



Department of Energy
National Nuclear Security Administration
Washington, DC 20585

March 26, 2001

MEMORANDUM FOR DISTRIBUTION

FROM: JOHN A. GORDON
ADMINISTRATOR 

SUBJECT: IMPLEMENTATION OF "INTEGRATED SAFEGUARDS AND SECURITY MANAGEMENT" FOR THE NATIONAL NUCLEAR SECURITY ADMINISTRATION (NNSA)

The success of our national security mission depends on a commitment to excellence in all work we perform throughout all the facilities of the nuclear weapons complex. Each of us must understand the safeguards and security program, and what needs to be protected and why. We need to be able to ask security questions, obtain answers, and propose changes that will improve NNSA security. In summary, each of us must take ownership of safeguards and security responsibilities in the workplace.

To this end, the NNSA is developing an "Integrated Safeguards and Security Management" (ISSM) to integrate safeguards and security into our management and work practices at all levels of effort from policy making to field implementation. Both Federal and contractor employees must merge the Department's safeguards and security program into their day-to-day work so that our mission requirements are accomplished using the best practices available. The Chief of Defense Nuclear Security has chartered the NNSA ISSM Executive Council (Attachment 1) to develop components that will engage each of us in this security process. Over the next six months specific ISSM goals and objectives (Attachment 2) will be implemented that include a moratorium on the implementation of new security policies and the development of mechanisms to receive and respond to suggestions and feedback. These mechanisms or components are described in Attachment 3.

Additionally, I am sending a letter to all employees introducing ISSM, describing the purpose of the moratorium, and soliciting their suggestions and feedback. I need the support of all personnel to ensure we derive the benefits of ISSM.

I recognize NNSA field offices and operating contractors possess intimate site knowledge on how to implement Department of Energy policy to achieve integration of safeguards and security into day-to-day operations. To fully implement ISSM, NNSA offices and contractors will develop site-specific approaches to ISSM.

This effort supports NNSA's national security mission, while protecting our nation's most valuable information and materials. I am counting on your personal support and commitment to ISSM.

Please contact me personally if you have questions concerning this program, or the Chief of Defense Nuclear Security, John C. Todd at (202) 586-2545.

Attachments



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**NATIONAL NUCLEAR SECURITY ADMINISTRATION
OFFICE OF THE CHIEF DEFENSE NUCLEAR SECURITY**

**INTEGRATED SAFEGUARDS AND SECURITY MANAGEMENT
EXECUTIVE COUNCIL**

CHARTER

1. PURPOSE:

This Charter establishes:

- a. The organization, responsibilities and procedures for the Department of Energy, National Nuclear Security Administration, "*Integrated Safeguards and Security Management Executive Council*," and
- b. It also formerly establishes the "*Safeguards and Security Management Integration Team*" (SSMIT) as a working group of the Council, and defines its roles and responsibilities.

2. RESPONSIBILITIES:

- a. The Executive Council is responsible for the following activities:
 - Prepares proposals for safeguards and security program improvements in the NNSA;
 - Develops and maintains an annual ISSM program plan;
 - Develops strategies for more effective ISSM implementation;
 - Coordinates lessons learned, best practices, and cost-effective safeguards and security training and education methodologies with DOE, and other Departments and Agencies;
 - Appoints a liaison representative to other safeguards and security committees, quality panels, and focus groups for ISSM;
 - Directs SSMIT activities; and
 - Prepares an annual report concerning ISSM activities in the NNSA during the preceding calendar year for the Administrator, NNSA.
- b. The Chief, Defense Nuclear Security.
 - Appoints the Chairman of the Executive Council.
 - Coordinates the ISSM Program annual report and forwards the report as necessary to the Administrator, NNSA.

3. CHAIRMAN:

- a. The Chairman conducts meetings of the Executive Council, approves the minutes of the meetings, and supervises the activities of the Executive Secretary.
- b. The Chairman conducts meetings of the SSMIT and approves minutes of the meetings of that organization.

