

Chapter 7 Revision History:

Date	Description
6/3/15	Pg. 7-1, Line 6, added text
	Pg. 701-1, Line 8, added text
	Pg. 701-1, Line 10, removed last sentence
	Pg. 701-1, Line 31, removed #5
	Pg. 701-1, Line 38, changed date
	Pg. 701-2, Line 3, added/deleted text
	Pg. 701-2, Line 9, reworded first sentence
	Pg. 701-2, Line 19, added text
	Pg. 701-3, Line 3, added text
	Pg. 701-3, Line 18, removed last two bullets
	Pg. 701-4, Line 12, reworded all three bullets
	Pg. 702-1, Line 13, added new sentence
	Pg. 702-1, Line 27, deleted text
	Pg. 702-1, Line 29, added new sentence
	Pg. 702-1, Line 40, deleted text
	Pg. 702-2, Line 23, deleted text
	Pg. 702-2, Line 35, removed line item #3
	Pg. 702-3, Line 5, reworded first sentence
11/28/2016	Pg. 701-2, Line 14, added 'Termination'
	Pg. 701-2, Line 17, added 'A summary of'
	Pg. 701-2, Line 26-29, added 'Introduction' and description
	Pg. 701-3, line 29, swapped 'surveys' and 'reviews' for clarity.
	Pg. 701-5, Line 5, replaced 'examined' with 'addressed' for clarity
	Pg. 701-5, Line 16-17, updated reference to the Technical Standard
	Pg. 701-6, Line 8-9, updated position title
	Pg. 701-6, Line 10-12, updated section to reflect order
	Pg. 701-7, Line 5, updated to reflect order
	Pg. 701-7, Line 17-20, updated to reflect order
	Pg. 702-2, Line 31-33, updated to reflect new process outlined in HQ Survey SOP

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Chapter 7

Surveys and Reviews

This chapter describes the programs and procedures adopted by DOE HQ to implement the requirements of DOE Order 470.4B, Chg-1, *Safeguards and Security Program*, Appendix A, Section 2, Survey, Review, and Self-Assessment Programs.

The Survey and Review Programs provide assurance to the Secretary of Energy, Departmental elements, and OGAs that safeguards and security (S&S) interests and activities are protected at the required levels. These programs also provide a basis for line management to make decisions regarding S&S program activities, including allocation of resources, acceptance of risk, and mitigation of vulnerabilities. The results of these reviews provide a compliance and performance-based documented evaluation of the S&S program. In addition, these reviews identify S&S program strengths and weaknesses, develop and complete a process improvement schedule, and use the results to correct and improve the overall S&S program. The survey and self-assessment reports provide documentation of oversight and assessment activities.

- Section 701 describes the types of surveys and reviews conducted at DOE HQ, the contents of associated reports, and the rating system in use.
- Section 702 describes the procedures for developing Corrective Action Plans, tracking them to completion, and obtaining validation of closure.

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Section 701

Surveys and Reviews

This section describes the programs and procedures in effect at DOE HQ to conduct S&S surveys and reviews. These activities are conducted to assure the Secretary of Energy, Departmental elements, and OGAs that S&S interests are being protected at the required level.

The Office of Information Security (AU-42) is responsible for the conduct of all surveys and reviews of HQ facilities and for conducting an annual survey of overall HQ security operations.

Types and Frequencies of Surveys and Reviews:

Below are the types and frequencies of surveys and reviews conducted by the HQ Survey Team:

1. Initial Surveys – Conducted upon establishment of a new facility that will have an Importance Rating of A, B, C, or PP (see Attachment 701-1).
2. Periodic Surveys – Conducted for already-established facilities with an importance rating of A, B, or C, once every 12 months. Facilities with an importance rating of PP are surveyed once every 24 months.
3. Special Surveys – Conducted upon request for a specific, limited security purpose.
4. Termination Surveys – Conducted upon termination of a facility to ensure that Departmental security interests have been returned, relocated, or disposed of properly.

