Security Lessons Learned Center

Handbook

September 25, 2008
Version 2

LA-UR-07-6254

National Nuclear Security Administration

FOREWORD

In February 2007, the National Nuclear Security Administration (NNSA), Office of the Associate Administrator for Defense Nuclear Security, established a complex-wide Security Lessons Learned Center (SEC-LLC). Los Alamos National Laboratory (LANL) was selected by the Office of Defense Nuclear Security (DNS) as the site to host the center. The SEC-LLC serves as the executive agent of DNS for applying the program complex-wide and for implementing this handbook.

The Security Lessons Learned Center Handbook/User's Guide has been prepared and issued for use by NNSA's Security organizational elements.

Suggestions for improving the Handbook are welcome; send them in writing or by e-mail concurrently to the following address:

Office of Defense Nuclear Security
National Nuclear Security Administration
1000 Independence Avenue SW
Washington, DC 20585
e-mail: Defense.NuclearSecurity@nnsa.doe.gov

Security Lessons Learned Center
c/o Los Alamos National Laboratory
P.O. Box 1663, Mail Stop K560
Los Alamos, NM 87545
e-mail: sec-llc@lanl.gov

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1 OVERVIEW

1.1 Introduction

This document presents the framework for the National Nuclear Security Administration (NNSA), Security (SEC) Lessons Learned Center (SEC-LLC) in support of the implementation of the complex-wide Security Lessons Learned Program. The DNS will promote the Lessons Learned Center by leveraging the efforts of designated points of contact (POCs) at the site level participating through the SEC-LLC and the capabilities of the DOE Corporate Lessons Learned network. The objectives of the program are to provide a platform to encourage and facilitate the sharing of lessons-learned information on security-related issues. This center will ultimately help users from across the NNSA complex identify and implement effective solutions to various security issues.

The center provides a repository and forum for sharing innovative new tools and practices to address common security issues, improve the efficiency of the security program, and help prevent security incidents. To better develop and implement policies, procedures, and systems that will better manage security risk, the center provides security experts with access to information about real-world security successes.

This document provides NNSA sites with supplemental information for fulfilling requirements in the *Security Interim Lessons Learned Guide*, February 2007, DOE-STD-7501-99, *The DOE Corporate Lessons Learned Program*, December 1999, and other rules, orders, notices, and departmental requirements for preparing security-related lessons learned throughout the NNSA complex. This handbook provides user information specific to the SEC-LLC and its processes and identifies the expectations and framework for developing, sharing, and using security lessons learned. This handbook is not a substitute for departmental requirements, nor does it replace technical standards.

1.2 Background

The success of analogous safety initiatives in the DOE complex motivated the DNS to establish the SEC-LLC. The DOE has implemented a robust and effective system for capturing, analyzing, sharing, and trending issues related to safety and conduct of operations for nuclear facilities through the DOE Corporate Operating Experience. For safety and the environmental issues, information sharing and lessons learned are practically second nature.

1.2.1 SEC-LLC Drivers

Security cannot claim a similarly well-socialized and -used lessons learned function. Most lessons learned systems in the complex have been largely developed by and for users who are primarily concerned with safety and environmental issues. The existing systems do not exclude security, but their design and marketing are centered on non-security topics. Additionally, existing systems lack features and controls that make security-related use more effective.

The value and success of a lessons learned system, coupled with the absence of a security-focused system in the DOE complex, inspired the DNS to charter and fund the development of the SEC-LLC. The SEC-LLC, as a central repository in the DOE complex, will collect and distribute security lessons learned, best practices, and success stories based on input received from participating sites. The SEC-LLC is focused on providing timely distribution and communication links across the complex and user-friendly Web tools and publications. The SEC-LLC has developed a set of tools and products related to the security topical and subtopical areas that are as robust and valuable as their safety counterparts.

1.2.2 SEC-LLC Benefits

Distributing and using the data the SEC-LLC collects will complement existing site-specific security efforts and will make all participating organizations more secure. Additionally, access to a collection of information about real-world security successes and challenges will allow security experts to design and implement policies and systems that are more risk-averse. These improvements will increase the effectiveness of the security programs and decrease the likelihood and severity of security incidents. In an environment where efficiency is of increased concern, reducing security incident rates can help sites avoid costly fines and penalties and increase contract award fees. More importantly, reducing serious incidents is a significant factor in preserving our national security.

1.3 Scope

1.3.1 Purpose

DNS expects all security professionals performing DOE work to make decisions and execute their work based on the best available information. Through their work experiences, all security professionals are expected to identify opportunities for improvement and share these with their colleagues. The purpose of a lessons learned program is to share and use knowledge for continuous improvement by avoiding recurrent or similar problems and encouraging and reinforcing secure practices. Lessons learned must be available at the worker and supervisor level to be an effective tool in preventing repeat problems and supporting secure work practices.

1.3.2 Applicability

The SEC expects security contractors, site offices, and headquarters elements to engage in an active program of shared lessons learned, best practices, and success stories at several levels.

> (1) Contractors should develop internal lessons learned from their own experiences and from the experiences of others, implementing them in an institutionalized manner to minimize recurring deficiencies and to maximize the efficacy of the security program.
>
> (2) Contractors must actively engage and participate in distributing their lessons learned to other NNSA and DOE sites. Likewise, they must actively

seek out those in industry and elsewhere across the DOE complex that might benefit to their own program.

