

Corporate Context for Corporate Management (CM)

This section on Corporate Context that is included for the first time in the Department's budget is provided to facilitate the integration of the FY 2003 budget and performance measures. The Department's Strategic Plan published in September 2000 is no longer relevant since it does not reflect the priorities laid out in President Bush's Management Agenda, the 2001 National Energy Policy, OMB's R&D project investment criteria or the new policies that will be developed to address an ever evolving and challenging terrorism threat. The Department has initiated the development of a new Strategic Plan due for publication in September 2002, however that process is just beginning. To maintain continuity of our approach that links program strategic performance goals and annual targets to higher level Departmental goals and Strategic Objectives, the Department has developed a revised set of Strategic Objectives in the structure of the September 2000 Strategic Plan.

The Department manages an extensive array of energy-related programs over a nationwide complex including headquarters organizations, operations offices, field offices, national laboratories, power marketing administrations, special purpose offices, and sites now dedicated to environmental cleanup. The Department needs strong corporate management in order to integrate its diverse portfolio of program missions, its facilities, and its contractors spread over a large geographic base.

Corporate Management (CM) Goal

Demonstrate excellence in the management of the Department's human, financial, physical and information assets. Successfully implement each of DOE's requirements in the President's Management Agenda; demonstrate measured progress in resolving DOE's management challenges; and resolve all management recommendations from DOE's IG and GAO within three years of issuance.

Strategic Objectives

- CM1:** Achieve effective and efficient management of the Department of Energy by implementing the President's Management Agenda initiatives on Strategic Management of Human Capital; Competitive Sourcing; Improved Financial Performance; and Budget and Performance Integration. (MBE, ED)
- CM2:** Advocate and implement E-government citizen service delivery office in FY 2003. (CIO)
- CM3:** Ensure secure, efficient, effective and economical operations of the Department's Information Technology Systems and Infrastructure. (CIO)

- CM4:** Provide analysis of domestic and international energy policy, develop implementation strategies, ensure policies are consistent across DOE and within the Administration, communicate analyses and priorities to the Congress, public, industry, foreign governments, and domestic and international organizations, and enhance the export and deployment of energy technologies internationally. (PI)
- CM5:** Reduce adverse security incidents, worker injuries, and environmental releases through policy development, counterintelligence, intelligence, and oversight of the Nation's energy infrastructure, nuclear weapons, materials, facilities and information assets.
(SO, CN, IN, OA)
- CM6:** Operate a robust review program and provide timely performance information and recommendations to facilitate: (1) implementation of the President's Management Agenda; (2) resolution of Management Challenges; (3) execution of the Secretary's priorities; (4) completion of statutory Inspector General mandates; (5) recovery of monies and opportunities for savings; and (6) the integrity of the Federal and contractor workforce. (IG)

Budget Summary Table

(dollars in thousands)

	FY 2001 Comparable Appropriation	FY 2002 Comparable Appropriation	FY 2003 Request
Office of the Secretary	\$5,081	\$4,784	\$4,731
Energy Security	3,244	3,269	27,686
Management, Budget and Evaluation/CFO (CM1)	116,815	109,310	110,841
Board of Contract Appeals	917	953	785
Hearing and Appeals	5,533	5,381	4,753
Congressional & Intergovernmental Affairs	5,275	4,777	5,224
Economic Impact and Diversity (CM1)	6,916	6,269	6,821
General Counsel	23,894	23,775	23,964
Policy and International Affairs (CM4)	17,237	16,176	21,619
Public affairs	4,244	4,057	4,685
Inspector General (CM6)	33,556	33,856	38,872
Intelligence (CM5)	36,154	40,618	41,559
Counterintelligence (CM5)	45,079	45,514	39,383
Security (CM5)	165,357	173,977	186,506
Independent Oversight and Performance Assurance (OA)	22,275	22,228	22,615
Chief Information Officer (CIO)	73,978	75,444	84,160
Subtotal Corporate Management	565,555	570,388	624,204
Cost of Work for Others	66,027	65,499	69,916
Miscellaneous Revenues	-107,103	-137,810	-137,524
Total, CM	524,479	498,077	556,596

Office of Security

Executive Summary

Mission

The activities of the Office of Security support the Nuclear Safeguards and Security program, Security Investigations, and Program Direction. The Nuclear Safeguards and Security program consists of Safeguards and Security (S&S) Operations Support, Technology and Systems Development, and Information Classification/Declassification.

The S&S Operations Support includes the following subprograms:

- # Nonproliferation and National Security Institute to provide safeguards and security training and training development.
- # Nuclear Materials Accountability Systems to track and analyze U.S. and foreign nuclear activity using data from various other databases.
- # Information Security to support the Department in areas of classified matter protection and control, technical security; operations security, and foreign ownership, control or influence of private companies.
- # Security Education Briefings and Awareness Training to communicate changes in security policies and procedures.
- # Personnel Security to evaluate, review, and develop guidance and documents for use in assessing the Personnel Security Assurance program.
- # Headquarters Security to protect personnel, Government property and classified matter at Headquarters.
- # Foreign Visits and Assignments program to manage the Department's program for granting access to foreign nationals to Federal and contractor facilities.

The Technology and Systems Development program develops or modifies commercial technologies in material control and accounting and physical security to ensure that nuclear weapons, special nuclear materials, classified information, and key Department facilities and personnel are adequately protected from evolving threats.

The Classification/Declassification program develops Government-wide and Department-wide policies to identify which nuclear weapon information warrants protection in the interest of national security, conducts declassification reviews and audits of classified documents, and provides training programs throughout the Government to ensure consistent protection of the most sensitive information.

The Security Investigations program funds background investigations for all DOE federal employees and contractors who, in the performance of their official duties, require access authorizations for Restricted Data, National Security Information, or certain special nuclear material.

Support Program Direction for all Federal personnel and other contractual support required at DOE Headquarters to carry out the program's mission in a cost effective and efficient manner. The budget request specifically reflects support for the Nuclear Safeguards and Security program, the Security Investigations program, Resource Management, and the Office of the Director.

Strategic Objective

CM5: Reduce adverse security incidents, worker injuries, and environmental releases through policy development, counterintelligence, intelligence, and oversight of the Nation's energy infrastructure, nuclear weapons, materials, facilities, and information assets.

This strategic objective is supported by the Program Strategic Performance Goals and Performance Measures that follow:

Program Strategic Performance Goals

CM5-1: **Nuclear Safeguards and Security (S&S Operational Support/Technology Development, Classification/Declassification):** Reduce adverse security incidents through development of new or revised policy on a continual basis to strengthen controls to correct and prevent problems in our site safeguards and security processes and to address the new problems presented by homeland defense and emerging threats posed by terrorists.

CM5-1.1: Protect the Department's national security and other critical assets and information by performing analyses, validation, and tracking of DOE nuclear materials; managing the access by foreign nationals to DOE sites and information; identifying DOE nuclear weapon design and other classified information to ensure its protection; developing policies and guidance for an effective DOE safeguards and security program; and provides security protection for the National Capital region.

CM5-1.2: Security Investigations: Reduce DOE's vulnerability to espionage, theft, diversion, loss or unauthorized access or use of the Department's critical assets and information by ensuring the proper allocation of security investigations funding to DOE program and operations offices. (This line item budget's primary function is to distribute funding for security investigations Department-wide for the cost of FBI or OPM investigative services. A very small portion of the funding also supports related miscellaneous costs associated with maintaining the security investigations program.)

