

# Classified Information Security Enforcement Program Update

Carrienne Zimmerman  
Director  
Office of Security Enforcement  
Office of Enterprise Assessments

## Overview

- Security Enforcement Office Update
- Security Enforcement Activities Update
- Classified Information Security Incident Data

## Security Enforcement Office Update

### Staffing:

- Carrienne Zimmerman, Director
- Charles Isreal, Enforcement Specialist
- Vacancy, Enforcement Specialist
- Anne Brady, Contractor Administrative Support (Docket Clerk)
- Sheila Brumage, Contractor Safeguards and Security Information Management System (SSIMS) Support
- Linwood Livingston, Contractor Security Specialist Support

## Security Enforcement Activities Update

Investigation – Consolidated Nuclear Security, LLC at Y-12 National Security Complex:

- Improper Shipment, Storage, and Unauthorized Access to Classified Information –September 2017
  - Issues:
    - Did not treat as a formal project
    - Minimal advance coordination with CNS security personnel
    - Shipped “historical” boxes of records containing classified information to a Federal Record Center not approved for classified storage

## Security Enforcement Activities Update (cont'd)

Investigation – Consolidated Nuclear Security, LLC at Y-12 National Security Complex (cont'd):

- Outcome: Settlement Agreement – July 2018
  - Immediate actions taken (suspended shipments, retrieved classified records, onsite inspection of other records boxes, two 100 percent inspections of all records boxes remaining at the site)
  - Timely reporting and thorough inquiry
  - Corrective actions (strengthen planning processes associated with offsite material movements, prevent future anomalies being introduced into archive records, relocate records boxes where risk has been demonstrated to be low)

## Security Enforcement Activities Update (cont'd)

Investigation – National Technology and Engineering Solutions of Sandia, LLC at Sandia National Laboratories, NM:

- Unauthorized handling and storage of sensitive compartmented information facility (SCIF) access badges and associated personal identification numbers (PIN) – June 2018
  - Issues:
    - Did not report in SSIMS – reported to IN as directed
    - L-cleared SCIF receptionists handling SCIF access badges and associated PINs
    - Storage of SCIF access badges and associated PINs in non-GSA approved security container outside of SCIF within Limited Area
    - Use of non-random PINs

## Security Enforcement Activities Update (cont'd)

Investigation – National Technology and Engineering Solutions of Sandia, LLC at Sandia National Laboratories, NM (cont'd):

- Outcome: Settlement Agreement – April 2019
  - Immediate actions taken (use of random PINs, SCIF access badges and PINs kept separate, authorized handling of comingled SCIF access badges and PINs, )
  - Formal causal analysis and extent-of-condition
  - Corrective actions – FIE Security Improvement Plan (programmatic/systemic issues with program and process shortcomings)

# Security Enforcement Activities Update (cont'd)

## Fact-Finding Visit:

- Synergy Solutions, Inc. at the Environmental Management Consolidated Business Center, Building 55, Lakewood, CO – Missing classified documents – June 2018
  - Outcome: Nothing



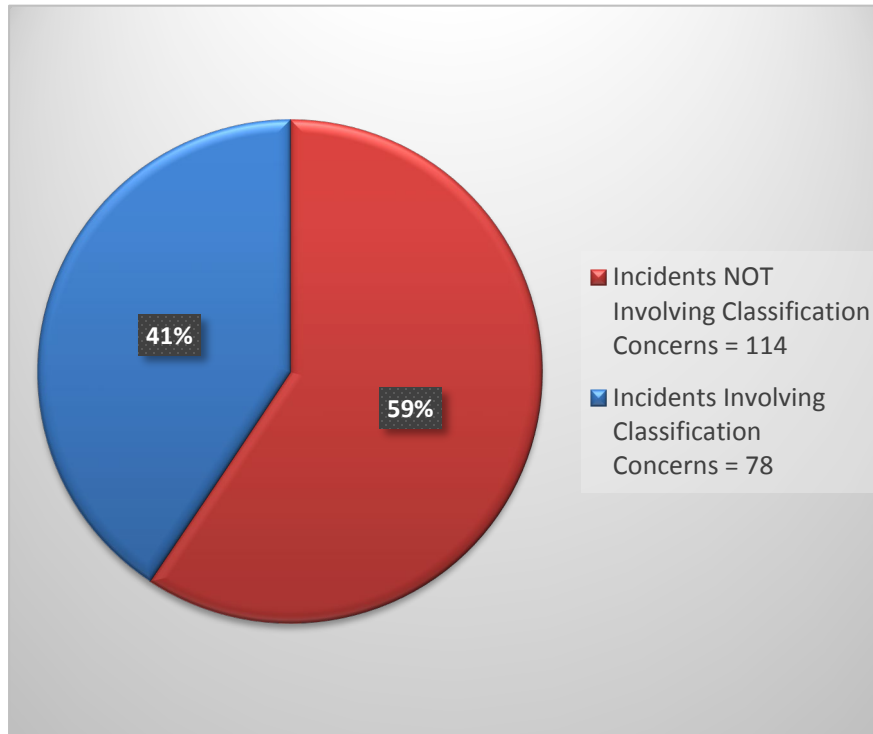
## Security Enforcement Activities Update (cont'd)