4. MEMBERS:

- a. Headquarters Program Offices, Operations Offices, Area Offices, and contractors of the nuclear weapons complex are invited to nominate members to participate on the Executive Council from the resident safeguards and security management staff. Nominations should be forwarded to the Chairman of the Council for review, comment and concurrence.
- b. The initial membership, advisors, and observers list, attachment 1, was developed to continue the participation of individuals who have helped to develop ISSM as a major project initiative.

5. EXECUTIVE SECRETARY:

The Chairman of the Executive Council will appoint a staff member to be responsible for recording and distributing the minutes of the meetings of the Council, and conducting and coordinating other routine Council business.

6. ADVISORS:

Members of the NNSA Safeguards and Security Management Integration Team (SSMIT) are permanent advisors to the Executive Council and may be invited by the Chairman to participate in Executive Council meetings.

7. OBSERVERS:

Observers are welcome from Department of Energy organizations and other U.S. Government Departments or Agencies. Organization heads are requested to nominate permanent observers to the Executive Council, and to notify the Chief Défense Nuclear Security and the Council Chairman in writing of their intention to send observers to meetings.

8. AUTHORITY:

- a. Authority and responsibility for the development and implementation of security programs for the Administration by the Chief of Defense Nuclear Security is provided by Public Law 106-65, Section 3232(c).

“(3) The Chief shall be responsible for the development and implementation of security programs for the Administration, including the protection, control and accounting of materials, and for the physical and cyber security for all facilities of the Administration.”

- b. Authority for specific DOE-NNSA cooperation and coordination on joint safeguards and security policy and implementation was provided by the Administrator in a memorandum subject: *Implementation of Integrated Safeguards and Security Management for the NNSA*.
- c. The NNSA ISSM Executive Council makes decisions on a consensus basis. If at any point, members are unable to reach consensus on an issue, by majority vote, the issue will be forwarded to the Chief, Defense Nuclear Security for decision.
- d. Upon approval, the Chief Defense Nuclear Security has authority to approve changes to this charter.

9. MEETINGS:

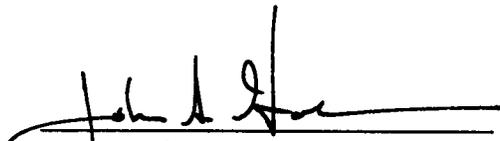
The NNSA ISSM Executive Council holds meetings on a quarterly basis or at the call of the Chairman.

A report of the minutes of each meeting is forwarded to the Chairman by the Executive Secretary for review and approval. The report is subsequently forwarded to the Chief Defense Nuclear Security, and the Administrator for action or information as appropriate.

10. SAFEGUARDS AND SECURITY MANAGEMENT INTEGRATION TEAM [SSMIT]:

The SSMIT is the staff level working group of the Executive Council. It conducts business under a charter approved by the Chief, Defense Nuclear Security.

APPROVED:



John A. Gordon
Administrator

DATE: MARCH 26, 2001

MEMBERSHIP LIST

CHAIR:

Larry Kirkman, NNSA/AL/OSS

MEMBERS:

Wayne Adams, NV
Shirley Baker, Chairperson NSIE* and KCP
Duane Gordon, OAK
Roger Hagengruber, SNL-NM
Kevin Hall, SR
William E. Nay, DOE/HQ/SC-80
Terry Owens, UC (LLNL/LANL)*
Donat St.Pierre, OR
Donald Solich, DOE/HQ/SO -21
Jon H. Todd, NNSA/HQ/NA-3

ADVISORS/SSMIT MEMBERS:

John Abeles, DOE/HQ/SO-33
Lynn Cleland, LLNL
Sharon Daly, NNSA/AL/LAAO
Maurice Daugherty, DOE/HQ/EM
Leo Fisher, NNSA/AL/CI
Bill Gillison, NNSI/WSI
Leigh Gunn, DOE/HQ/EM-5
Kevin Hall, DOE/SR
Brenda Harmeson, NNSA/AL/SPSD
Bill Hensley, NNSA/HQ/DP
Jim Hickok, NNSI/WSI
Pat Hoopes, NNSA/AL/KCAO
Stu Jossey, LLNL
Bill Kilmartin, DOE/HQ/OA-10
Terri Lovato, SNL
Peggy Montoya, SNL
John O'Brien, NNSA/AL/AAO