Funding Schedule

(dollars in thousands)

	FY 2001	FY 2002	FY 2003	\$ Change	% Change
Other Defense Activities - Security					
Nuclear Safeguards and Security					
S&S Operational Support	37,020	42,520	51,071	+8,551	+20.1
Technology and Systems Development	25,970	25,970	22,557	-3,413	-13.1
Classification/Declassification	20,818	17,115	17,474	+359	+2.1
Subtotal, Nuclear Safeguards and Security	83,808	85,605	91,102	+5,497	+6.4
Security Investigations	32,927	44,927	45,870	+943	+2.1
Program Direction	49,528 ^a	48,707 ^a	50,246 ^a	+1,539	+3.2
Subtotal, Security	166,263	179,239	187,218	+7,979	+4.5
Use of Prior Year Balances	-906 ^b	-4,550 ^c	0	+4,550	+100.0
Security charge against reimbursable work	0	-712	-712	0	0.0
Total, Security	165,357	173,977	186,506	+12,529	+7.2
Total Excluding Full Funding for Federal Retirements, Office of Security	163,686	172,271	184,803	+12,532	+7.3

^aThe FY 2001 and FY 2002 columns of the FY2003 Congressional Request includes funding in the amount of \$1,671,000 and \$1,706,000, respectively, for the Government's share of increased costs associated with pension and annuitant health care benefits. These funds are comparable to FY 2003 funding of \$1,703,000. (Note: The data is presented on a comparable basis as if the legislation had been enacted and implemented in FY 2001.)

^bReflects decrease of \$700,000 for Reprogramming 01-R-19 and \$206,548 for Reprogramming 01-R-22.

^cReflects decrease of \$4,550,000 for use of FY 2001 unobligated carryover.

Funding by Site

(dollars in thousands)

	FY 2001	FY 2002	FY 2003	\$ Change	% Change
Other Defense Activities - Security					
Albuquerque Operations Office	38,359	47,971	48,778	+807	+1.7
Chicago Operations Office	5,620	6,490	6,922	+432	+6.7
Idaho Operations Office	2,302	1,915	1,810	-105	-5.5
Nevada Operations Office	2,296	3,544	2,878	-666	-18.8
Oak Ridge Operations Office	7,324	5,589	5,876	+287	+5.1
Oakland Operations Office	12,223	14,449	13,206	-1,243	-8.6
Ohio Field Office	140	0	0	0	0.0
Richland Operations Office	6,298	6,569	4,546	-2,023	-30.8
Rocky Flats Area Office	140	0	0	0	0.0
Savannah River Operations Office	5,824	4,924	5,916	+992	+20.1
Washington Headquarters	85,737	87,788	97,286	+9,498	+10.8
Subtotal, Security	166,263	179,239	187,218	+7,979	+4.5
Use of Prior Year Balances	-906 ^a	-4,550 ^b	0	+4,550	+100.0
Security charge against reimbursable work ...	0	-712	-712	0	0.0
Total, Security	165,357	173,977	186,506	+12,529	+7.3

Federal Staffing Estimates

(whole FTEs)

	FY 2001	FY 2002	FY 2003
Other Defense Activities			
Chicago Operations Office FTEs	40	40	40
Headquarters FTEs	204	204	215
Total, Full Time Equivalents	244	244	255

Nuclear Safeguards and Security

Program Mission

Provide domestic Nuclear Safeguards and Security for the protection of nuclear weapons, nuclear materials, nuclear facilities, and classified and unclassified information; against theft, sabotage, espionage, terrorist activities, or any loss or unauthorized disclosure that could endanger our National Security or disrupt operations. Foreign Visits and Assignments provides a centralized focus to track and analyze the details of all foreign visits and assignments for all DOE facilities to ensure that these visits and assignments are conducted in a secure manner. Physical Security provides cost-effective plans, policies, and technical solutions to ensure that nuclear weapons, special nuclear materials, classified information, and key Department facilities and personnel are adequately protected from evolving threats. The Nuclear Materials Accountability Systems maintain real-time, reliable, and complete information on DOE nuclear materials that are subject to special control and inventory procedures. Classification/Declassification provides the appropriate level of classification of information to help ensure its protection.

Program Strategic Performance Goals

CM5-1: Reduce adverse security incidents through development of new or revised policy on a continual basis to strengthen controls to correct and prevent problems in our site safeguards and security processes and to address the new problems presented by homeland defense and emerging threats posed by terrorists.

Performance Indicators

- # Adverse security incidents affecting national security
- # Office of Independent Oversight and Performance Assurance (OA) findings specific to security policy
- # Policy clarification requests
- # Nuclear Material Management and Safeguards System (NMMSS) to track controlled nuclear materials
- # Foreign Access Centralized Tracking System (FACTS) to track foreign nationals
- # Departmental resources to effect the security mission
- # Review of classified information
- # Personnel investigations

Training program for security professionals

Standardization of site nuclear materials accountability systems and procedures for accurate reporting of nuclear material information to the Nuclear Materials Management and Safeguards System and DOE/Headquarters inventory management database.

Performance Standards

Blue: Performance exceeded the majority of established targets/milestones

Green: Performance met all established targets/milestones

Yellow: Performance met most established targets/milestones

Red: Performance was significantly less than the planned annual targets

Annual Performance Results and Targets

FY 2001 Results	FY 2002 Targets	FY 2003 Targets
Completed the milestones listed in the FMFIA Corrective Action Plan for the Departmental challenge of Security. (NS6-2/FMFIA) Assessment: Nearly met goal.	Complete the milestones listed in the FMFIA Corrective Action Plan for the Departmental challenge of Security. (NS5-1/FMFIA)	

FY 2001 Results	FY 2002 Targets	FY 2003 Targets
		Provide technical expertise to field and headquarters elements to resolve policy issues and identify cost effective safeguards and security technology options. (CM5-1)
		Develop and promulgate enhanced safeguards and security technologies to enable DOE Program Offices and sites to address identified vulnerabilities and meet emerging threats in a changing work environment. (CM5-1)
		Demonstrate that adverse security incidents are minimal or reduced. (CM5-1)
		Demonstrate reduction in Headquarters OA policy findings. (CM5-1)
		Achieve clear and concise policy through a reduction of policy clarification requests. (CM5-1)
		Achieve compliance with the centralized tracking of controlled nuclear materials by FY 2003. (CM5-1)
		Achieve 100 percent compliance with the centralized tracking of foreign nationals by FY 2003. (CM5-1)
		Assist the Department in reviewing budget requests and coordinate security funding requirements to meet evolving security threats. (CM5-1)
		Completion of audit of 6,000,000 pages of material at NARA. (CM5-1)
		Complete initial and reinvestigations in a timely manner. (CM5-1)

