**Dates: April 23-25, 2019**

**Location: Savannah River Site, Aiken, SC**

**NOTES**

**Tuesday – April 23**

8:10 am SRS Introduction and Welcome – Jo Ann Wingard

8:2 0am [SSWG Overview](https://efcog.org/wp-content/uploads/Wgs/Safeguards%20and%20Security%20Working%20Group/Meetings/Spring%202019%20Meeting/2019%20April%20SSWG%20Meeting-SSWG%20Overview-Mike%20Schwartz.ppt) – Mike Schwartz, SSWG Chair, PNNL

*Presentation made available by above hyperlink.*

*Discussed EFCOG meeting with CSOs & shared information from them.*

*Agenda Overview – discussed timeline*

8:40 am Electronic e-Mail Marking Requirements Implementation – Richard Baker

*Contact Richard Baker (*[*richard.baker@srs.gov*](mailto:richard.baker@srs.gov)*) for presentation.*

*Historical information providedd. Best practices shared.*

*Mandate for NSI, but no clear mandate for RD/FRD*

*Marking requires DC authority*

*DOE O 475.2B, Attachment 4b(3)*

*Unclassified email on Classified system must be marked*

*HQ EDC CBT (training)*

9:40 am [DOE Liaison Welcome and Security Policy Update](https://efcog.org/wp-content/uploads/Wgs/Safeguards%20and%20Security%20Working%20Group/Meetings/Spring%202019%20Meeting/2019%20April%20SSWG%20Meeting-Security%20Policy%20Update-Marc%20Brooks.pptx) – Marc Brooks

*Presentation made available by above hyperlink.*

[POCs for SS Directives TSs and CFRs](https://efcog.org/wp-content/uploads/Wgs/Safeguards%20and%20Security%20Working%20Group/Meetings/Spring%202019%20Meeting/2019%20April%20SSWG%20Meeting-POCs%20for%20SS%20Directives%20TSs%20and%20CFRs-Marc%20Brooks.docx) – Marc Brooks

*Presentation made available by above hyperlink.*

*EFOC SSWG is one of Marc’s favorite forums.*

*Benefits include continued leverage with energy contractors, sharing of lessons learned and operating experiences to benefit all energy contractors,*

*Bringing of all peers together - all entities, all organizations, all of us to include the boots on the ground*

*Knowledge management*

*Develop safeguard and security professionals for today and tomorrow*

*Importance of assembling the subject matter experts*

*DOE leverages this forum as a sounding board - accepts that not all the expertise is at HQ*

*Prior to pushing out new policy, must make sure it makes sense, and gain feedback with those doing the work to look at what will the unintended consequences would be.*

*FNVA policy not yet communicated, being held closely until ready.*

*It is still a desire to reduce working groups & special interest groups to better leverage EFCOG SSWG; save valuable time & funds. There is also need for federal policy guided / focused interest groups for policy revisions & feedback. Things are still in flux.*

*While we're good at responding to events involving significant nuclear materials, lower use of force events (active shooter), not as good - "can shoot them, but can't arrest them"*

*DOE Orders create strategic overview - allowing program offices and sites to develop their own site-specific implementation procedures – unfortunately not consistent*

*Risk acceptance and resourcing*

*Efficiency and effectiveness*

*MAPPRITE - policy prioritization project - managing requirements*

*PIR - Policy Information Resource Tool - https://pir.doe.gov - see the national level drivers for policies*

*How to handle lots of (potentially competing) forums - restart quality policy panels - stakeholder engagement, how do we know our policies are reaching the desired benchmarks - so many working groups and forums, how do we glean efficiency, requires communication and collaboration*

*Sharing operating experiences (unintended consequences) is one of the biggest values*

*SAO (Sr. Agency Official) for CUI has been appointed, work for others already has those requirements, DOE needs to catch up, next step to publish an Order*

*Marc is very thankful for this forum*

10:30 am Insider Threat Program – Erick Person

*Presentation available upon request to* [*michelle.stellflug@pnnl.gov*](mailto:michelle.stellflug@pnnl.gov)*, presentation will be sent via email and will be secured with Entrust.*

*EO13587 + National Insider Threat Policy and Minimum Standards, Nov. 21, 2012 --> DOE O 470.5*

*Revision expected FY20.*

*13587 - Deter, detect, mitigate unauthorized access to classified information*

*Min. Standards - adds more than classified info (e.g., workplace violence)*

*People risk program - the big picture*

*Needs to be multi-disciplinary in order to work*

*Primary implementation through LITWGs*

*Began with Intel-Community because they had the experience at the time, but now it's evolving, shifting responsibility away from CI*