Carl Ostenak, LANL
Daniel Pellegrino, NNSA/AL/ISRD
Bernard Pleau, NNSA/AL/OPA
Jon Potter, DOE/HQ/SO-211.3
John Przysucha, DOE/HQ/SO-33
Arminda Roberts, DOE/AL/ISRD
Barry Schwartz, SNL
Mark Thornock, DOE/HQ/SC
Edwin Tippens, LLNL
Debbie Volk, NNSA/AL/ISRD
Al West, SNL-NM
D. L. Whaley, DOE/HQ/OA-10
Garry Wisdom, NNSA/AL/AAO
Maggie Wood, NNSA/AL/KAO
Steven Yesner, SNL

* Designates Permanent Members

ATTACHMENT 2

Six Month Actions

MONTH	Owner/Deliverable	Themes	Purpose
<u>March</u>	<p>NNSA-HQ:</p> <ul style="list-style-type: none"> • Issue NNSA letters on ISSM • Present ISSM at S&S NNSA/Contractor Meeting on March 14 • Place Web Site online • Charter/Convene NNSA ISSM Executive Council <p>SITE:</p> <ul style="list-style-type: none"> • Introduce ISSM at Site (e.g., site management letter, all hands, video, management walkthroughs) • Evaluate current S&S requirements per NNSA guidance 	<p>Security is a real issue. ISSM is the path forward. What and why of ISSM.</p>	<p>NNSA roll-out of ISSM Obtain management buy-in</p>
<u>April</u>	<p>NNSA-HQ:</p> <ul style="list-style-type: none"> • Prepare Facts Sheet/FAQs • Develop and distribute video <p>SITE:</p> <ul style="list-style-type: none"> • Develop web site • Develop feedback mechanism (e.g., help desk, email, hotline, focus groups) • Conduct awareness campaign (e.g. posters, fact sheets) 	<p>Engage workforce: Everyone is responsible. Your voice counts.</p>	<p>Initiate formal Site Roll-out</p>
<u>May</u>	<p>NNSA-HQ:</p> <ul style="list-style-type: none"> • Purchase and distribute give-always <p>SITE:</p> <ul style="list-style-type: none"> • Distribute give always • Improve two-way communications with employees • Conduct Awareness Campaign (e.g., posters, fact sheets) 	<p>Continuous improvement-- Your voice counts.</p>	<p>Implementation of ISSM Program</p>
<u>June</u>	<p>NNSA-HQ:</p> <ul style="list-style-type: none"> • Update and distribute Facts Sheet/FAQs <p>SITE:</p> <ul style="list-style-type: none"> • Update web page • Have employees identify opportunities for further integration/improvement (e.g., focus groups, surveys) • Conduct Awareness Campaign (e.g., posters, fact sheets) 	<p>Integration of security into day-to-day operations. Your voice counts.</p>	<p>Implementation of ISSM Program</p>
<u>July</u>	<p>NNSA-HQ:</p> <ul style="list-style-type: none"> • Update Web site <p>SITE:</p> <ul style="list-style-type: none"> • Submit results from requirements review per NNSA guidance • Conduct Awareness Campaign (e.g., posters, fact sheets) 	<p>Your voice counts.</p>	<p>Continue the ISSM journey</p>
<u>August</u>	<p>NNSA-HQ:</p> <ul style="list-style-type: none"> • Analyze feedback and determine path forward • Update and distribute Facts Sheet/FAQs • Develop Awards program <p>SITE:</p> <ul style="list-style-type: none"> • Update Web site • Provide ISSM feedback • Conduct Awareness Campaign (e.g., posters, fact sheets) 	<p>Process improvement.</p>	<p>Feedback & Improvement</p>

ATTACHMENT 3

ISSM COMPONENTS

The NNSA is committed to conducting work efficiently and securely. To this end, ISSM will be used to systematically integrate safeguards and security into management and work practices at all levels so that missions are accomplished securely. Direct involvement of all personnel during the development and implementation of ISSM is essential for success.