(3) Site offices, in their line management oversight role, must ensure security contractors institutionalize an active security best lessons learned program and provide positive or negative feedback as necessary.

2 DEFINITIONS

Integrated Safeguards and Security Management - a unified management model for achieving cost-effective operational excellence (safety and security).

Classification - Process of determining and identifying information that needs to be protected in the interest of national security.

Derivative Classifier (DC) - An individual authorized by the Laboratory classification officer to classify documents or materials containing RD, FRD, and/or NSI within his or her programmatic jurisdiction up to the level defined in his or her letter of authorization, using approved classification guidance.

Review Official (RO)—A worker authorized to determine, based on UCNI guidelines, if matter under his or her cognizance contains UCNI.

DOE Corporate Lessons Learned Program – The collection of DOE and contractor organizational lessons learned programs sharing information (safety and security) to improve performance.

Lessons Learned Document – A general term for any type of document submitted to the SEC-LLC

Lesson Learned - Knowledge and experience, positive or negative, derived from actual events shared to promote positive information or prevent recurrence of negative events; benefit from the experiences of others.

Best Practice – A positive example of work processes, procedures, good ideas, or solutions that "work" and are solidly grounded upon actual experience in operations, training, and exercises.

Success Story – An exemplary initiative that has shown notable achievement in its specific environment and that may provide useful information to others.

Originator – The individual who writes the lessons learned document.

Point-of-Contact (POC) – A designated individual from the site office(s) to the SEC-LLC responsible for ensuring security contractors institutionalize an active security lesson learned program at their site(s).

Subject Matter Expert (SME) - An individual who, by education, training, and/or experience is a recognized expert on a particular subject, topic, or system.

3 SEC-LLC PROGRAM DESCRIPTION

3.1 Overview

Lessons Learned programs are an important component of Integrated Safeguards and Security Management (ISSM) because they return learned experiences and good practices into the overall work process while warning organizations of adverse work practices or experiences. The SEC-LLC provides a process that allows members of the security community to keep abreast of the latest security-related news, issues, and events across the DOE complex; share innovative ideas and practices; and collaborate on the development and implementation of new security practices and processes.

A key SEC-LLC objective is to facilitate a vital cross flow of information throughout the NNSA/DOE complex by providing a centralized and consistent process for collecting, processing, documenting, archiving, retrieving, and reporting **unclassified** security information to meet critical mission needs.

The SEC-LLC's primary goals are to

- Foster a culture that recognizes the value of lessons learned and encourages continuous information sharing,
- Maintain information sharing links across the DOE complex,
- Build lessons learned networks,
- Distribute information in a timely manner, and
- Measure the benefits (e.g., use, cost savings) gained from lessons learned programs.

3.2 Program Administration

The SEC-LLC staff and appointed POCs from site offices complex-wide will administer the SEC-LLC, and NA-74 will provide management oversight. The SEC-LLC staff will maintain the database and Web site; however, existing system elements available on the DOE Corporate network will continue to promote the integration of safety and security lessons learned programs.

3.3 User Community

NNSA Headquarters (HQ) personnel, field and personnel, and NNSA contractor personnel at all levels of the organization constitute the user community for the SEC-LLC lessons learned program. Other government agencies, industry, and the general public will also have access to security lessons learned processed by the SEC-LLC.

3.4 Information Input

The mechanisms for identifying a potential security lessons learned document are based on the definitions in Section 2, Definitions; originators will prepare and submit the document using standard templates (refer to Attachments A through C).

3.5 Information Access

Security professionals across the complex will have access to the SEC-LLC Web site and posted lessons learned documents through the DOE Corporate portal at http://www.hss.energy.gov/CSA/analysis/DOEll/index.asp.

3.6 Web Site

The design of the SEC-LLC Web site allows it to serve as the focal point for interactively communicating security-related information among sites throughout the complex. It provides a variety of communication resources such as security tips, links to other security-related Web sites, document reference, and the latest security industry events and seminars.

3.7 Database

Individuals can access the entire library of lessons learned documents and can register for automatic delivery of selected document types from the DOE Corporate database. Access to the search capability is password protected because it contains documents from the Government Data Information Exchange Program (GIDEP), which may have limits on distribution; therefore, only DOE employees, contractors, and subcontractors may use this service.

3.8 Training

Each local organization is responsible for making personnel aware of how to access and use the SEC-LLC to identify, share, and use lessons learned. The POCs can assist at the individual sites. The SEC-LLC staff create, distribute, and maintain a User's Guide to support this effort.

4 ROLES AND RESPONSIBILITIES

This section defines the primary roles and responsibilities of NNSA and site organizations for implementing, using, and participating in the Security Lessons Learned Center.