*Goal to have conducted SAV with all sites within next two years (currently over 50%)*

*LITWG Best Practices:*

*- NdAs (esp. if involving multiple entities, businesses)*

*- Charter (what we're doing to do and how)*

*- Federal Representation - counterproductive to not include Feds (the risk owners)*

*- Smaller LITWGs, too big to function effectively - nimble enough to quickly solve problems*

*- Meeting frequently (quarterly) - less frequent meetings undermine impact*

*- Adding HC (Human Capital) to core team*

*ARC - Analysis and Referral Center - gather, integrate, review, and assess relevant ITP data - the hub, central source for "referrals"*

*SORN (System of Records) 81 (CI) vs. SORN for ITP specific*

*Critical to be sensitive to people's names and reputations*

*While CI shouldn't own ITP, they should have right of first refusal*

11:05 am [Personnel Security](https://efcog.org/wp-content/uploads/Wgs/Safeguards%20and%20Security%20Working%20Group/Meetings/Spring%202019%20Meeting/2019%20April%20SSWG%20Meeting-Personnel%20Security-Berry%26Kindle.pptx) – Tracy Berry & Tracy Kindle

*Presentation made available by above hyperlink.*

*Clearance reform efforts – include statistics / metrics*

*DOD & NBIB already focused on closing the backlog (3 times the closed cases)*

*Now the backlog is at the adjudicators – 3 times the work and less people doing the work*

*Average overall runs about 20 days to complete adjudications.*

*NBIB will transition fully to DOD; DSS has a new name (Defense CI and Security Agency); President signing off on order*

*Transition should be transparent to clearance holders.*

*Personnel security interviews are to be stopped or drastically reduced – investigators will be asking / finding out that information and then adjudicators / service centers will do letter of interrogatory.*

*20 % is in SEAD 6 (continuous evaluation) – 100% should be included by end of year. ODNI’s system is being used for this for DOE.*

*Periodic Reinvestigation - if nothing has changed in the E-QIP, shift to continuous evaluation instead of Background Investigation - moving to this model (as currently being used by DoD)*

*Dual Citizenship: guidance for CPSO’s due to IN –*

*Don't submit clearances when there's not a need*

*Use government funds effectively and efficiently*

*Everyone supposed to submit procedures for handling Dual citizenship*

*Lab directors must approve*

*Not pushing for staff to renounce, just for the Director to accept that risk because there is a significant resource requirement to vet that clearance*

*Policy - Complete Order revision by end of FY19*

*SEAD3 (reporting requirements)*

*Unofficial foreign travel –*

*Hoping to have guidance out in next month or so*

*Policy is working to get this guidance out soon*

1 pm – 5 pm Breakout Sessions to work on deliverables:

**Information Security Subgroup**

IOSC Categorization Best Practices Guide

OPSEC Handbook Comments and Recommendations

Additional Discussion - Mail Channels – Maretta King

**Material Control & Accountability Subgroup**

Safeguards Seals Reference Guide Update

Termination of Safeguards Best Practices Guide Update

Inventory Best Practice Document

**Physical Protection Subgroup**

Cyber/Physical Security Collaboration Best Practices Guide

**Wednesday – April 24**

8 am [Security Enforcement Trends and Issues](https://efcog.org/wp-content/uploads/Wgs/Safeguards%20and%20Security%20Working%20Group/Meetings/Spring%202019%20Meeting/2019%20April%20SSWG%20Meeting-Security%20Enforcement%20Update-Carrianne%20Zimmerman%20and%20Charles%20Israel.pdf) – Carrianne Zimmerman & Charles Isreal

*Presentation made available by above hyperlink.*

*Provided overview, introductions, staffing organization, emphasis on proactivity, and lessons learned emphasis.*

*Shared historical examples of incidents, responses and outcomes.*

*Since program inception, screened 4200 incidents, have done a total of 20 enforcement actions over those 20 years - only get involved for the willful, egregious issues*

*9 notices of violation*

*3 settlement agreements*

*8 enforcement letters*

*Money from monetary remedies goes to general fund in Treasury*

*Questions regarding reporting requirements in SSIMS, requirement changes coming (must record A’s and B’s). Has policy thought to look at risk, there is concern over labor & access points to SSIMS for low risk. It is about transparency, and this way oversight has the information they require & they can make the necessary decisions.*