Significant Accomplishments and Program Shifts

- # Consistent with the realignment of the Office of the Chief Information Officer as a direct report to the Secretary, the Office of Security and the Office of the Chief Information Officer are separately identified in this budget submission. The Office of the Chief Information Officer is also funded within the Other Defense Activities account and comparability adjustments have been included for FY 2001 and FY 2002.
- # Consistent with the realignment of the Critical Infrastructure Protection program from the Office of Security to the Office of Emergency Operations, this budget reflects no funding for the Critical Infrastructure Program in the Office of Security. Funding is shown in the Office of Emergency Operations budget which is also a part of Other Defense Activities. Comparability adjustments have been included for FY 2001 and FY 2002.
- # The development of advanced safeguards and security technologies has resulted in the modernization of numerous protective measures for the Department, as well as the ability to mitigate new and emerging threats that otherwise represent critical vulnerabilities.
- # Training technology applications have been enhanced and a broader range of technologies has been applied to Departmental training, i.e., expanded use of interactive television, mobile training teams, and televideo conferences to provide requisite training for a larger number of students without funding increases. Since the attack on September 11, the DOE Nonproliferation and National Security Institute (NNSI) conducted DOE Basic Security Police Officer Training courses to accommodate increased security force personnel needs. In addition, as part of support for other government agencies, the NNSI is developing critically needed training support for the US Capitol Police; training for FBI regional teams, training foreign police officers for the State Department Anti-Terrorism Assistance Program to protect the U.S. Embassies, and providing staffing expertise for the State Department Ambassador for Counter-Terrorism. The NNSI has conducted numerous international vulnerability assessments and training to international officials. Finally, to keep security training sharply focused and standardized, a formal security Professional Development Program is in the process of being implemented.
- # The Classification/Declassification program has played a key role in protecting our national security by developing new and revising existing classification and control guidance that identifies information that warrants protection in the interest of the national security. The program continues to implement P.L. 105-261, section 3161, by: (1) Removing from public access classified nuclear weapon design and utilization information (Restricted Data and Formerly Restricted Data (RD/FRD)) inadvertently released in records declassified under EO 12958. All inadvertent releases are identified to the source agency for training purposes and are documented in quarterly reports to the Assistant to the President for National Security Affairs and to Congress. (2.) Preventing further inadvertent releases of RD and FRD by providing training and accreditation of other-agency reviewers and by providing quality control oversight of their work.
- # The DOE Information Security program continues to provide support to the Department in analyzing and deterring major incidents involving the compromise of classified information. This includes expansion of the

computer forensics capability to support investigations and prosecutions of unauthorized disclosures of classified information and expansion of the Technical Surveillance Countermeasures program.

- # The Office of Security (SO) provided critical leadership to support the DOE's foreign visits, assignments and travel (FVAT) responsibilities and completed implementation of PDD-61. SO accomplishments include automated tracking and accountability of PDD-61 requirements, reestablishing the Department's standing with the Department of State as an Exchange Visitor Program sponsor, establishing a Departmental training academy for FVAT policy/system implementation, completing the transition of the Department's Foreign Travel Program from the CFO to SO, and replacing a retired main-frame legacy foreign travel system with a centralized, secure web-based application accessible by multiple DOE sites, using any computer and current Internet browser.

- # The Office of Security completed consolidating and institutionalizing responsibilities for the accurate tracking and reporting of sensitive nuclear materials inventories under one office. This has resulted in improvements in inventory information and accounting systems used to support Departmental nuclear materials missions and decision-making.

Funding Profile

(dollars in thousands)

	FY 2001 Comparable Appropriation	FY 2002 Original Appropriation	FY 2002 Adjustments	FY 2002 Comparable Appropriation	FY 2003 Request
Nuclear Safeguards and Security					
Operational Support	37,020 ^a	41,163	1,357 ^{bcd}	42,520	51,071
Technology and Systems Development	25,970	25,970		25,970	22,557
Classification/Declassification	20,818	17,115		17,115	17,474
Cyber Security	0	29,258	(29,258) ^e	0	0
Critical Infrastructure Protection	0	2,994	(2,994) ^f	0	0
Total, Nuclear Safeguards and Security	83,808^g	116,500	(30,895)	85,605	91,102

Public Law Authorizations:

P.L. 83-703, "Atomic Energy Act of 1954)

P.L. 95-242, "Nuclear Non-Proliferation Act of 1978"

P.L. 103.62, "Government Performance and Results Act of 1993"

^aReflects increase of \$1,000,000 from Reprogramming 01-R-18.

^bReflects increase of \$3,500,000 for supplemental funding of which \$1,300,000 is for extra roving force security patrols, \$700,000 for a public address system, \$500,000 to replace the alarm system at the Forrestal and Germantown facilities, and \$1,000,000 for deployment of the civilian Biological Aerosol Sentry and Information System (BASIS).

^cReflects comparability adjustment to transfer \$1,000,000 of supplemental funding in support of BASIS to the Weapons Activities Nuclear Incidence Response in NNSA.

^dReflects comparability adjustment to transfer \$1,143,000 to the Office of the Chief Information Officer in support of the Special Facilities/Communications Center.

^eReflects comparability adjustment to transfer \$29,258,000 to the Office of the Chief Information Officer in support of the Cyber Security program.

^fReflects comparability adjustment to transfer \$2,994,000 to the Office of Energy Security and Assurance, Office of Emergency Operations in support of the Critical Infrastructure Protection program.

^gReflects funding decrease of \$80,000 resulting from the allocation of a general reduction to Other Defense Activities and a decrease of \$188,000 resulting from the FY 2001 Omnibus rescission.

Funding by Site

(dollars in thousands)

	FY 2001	FY 2002	FY 2003	\$ Change	% Change
Albuquerque Operations Office					
Los Alamos National Laboratory	3,872	5,416	5,070	-346	-6.4
Sandia National Laboratories	10,025	10,100	9,835	-265	-2.6
Pantex	215	271	25	-246	-90.8
Albuquerque Operations Office	11,735	9,993	11,984	+1,991	+19.9
Subtotal, Albuquerque Operations Office	25,847	25,780	26,914	+1,134	+4.4
Ohio Field Office	140	0	0	0	0
Chicago Operations Office					
Argonne National Laboratory	574	670	430	-240	-35.8
New Brunswick Laboratory	0	0	500	+500	+100.0
Subtotal, Chicago Operations Office	574	670	930	+260	+38.8
Idaho Operations Office	1,612	1,182	1,162	-20	-1.7
Nevada Operations Office	1,378	1,445	1,151	-294	-20.3
Oak Ridge Operations Office					
Oak Ridge Operations Office, Y-12	2,091	2,626	2,609	-17	-6
Oak Ridge Operations Office, Bechtel Jacobs	0	25	25	0	0.0
Oak Ridge Operations Office	0	75	100	+25	+33.3
Oak Ridge Institute for Science and Education	500	500	500	0	0.0
Subtotal, Oak Ridge Operations Office	2,591	3,226	3,234	+8	+2
Richland Operations Office	4,173	4,762	2,567	-2,195	-46.1
Rocky Flats Area Office	140	0	0	0	0.0
Oakland Operations Office					
Oakland Operations Office	3,250	3,936	4,382	+446	+11.3
Lawrence Livermore Laboratory	5,805	5,497	3,760	-1,737	-31.6
Subtotal, Oakland Operations Office	9,055	9,433	8,142	-1,291	-13.7
Savannah River Site	2,560	1,672	1,800	+128	+7.7
Washington Headquarters					
Office of Scientific and Technical Information	300	133	290	+157	+118.0
Washington Headquarters	35,438	37,302	44,912	+7,610	+20.4
Subtotal, Washington Headquarters	35,738	37,435	45,202	+7,767	+20.7
Total, Nuclear Safeguards and Security	83,808	85,605	91,102	+5,497	+6.4

Site Description

Los Alamos National Laboratory

Work at Los Alamos National Laboratory (LANL) is designed to address current, evolving, and future needs, primarily in materials control and accounting (MC&A). MC&A activities include the development of measurement technologies and instrumentation to quantify difficult-to-measure or shielded special nuclear materials. LANL also develops standards for special nuclear materials to calibrate instruments around the complex. Other activities include evaluating commercial measurement systems and the development of MC&A training. Support is also provided to the Classification/Declassification program through the development and streamlining of classified guidance.