4.1 Office of Defense Nuclear Security NA-74

- Ensure sufficient resources and funding
- Support and oversee the development, implementation, and maintenance of the NNSA complex-wide Lessons Learned Center
- Identify SMEs to facilitate lessons learned review and analysis
- Act as the clearing house for all security-related documents posted in the SEC-LLC database

4.2 SEC-LLC

- Facilitate developing and maintaining the security lessons learned program including processes, procedures, communication methods, documentation, and reporting
- Provide support to the POCs who implement and operate the SEC-LLC program at participating sites
- Coordinate the screening, publication, and distribution of lessons learned information
- Collect information to evaluate program effectiveness and report to management
- Perform systems administration tasks for database and Web site
- Plan and implement promotional, marketing, and communication mechanisms/strategies

4.3 POCs

- Ensure the SEC-LLC program is incorporated into organizational responsibilities
- Ensure that lessons learned information is included in the planning and execution of work with the scope of their responsibility
- Screen site-produced lessons learned documents for applicability and readability and ensure DC review
- Distribute and promote SEC-LLC documents and data throughout local organization and site

4.4 Individual Worker

- Identify experiences, activities, processes, and practices that should be shared in accordance with the definition of lessons learned (i.e., positive or negative experiences)
- Document the experience (e.g., lesson learned, best practice, or success story); **obtain DC review** and submit to the designated POC
- Incorporate applicable lessons into work planning and execution

5 LESSONS LEARNED DEVELOPMENT AND DISSEMINATION

5.1 Determine Document Type

There are *three types* of lessons learned documents. The originators must determine which type of document they plan to submit and select, download, and complete that template (refer to Section 2, Definitions).

5.2 Prepare Lessons Learned Document

Lessons learned for complex-wide distribution should provide certain essential information to reduce search time and enhance determination of relevancy. The SEC-LLC has developed a standardized template for documenting lessons learned, best practices, and success stories (refer to Attachments A through C).

5.3 Content and Style

Lessons learned should be concise, to the point, and written so that the reader can understand the specific event or activity, the causal factors, and the actual or potential consequences. Accurately describing the facts enables the lesson learned reader to understand the relevance to his/her situation. Lessons learned should also include recommendations for action.

The most important elements in a lessons learned report are

- A clear statement of the lesson
- A background summary of how the lesson was learned
- Recommended actions (i.e., corrective actions, actions with potential for cost savings or avoidance)
- Contact information for additional detail

5.4 Technical Review and Approval

The designated point of contact and other appropriate SMEs, as determined by NA-74, will perform the required technical review of all lessons learned documents to ensure accuracy, completeness, and applicability.

5.5 Security Classification and Control Review

All lessons learned documents also require the following reviews:

- review for compliance with organizational security requirements,
- review by a DC for security classification, and
- review by an RO for Unclassified Controlled Nuclear Information (if applicable).

It is the responsibility of the originator to make arrangements with a DC to review the lessons learned document before submitting it to the POC.

5.6 Submit a Lessons Learned Document

The originator completes the template, obtains classification review by the site DC, and then forwards the document to the respective POC who will coordinate the document through the process.

NOTE: Document originators are responsible for ensuring that the information detailed in the standard template complies with local and departmental regulations pertaining to the protection of classified and unclassified controlled information.

5.7 Dissemination of Lessons Learned Information

The SEC-LLC distributes lessons learned documents to DOE Corporate upon final concurrence from DNS. All documents will have an assigned identification number and will contain no classified, UCNI, or proprietary information.

6 UTILIZATION OF LESSONS LEARNED INFORMATION

Lessons learned information will be collected and processed in a manner that allows the SEC-LLC to identify the use of the lessons learned information through trending and analysis to evaluate improvements or to identify favorable or adverse programmatic trends.

6.1 Trending Reporting

Standard reports will be provided to NA-74 and the POC and made available on the SEC-LLC Web site.

6.2 Program Performance Assessment

Contractors and site offices will evaluate the effectiveness of the lessons learned program with self-assessments and surveys. Performance will be measured annually to determine how well the process is being implemented and to identify areas needing improvement.

6.3 Return on Investment

The SEC-LLC will provide resources to assist in conducting effectiveness reviews to compare the costs and benefits derived from the lessons learned program and identify ways to improve the utility of the program and to show that the program not only improves security but reduces costs associated with incidents.

7 USER'S GUIDE

7.1 Welcome

7.1.1 Getting Started

The operating concept begins at the local levels where workers observe adverse outcomes, potential best practices, or applicable information gathered from external sources. Workers are the key to the success of any Lessons Learned Program. These are the individuals who are on the front lines and see the security events as they occur or have ideas of ways to prevent such events from happening.

7.1.2 Logging on to the SEC-LLC

From your Web browser, go to the DOE Corporate Web site at http://www.hss.energy.gov/CSA/analysis/DOEll/index.asp.

The following window appears:

You can now click on ***Security Lessons Learned Center*** from the menu in the left-hand column.

BUT WAIT, before you leave this page you might want to establish your "user's profile." This profile will allow you to search for lessons learned documents from the entire database and receive electronic copies of documents specific to your needs.

7.1.3 Establishing a User's Profile

To subscribe to the lessons learned system, sign up for an account at http://www.hss.energy.gov/csa/analysis/DOEll/reqProfile1.asp and apply for a password.