9 am Technical Surveillance Program Policy Changes and Information - Sam Soley

*Presentation not available.*

*Introduction, overview, responsibilities,*

*National policies changes, impacts, and challenges.*

*No policy changes since 2015 (combined comsec & tempest - Tempest is a codeword).*

*Policy updates being worked.*

*Historical and current information, threats, and issues shared.*

*Technological advances and changes, how those changes impact, and options.*

*Impact / awareness areas:*

*Tech and user agreements, coordination, & understanding*

*Implementation varies from site to site*

*Internet of things are a problem*

*Will be providing awareness, training, and briefings*

*Discussion and questions: requirements, technologies, how to measure*

10 am [Design Basis Threat Implementation / UAS Security Deployment Options](https://efcog.org/wp-content/uploads/Wgs/Safeguards%20and%20Security%20Working%20Group/Meetings/Spring%202019%20Meeting/2019%20April%20SSWG%20Meeting-DBT_UAS-Mark%20Hojnacke.pptx) – Mark Hojnacke

*Presentation made available by above hyperlink.*

*DBT policy changes (last changed 2016); annual requirement to review the DBT*

*Policy is a draft – keep moving forward with your 2016 implementation plans*

*Counter UAS history, current, interim guidance, and moving forward.*

*DOE Interim counter UAS guidance*

*473 is being broken up to a systems and proforce orders*

*There will be workshops and feedback coordination*

*Tentative schedule about 380 (non-consecutive) to have the orders out*

*Team lead for pro force and systems order –* Mark Hojnacke

10:45 am [Active Shooter Working Group Workshop](https://efcog.org/wp-content/uploads/Wgs/Safeguards%20and%20Security%20Working%20Group/Meetings/Spring%202019%20Meeting/2019%20April%20SSWG%20Meeting-DNS%20AATW%20Brief-Pablo%20Maurino.ppt) – Pablo Maurino & Casey De Groof

*Presentation made available by above hyperlink.*

*Reviewed plans and found some disparity*

*Procedures review; clarity was needed*

*Wanted to build a framework (template), test framework, and then filter down to sites so they could better align their plans*

*Strategies and tactics tested with feedback incorporated*

*Built Subject Matter Expert group, frequent teleconferences, flowed to workshop*

*Identified situation and mission; 4 key elements and what needs to be done in each key element.*

*Workshop to test the framework / template*

*Workshop included SME’s from all the sites*

*A total of 86 participants (from all roles) in the workshop*

*Feedback and interactions provided, captured, and furthered the framework / template*

*Active shooter / killer extremely dynamic (changes) – stay adaptive*

*Framework / template established common dialogue*

*Performance training*

*Keynote speaker – LTC Dave Grossman*

*Mental conditioning*

*Enemy analysis*

*Event synopsis*

*Grow problem solving*

*Training progression and outcomes*

*Improve mission performance*

*In phase of soliciting feedback, so far the feedback has been very positive,*

*There were lessons learned captured to improve the framework / template.*

*Active Shooter Incident Management (Hanford examples provided)*

*Considerations*

*Resources / Guidance*

*Decision makers were watching & importance realized*

*Training and policy inclusion*

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IOSC Categorization Best Practices Guide

OPSEC Handbook Comments and Recommendations

Additional Discussion - Classified Destruction – Yvonne Martinez

**Material Control & Accountability Subgroup**

Safeguards Seals Reference Guide Update

Termination of Safeguards Best Practices Guide Update

Inventory Best Practice Document

**Physical Protection Subgroup**

Cyber/Physical Security Collaboration Best Practices Guide

**Thursday – April 25**

8:10 am [CUI Program](https://efcog.org/wp-content/uploads/Wgs/Safeguards%20and%20Security%20Working%20Group/Meetings/Spring%202019%20Meeting/2019%20April%20SSWG%20Meeting-CUI-Yvonne%20Martinez.PPTX) - Yvonne Martinez

*Presentation made available by above hyperlink.*

*Yvonne shared current requirements, numerous requirements-based changes, challenges faced and benefits of networking with subject matter experts, impact analysis open discussion*

*Cultural change to incorporate new requirements*

*Awareness needs*

*Great discussion that benchmarking, impact analysis, and working group / volunteer SMEs – contact Yvonne Martinez, SNL and Rich Baker, SRS to become involved*

*Huge challenge.*

*Funding for resources to implement and move forward is another big concern*

*32 CFR 2002*

*No DOE Directive yet*

*DOE OCIO office currently owns it*

9 am Security Inspection Trends – Steve Roshon

*Presentation available upon request to* [*michelle.stellflug@pnnl.gov*](mailto:michelle.stellflug@pnnl.gov)*, presentation will be sent via email and will be secured with Entrust.*

