs for SC. Funding will be allocated based on the highest priority needs following the scheduled programmatic reviews.			
Subtotal, Safeguards and Security	75,946	80,603	83,000
Less Security Charge for Reimbursable Work	-5,605	—	—
Total, Safeguards and Security	70,341	80,603	83,000

Explanation of Changes

FY 2010 vs. FY 2009 (\$000)

Ames Laboratory

Funding is provided for a constant level of effort for access control/security officer services.

+6

Argonne National Laboratory

Funding is provided for a constant level of effort for access control/security officer services.

+180

Brookhaven National Laboratory

Funding is provided for a constant level of effort for protective forces officer services.

+181

FY 2010 vs. FY 2009 (\$000)

Chicago Office

Access control/security officer funding is transferred to Fermi National Accelerator Laboratory, consistent with the contract period. -1,600

Fermi National Accelerator Laboratory

Funding is transferred from the contracted access control/security officer services and to maintain a constant level of effort. +1,649

Lawrence Berkeley National Laboratory

Funding is provided for a constant level of effort for access control/security officer services. +53

Oak Ridge Institute for Science and Education

Funding is provided for a constant level of effort for access control/security officer services. +9

Oak Ridge Office

Funding is provided for constant level of effort for protective force services. +538

Princeton Plasma Physics Laboratory

Funding is provided for a constant level of effort for access control/security officer services. +29

SLAC National Accelerator Laboratory

Funding is provided for a constant level of effort for access control/security officer services. +57

Thomas Jefferson National Accelerator Facility

Funding is provided for a constant level of effort for access control/security officer services. +21

All Other

The Office of Science will review priority basis requests in alignment with specific security enhancements. The end of life security systems issues will be evaluated against sustainability at each laboratory and viability of alternatives. Also, the requests for cyber security enhancements will be evaluated against the requirements for all SC S&S areas. +1,274

Total Funding Change, Safeguards and Security +2,397

Supporting Information

Operating Expenses, Capital Equipment and Construction Summary

(dollars in thousands)

	FY 2008	FY 2009	FY 2010
Operating Expenses	74,286	80,603	83,000
Capital Equipment	960	—	—
General Plant Projects	700	—	—
Subtotal, Safeguards and Security	75,946	80,603	83,000
Less Security Charge for Reimbursable Work	-5,605	—	—
Total, Safeguards and Security	70,341	80,603	83,000