Sandia National Laboratories, Albuquerque (SNLA), NM

Sandia focuses on development of technologies and systems required to protect the Department from catastrophic consequences such as use of nuclear energy for malevolent purposes or the erosion of national security secrets through theft or diversion of classified materials or information. Technical assistance is provided for assessment of site vulnerability analysis and site safeguards and security plans. Support is also provided for the Declassification Productivity Initiative by providing automated tools that improve the efficiency of document classification/declassification reviews. The technology development program focuses on physical security technologies to secure the DOE complex. Activities include providing new detection capabilities to automatically detect unauthorized access, explosives, or other contraband. Sandia will develop advanced barrier technologies to prevent or substantially delay attacks. Technological solutions will also be provided to address new threats, such as chemical and biological weapons. In addition, Sandia will continue to maintain a core technical capability in interior and exterior sensors, alarm communications, access delay, and entry control. Assistance is also provided in developing comprehensive classification guidance for nuclear safety, environment, safety, and health and dismantlement/reuse; reviewing declassification proposals; and updating nuclear weapons classification guidance.

Pantex

Support was provided for the classification/declassification initiative by reviewing and releasing numerous documents prepared by the Amarillo National Resource Center for Plutonium (ANRCP). This also included classification training being given to all cleared ANRCP employees.

Albuquerque Operations Office

The Nonproliferation and National Security Institute (NNSI), formerly called the Central Training Academy, is located in Albuquerque, New Mexico. NNSI was established to assist Headquarters DOE to identify, implement, standardize, and monitor training programs in support of the Office of Safeguards and Security's program mission. NNSI's training curriculum, which consists of five core program elements (program management, personnel security, protection program operations, information security, and materials control and

accountability), uses both traditional and distance learning technologies to provide onsite and facility training for safeguards and security personnel. The Foreign Visits and Assignments Program at Headquarters receives support for their Foreign Interactions Training Academy. The Classification/Declassification program is supported by the development of computer-based training for certifying classifiers and declassifiers.

Ohio Field Office

The Ohio Field Office provided support to the Classification/Declassification program by conducting a large-scale declassification review program to ensure that all documents will be properly classified or declassified prior to the scheduled closure of the facility in FY 2006.

Argonne National Laboratory

Argonne supports tasks associated with the Foreign Ownership, Control, or Influence (FOCI) program facilitating a database of information that ensures more thorough DOE investigation. Support is also provided for the Declassification Productivity Initiative by providing automated tools that improve the efficiency of document classification/declassification reviews.

New Brunswick Laboratory

The New Brunswick Laboratory is the U.S. Government's nuclear material measurements and standards laboratory and is a Federal Center of Excellence in nuclear material measurement science. It provides and maintains an internationally compatible nuclear material reference base for domestic and international measurements for nuclear material accountability, proliferation monitoring, waste management and environmental restoration activities, and for health/safety activities.

Idaho National Engineering and Environmental Laboratory (INEEL)

INEEL provides technical assistance, and engineering support for the development, review, evaluation, and implementation of security-related requirements to effectively meet DOE's goals and ensure cost-effective use of DOE dollars throughout the DOE complex. This includes review and evaluation of security design requirements; engineering support for validation, justification, and site safeguards and security plan reviews; and development and refinement of security design criteria.

Nevada Operations Office

Activities will be conducted at the Remote Sensing Laboratory and the Special Technologies Laboratory, focusing on development of advanced physical security technologies. Efforts include developing technologies to assist protective force personnel and investigating the use of ultraviolet tags to differentiate between the adversary and site personnel. Additionally, the Nevada Operations Office will provide support to the Classification/Declassification program through the development and testing of the Reviewer Assistance System expansion.

Oak Ridge, BWXT, Y-12

At Oak Ridge, the technology development program provides the physical security, material control, and accounting support needed to protect nuclear weapons, nuclear material, classified information, and other vital DOE assets (nonnuclear and unclassified). Expertise is provided in the document classification/declassification initiative and for classification guidance update and streamlining.

Oak Ridge, UT-Battelle LLC

Oak Ridge National Laboratory (ORNL) support is provided to the Classification/Declassification program for declassification review of files and review of uranium enrichment technology and proposal of Unclassified Controlled Nuclear Information (UCNI) topics.

Oak Ridge Operations Office

At the Oak Ridge Operations Office, support will be provided to the Classification/Declassification program.

Oak Ridge Institute for Science & Education (ORISE)/Oak Ridge Associated Universities

At Oak Ridge, ORISE provides technical support for the implementation, training, operation, and quality assurance of the Personnel Security Assurance Program, and a variety of research and analysis activities in support of the personnel security function.

Richland Operations Office, Battelle Memorial Institute/Pacific Northwest National Laboratory (PNNL)

PNNL provides technical expertise, assistance, training, and awareness in support of information security. This includes the identification, inquiry, and resolution of security problems across DOE; and analysis of incidents and facility survey information. They also assist with the implementation of the Department's information assurance initiative and related activities to ensure effective and efficient identification of threats and vulnerabilities to DOE's distributed information and telecommunication systems. Technical assistance is provided to support special nuclear material consolidation, Master S&S Agreement, Site S&S Plan support, reviews, and performance testing. PNNL provides technical, analytical, operation, and training support to the Systems Support Team for the Office of Foreign Visits and Assignments. The Classification/Declassification program is supported through development and streamlining of classification guidance.

Richland Operations Office, Fluor-Daniel Hanford

Provides Hanford-based field expertise, technical support and assistance for the review, update and consolidation of safeguards and security orders, policies, and field guidance to meet Department goals and objectives.

Lawrence Livermore National Laboratory (LLNL)

The technology development program at LLNL is concentrated in physical security and Material Control and Accounting (MC&A). Physical security activities focus on encrypted, high-capacity digital communications for sensor alarms, access control and video, and evaluating low cost access control technologies for implementation through DOE. In MC&A, provide enhanced measurement capabilities that expand to additional material types, provide more accurate measurement capabilities, and reduce the amount of time required to perform measurements. Classification/declassification is supported through development and streamlining of classification guidance.

Oakland Operations Office

Oakland supports the Nuclear Materials Management and Safeguards System which tracks and analyzes U.S. foreign nuclear activity. Classification/declassification is supported through development and streamlining of classification guidance.

Savannah River Site

Work at Savannah River supports MC&A through the development, enhancement, deployment, and operation of a software application for nuclear materials accounting throughout the DOE complex. This technology will allow for greater reliability, efficiency, and cost savings through increased standardization and use of advanced software technologies. The classification/declassification program is supported through the development and streamlining of classification guidance.

Office of Scientific and Technical Information

Support is provided for the classification/declassification initiative by improving the access capability to DOE's OpenNet data base and maintaining and enhancing the thesaurus and dictionary for the automated classification guidance system.