The ISSM framework consists of six components:

- (1) the objective,
- (2) guiding principles,
- (3) Core functions,
- (4) Mechanisms,
- (5) Responsibilities, and
- (6) Implementation.

The objective, guiding principles, and core functions of ISSM will be used consistently throughout the NNSA complex. The mechanisms, responsibilities, and implementation components will be established by sites for all work.

COMPONENT 1 ISSM Objective

Perform Work Securely. The ISSM framework will systematically integrate safeguards and security into management and work practices at all levels so those missions are accomplished securely.

COMPONENT 2 ISSM Guiding Principles

The guiding principles are the fundamental policies that guide NNSA and contractor actions:

Individual Responsibility and Participation. Each individual is directly responsible for following security requirements, and contributing to secure missions and workplaces.

Line Management Responsibility for Safeguards and Security. Line management is directly responsible for the protection of the NNSA assets. Appropriate risk analysis is performed prior to work being authorized. Line management must accept residual risk and controls must be in place and verified prior to authorization of operations.

Clear Roles and Responsibilities. Clear and unambiguous lines of authority and responsibility for ensuring safeguards and security must be established and maintained at all organizational levels within the NNSA and its contractors.

Competence Commensurate with Responsibilities. Individuals must possess the experience, knowledge, skills, and abilities that are necessary to fulfill their responsibilities.

Balanced Priorities. Resources must be effectively allocated to address safeguards and security, programmatic, and operational considerations, realizing that achieving programmatic goals is a significant component of achieving safeguards and security. Protecting the NNSA assets must be a priority whenever activities are planned and performed.

Identification of Safeguards and Security Standards and Requirements. Before work is performed, the associated risk must be evaluated and an agreed-upon set of safeguards and security standards and requirements shall be established which, when properly implemented, will provide appropriate assurance that NNSA assets are properly protected.

ATTACHMENT 3

ISSM COMPONENTS

Tailoring of Protection Strategies to Work Being Performed. Administrative and engineering controls to prevent and mitigate risk must be tailored to the work being performed.

COMPONENT 3 ISSM Core Functions

These five core ISSM functions provide the necessary structure for any work activity. The functions are applied as a continuous cycle with the degree of rigor appropriate to address the type of work activity and the risk involved.

Define the Scope of Work. Missions are translated into work, potential requirements identified, expectations set, tasks identified, and prioritized, related security assets identified, and resources allocated.

Analyze the Risk. Risk associated with the work is analyzed to determine applicable Requirements.

Develop and Implement Security Measures. Measures and controls are tailored and implemented to mitigate risk. Line management accepts residual risk.

Perform Work within Measures and Controls. Authorized security measures are in place and work is performed accordingly.

Provide Feedback and Continuous Improvement. Feedback information on the adequacy of measures and controls is gathered. Opportunities for improving the definition and planning of work are identified and implemented. Best practices and lessons learned are shared.

COMPONENT 4 ISSM Mechanisms

ISSM mechanisms are the information and tools used to implement the guiding principles and core functions. They may vary between facilities and activities based on the risk and the work being performed.

COMPONENT 5 ISSM Responsibilities

Responsibilities must be clearly defined in documents appropriate to the activity. NNSA responsibilities are defined in internal NNSA directives. Contractor responsibilities are detailed in contracts, regulations, and contractor-specific procedures. Review and approval levels may vary, commensurate with the type of work and risk involved.

COMPONENT 6 ISSM Implementation

Implementation involves integrating specific instances of defining and planning work, formally identifying and analyzing risk, developing and implementing measures and controls, performing work, and monitoring and assessing performance for feedback and improvement.