Headquarters Surveys:

An annual HQ S&S Survey is conducted by the HQ Survey Team with assistance from HSOs of selected HQ elements. The S&S Survey is conducted continuously from October 1 through September 30 each year.

HQ elements are permitted to conduct internal security self-assessments for their own individual purposes.

HQ Implementation Procedures

The HQ Survey Team, AU-42, maintains a list of appropriate HQ facilities and a schedule for conducting required S&S Periodic Surveys and Reviews. Initial and Termination Surveys are conducted only when the HSO or FSO responsible for that facility sends a request via e-mail to the HQ Survey Team requesting such a survey. The HQ Survey Team then coordinates with the requesting HSO or FSO to facilitate the necessary survey or review.

The HQ Survey Team establishes a schedule for conducting the HQ S&S Survey and coordinates with the element HSOs being reviewed for that topical area. When the Survey Team conducts an S&S topical/subtopical survey or review of a specific HQ element, the HSO for that element is expected to accompany the Team and participate as needed.

All applicable S&S topical and subtopical areas included on DOE F 470.8, *Survey/Inspection Report Form*, are covered during HQ surveys and reviews. See the Forms/Samples/Graphic subsection below for a link to DOE F 470.8.

The HQ Survey Team issues an official report upon completion of all Initial, Special, Termination, and Periodic Surveys. The report contains:

- A completed DOE F 470.8.
- An executive summary containing:
 - A summary of the scope, methodology, period of coverage, duration, and date of the exit briefing to management
 - A brief overview of the facility, function, scope of operations, and contractual information
 - A brief synopsis of major strengths and weaknesses that impact the effectiveness of the facility's overall S&S program, including identification of any topical areas rated less than satisfactory
 - The overall composite facility rating with supporting rationale
 - Reference to a list of findings identified during the survey, review, or self-assessment.
- An introduction containing:
 - The complete scope, methodology, period of coverage, duration, date of the exit briefing to management, and a description of the facility, its function and scope of operations, security interests, and contractual information.
- A narrative for all rated topical and subtopical areas that includes:

- A description of the facility's implementation of the program element
- The scope of the evaluation
- A description of activities conducted
- The evaluation results and associated issues
- The identification of all findings, including new and previously identified open findings, regardless of source – e.g., Office of Enterprise Assessments (EA) and predecessor organizations, the DOE Inspector General (IG), and the Government Accountability Office (GAO) – and their current corrective action status
- An analysis that provides a justification and rationale for the factors responsible for the rating.
- Attachments, including:
 - A copy of the current DOE F 470.2, *Facility Data and Approval Record* (FDAR)
 - A listing of all active DOE F 470.1, *Contract Security Classification Specification* (CSCS) form(s), or DD F 254, *DOD Contract Security Classification Specification* form(s)
 - A listing of all new findings resulting from the survey/review
 - A listing of all previous findings that are open, along with the current status of corrective actions

The HQ Survey Team distributes the reports to the applicable senior managers, personnel responsible for corrective actions, and other appropriate personnel.

Any findings identified in the report are assigned to the specific HQ element where the deficiency was identified. The element is required to submit a Corrective Action Plan (CAP), with applicable milestones, to the HQ Survey Team within 30 days after issuance of the finding. Actions taken to rectify the finding are to be tracked through updates to the CAP until the deficiency is corrected. See Section 702, Corrective Action Plans, for additional information on developing and completing CAPs.

All open findings from previous reviews and surveys are reviewed by the HQ Survey Team during the next survey or review to validate the status of corrective actions and to evaluate their impact on the S&S program.

If, during the conduct of a survey, the HQ Survey Team identifies a vulnerability that places national security, classified information, or Departmental property at significant risk, the Team notifies the HQ element immediately.

All findings identified during a survey or review are to be documented in the associated report, even if the finding was closed/rectified during the survey or review. (See Section 702, Corrective Action Plans, for additional information on this issue.)