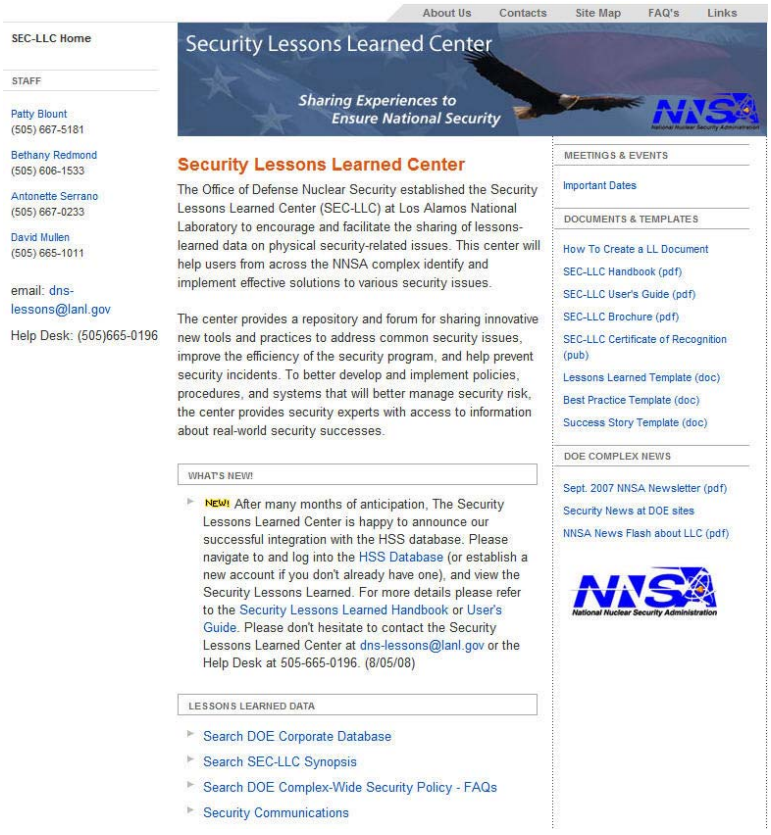
Once you have your password, you will be able to log onto the system and select which functional categories of lessons learned you wish delivered to you. You can also select daily, weekly, or monthly summaries.

NOTE: You must enter your Site Office initials in the *DOE OFFICE*. Hit continue. On the second page of this request form you have the option of tailoring what documents you want to receive and how often you want to receive them.

Continue to page three and select submit profile when done. You'll begin to receive this information at your e-mail address approximately 24 hours after you complete the request form.

7.1.4 Accessing the SEC-LLC Web Page

Now you're ready to move on. Let's get right into the SEC-LLC Web page. Click on the Security Lessons Learned Web site link located in the left-hand column. The following window will appear:



You can now navigate though the SEC-LLC Web site to familiarize yourself with its capabilities.

7.2 Creating a Lessons Learned Document

7.2.1 Determining the Type of Document You Want to Submit

You, as the originator, must determine which of the three types of lessons learned documents you want to submit.

Lesson Learned - Knowledge and experience, positive or negative, derived from actual events shared to promote positive information or prevent recurrence of negative events; benefit from the experiences of others.

Best Practice – A positive example of work processes, procedures, good ideas, or solutions that "work" and are solidly grounded upon actual experience in operations, training, or exercises.

Success Story – An exemplary initiative that has shown notable achievement in its specific environment and that may provide useful information to others.

 These categories promote the best methods of communicating accomplishments in security operations or avoiding recurring deficiencies. All three are variations on the same basic idea: experiential information that can inform future decision-making, job planning, and workers and supervisors in the conduct of their work activities.

7.2.2 Selecting the Template

Once you've determined what type of lessons learned document you are submitting, select the appropriate template and save it to your desktop. Attachments A through C are blank and annotated samples of each of the templates. Attachment D contains field descriptions for the various templates.

7.2.3 Completing the Template

Complete the template to the best of your ability. Remember—*this is not a writing contest.* The SEC-LLC will vet all submitted documents for formatting, grammar, spelling, etc., before they release the final versions.

It is also important that you complete all the requested fields to provide sufficient detail to allow a reader to understand the problem, how it was identified, and what steps have been or will be taken to correct the problem or prevent recurrence.

 Standardized templates ensure consistency in reporting for purposes of analysis and that the same type of information is being shared and communicated across the DOE and NNSA complex.

 You have the option of indicating whether or not you want to maintain anonymity. You can opt to have all descriptive information such as originator name and site name excluded from the published version of your lessons learned. Please be sure to indicate your choice by placing a checkmark in the "Anonymous" box if you want your document to be published without site-specific information. This option provides the participating sites with assurance that the originating site has no criticism or "bad press" directed at it.

7.3 Submitting a Lessons Learned Document

7.3.1 Originator Roles and Responsibilities

- Obtain DC/Reviewing Official Approval. Please provide your lessons learned document to your local classification group or a DC for review **before** submitting it. The SEC-LLC is only accepting and publishing UNCLASSIFIED documents.

- As the originator of the document, it is your responsibility to ensure that the information detailed in your template is in compliance with local and departmental regulations for the protection of classified and unclassified controlled information.

- Once you've completed your document **and have had your DC review it**, send it to your site POC, who will coordinate the document through the rest of the process. You may be called upon for additional information or clarification along the way but, for now, your job is done!

Thank you for your submittal!