### Other Activities:

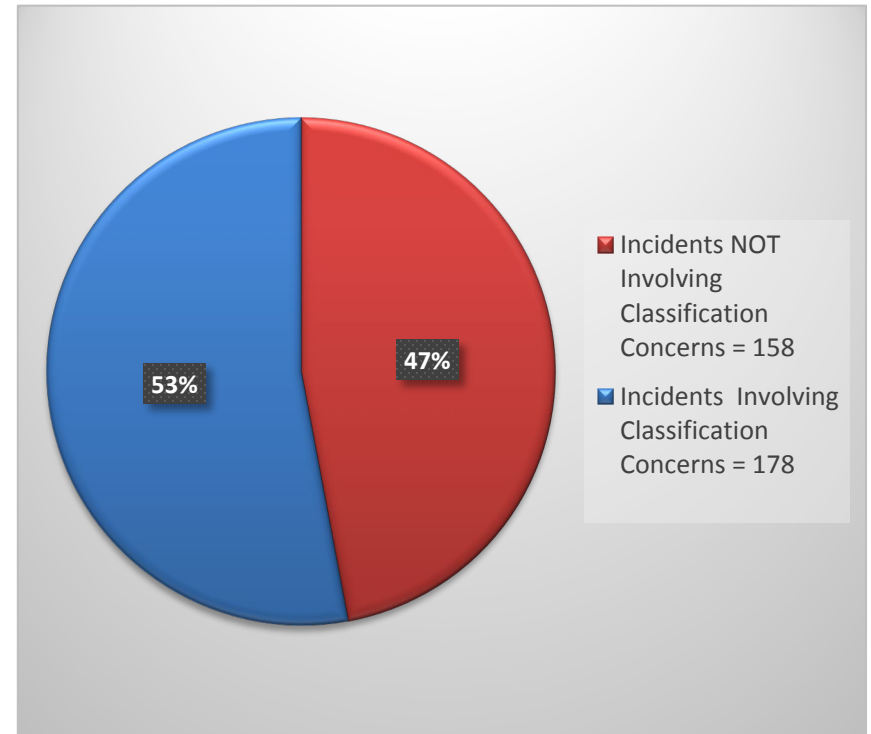
- FY 2018 – Screened 541 Reported Incidents of Security Concern of which 336 Involved Classified Information Security (466/192 in FY 2017)
- Regulatory Program Assistance Review
  - Oak Ridge National Laboratory – December 2018

# Classified Information Security Incidents Comparative Trending Data

## FY 2017 Incidents Involving Classified Information = 192



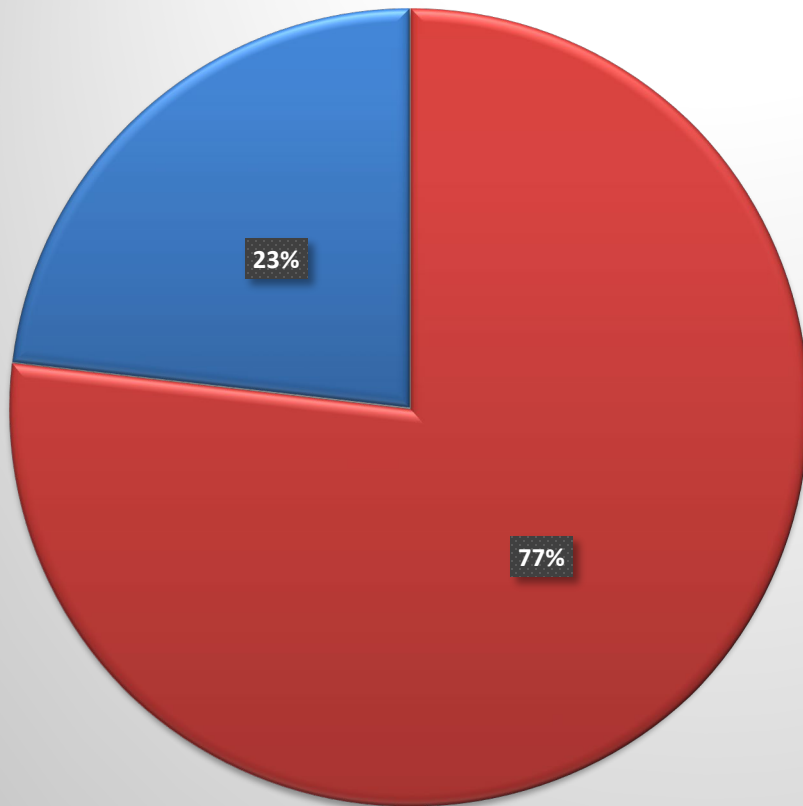
## FY 2018 Incidents Involving Classified Information = 336