The survey or review report includes a formal rating that summarizes the effectiveness and adequacy of the security program at the facility being assessed. The rating system is:

- Satisfactory: The element being evaluated meets protection objectives or provides reasonable assurance that protection objectives are being met.
- Marginal: The element being evaluated partially meets protection objectives or provides questionable assurance that protection objectives are being met.
- Unsatisfactory: The element being evaluated does not meet protection objectives or does not provide adequate assurance that protection objectives are being met.

NOTE: The phrase "Does Not Apply" (DNA) may be used instead of a rating.

Notifications and Actions for Less Than Satisfactory Composite Ratings:

The following actions are required in response to less than satisfactory composite ratings for S&S Periodic and HQ Surveys:

1. Marginal Ratings – Within 15 working days of the determination of a marginal composite rating, notification must be made to line management that includes:
 - A statement identifying the vulnerability and the rationale for the rating
 - A description of the corrective actions/compensatory measures taken to date and a statement acknowledging validation of the adequacy of those actions/measures.
2. Unsatisfactory Ratings – Within 24 hours of determination of an overall composite rating of unsatisfactory, the Director, AU-40 must coordinate with the appropriate HQ elements to:
 - Suspend the activity and/or recommend suspension of the facility clearance pending remedial action
 - Provide justification for continuing operations to the HQ Cognizant Security Authority.

The Director, AU-40 must evaluate the immediate interim corrective actions and ensure that they mitigate the identified risks or vulnerabilities.

Possible Incidents of Security Concern:

If the results of a survey or self-assessment identify an incident of security concern, it must be reported in accordance with Chapter 11, Incidents of Security Concern, of the HQFMSP.

Point of Contact

For the names and contact information for the positions identified in this section, call (301) 903-7189 or (301) 903-2644.

Forms/Samples/Graphics

Facility Importance Ratings (see Attachment 701-1)

DOE F 470.1, *Contract Security Classification Specification*, (for a copy of this form go to <http://energy.gov/cio/downloads/contract-security-classification-specification-cscs>)

DOE F 470.2, *Facility Data and Approval Record*, (for a copy of this form go to <http://energy.gov/cio/downloads/facility-data-and-approval-record-fdar>)

DOE F 470.8, *Survey/Inspection Report Form*, (for a copy of this form go to <http://energy.gov/cio/downloads/surveyinspection-report-form>)

References

DOE-STD-1271-2016 *DOE Safeguards and Security Survey and Self-Assessment Planning, Conduct, and Reporting* Technical Standard

ATTACHMENT 701-1

Facility Importance Ratings (Extracted from DOE Order 470.4B)

Facility importance ratings are used to identify the protection importance of facilities. Each facility's assigned importance rating must be recorded on DOE Form 470.2, *Facility Data and Approval Record*. Importance rating criteria are as follows.

- a. "A" Importance Ratings. Ratings assigned to those facilities that meet any of the following criteria:
 - (1) Engaged in administrative activities considered essential to the direction and continuity of the overall DOE nuclear weapons program, as determined by the Program Secretarial Office or for the National Nuclear Security Administration, the Office of the Administrator;
 - (2) Authorized to possess Top Secret (TS) Restricted Data (RD)/Formerly Restricted Data (FRD) or TS National Security Information (NSI), or possess Special Access Program (SAP) matter or designated as Field Intelligence Elements;
 - (3) Authorized to possess Category I quantities of Special Nuclear Material (SNM) (including facilities with credible roll-up quantities of SNM to a Category I quantity); or
 - (4) Operate critical infrastructure programs determined to be essential by DOE line management.

 - b. "B" Importance Ratings. Ratings assigned to those facilities that meet any of the following criteria:
 - (1) Engaged in activities other than those categorized as "A" and authorized to possess Secret (S)/RD and/or weapon data matter;
 - (2) Authorized to possess Category II quantities of SNM; or
 - (3) Authorized to possess certain categories of biological agents.