*Contact Steve Roshon if you’d like to be included in the teleconferences*

*Every 4-5 months they do periodic calls on trends, etc.*

*Like to have as many people involved as possible*

*Shared positive observations and adverse observations for all topical areas.*

9:45 am [Program Planning and Management](https://efcog.org/wp-content/uploads/Wgs/Safeguards%20and%20Security%20Working%20Group/Meetings/Spring%202019%20Meeting/2019%20April%20SSWG%20Meeting-PPM-NatashaWright.pptx) – Natasha Wright

*Presentation made available by above hyperlink.*

*Overview, introductions, policy review*

*Team intro – new - Cecilia Hunter topic lead – comes from environmental management*

*Revised 32 CFR 2004*

*How the order will change*

*Not a lot of change to FOCI, however CI definitely has a role*

*Contracting – more added*

*Contract security clause terminology updated*

*Working with NNSA and AU for current and future revisions, need to resolve stakeholder concerns*

*Insider Threat Program (doe o 480.5)*

*IOSC changes.*

*Doe form 470.1 – CSCS Form*

*S&S Policy information resource*

*Training*

*Status and next steps*

*FCL / FOCI Handbook – enterprise approach; never had one for department before; best practices; consistent implementation (handbook resources shared)*

*Draft created and is under quality control review*

*Working group stakeholder identified & will be working with*

*Tech standards “a take it or leave it kind of thing”*

*Doe-ST 1217-2016*

*Updated references*

*Duties, responsibilities, and traning*

*Added resources, templates, and more tools*

*Benefits – clarifies how to, provides examples, templates, guidance, references, and includes root cause scenarios*

*PPM partners shared – DOE/NNSA, NTC, Sites & Field Offices, EFCOG, SASIG, interagency partners*

**Subgroup Out Briefs**

10:10 am Information Security Subgroup

IOSC Categorization Best Practices Guide –Background and status provided by Ray Hubbs, Y-12

*Instead of creating something new, we provided what was already tried and true, processes currently in use*

*Use of tools already available*

*Team/network-based approach increases value*

OPSEC Handbook Comments and Recommendations – Lisa Kaneshiro

* *Will be published very soon*
* *NNSA also is publishing a standardization document*
* *Looking forward - everything leaving a site will have to have an OPSEC review*

[Classified Mail Channels](https://efcog.org/wp-content/uploads/Wgs/Safeguards%20and%20Security%20Working%20Group/Meetings/Spring%202019%20Meeting/2019%20April%20SSWG%20Meeting-CMC%20Overview-Maretta%20King.pptx) discussion provided by Maretta King

*Presentation made available by above hyperlink.*

* *SSIMS versus DSS, restrictions, and options discussed*
* *Very valuable discussions and actions forward to benefit all*
* *Re-institution of CMPC implementation panel (NNSA centric), but DOE/AU is also standing something similar up*

10:28 am Material Control & Accountability Subgroup – Chris Goans, Chair, Y-12

*Great turnout for participation. Shared example sites in attendance and oversight representatives involved. NNSA Implementation Panel invited EFCOG MC&A Subgroup participation, training, roll-out, etc.*

*Sandia hosted SharePoint Site used as repository.*

Safeguards Seals Reference Guide Update

*Won’t take much longer, will add robo-crib technology*

*Will be ready in a couple months*

Termination of Safeguards Best Practices Guide Update

*Will add omni template, will add mrrc, will reference sismo & add additional documents*

*Will be ready in couple months*

Inventory Best Practice Document

*Big project – pulled together an overview to show what to include, have sub-topical working groups already identified, will push this out and split up pieces to sub-topical groups, they think this multi-year document can be completed this year.*

10:38 am Physical Protection Subgroup – Steve Porter, Chair, LLNL

Cyber/Physical Security Collaboration Best Practices Guide

*Focusing on normally 2 separate pieces that need to work collaboratively*

*Provided overview, background, introduced working group*

10:45 am Risk Based Approach to Mobile Devices in Classified Spaces - NA-70 Provided a Briefing

11 am Meeting Wrap Up – Wade Nelson, SSWG Vice Chair, LANL

*For any wishing to become involved in a SSWG Subgroup, please email the Subgroup leadership.* [*Michelle.Stellflug@pnnl.gov*](mailto:Michelle.Stellflug@pnnl.gov) *is available if assistance is needed.*