# Classified Information Security Incidents Comparative Trending Data (cont'd)

**FY 2019 Incidents Involving Classified Information = 177**



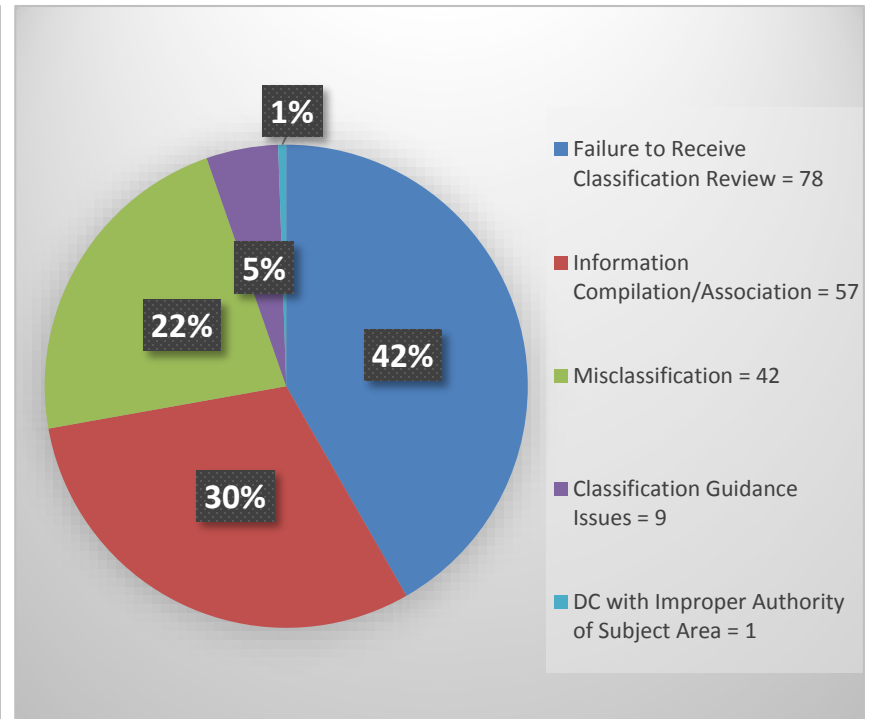
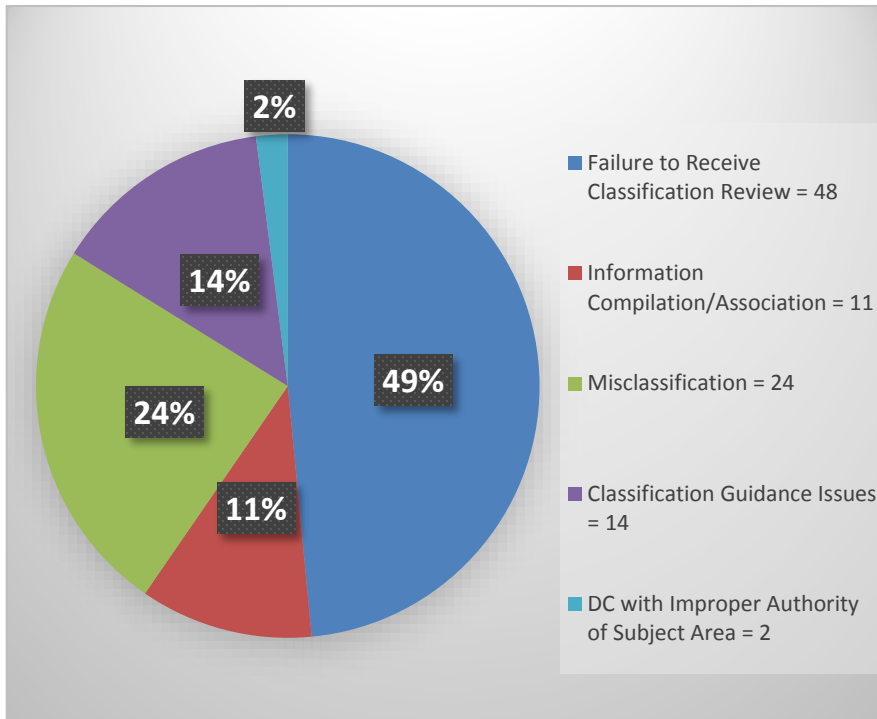
- Incidents NOT Involving Classification Concerns = 136
- Incidents Involving Classification Concerns = 41



