




**The Deputy Secretary of Energy**  
Washington, DC 20585

November 9, 2018

**MEMORANDUM FOR HEADS OF DEPARTMENTAL ELEMENTS**

**FROM:** DAN BROUILLETTE   
**SUBJECT:** Headquarters Facilities Master Security Plan and Headquarters Security Officer Program

I am directing each Departmental Element at Department of Energy (DOE) Headquarters (HQ) to appoint a federal employee as a Headquarters Security Officer (HSO) and at least one federal employee as an alternate.

HSOs enhance security at DOE HQ through an active partnership with the Office of Headquarters Security Operations (AU-40). To achieve this measure of security, it is necessary for each Departmental Element to have a knowledgeable, trained person to answer common security questions, process security documentation on behalf of the office's personnel, arrange for security services provided by AU-40, and serve as the organization's point of contact.

HSOs serve as a critical link between program offices and AU-40. Please provide appointees' information to Kurt Runge, Director of Office of Physical Protection (AU-41).

More information on the Headquarters Security Officer Program can be found in the Headquarters Facility Master Security Plan, located at [https://powerpedia.energy.gov/wiki/Headquarters\\_Facilities\\_Master\\_Security\\_Plan](https://powerpedia.energy.gov/wiki/Headquarters_Facilities_Master_Security_Plan).

This memorandum applies only to operations at DOE HQ, has no major policy implications, and validates existing HSO requirements and policies.

For additional information, please contact Paul Ruehs, Headquarters Security Officer Program Manager, at (301) 903-7189.



# HEADQUARTERS SECURITY OFFICER PROGRAM DUTIES AND RESPONSIBILITIES

## PURPOSE AND SCOPE

To define the authorities, responsibilities and requirements for the Department of Energy (DOE) Headquarters Security Officer (HSO) Program. The updated HQFMSP/HSO Program will replace DOE Headquarters Order 472.1, *Headquarters Security Officer Program*, dated 3-19-10. This Plan/Program applies to all departmental elements at Headquarters (HQ). The Administrator of the National Nuclear Security Administration (NNSA) will ensure NNSA employees and contractors comply with their respective responsibilities under this Plan/Program.

## POLICY

It is Department policy that an HSO and at least one alternate HSO must be appointed to act as primary points of contact for implementation of security requirements for all HQ elements with more than 30 employees. HQ elements with fewer than 30 employees must appoint an HSO only; however, it is recommended the element also appointment an alternate HSO to act in the absence of the HSO. Contractor employees may be appointed to the position of HSO representative to support their HSO and alternate HSOs.

- a) HSO appointments must be communicated to the Director, Office of HQ Security Operations, Office of Environment, Health, Safety and Security (AU-40).
- b) HSOs and Alternate HSOs must be Federal employees.
- c) All HSOs and Alternate HSOs must have access authorizations (security clearances) commensurate with the highest level of classified information handled by their elements. Persons without the required access authorization when appointed must submit for the appropriate access authorization within 30 days of appointment.
- d) All HSOs and alternate HSOs are required to complete the following training courses within one year of appointment.
  - (1) SAS-101DE, Introduction to Safeguards and Security, 2 hours, computer based training, available from the National Training Center (NTC).
  - (2) FIT-130DE, Foreign Visits and Assignments Host Training, 1.5 hours, computer based training, available from NTC.
- e) HSOs and Alternate HSOs representing organizations that routinely handle classified information are required to complete the following additional training courses within two years of appointment:
  - (1) PER-100DE, Introduction to DOE Personnel Security, 3 hours, computer-based training, available from NTC.
  - (2) PHY-128DE, Basic Survey, eLearning.
  - (3) ISC-121DE, Introduction to Classified Matter Protection and Control (CMPC), 8 hours, correspondence course, available from NTC or the Headquarters Classified Matter Protection and Control Overview Course, 4 hours, instructor-led course, available from DOE Headquarters.
  - (4) Headquarters Classified Document Control Station Course, 3 hours, instructor-led course, available from DOE Headquarters.

- f) HSOs and Alternate HSOs may substitute experience for the training courses identified in paragraphs 4d and e, above. The supervisor of a person designated as an HSO or Alternate HSO must provide validation of experience to the HSO Program Manager for the substitution to be accepted.
- g) Either the HSO or at least one Alternate HSO representing an organization that routinely handles classified information is required to complete the following additional training courses within two years of appointment:
  - (1) ISC-202DV, Legal Aspects of Inquiries, 16 hours, correspondence course.
  - (2) ISC-301, Conduct of Inquiries, 32 hours, instructor-led course.
- h) An HSO Program Manager must be designated to coordinate the activities of all HSOs.
- i) Before levying or changing any procedural requirement upon the HSOs, individuals must consult with and obtain the concurrence of the HSO Program Manager. This requirement can be met through the submission, coordination, and approval of changes to the Headquarters Facility Master Security Plan (HQFMSP).