Washington Headquarters

The headquarters program for Nuclear Safeguards and Security has responsibility for implementation and oversight of the:

Headquarters guard contract;

Safeguards and Security Information Management System (SSIMS) database;

Maintenance/upgrade of alarm systems, access control systems, and related computer equipment; and the protective force radio system;

Classifying and declassifying nuclear weapons-related technology (known as Restricted Data), ensuring that policies provide the public access to information necessary for an informed discussion of DOE's nuclear weapons program while continuing to support the paramount objective of protecting information from strategic adversaries, proliferants or potential proliferants, and terrorists. Specific areas covered are:

- Developing overarching Government-wide Restricted Data and DOE-wide National Security Information (NSI) program policies, detailed classification guidance which specifically identifies information requiring protection in the interest of the national security;
- Reviewing documents to classify information that still warrants protection and declassifying information that is no longer sensitive;
- Training personnel both within DOE and throughout the Government to recognize Restricted Data information and to ensure that it is properly classified to prevent its inadvertent release;
- Appraising DOE and other-agency classification and declassification programs to ensure policies and procedures are applied consistently;
- Developing state-of-the-art technology to make the classification and declassification process more efficient and effective.

Operational Support

Mission Supporting Goals and Objectives

Safeguards and Security (S&S) Operational Support provides essential technical and analytical expertise to ensure effective and efficient security; a protective force for Headquarters operations; reviews which ensure cost-saving measures in S&S throughout the Department; and standardized training responsive to the challenges of the changing post-cold war era. This support provides for the overall improvement of S&S activities.

Subprogram activities in this section of the budget include the following:

- # **The Central Training Academy (CTA) of the Nonproliferation and National Security Institute (NNSI)** provides Safeguards and Security training and training development programs. CTA uses both traditional and distance learning technologies to provide onsite and facility training for S&S personnel, thereby ensuring that DOE maintains a well-trained workforce to protect the nation's vital nuclear and energy interests against espionage, sabotage or theft. This includes computer-based training, interactive audio/video training, and correspondence courses. CTA assesses S&S field training needs and site training program performance and develops training courses to meet those needs. Distance Learning Training includes satellite transmission of CTA training to multiple DOE sites and, through the use of modern interactive technology, allows each student to be part of the instructional process. The CTA is also implementing the S&S Professional Development Program to address the human resource capital crisis now affecting DOE within the S&S community.

- # **Nuclear Materials Accountability Systems** supports the Office of Plutonium, Uranium, and Special Materials Inventory and the Nuclear Materials Management and Safeguards Systems (NMMSS). NMMSS tracks and analyzes U.S. and foreign nuclear activity using data from the Local Area Network Material Accounting System (LANMAS) and other site systems.

- # **Information Security** provides support across the Department in the areas of classified matter protection and control; technical security; operations security; and foreign ownership, control or influence. The information security activities will also provide a capability to evaluate proposed security measures within the Department's complex environment. The Information Security Resource Center (ISRC) incorporates technical expertise and professional development training to ensure that the five disciplines of information security function are integrated in a cohesive manner. The Technical Surveillance Countermeasures (TSCM) program, which is one of the five disciplines, ensures and enhances the security provided for Departmental facilities and programs in the greater Washington, D.C. area. The Information Security Protection Program provides technical expertise, assistance, and awareness training in information security disciplines. The information security program also provides matrixed support to various Departmental programs, such as the critical infrastructure program, the counterterrorism/counterintelligence programs, and the cyber security program.

- # **Security Education Briefings and Awareness** training provides support to update Security Education Briefings and Awareness training to reflect changing policies and procedures. Coordinates and participates in security education workshops and meetings for the exchange of information.
- # **Personnel Security** develops policy guidance and associated documents for use in evaluating the Personnel Security Assurance Program (PSAP) as it relates to the medical, psychological, legal, security, and management areas. Conducts research and prepares technical documentation to support the Personnel Security activities. Provides technical assistance and operational support to the Personnel Security program manager to evaluate the current status of science and technology advances as it relates to the PSAP.
- # The Headquarters **Guard Contract** provides security for the protection of Government property, classified matter, and personnel at headquarters buildings. The requested level arms seventy-five percent of the Security Officers, providing increased capability, skill, and authority above that of unarmed Security Officers.
- # **Additional Support** provides Headquarters and field elements with support to implement cost-saving S&S measures. This support includes technical assessments, risk management/vulnerability assessment expertise, engineering assistance, surveys, and performance testing. Funding in FY 2003 will support continuing risk management issue resolution and will enhance the capability of our assessment tools. Additional Support also provides technical support for the development of physical security policies and programs, and security upgrades at Headquarters.

The Safeguards and Security Information Management System (SSIMS) tracks and reports classified S&S issues from all DOE field sites. SSIMS allows the Office of Safeguards and Security to conduct continuous reviews of the security measures in place at DOE/contractor facilities, ensuring compliance with DOE policy requirements and monitoring the effectiveness of Departmental policy involving the protection of national security assets. SSIMS funding will maintain the current database information system detailing facility findings, ratings, general operational status, and enhance the systems capability to meet changes in Departmental policy.

Additionally, support continues for the implementation of a nuclear/biological/chemical weapons equipment program across the DOE complex to provide security to the protective forces from weapons of mass destruction.

- # **Foreign Visits and Assignments Program (FV&A)** manages the Department's program for granting access by foreign nationals to DOE federal and contractor (including National Laboratories) facilities to perform classified or unclassified work. The FV&A Program includes the responsibility to:
 - Develop and promulgate DOE policy and procedures for reviewing and approving access;
 - Develop and implement the Department's central documentation, reporting, and tracking information systems;

- Develop and coordinate responses to external requests (e.g., Congress) for information on the number of foreign nationals visiting or working throughout DOE; and
 - Support and assess operational results to determine if identified national security requirements are being effectively addressed by the conduct of program operations.
- # The FV&A program is responsible for implementing the Department’s Unofficial Foreign Travel policy and for continuing a partnership with the CFO to support the effective implementation of the Official Foreign Travel Order.
- # Outcome objectives of the FV&A program are to:
- Provide a transparent capability to review and assure that program policy is effectively implemented in order to support delegation of approval authority at the lowest practical level of program operations; and
 - Implement a system of internal controls for vetting foreign national visitors and assignees based on a risk-assessment of the specific characteristics of the proposed visit or assignment. This internal control system requires a continuous quality improvement approach to foreign national vetting procedures and requirements and is ultimately capable of resolving the seemingly unresolvable conflicts between national security and open science.

Funding Schedule

(dollars in thousands)

	FY 2001	FY 2002	FY 2003	\$ Change	% Change
Nonproliferation and National Security Institute (NNSI)	8,665	9,484	11,984	+2,500	+26.4
Nuclear Materials Accountability Systems	3,200 ^a	4,938	5,392	+454	+9.2
Information Security	4,814	4,814	4,814	0	0.0
Security Education Briefing and Awareness	172	172	172	0	0.0
Personnel Security	431	431	431	0	0.0
Headquarters Guard Contract	9,300 ^a	11,719	12,879	+1,160	+9.9
Additional Support	9,313	9,070	13,467	+4,397	+48.5
Foreign Visits and Assignments Program	1,125	1,892	1,932	+40	+2.1
Total, Operational Support	<u>37,020^b</u>	<u>42,520</u>	<u>51,071</u>	<u>+8,551</u>	<u>+20.1</u>

^aReflects total funding increase of \$1,000,000 from Reprogramming 01-R-18.

^bReflects a funding decrease of \$60,000 resulting from the allocation of a general reduction to Other Defense Activities and a \$136,000 decrease resulting from the FY 2001 rescission.