# Incidents Involving Classification Concerns Comparative Trending Data

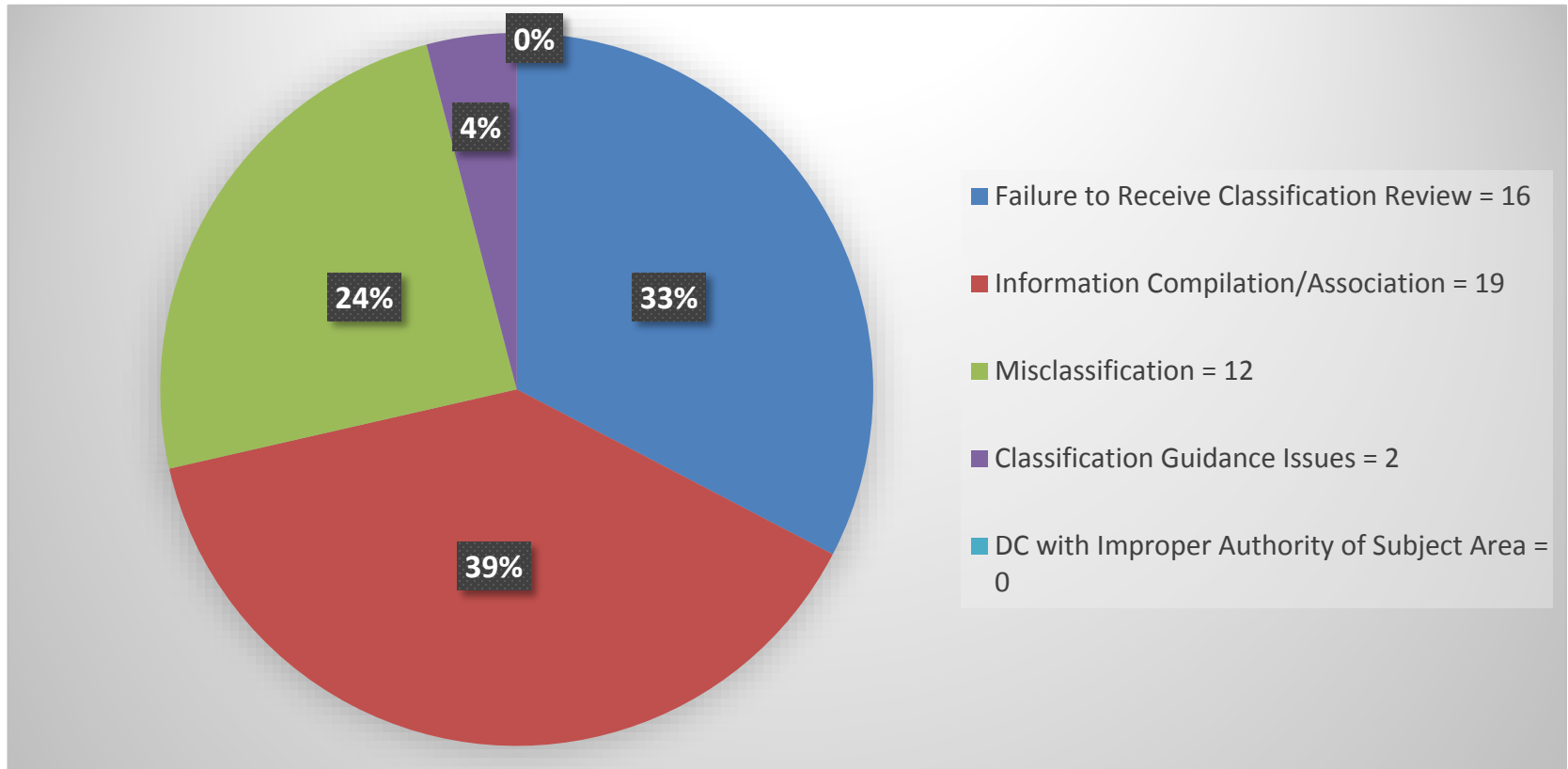
### FY 2017 Incidents Involving Classification Concerns = 78