7.3.2 POC Roles and Responsibilities

- Screen site-produced lessons learned documents for applicability and readability and to **ensure DC review**.

- Submit to the SEC-LLC at sec-llc@lanl.gov.

7.3.3 SEC-LLC Roles and Responsibilities

- Collect lessons learned documents from the participating sites.

- Review for classification.

- Screen the documents and obtain SME review and input if needed.

- Develop the document in final format and obtain necessary approvals before releasing it.

- Communicate the information across the DOE complex.
- Track data and provide reports.

8 Resources

If you require assistance you can contact the SEC-LLC Security Help Desk. Support hours are Monday through Friday 8:00 a.m. to 5:00 p.m. Mountain Standard Time.

You can reach the SEC-LLC Help Desk at

- Telephone — **(505) 665-0196**
- E-mail — **sec-llc@lanl.gov**

You can also contact your SEC-LLC **POC.** NA-74 has identified points of contact at each participating site, and. although the POCs primarily promote the use and application of the SEC-LLC program at assigned organizational areas of responsibility, they are also a resource to you.

SITE NAME	NAME	SITE	PHONE #	E-MAIL ADDRESS
Albuquerque Service Center	Kathy Sumbry-Wilkins	ABQ Service Center	505-845-4355	ksumbry-wilkins@doeal.gov
Los Alamos Site Office	Diane Menapace	LASO	505-665-3229	dmenapace@doeal.gov
Lawrence Livermore Site Office	David Aron	LLNL	925-424-3540	dave.aron@oak.doe.gov
Kansas City Site Office	Anthony George	KCSO	816-997-2747	ageorge@kcp.com
Nevada Site Office	Stan McCloskey	NSO	702-794-1788	mccloskeys@nv.doe.gov
Pantex Site Office	John O'Brien	PXSO	806-477-3197	jobrien@pantex.doe.gov
Pacific Northwest National Laboratory	Bryan Avery	PNL	509-372-6848	bryan.avery@pnl.gov
BWXT Pantex	Larry Mendez	BWXT Pantex	806-477-6541	lmendez@pantex.com
BWXT Pantex	John Chavarria	BWXT Pantex	806-477-3289	jschavar@pantex.com
Sandia Site Office	Randy Kubasek	SNL	505-845-4803	rkubasek@doeal.gov
Savannah River Site Office	Diane Powell	SRSO	803-208-1517	diane.powell@nnsa.srs.gov
Washington Savannah River Company	Lee Prim	WSRC-DP	803-208-3584	lee.prim@srs.gov
Y-12 Security Complex	Debbie Hunter	BWXT Y-12	865-574-8022	hunterdl@y12.doe.gov

ATTACHMENT A
LESSON LEARNED

UNCLASSIFIED ONLY
Obtain DC Review Prior to Dissemination

LESSONS LEARNED CENTER

THE SECURITY LESSONS LEARNED CENTER (SEC-LLC)
Lesson Learned Submittal Form

Topical/ Sub Topical Area

PROGRAM MANAGEMENT & SUPPORT
- ☐ PROTECTION PROGRAM MANAGEMENT
- ☐ S&S PLANNING & PROCEDURES MANAGEMENT CONTROL
- ☐ PROGRAM WIDE SUPPORT

PROTECTIVE FORCE
- ☐ MANAGEMENT
- ☐ TRAINING
- ☐ DUTIES
- ☐ FACILITIES & EQUIPMENT

PHYSICAL SECURITY
- ☐ ACCESS CONTROLS
- ☐ INTRUSION DETECTION & ASSESSMENT SYSTEMS
- ☐ BARRIERS & DELAY MECHANISMS
- ☐ TESTING & MAINTENANCE
- ☐ COMMUNICATIONS

INFORMATION PROTECTION
- ☐ BASIC REQUIREMENTS
- ☐ TECHNICAL SURVEILLANCE COUNTERMEASURES
- ☐ OPERATIONS SECURITY
- ☐ CLASSIFICATION GUIDANCE
- ☐ CLASSIFIED MATTER PROTECTION & CONTROL

CYBER SECURITY
- ☐ CLASSIFIED CYBER SECURITY
- ☐ TELECOMMUNICATIONS SECURITY
- ☐ UNCLASSIFIED CYBER SECURITY

PERSONNEL SECURITY PROGRAM
- ☐ ACCESS AUTHORIZATION
- ☐ HUMAN RELIABILITY PROGRAM
- ☐ CONTROL OF CLASSIFIED VISITS
- ☐ SAFEGUARDS & SECURITY AWARENESS

UNCLASSIFIED VISITS & ASSIGNMENTS BY FOREIGN NATIONALS
- ☐ SPONSOR PROGRAM MANAGEMENT & ADMIN
- ☐ COUNTERINTELLIGENCE REQUIREMENTS
- ☐ EXPORT CONTROLS/ TECH TRANSFER REQUIREMENTS
- ☐ SECURITY REQUIREMENTS
- ☐ APPROVALS & REPORTING

NUCLEAR MATERIALS CONTROL & ACCOUNTABILITY
- ☐ PROGRAM ADMINISTRATION
- ☐ MATERIALS ACCOUNTABILITY
- ☐ MATERIALS CONTROL

Date: **ID #:** (to be completed by LLC)

Originator:

Site: ...