 - c. "C" Importance Ratings. Ratings assigned to those facilities that meet any of the following criteria:
 - (1) Authorized to possess Categories III and IV quantities of SNM or other nuclear materials requiring safeguards controls or special accounting procedures; or
 - (2) Authorized to possess classified information or matter other than the type categorized for "A" and "B" facilities.

 - d. "D" Importance Ratings. Ratings assigned to those facilities that provide common carrier, commercial carrier, or mail service and are not authorized to store classified information or matter, or nuclear material during nonworking hours. (Carriers who store classified information or matter, or nuclear material must be assigned an "A," "B," or "C" importance rating).
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- e. “E” (Excluded Parent) Importance Ratings. Ratings assigned to a corporate tier parent of a contractor organization when the parent has been barred from participation in the activities related to a contract with DOE.
- f. “PP” (Property Protection) Importance Ratings. Ratings assigned to those facilities that meet any of the following criteria:
 - (1) Government property of a significant monetary value (more than \$5 million, exclusive of facilities and land values);
 - (2) Nuclear materials requiring safeguards controls or special accounting procedures other than those categorized as types “A,” “B,” or “C”;
 - (3) Responsibility for DOE program continuity;
 - (4) National security considerations; or
 - (5) Responsibilities for protection of the health and safety of the public and employees.
- g. “NP” (Non-Possessing) Importance Ratings. Ratings assigned to those facilities whose staff have authorized access to classified information or matter, or SNM at other approved locations, but which do not themselves possess any classified information or matter, or SNM, or meet any of the other criteria listed for the other ratings above.

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Section 702

Corrective Action Plans and Validation of Closure

Security-related findings may be issued as a result of a security inspection, evaluation, survey, or self-assessment conducted by the GAO, IG, EA and its predecessors, and the HQ Survey Team within AU-42. Once a security finding is issued, a CAP must be developed to resolve the finding, and the completed CAP must be validated to ensure that the actions have fully resolved the finding. All security-related findings must be entered into SSIMS and tracked until they are closed.

Because security-related findings are issued and tracked by several different organizations, many of which do not use or have access to SSIMS, the process of tracking findings and CAPs and validating their closure requires actions by several different HQ organizations.

HQ Implementation Procedures

Findings:

Any **finding** issued as a result of a security inspection, evaluation, survey, or self-assessment must be entered into SSIMS as follows:

- Findings issued by the HQ Survey Team, AU-42, as a result of security surveys and self-assessments are entered into SSIMS by the HQ Survey Team.
- Findings issued by EA and its predecessors as a result of security inspections and evaluations are entered into SSIMS by EA.
- Findings issued by the GAO or IG, as a result of their reviews, are entered into SSIMS by the Office of Security Assistance (AU-52).

When findings are issued, they are assigned to the specific HQ element where the deficiency was identified. The element is then responsible for preparing an initial CAP within 30 days of issuance of the finding. The CAP must identify what specific actions will be taken to resolve the finding, along with milestones for completing those actions.

Corrective Action Plans:

CAPs for findings issued by the HQ Survey Team or EA must be prepared in accordance with the Corrective Action Plan Formats and instructions provided in Attachments 702-1, 702-2, and 702-3. These formats consist of:

- A Corrective Action Plan Cover Sheet, which summarizes the finding, provides relevant administrative data, identifies the root cause of the finding, and estimates expected completion dates

- One or more Corrective Action Plan Milestones pages, which are attached to and submitted along with the Cover Sheet.

CAPs for findings issued by the GAO or IG must be prepared in the formats specified by those organizations.

1. CAPs for Findings Issued by the HQ Survey Team – The Cover Sheet and Milestones CAP pages for findings issued by the HQ Survey Team are submitted to the HQ Survey Team, which enters the information from the initial CAP into SSIMS. Each quarter thereafter, the HQ Survey Team sends an e-mail to the HSO of each element that has an open finding, requesting the current status of the CAP. The HSO is expected to respond with an e-mail providing information on what milestones or corrective actions were completed. The HQ Survey Team uses this information to update the CAP in SSIMS.