#### RESPONSIBILITIES:

- a. Heads of Headquarters Elements.
  - (1) Designate HSOs. This authority may be delegated in writing to another senior official within the element.
  - (1) Ensure the designation of HSOs is communicated to the Director of HQ Security Operations, Office of Environment, Health, Safety and Security.
  - (2) Ensure adequate resources are available for HSOs to accomplish their responsibilities.
  - (3) Ensure HSOs complete requisite training.
- b. Associate Under Secretary for Environment, Health, Safety and Security. Directs the development and implementation of a security program for protection of the DOE Headquarters, its personnel, and assets.
- c. Director of HQ Security Operations, Office of Environment, Health, Safety and Security.
  - (1) Provides management oversight and direction to all Headquarters security operations, including the HSO Program.
  - (2) Appoints individual security program managers to develop specific procedures to comply with and effectively implement security directives, policies, and requirements at Headquarters.
  - (3) Approves the HQFMSP to establish and implement the security procedures required to implement DOE and other applicable Federal security directives at Headquarters.
  - (4) Approves the format and contents of organizational Appendices to the HQFMSP.
  - (5) Appoints an HSO Program Manager and assistants, as needed.
  - (6) Appoints an HSO to provide support to the Office of the Secretary.
  - (7) Coordinates with subject matter experts in other HQ elements and designates personnel within the Office of HQ Security Operations to manage specific security programs at DOE Headquarters. These individuals perform the following functions in support of the HSO Program:

- (a) Maintain expert knowledge of DOE directives and other Federal security directives applicable to their security program.
- (b) Develop Headquarters-specific procedures to implement the directives, laws, and regulations applicable to their program.
- (c) Prepare and update sections of the HQFMSP to fully describe the procedures and actions required to implement their security program at Headquarters. This includes the development of recommended procedures, sample formats for security processes, proposed compliance and performance evaluations of their program requirements (for example, for self-assessments or performance assurance program elements), and other standardization measures.
- (d) Provide expert advice and assistance to Headquarters personnel, including HSOs, on issues related to their security program.
- (e) Provide briefings, guidance, and informational materials to Headquarters personnel, including HSOs, on their security program.

#### HSO Program Manager.

- (1) Provides assistance to the HSOs and conducts regular informational sessions to foster understanding and compliance with Headquarters security procedures.
- (2) Conducts quarterly HSO meetings to discuss upcoming Headquarters security initiatives, HSO concerns, and related matters.
- (3) Coordinates updates to the HQFMSP from security program managers and subject matter experts (SME).
- (4) Periodically notifies HSOs of required security actions, including but not limited to re-keying security devices, submitting security clearance reinvestigation documentation, and verifying the need for security clearances.
- (5) Publishes the HSO Spotlight to inform HSOs of security-related matters.
- (6) Coordinates recommended modifications to the HQFMSP.
- (7) Develops a standardized format for organizational Appendices to the HQFMSP and assists the HSOs in gaining access to it.
- (8) Assists in determining what training must be completed by newly assigned HSOs and alternate HSOs.
- (9) Assists AU Security Program Managers in obtaining HSO participation in efforts to improve Headquarters security operations.

#### Headquarters Security Officers.

- (1) Serve as their element's point of contact for all security-related matters.
- (2) Perform the following duties in behalf of their element and in accordance with the procedures set forth in the HQFMSP.
  - (a) Assist heads of Headquarters elements in the appointment of personnel to the position of Operations Security (OPSEC) Representative.
  - (b) Obtain, assemble, approve, and/or submit the documentation required to obtain a security badge for entering Headquarters facilities.
  - (c) Obtain, assemble, approve and/or submit the documentation required to obtain a security clearance.