### FY 2018 Incidents Involving Classification Concerns = 178



## Incidents Involving Classification Concerns Comparative Trending Data (cont'd)

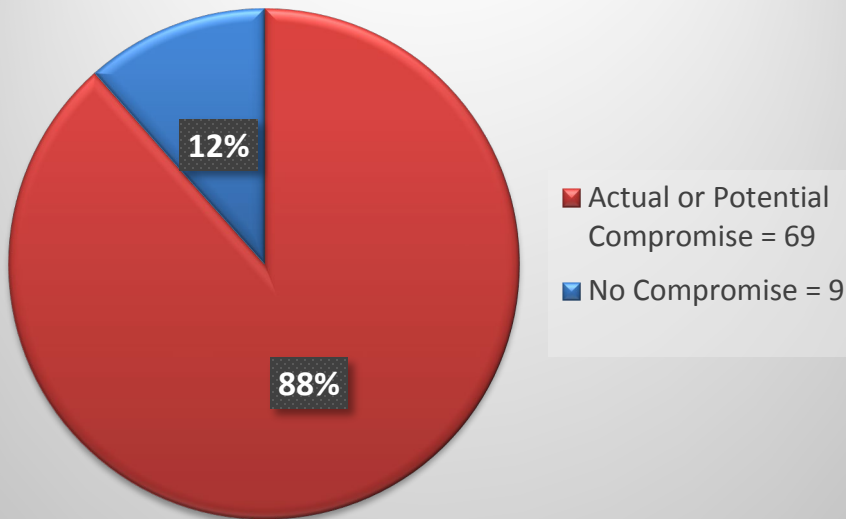
**FY 2019 Incidents Involving Classification Concerns = 41**