Detailed Program Justification

(dollars in thousands)

	FY 2001	FY 2002	FY 2003
Nonproliferation and National Security Institute (NNSI) . . .	8,665	9,484	11,984
# NNSI Operations	8,602	9,421	11,921
<p>In FY 2003, conduct approximately 190 courses, many using “Online Training,” and develop additional courses to meet field site training needs for Weapons of Mass Destruction, chemical/biological equipment, and physical security systems. Continue support for new hire Security Police Officer training (SPO) for all field activities. The increase provides the infrastructure support for the S&S Professional Development Program which is a corporate human resource management program designed to address the human resource capital crisis now affecting DOE within the S&S community. Performance is measured by the ability to meet a planned number of training courses.</p>			
# NNSI Equipment	63	63	63
<p>Provides funding to support NNSI’s equipment-related needs such as replacement of outdated online and interactive television equipment.</p>			
Nuclear Materials Accountability Systems	3,200	4,938	5,392
# Nuclear Materials Management and Safeguards System (NMMSS) Operational Program	3,200	3,900	4,332
<p>NMMSS is the national nuclear materials database, which also serves as the official nuclear material accounting system for DOE. It tracks and analyzes U.S. and foreign nuclear activity to satisfy statutory requirements and international obligations. Increased funding supports additional capabilities currently being designed and programmed as upgraded system modules as well as additional contractor staff to support the new modules. It also provides for a stand-alone inventory data base operation capability.</p>			
# Local Area Network Materials Accounting System (LANMAS)	0	1,038	1,060
<p>Sustain an operationally capable LANMAS application software product suitable for the installation and operation in the DOE complex. This application, when installed on the network system, will support all basic MC&A records and reporting functions required by DOE domestic and international policy.</p>			

(dollars in thousands)

	FY 2001	FY 2002	FY 2003
Information Security	4,814	4,814	4,814
# Information Security Resource Center (ISRC)	1,602	1,602	1,602

The ISRC in FY 2003 continues to provide technical expertise, assistance, and training in an integrated manner across the five disciplines of information security. This activity does not include cyber security functions. Activities support the identification of, inquiry into, and resolution of security problems across the Department, especially in the area of unauthorized disclosures and compromises of classified information; analysis of incidents; facility survey information to identify problems within the information security program; and analysis of Foreign Ownership, Control or Influence (FOCI) in determinations of contracts within the various program elements of DOE dealing in classified information. The funding level reflects the continuing need to sustain efforts to prevent unauthorized disclosure or compromise of classified information throughout DOE.

# Information Security Protection Program (ISPP)	1,600	1,600	1,600
---	--------------	--------------	--------------

The Information Security Protection Program (ISPP) in FY 2003 continues to provide technical advice and awareness (excluding cyber security) to Departmental entities. The ISPP provides technical support in the areas of information security including vulnerability testing, design reviews to support the complex-wide Technical Surveillance CounterMeasures (TSCM) program, TSCM surveys and inspections at DOE sites not currently receiving such services, independent verification and validation of information security measures, TSCM equipment inspection support to international treaties, and awareness of emerging information security issues. ISSP activities provide a basic level of assurance that key assets are protected in a reasonable manner to ensure that national security concerns of the country are not adversely affected by adversary activities. Funding levels are based on attention to unauthorized disclosure of classified information and the conduct of TSCM services. This capability is also available to provide assistance to NNSA facilities.

# Information Assurance and Computer Forensics	1,450	1,450	1,450
---	--------------	--------------	--------------

Activities include continuing computer forensics capability to support investigations and prosecutions of unauthorized disclosures of classified information. Provide for training in new technologies and methods and the implementation of first responder training for the Department. Update and maintain the Grey List data base to allow contractors to submit foreign ownership, control or influence packages electronically, facilitating a data base of information that will ensure a more thorough DOE investigation. Maintain an internet accessible list of facility security offices for the more than 2,000 cleared DOE facilities and a list of classified mailing addresses for the over 500 facilities that are authorized to receive classified matter. Funding levels have been determined based on the rate of technological advances and, in the case of forensics, based on similar activities within the Department of Defense.

(dollars in thousands)

	FY 2001	FY 2002	FY 2003
# Technical Support	162	162	162
Provides for continuation of on-site technical support for information security in the areas of technical reviews of technology transfer issues.			
Security Education Briefings and Awareness	172	172	172
# Provide training and security education awareness throughout the DOE complex through the management of the Security Education Special Interest Group (SE/SIG) and maintenance of the SE/SIG electronic bulletin board.			
Personnel Security	431	431	431
# Operate Center for Human Reliability Studies; support personnel security activities through guidance and product development, update and revise 90% of anticipated personnel security materials; serve as technical liaison with Department of Defense (DoD) Personnel Security Research Center, DoD, Polygraph Institute and similar agencies and institutions; and upgrade and maintain Personnel Security Assurance Program (PSAP) electronic bulletin board; evaluate and modify 80% of needed PSAP training materials			
Headquarters Guard Contract	9,300	11,719	12,879
# Ensure a sound protection program is offered to Headquarters employees and facilities through use of 40 stationary guard posts and roving patrols, 16 supervisors, 4 managers, and 6 instructors, receptionists and administrative assistants, weapons and ammunition manager, quality assurance, badging and technical countermeasures personnel. In FY 2003, the additional funding supports increasing the percentage of armed uniformed protective officers from 30% to 75% and the associated training, and unionization cost of the contract. The increase also supports a small pay increase so that DOE can offer a competitive pay scale in order to maintain a qualified protective force in the Washington, DC, area.			
Additional Support	9,313	9,070	13,467
# Safeguards and Security Information Management System (SSIMS)	300	700	700
Support operational and basic maintenance costs for SSIMS which tracks and reports classified S&S issues from all DOE field sites. FY 2003 funding will provide for development of an intranet web based browser version of the SSIMS application, permit replacement of existing hardware, and allow for software upgrades.			

(dollars in thousands)

FY 2001	FY 2002	FY 2003
---------	---------	---------

Alarm/Protective Force Radio Systems **968 1,325 1,325**

In FY 2003, provides support and corrective/preventive maintenance of the Security Alarm and Access Control Systems (SAACS), magnetometers, x-ray machine, and executive protection and protective force radio systems.

Risk Management/Vulnerability Assessment **1,733 1,858 2,358**

Provide risk management, vulnerability assessment, and safeguards and security system performance evaluations, verifications, and validations. FY 2003 funding supports the implementation of the revised DOE standard vulnerability assessment tool suite. It also provides for onsite participation and field assistance for the most critical facilities' Site Safeguards and Security Plan development and review. Supports Joint Tactical Simulation/Joint Conflict and Tactical Simulation modeling, physical security system reviews, and S&S surveys.

Technical Support for Physical Security Policies and Programs **387 262 262**

Develop standards and procedures for the implementation of smart cards for physical access control, provide technical support, as necessary, to support the development of physical security systems policy, provide technical advice and assistance regarding adversary's timeline tools, review and comment on physical security systems technical guidance documents, provide technical guidance to the Central Training Academy in the development of physical security systems training, provide technical guidance regarding explosive detection systems and procedures, evaluate the performance of integrated alarm management and control systems, and assist in development of technical workshops.

Lock replacement **2,000 0 0**

Provided for the procurement and replacement of security locks meeting Federal Specification FF-L-2740A for containers holding sensitive classified material.

Nuclear/Biological/Chemical Weapons (NBC) Protection Equipment, Training, and Chemical/Biological Detection Equipment **3,429 1,829 1,829**

In response to U.S. Policy on Counterterrorism, provide a counterterrorist capability to detect, assess and protect Departmental facilities, employees and the environment from adversarial use of NBC as a weapon of mass destruction (WMD). FY 2003 reflects the funding necessary to complete detection and assessment capabilities of NBC agents across the DOE complex, including testing and implementation of chemical protective mask communications equipment. Funding level is based upon field analysis and testing, and equipment modifications to detect potential NBC events.