Publish Anonymously: ☐ Yes

Document Title:

Facility/ Site Point of Contact: ...

Derivative Classifier:

Reviewing Official:

Discussion of Activities:

Lesson Learned Summary:

Analysis:

Recommended Actions:

Estimated Savings / Cost Avoidance:

Keywords:

UNCLASSIFIED ONLY
Obtain DC Review Prior to Dissemination
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Obtain DC Review Prior to Dissemination

LESSONS LEARNED CENTER

THE SECURITY LESSONS LEARNED CENTER (SEC-LLC)
Lesson Learned Submittal Form

Topical/ Sub Topical Area

PROGRAM MANAGEMENT & SUPPORT
- ☐ PROTECTION PROGRAM MANAGEMENT
- ☐ S&S PLANNING & PROCEDURES MANAGEMENT CONTROL
- ☐ PROGRAM WIDE SUPPORT

PROTECTIVE FORCE
- ☐ MANAGEMENT
- ☐ TRAINING
- ☐ DUTIES
- ☒ FACILITIES & EQUIPMENT

PHYSICAL SECURITY
- ☐ ACCESS CONTROLS
- ☐ INTRUSION DETECTION & ASSESSMENT SYSTEMS
- ☐ BARRIERS & DELAY MECHANISMS
- ☐ TESTING & MAINTENANCE
- ☐ COMMUNICATIONS

INFORMATION PROTECTION
- ☐ BASIC REQUIREMENTS
- ☐ TECHNICAL SURVEILLANCE COUNTERMEASURES
- ☐ OPERATIONS SECURITY
- ☐ CLASSIFICATION GUIDANCE
- ☐ CLASSIFIED MATTER PROTECTION & CONTROL

CYBER SECURITY
- ☐ CLASSIFIED CYBER SECURITY
- ☐ TELECOMMUNICATIONS SECURITY
- ☐ UNCLASSIFIED CYBER SECURITY

PERSONNEL SECURITY PROGRAM
- ☐ ACCESS AUTHORIZATION
- ☐ HUMAN RELIABILITY PROGRAM
- ☐ CONTROL OF CLASSIFIED VISITS
- ☐ SAFEGUARDS & SECURITY AWARENESS

UNCLASSIFIED VISITS & ASSIGNMENTS BY FOREIGN NATIONALS
- ☐ SPONSOR PROGRAM MANAGEMENT & ADMIN
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- ☐ APPROVALS & REPORTING

NUCLEAR MATERIALS CONTROL & ACCOUNTABILITY
- ☐ PROGRAM ADMINISTRATION
- ☐ MATERIALS ACCOUNTABILITY
- ☐ MATERIALS CONTROL

Date: 7/30/2007 **ID #:** (to be completed by LLC) XXXX

Originator: Jan Penny, Wachenhut REOP Coordinator

Site: NVO / Nevada

Publish Anonymously: ☐ Yes

Title: Carbon Monoxide Exposure in Armored Badger Security Vehicle

Facility/ Site Point of Contact: NVO/ Stan McCloskey

Derivative Classifier: Jan Penny

Reviewing Official: Mark Hojnacke

Discussion of Activities:

At 0245 on January 20, 2007, a Security Police Officer (SPO) contacted supervision to report the members of the unit had become ill while sitting in their armored Badger security vehicle. The vehicle engine had been turned off earlier, when the SPOs thought they detected exhaust fumes. When supervision arrived the SPOs were outside the vehicle and were ill. Fire and rescue medical personnel were called and responded. The SPOs were placed on oxygen and their vital signs were monitored. The SPOs were examined and treated by the Nevada Test Site Fire and Rescue medical personnel, and then transported by ambulance to a local hospital for f! urther treatment and evaluation. When examined by medical pers! onnel at the hospital on January 20, the SPOs were treated for carbon monoxide exposure and were taken off work for 48 hours. All were re-examined by medical personnel on January 22, 2007 and returned to full duty. On February 7, 2007, medical documentation received from the hospital confirmed that all SPOs had been exposed to carbon monoxide.

Lesson Learned Summary:

All personnel should be aware of the effects and danger of carbon monoxide while operating vehicles and at the first sign of illness call for medical personnel and supervision and seek fresh air.

Analysis:

A crew member stated that the vehicle was operated continuously from the start of the shift until the exhaust smell became over-powering and the engine was shut off. The SPOs remained in the vehicle with the engine off for approximately 1 hour until they became ill. The carbon monoxide detector, when field checked immediately after the incident did not perform within operating standards. A Safety Specialist conducted a diagnostic check and the monitor did not operate within standards during this check.

Recommended Actions:

After the initial occurrence on January 20, 2007, the armored Badger security vehicle was remo! ved from service and tagged out-of-service. All remaining Badgers were inspected to ensure similar conditions did not exist with those vehicles. No similar defects were discovered. Due to the age of these type vehicles, safety personnel had previously placed hand-held monitors inside the crew compartments of these vehicles to detect elevated levels of carbon monoxide. The Wackenhut Services General Manager directed that the remaining gasoline powered Badgers be taken out-of-service and processed as excess equipment. Additionally, the General Manager directed that the monitor be returned to the manufacturer for a determination of functionality.