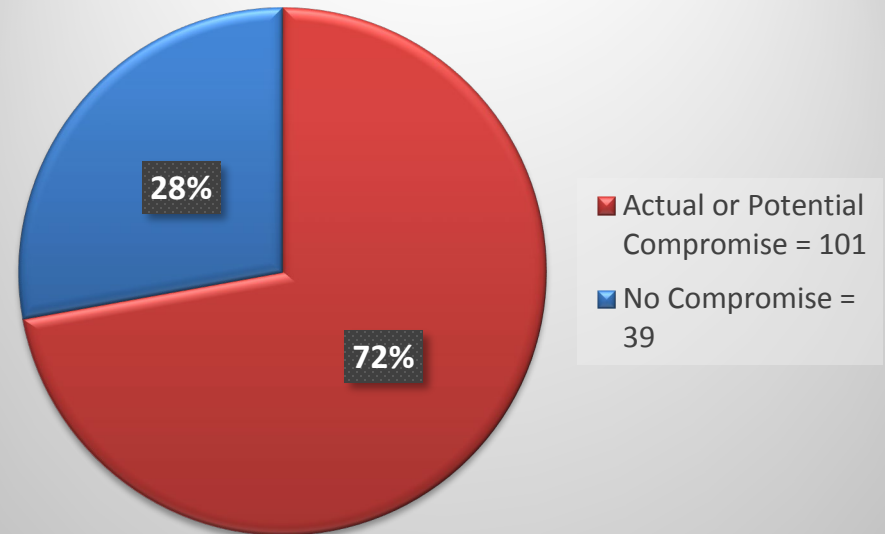


# Incidents Involving Classification Concerns Comparative Trending Data (cont'd)

**FY 2017 Closed Incidents Involving  
Classification Concerns = 78**



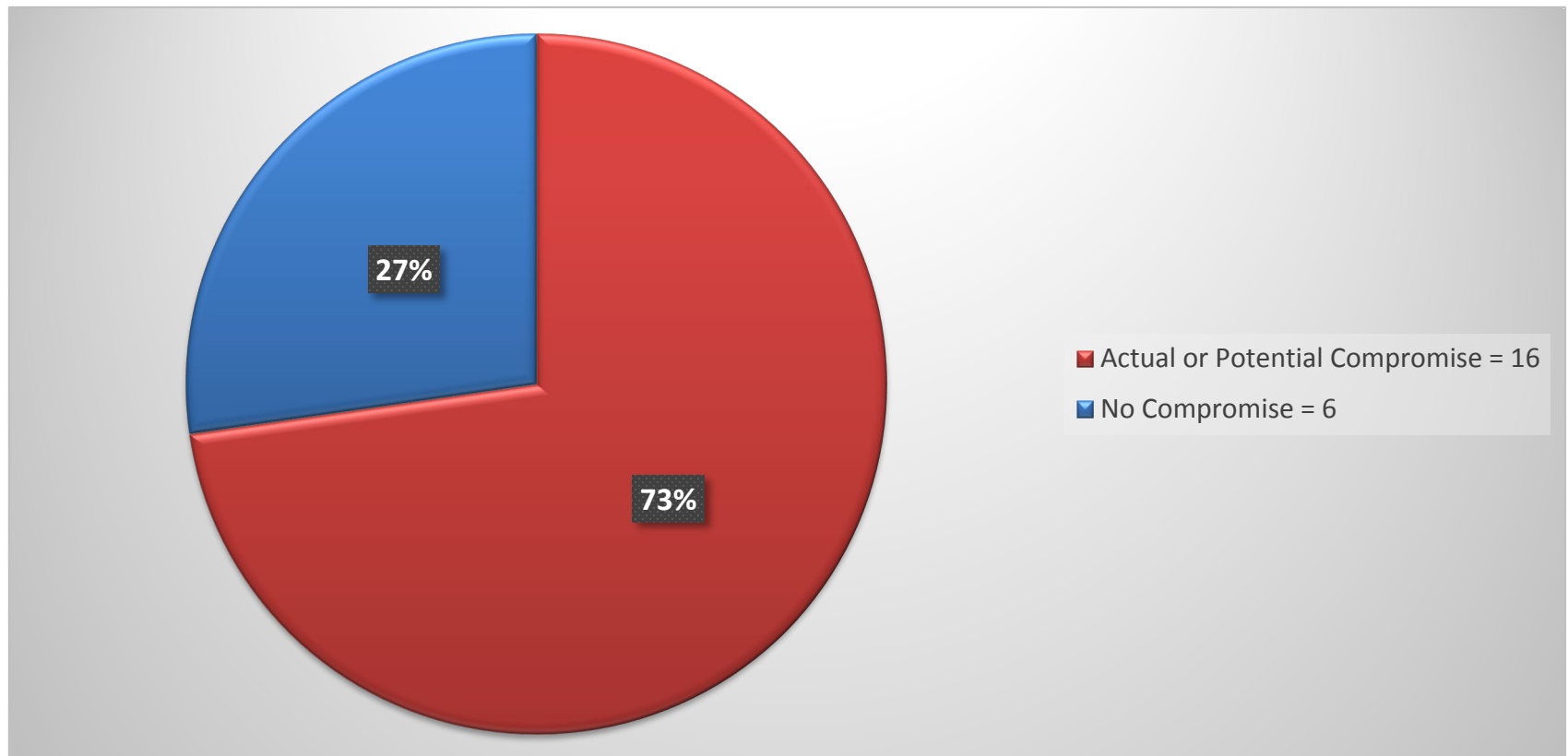
**FY 2018 Closed Incidents Involving  
Classification Concerns = 140**





## Incidents Involving Classification Concerns Comparative Trending Data (cont'd)

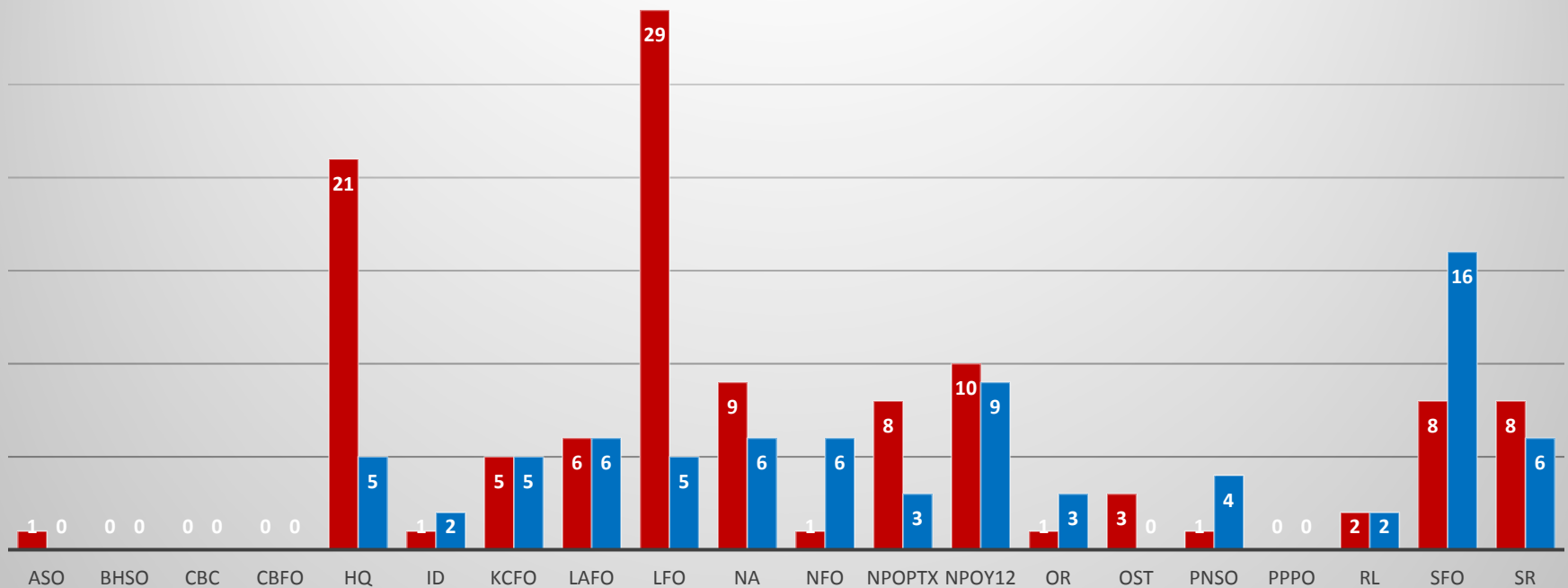
**FY 2019 Closed Incidents Involving Classification Concerns = 22**