- (d) When notified, initiate applicants for security clearances and security badges into the electronic questionnaire for investigation processing (e-QIP).
- (e) Annually review the need for retaining security clearances.
- (f) Ensure personnel complete the documentation required for security clearance reinvestigations.
- (g) Ensure clearance holders notify the Office of HQ Personnel Security Operations of reportable events and absences of 90 days or more.
- (h) Assist in the transfer of security clearance and access information to other DOE and Federal organizations so organizational personnel may attend classified meetings.
- (i) Develop an out-processing procedure for their organizations to terminate security clearances and special accesses, return security badges, recover keys, transfer classified information, etc. for departing personnel or personnel who no longer require them.
- (j) Assist contracting officer representatives (CORs) and contractor facility security officers (FSOs) in understanding and submitting the documentation required for entering facility clearance and classified contract information into the Safeguards and Security Information Management System (SSIMS).
- (k) Assist CORs and FSOs in understanding and submitting the documentation required for terminating a classified contract, including terminating access authorizations and completing Certificates of Non-Possession or their equivalent.
- (l) Initiate requests for the establishment and termination of Security Areas, ensure these areas are configured to perform classified work, and maintain current access lists, visitor logs, and signage for these areas.
- (m) Assist in maintaining the integrity of Limited Areas (LA), Vault-Type Rooms (VTR) and Temporary LAs.
- (n) Nominate personnel for security training and maintain records of CMPC and certain other training as identified in the Appendix to the HQFMSP.
- (o) Serve as points of contact on CMPC matters, including providing advice and assistance in the receipt, marking, storage, handling, discussion, transmission, and destruction of classified matter.
- (p) Conduct regularly scheduled/periodic -checks/reviews of security equipment and procedures, and other self-assessment activities related to the security programs associated with their organization.
- (q) Advise and assist the heads of Headquarters elements in establishing, manning, and operating Classified Document Control Stations. This includes advising the CMPC Program Manager of the names of Classified Document Control Station operators and persons authorized to receive classified and express mail.
- (r) Serve as points of contact on matters related to the receipt, marking, storage, handling, discussion, transmission, and destruction of Unclassified Controlled Information.

- (s) Assist personnel in understanding and complying with visitor access control procedures in place at Headquarters facilities.
- (t) Assist personnel in understanding and complying with procedures for controlling Unclassified Foreign Visits and Assignments and Classified Foreign Visits. This includes ensuring the required information is entered into the Foreign Access Control Tracking System, assisting in the preparation of required security plans, ensuring hosts and escorts understand their responsibilities, to include the requirements necessary for sharing classified information with foreign nationals; and ensuring the heads of Headquarters elements approve these visits and/or assignments.
- (u) Assist the Security Survey Team in conducting self-assessments and initial, periodic, special, and termination surveys.
- (v) Assist in the development, submission, and verification of corrective action plans to remedy security discrepancies identified in self-assessments and surveys.
- (w) Receive and report incidents of security concern to the HQ Security Incident and Infractions Program Manager, and upon request, conduct required security inquiries. Assist supervisors in issuing security infractions.
- (x) Assist personnel in acquiring security equipment, such as security containers, secure communications devices, and shredders. Ensure users have and are employing the proper forms associated with the equipment. Remind users of recurring requirements such as re-keying (to include sending out notices of emergency re-key requirements) and testing.
- (y) Prepare requests concerning security operations for exemptions and exceptions from DOE Orders.
- (z) Coordinate with other security officers, such as the organizational HQ Information Systems Security Officer, HQ Security Survey Team, or Office of Technical Security to obtain necessary approvals for conducting security activities.
- (aa) Develop standard operating procedures for internal security activities.
- (bb) Assist personnel in understanding and complying with procedures for introducing into or removing property from Headquarters facilities.
- (cc) Assist personnel in understanding and complying with procedures for protecting classified matter during evacuations and emergency situations.
- (dd) Ensure letters and memoranda appointing personnel within the elements to perform security-related tasks, such as control station operators and accountability custodians, are kept current.
- (ee) Assist in monitoring and facilitating the completion of security awareness briefings, including the Annual Security Refresher Briefing (ASRB).
- (3) Maintain an organizational appendix to the HQFMSP in the standardized format.
- (4) Provide feedback to the HSO Program Manager regarding the HQFMSP.
- (5) Complete required HSO training and attend quarterly HSO meetings and instructional sessions and other training recommended by the HQ HSO Program Manager.

- (6) Ensure the supporting HSO representatives obtain the specialized training and access authorization required to perform the security functions assigned to them.

DEFINITIONS. Except for the terms defined below, all the terms used in the DOE Safeguards and Security Program are defined in the Safeguards and Security Glossary in DOE Order 470.4B, Safeguards and Security Program.

- a. Headquarters Facilities Master Security Plan (HQFMSP): The DOE Headquarters facilities security procedures developed to implement the security requirements established by DOE security directives and Federal laws and regulations.
- b. HSO: A Federal employee appointed by a head of a DOE element to perform security-related duties and responsibilities in behalf of their element.
- c. HSO Program Manager: A Federal employee appointed by the Director, Office of HQ Security Operations to coordinate HSO activities.
- d. HSO Representative: A contractor employee appointed by a head of a DOE element to support their HSOs and alternate HSOs. HSO Representatives cannot perform certain HSO duties such as approving requests for security badges or security clearances or approving any other action which may involve the expenditure or commitment of governmental funds or resources.

REFERENCE.

DOE HQFMSP available at: <http://energy.gov/ehss/security-policy-guidance-reports/headquarters-facilities-master-security-plan>

CONTACT. Questions concerning this Policy should be addressed to the Office of HQ Security Operations, Office of Environment, Health, Safety and Security at 301-903-9990.

BY ORDER OF THE SECRETARY OF ENERGY:



DAN BROUILLETTE  
Deputy Secretary