Estimated Savings / Cost Avoidance:

Keywords:

CARBON MONOXIDE, ARMORED BADGER SECURITY VEHICLE

UNCLASSIFIED ONLY
Obtain DC Review Prior to Dissemination

ATTACHMENT B
BEST PRACTICE

UNCLASSIFIED ONLY
Obtain DC Review Prior to Dissemination

LESSONS LEARNED CENTER

THE SECURITY LESSONS LEARNED CENTER (SEC-LLC)
Best Practice Submittal Form

Topical/ Sub Topical Area

PROGRAM MANAGEMENT & SUPPORT
- ☐ PROTECTION PROGRAM MANAGEMENT
- ☐ S&S PLANNING & PROCEDURES MANAGEMENT CONTROL
- ☐ PROGRAM WIDE SUPPORT

PROTECTIVE FORCE
- ☐ MANAGEMENT
- ☐ TRAINING
- ☐ DUTIES
- ☐ FACILITIES & EQUIPMENT

PHYSICAL SECURITY
- ☐ ACCESS CONTROLS
- ☐ INTRUSION DETECTION & ASSESSMENT SYSTEMS
- ☐ BARRIERS & DELAY MECHANISMS
- ☐ TESTING & MAINTENANCE
- ☐ COMMUNICATIONS

INFORMATION PROTECTION
- ☐ BASIC REQUIREMENTS
- ☐ TECHNICAL SURVEILLANCE COUNTERMEASURES
- ☐ OPERATIONS SECURITY
- ☐ CLASSIFICATION GUIDANCE
- ☐ CLASSIFIED MATTER PROTECTION & CONTROL

CYBER SECURITY
- ☐ CLASSIFIED CYBER SECURITY
- ☐ TELECOMMUNICATIONS SECURITY
- ☐ UNCLASSIFIED CYBER SECURITY

PERSONNEL SECURITY PROGRAM
- ☐ ACCESS AUTHORIZATION
- ☐ HUMAN RELIABILITY PROGRAM
- ☐ CONTROL OF CLASSIFIED VISITS
- ☐ SAFEGUARDS & SECURITY AWARENESS

UNCLASSIFIED VISITS & ASSIGNMENTS BY FOREIGN NATIONALS
- ☐ SPONSOR PROGRAM MANAGEMENT & ADMIN
- ☐ COUNTERINTELLIGENCE REQUIREMENTS
- ☐ EXPORT CONTROLS/ TECH TRANSFER REQUIREMENTS
- ☐ SECURITY REQUIREMENTS
- ☐ APPROVALS & REPORTING

NUCLEAR MATERIALS CONTROL & ACCOUNTABILITY
- ☐ PROGRAM ADMINISTRATION
- ☐ MATERIALS ACCOUNTABILITY
- ☐ MATERIALS CONTROL

Date: **ID #:** (to be completed by LLC)

Originator:

Site: ...

Publish Anonymously: ☐ Yes

Facility/ Site Point of Contact: ...

Document Title:

Derivative Classifier:

Reviewing Official:

Brief Description of Best Practice:

Why the Best Practice was used:

What are the benefits of the Best Practice:

What problems/ issues were associated with the Best Practice:

Description of the process/ activity using the Best Practice:

Estimated Savings/ Cost Avoidance:

Keywords:

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LESSONS LEARNED CENTER

THE SECURITY LESSONS LEARNED CENTER (SEC-LLC)
Best Practice Submittal Form

Topical/ Sub Topical Area

PROGRAM MANAGEMENT & SUPPORT
- ☐ PROTECTION PROGRAM MANAGEMENT
- ☐ S&S PLANNING & PROCEDURES MANAGEMENT CONTROL
- ☐ PROGRAM WIDE SUPPORT

PROTECTIVE FORCE
- ☐ MANAGEMENT
- ☐ TRAINING
- ☐ DUTIES
- ☐ FACILITIES & EQUIPMENT

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NUCLEAR MATERIALS CONTROL & ACCOUNTABILITY
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- ☐ MATERIALS ACCOUNTABILITY
- ☐ MATERIALS CONTROL

Date: 8/9/2007 **ID #:** (to be completed by LLC) XXXX

Originator: Bethany J. Rendell, SEC-SIS2, Los Alamos National Laboratory

Site: Los Alamos National Laboratory

Publish Anonymously: ☐ **Yes**

Facility/ Site Point of Contact: LANL/ Diane Menapace

Title: Tips for Preventing Potential Unauthorized Disclosures

Derivative Classifier: Jason Lujan

Reviewing Official: Jason Lujan

Brief Description of Best Practice:

An unauthorized disclosure is a serious security concern, but here are some simple suggestions for decreasing the likelihhod of a potential unauthorized disclosure.

Why the Best Practice was used:

To prevent the occurrence of an unauthorized disclosure.

What are the benefits of the Best Practice:

Improved security awareness among workers regarding the proper handling of documents and a diminished likelihood of an authorized disclosure.

What problems/ issues were associated with the Best Practice:

A potential unauthorized disclosure from the mishandling of waste paper.