# Classified Information Security Incidents Comparative Trending Data

FY 2017



Incidents NOT Involving Classification Concerns



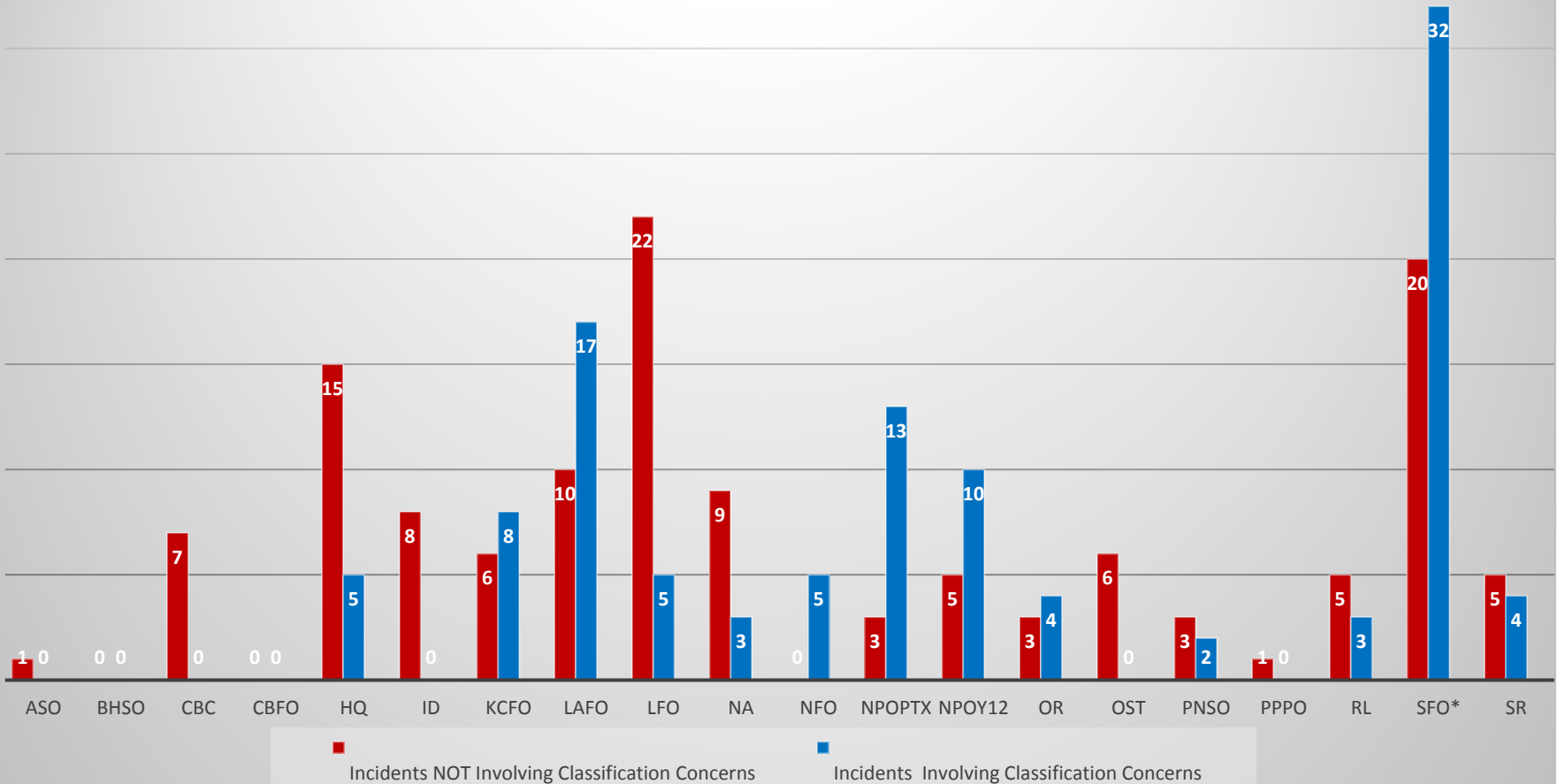
Incidents Involving Classification Concerns