When the HSO believes that the finding has been fully corrected, he/she must notify the HQ Survey Team by e-mail and provide the documentation or justification for closing the finding.

2. CAPs for Findings Issued by EA – The Cover Sheet and Milestones CAP pages for findings issued by EA are submitted to EA, which reviews the initial CAP to ensure that it adequately addresses the root cause of the finding. Once the review of the initial CAP is complete and the HQ element has revised and finalized it, EA enters the CAP into SSIMS.

When the HSO believes that the finding has been fully corrected, he/she must notify EA by e-mail and provide the documentation or justification for closing the finding.

Validation of Closure:

The HQ Survey Team validates closure of all findings issued by the HQ Survey Team.

EA, as well as the HQ Survey Team, validates closure of all findings issued by EA.

Closure of findings issued by the GAO or IG are validated by those organizations in accordance with their individual procedures.

Concerns, Observations, and Recommendations:

Concerns, Observations, and Recommendations that may be made to a HQ element as a result of security inspections, evaluations, surveys, or self-assessments are not entered into SSIMS. They are tracked and closed by the individual HQ element using their own procedures. HQ Survey Team also records and track these issues in a separate database for trending and evaluation purposes.

Points of Contact

For the names and contact information for the positions identified in this chapter, call (301) 903-7189 or (301) 903-2644.

Forms/Samples/Graphics

Corrective Action Plan Cover Sheet (see Attachment 702-1)

Corrective Action Plan Milestones Sheet (see Attachment 702-2)

Instructions for Completing Corrective Action Plan Milestones Sheet (see Attachment 702-3)

ATTACHMENT 702-1

CORRECTIVE ACTION PLAN COVER SHEET		
Survey Date:	Survey Type:	
Finding Number:	Facility Code:	
Responsible Program Office:		
Topical Area:	Subtopical Area:	
Reference(s) (i.e., Orders, Requirements, etc.):		
Short Description of Deficiency:		
Detailed Description:		
Root Cause Analysis:		
Corrective Action Description (including any mitigated/compensatory measures):		
Estimated Completion Date:		
Revised Completion Date:		
Completion Date:		
Responsible Manager:		
Print Name	Signature	Date

ATTACHMENT 702-2

CORRECTIVE ACTION PLAN MILESTONES SHEET	
Finding Number:	Date:
<u>Milestone:</u> <u>No.:</u>	
<u>Milestone Description:</u>	
<u>Deliverables/Completion Criteria:</u>	
Milestone Due Date:	Date Milestone Completed:
Milestone Manager (print and sign):	
<u>Milestone:</u> <u>No.:</u>	
<u>Milestone Description:</u>	
<u>Deliverables/Completion Criteria:</u>	
Milestone Due Date:	Date Milestone Completed:
Milestone Manager (print and sign):	

ATTACHMENT 702-3

Instructions for Completing Corrective Action Plan Milestones Sheet

SECTION	INSTRUCTIONS
Finding Number	Enter the finding number.
Milestone Number	Enter milestone number (consecutive starting with 1).
Milestone Description	<ul style="list-style-type: none">• Write milestones with clear deliverables that solve the problem. Ensure that milestones address and correct the deficiency.• Limit individual milestone instructions to brief, concise statements describing logical segments of the specified milestone. Include milestones for recurrence control.• Write realistic and achievable milestones that can be verified.• Do not overextend milestones beyond your control. Ensure that resources are available.• Identify the milestone manager responsible for completion of each milestone and the respective program element.• Identify only one milestone if only a single action is required to correct the deficiency.• If completion of milestones is required by persons outside of the responsible manager's authority, the responsible manager coordinates the milestone with the supporting program element.
Deliverables/ Completion Criteria	Include completion criteria that are discrete, finite, and verifiable.
Milestone Due Date	Enter the due date for each milestone.
Date Milestone Completed	Enter the actual date each milestone was completed.
Milestone Manager	Milestone managers sign for concurrence of each assigned milestone.