(dollars in thousands)

FY 2001	FY 2002	FY 2003
---------	---------	---------

Nondestructive Assay (NDA) Standards **0 200 200**

Continue preparation of measurement control standards for safeguards NDA systems which measure special nuclear materials, enroll prepared standards in a measurements exchange program, and begin collecting data. Current NDA systems used by DOE have never been systematically evaluated to determine effects of inconsistent standards, impurities, packaging, etc., on assay bias and precision. This effort will ensure DOE's nuclear materials accounts are based on defensible measured values and protect nuclear materials in the U.S. from theft, loss, or illicit trafficking.

Equipment **496 2,896 6,793**

Supports capitalized computer equipment requirements and modification and/or replacement parts to the Headquarters SAACS. In FY 2002, funding supported the replacement of the alarm and public address systems. The increase in FY 2003 funding provides for replacement and/or upgrade of equipment at the New Brunswick Laboratory (NBL) to maintain state-of-the-art measurement capability essential to NBL's mission responsibilities. Additionally, the funding increase will provide for critical Headquarters security upgrades such as the installation of automated access controls at primary facility entry posts, building supports, visitor control centers, vehicle pop-up barriers and permanent vehicle barriers, and additional handheld scanning devices as part of an ongoing effort to comply with recommended Department of Justice security upgrades at federal facilities.

Foreign Visits and Assignments (FV&A) Program **1,125 1,892 1,932**

The FV&A program manages the Department's program for granting access by foreign nationals to DOE federal and contractor facilities to perform classified or unclassified work. Program scope also includes implementing solutions to issues and deficiencies identified by the General Accounting Office and Congress. In FY 2003, the program supports operation of the Foreign Access Central Tracking System (FACTS) including enhancements to support new program policy initiatives such as risk-based graded approach to foreign national vetting; integration of field legacy data systems with FACTS to optimize system productivity and program accountability; and maintenance of the Foreign Interactions Training Academy at Kirtland Air Force Base.

Total, Operational Support **37,020 42,520 51,071**

Explanation of Funding Changes

FY 2003 vs. FY 2002 (\$000)

Nonproliferation and National Security Institute

The increase provides the infrastructure support for the S&S Professional Development Program which is a corporate human resource management program designed to address the human resource capital crisis now affecting DOE within the S&S community. +2,500

Nuclear Materials Accountability Systems

- Supports additional capabilities being designed as support modules to upgrade the Nuclear Materials Management and Safeguards System (NMMSS) system, additional contractor staff to support the new modules, and a stand-alone inventory data base operation capability +432
- Sustain an operational Local Area Network Materials Accounting System (LANMAS) capability. +22

Total, Nuclear Materials Accountability Systems +454

Headquarters Guard Force

Supports the increase in percentage of armed uniformed protective officers from 30% to 75% and associated training, unionization costs of the contract, and pay increase to support a competitive pay scale +1,160

Additional Support

Provides funding to maintain level of effort for risk management, vulnerability assessment, and S&S system performance evaluations, verifications, and validations (+500); replacement/upgrade of measurement equipment at NBL ensuring ability to meet mission (+500); and critical Headquarters security upgrades such as automated access controls at primary facility entry posts, building supports, visitor control centers, vehicle pop-up barriers and permanent vehicle barriers, and handheld scanning devices (+3,397). +4,397

Foreign Visits and Assignments Program

Supports the Foreign Access Centralized Tracking System (FACTS) including enhancements to support new program policy initiatives +40

Total Funding Change, Operational Support +8,551

Technology and Systems Development

Mission Supporting Goals and Objectives

The Technology Development Program (TDP) develops or modifies commercial technologies in Material Control and Accounting and Physical Security to ensure that nuclear weapons, special nuclear materials, classified information, and key DOE facilities and personnel are adequately protected from the evolving threats as identified in the Department's Design Basis Threat. The TDP supports activities associated with implementing Presidential Decision Directive (PDD) 39, Counterterrorism Policy, PDD 62, Combating Terrorism, and PDD 63, Critical Infrastructure Protection. Technological solutions are often the most effective and cost efficient means to protect against terrorist attack, theft of nuclear weapons and special nuclear materials, radiological sabotage and the insider. The technology being developed provides a fundamental technical basis for addressing the most immediate and critical DOE facility user needs for proper management and stewardship of valuable, hazardous, and strategically important materials and information. The program continues to provide technical solutions to meet our customers' needs. The program will continue to utilize core security technologies and expertise, but also provide technical defenses against large bombs, direct energy weapons, and the significant potential threat posed by insiders with direct access to our protected assets. The products of this program expand beyond DOE to other federal agencies, the international community, commercial industry, and state and local governments.

This program is organized in the following disciplines:

Physical Security - Activities are focused on providing technological solutions to known vulnerabilities and operational deficiencies, performance and vulnerability testing, development of protective force technologies, and participation in federal interagency research and development groups.

Material Control and Accounting - Efforts are focused on nuclear material measurements, measurement standardization, nuclear material accounting, and nuclear material surveillance and control.

Cyber Security - This program has been significantly reduced. Activities have been coordinated with the Office of the Chief Information Officer to ensure that critical technology projects and solutions proceed.

Funding Schedule by Discipline

(dollars in thousands)

	FY 2001	FY 2002	FY 2003	\$ Change	% Change
Physical Security	13,275	14,972	13,484	-1,488	-9.9
Material Control and Accounting	9,867	8,954	8,873	-81	-1.0
Information Security	2,828	2,044	200	-1,844	-90.2
Total	<u>25,970</u>	<u>25,970</u>	<u>22,557</u>	<u>-3,413</u>	<u>-13.1</u>

Detailed Program Justification

(dollars in thousands)

	FY 2001	FY 2002	FY 2003
Physical Security	13,275	14,972	13,484
# Physical Security Technological Solutions	9,120	10,992	7,528
<p>Develop countermeasures for security equipment vulnerabilities from new and evolving threats, including directed energy radio frequency weapons and personnel residing within the DOE complex. Develop state-of-the-art technologies to improve the security posture of DOE, including the Adversary Time-Line Analysis System (ATLAS) software which will provide a vulnerability analysis tool for DOE sites; a 3-dimensional video motion detection system to replace exterior sensors; encrypted, high-capacity, digital communications for sensor alarms, access control and video; modification to chemical collective protective systems for unique DOE applications; and tagging technologies for the tracking and authentication of classified documents, nuclear material, and other valuable items. Continue to provide technical support to DOE complex. Decrease from FY 2002 to FY 2003 primarily reflects a shift within physical security from technological solutions to performance testing due to emerging security requirements. (SNLA, LLNL, Special Technologies Laboratory, ORNL, Remote Sensing Laboratory)</p>			
# Performance Testing	2,175	2,000	4,473
<p>Conduct performance testing of security equipment such as interior and exterior sensors, biometrics (e.g., hand geometry, fingerprint scan, iris scan, etc.) and entry control, explosives detection, video assessment, access delay, protective force equipment, communication systems, ammunition, and chemical agent protection equipment, etc., so that the test data can be used by ATLAS and Joint Tactical Simulation (JTS) modeling tools for vulnerability analysis, and by DOE field users that must make procurement decisions. Increased activities in FY 2003 will provide a chemical assessment module for force-on-force simulation exercises to be incorporated into JTS/Joint Conflict and Tactical Simulation (JCATS) and accelerate procurement guidance to DOE sites to replace outdated security systems. (SNLA, LLNL, ORNL)</p>			
# Technical Support Working Group	1,500	1,500	1,035
<p>Provide subject matter experts and data to support the counterterrorism community's Technical Support Working Group, which helps DOE leverage over \$50M of interagency R&D activities, specific security technologies, and program input to a significant DOD and counter terrorism investment. Funding is being decreased to allow increased efforts in the above described performance testing of physical security technological solutions. (SNLA, LLNL)</p>			
# Capital Equipment	480	480	448
<p>Provides funding for the purchase of commercial physical security systems (sensors, biometrics, video, etc) for performance testing.</p>			