# Classified Information Security Incidents Comparative Trending Data (cont'd)

## FY 2018

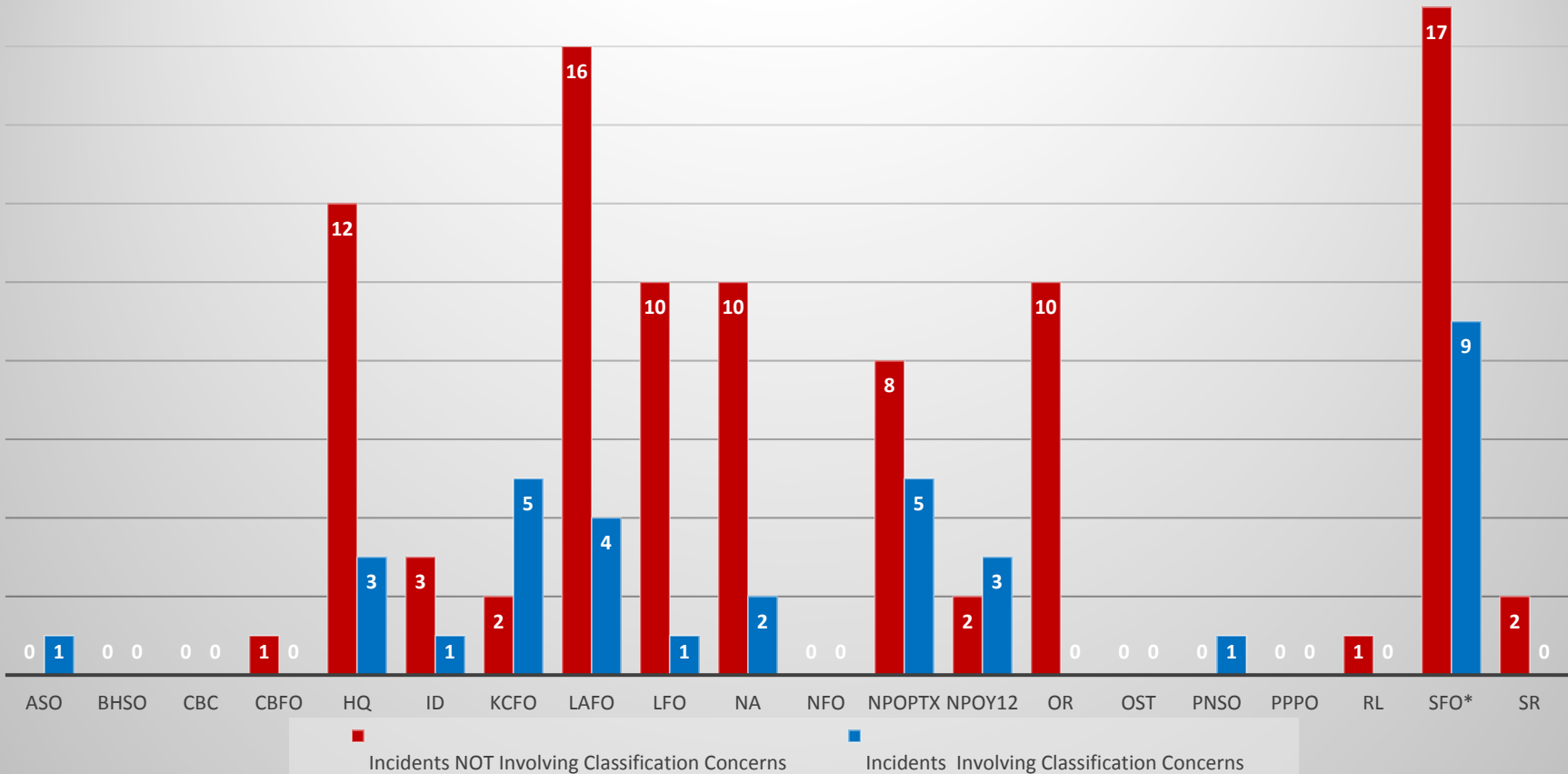


\*SFO had 67 additional B incidents NOT involving classification issues and 29 additional B incidents involving classification issues.



# Incidents of Security Concern Comparative Trending Data (cont'd)

FY 2019



\*SFO had 42 additional B incidents NOT involving classification issues and 6 additional B incidents involving classification issues.



U.S. DEPARTMENT OF  
**ENERGY**



Questions?