Description of the process/ activity using the Best Practice:

Protect the information you are processing by having an ADC review your documents. Know what kind of information is contained in documents you intend to discard: shred them or seal them in a burn box. Ask a coworker to visually verify each piece of paper in your deskside recycling bin before the contents are removed and transferred to the recycling center.

Estimated Savings/ Cost Avoidance:

n/a

Keywords:

n/a

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ATTACHMENT C
SUCCESS STORY

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LESSONS LEARNED CENTER

THE SECURITY LESSONS LEARNED CENTER (SEC-LLC)
Success Story Submittal Form

Topical/ Sub Topical Area

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- ☐ PROTECTION PROGRAM MANAGEMENT
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- ☐ PROGRAM ADMINISTRATION
- ☐ MATERIALS ACCOUNTABILITY
- ☐ MATERIALS CONTROL

Date: **ID #:** (to be completed by LLC)

Originator:

Site: ...

Publish Anonymously: ☐ Yes

Document Title:

Facility/ Site Point of Contact: ...

Derivative Classifier:

Reviewing Official:

Overview of Success Story:

Challenge:

Solution:

Results:

Estimated Savings / Cost Avoidance:

Keywords:

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LESSONS LEARNED CENTER

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Success Story Submittal Form

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- ☐ MATERIALS ACCOUNTABILITY
- ☐ MATERIALS CONTROL

Date: 8/13/2007 **ID #:** (to be completed by LLC) XXX

Originator: Bethany J. Rendell, SEC-SIS2, Los Alamos National Laboratory

Site: Los Alamos National Laboratory

Publish Anonymously: ☒ **Yes**

Document Title: Foreign National Badging

Facility/ Site Point of Contact: LANL/ Diane Menapace

Derivative Classifier: Dave Smith

Reviewing Official: Dave Smith

Overview of Success Story:

Citizenship verification for uncleared employees plays an important role in ensuring that access authorization is properly assigned to the appropriate personnel.

Challenge:

In the past when employees received badges at the badge office citizenship verification was conducted only through a verbal interview and proper documentation proving citizenship was not reviewed by badging personnel.

Solution:

A special procedure to check the citizenship of all uncleared badge holders was developed and implemented to prevent improper badging and determine which employees had been improperly badged in the past.

Results:

Two foreign national employees who had been badged as uncleared US citizens were discovered and their badges were revoked.

Estimated Savings / Cost Avoidance:

n/a

Keywords:

n/a

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ATTACHMENT D

LESSONS LEARNED TEMPLATE—FIELD DESCRIPTIONS

UNIVERSAL TO ALL	
Date	Date the document was prepared.
Originator	Name of the individual preparing the document.
Site	Name of the site where the document originated. (Drop-Down Menu)
Site POC	Name of the site POC. (Drop-Down Menu)
Title	Title of the document – Something that best describes the content of the document.
ID #	Unique identification number – Assigned by the SEC-LLC.
Anonymous	Indicate "YES," if you want the published document NOT to identify you/your site.
Topical Area	S&S Program Topical Areas (8) (Check Box).
Subtopical Area	S&S Program Subtopical Areas (33) (Check Box).
Keyword/Detail Area	Word(s) used to convey related concepts or topics to assist in sorting and locating specific information (includes detail of subtopical areas).
Derivative Classifier	Name of individual who determined that the document did not contain classified information.
Reviewing Official	Name of individual who determined that the document did not contain UCNI.
Estimated Savings/Cost Avoidance	An estimate of the savings or costs avoidance if the "practice" was implemented.
LESSON LEARNED	
Discussion of Activities	Brief discussion focused on the facts that resulted in the initiation of the lesson learned.
Lesson Learned Summary	Executive summary focusing on knowledge gained from the lesson learned. Sufficient detail to allow a reader to understand what the problem is/was, how it was identified, and what steps have/will be taken to correct the problem and prevent recurrence.
Analysis	Results of any analysis that was performed, if available.
Recommended Actions	Description of management-approved actions that were taken or will be taken to promote implementation of work enhancements or to prevent recurrence. Focus on actionable recommendations (i.e., the change resulting from the lesson) rather than reminders.
BEST PRACTICE	
Brief Description of Best Practice	Short "abstract-like" description of the best practice.
Why the Best Practice was used	Describe the issue/improvement opportunity the best practice was developed to address.
What are the benefits of the Best Practice	Describe the benefits from implementing the best practice.
What problems/issues were associated with the best practice	Describe the problems/issues experienced when the best practice was first used that, if avoided, would make the deployment easier the next time.
Description of the process/activity using the Best Practice	Describe the process/activity of the best practices focusing on the evolution of its development, end-user experience, and the role the practice plays in the ISSM.
SUCCESS STORY	
Overview of Success Story	Provide a short overview of the situation "before" the success.
Challenge	Describe the challenges associated with the situation.
Solution	Describe what was done to resolve or improve the situation.
Results	Describe the end result/benefits of the success.

9 Customer Satisfaction Feedback

The SEC-LLC Web page offers a link for users to provide feedback to help improve the quality, usability, or timeliness of the SEC-LLC program. Provide feedback to the SEC-LLC at

- Telephone — **(505) 665-0196**
- E-mail — **sec-llc@lanl.gov**
- Web Address — **www.dns-lessons.lanl.gov**