(dollars in thousands)

	FY 2001	FY 2002	FY 2003
Material Control and Accounting (MC&A)	9,867	8,954	8,873
# Special Nuclear Material Measurement Technologies	7,653	7,140	6,112
Activities are focused on providing advanced measurement technologies to account for 100% of DOE's nuclear material inventory. Efforts include the development of accurate non-destructive assay techniques for difficult-to-measure nuclear materials such as neptunium, americium, and uranium-233; providing more accurate and cost-effective measurement technologies for large containers of plutonium in difficult-to-measure forms; and providing technical support to address domestic safeguards requirements around the DOE complex. Decrease reflects shift of funding to support increased efforts in special nuclear material control technologies. (LANL, LLNL)			
# Special Nuclear Material Control Technologies	850	800	1,659
Efforts are focused on providing new unattended monitoring technologies for stored nuclear materials; development of measurement control modules for the DOE's computerized nuclear material accountability systems; and evaluation of new technologies for increasing the security and effectiveness of tags and seals on nuclear material containers. Increase provides for continuous monitoring of special nuclear materials in the DOE facilities. (LANL, SNL, BWXT)			
# Nuclear Material Accounting	1,000	650	613
Develop automatic tools to perform statistical analyses on inventory data and provide the capability to automatically transfer measurement data from measurement devices to accounting systems. (SRS, LANL)			
# Capital Equipment	364	364	489
Provides funding for the development of a test bed for tags and seals to demonstrate the effectiveness of controlling special nuclear materials in storage; and the purchase of electronics and detectors for fabrication of measurement instruments.			
Cyber Security	2,828	2,044	200
# Automated Information Security Tools	2,735	2,044	0
This discipline is being eliminated in FY 2003.			
# Technical Analysis and Support	0	0	200
Provides technical support for assessment and deployment of cyber security technologies.			
# Capital Equipment	93	0	0
Total, Technology and Systems Development	25,970	25,970	22,557

Explanation of Funding Changes

	FY 2003 vs. FY 2002 (\$000)
# Physical Security	
• A funding decrease to the Technology Development Program and shift within physical security from technological solutions to performance testing	-3,464
• Accelerate activities in performance testing to provide DOE sites with sound advice on procurement decisions to replace legacy systems	+2,473
• Funding decrease to the Technical Support Working Group is to support increased efforts in performance testing of physical security technological solutions	-465
• Small decrease in capital equipment that supports MC&A	-32
Total, Physical Security	-1,488
# Material Control and Accounting (MC&A)	
• Reflects shift of funding from special nuclear material measurements to special nuclear material control	-1,028
• Special Nuclear Material Control: Provides increased surveillance of inventories to reduce threat of theft or diversion	+859
• Decrease in material accounting systems due to completion of activities	-37
• Increase to capital equipment to purchase additional equipment in support of testing measurement devices	+125
Total, Material Control and Accounting	-81
# Cyber Security	
• This discipline is being significantly reduced in FY 2003 with minimal technical support for assessment and deployment of cyber security technologies	-1,844
Total Funding Change, Technology and Systems Development	-3,413

Classification/Declassification

Mission Supporting Goals and Objectives

The Department of Energy (DOE) has a unique, statutorily based responsibility to implement the Government-wide program to classify and declassify nuclear weapons-related technology (classified as Restricted Data). DOE is also responsible for implementing the requirements contained in Executive Order 12958 to classify and declassify other information that is critical to the national security (classified as National Security Information). To fulfill these responsibilities, the mission of the Classification/Declassification program is to develop (1) Government-wide policies and technical guidance to identify nuclear weapons-related information that warrants protection and (2) DOE-wide policies and guidance to identify other information that is critical to protecting the national security. This critical program is a cornerstone of the United States nuclear nonproliferation and security program since an asset cannot be protected until it is identified as requiring protection. Consistent with this mission, the Classification/Declassification program funds support service contractors at Headquarters and management and operating contractors in the field who provide highly technical support through:

- Assisting in the development of general policies, procedures, and guidance to ensure that classified and controlled information is identified consistently by personnel within the Department and other Government agencies. Conducting appraisals of DOE, including NNSA, organizations and visits to other Government agencies to ensure they are conforming with these policies, procedures, and guidance.
- Assisting in the development of detailed technical classification and control guidance to identify information that requires protection in the interest of the national security.
- Conducting training within the Department and for other agencies to ensure that personnel identify and protect sensitive nuclear weapon design information and other national security information.
- Conducting declassification reviews and audits of documents required under statute and Executive order.
- Developing state-of-the-art technology to enhance the classification and declassification process, making it more efficient and effective.

Funding Schedule

	(dollars in thousands)				
	FY 2001	FY 2002	FY 2003	\$ Change	% Change
Classification/Declassification	20,818 ^a	17,115	17,474	+359	+2.1

^aReflects a funding decrease of \$20,000 resulting from the allocation of a general reduction to Other Defense Activities and a \$46,000 decrease resulting from the FY 2001 Omnibus rescission.

Detailed Program Justification

(dollars in thousands)

	FY 2001	FY 2002	FY 2003
# Classification/Declassification Reviews	10,666	8,903	9,348
Declassification/classification reviews of documents fall under the following statutory requirements: P.L. 105-261, National Defense Authorization Act for Fiscal Year 1999; P.L. 106-65, National Defense Authorization Act for Fiscal Year 2000; the Freedom of Information Act; Executive order requirements (i.e., Executive Order 12958, Classified National Security Information); and litigation requirements. Reviews are designed to protect sensitive nuclear weapon design information from inadvertent public release throughout the Government, and to release to the public all documents not warranting protection in the interest of the Nation's security. Funding supports the approved level of effort to meet statutory requirements.			
# Classification and Control Training	831	683	697
Conduct training of personnel both within the Department and for other agencies to ensure that sensitive nuclear weapon design information is identified and protected against inadvertent disclosure as mandated in 10 CFR Part 1045, Nuclear Classification and Declassification, and P.L. 105-261.			
# Classification and Control Guidance Program	3,805	3,128	3,194
Maintain a comprehensive technical classification guidance and control program to identify information that requires protection in the interest of the Nation's security, updating existing classification and control guidance, developing new guidance as programmatic needs arise, and continuing the guidance system streamlining initiative.			
# Policy and Quality Management Program	2,433	2,000	2,042
Maintain general policies, procedures, and guidance to ensure that classified and controlled information is identified consistently by personnel within the Department and other government agencies. Conduct appraisals of DOE/NNSA organizations to ensure that their classification and control programs conform with requirements contained in DOE directives to classify and control information and documents. Conduct quality assistance visits to other government agencies to ensure requirements contained in 10 CFR Part 1045 to classify and declassify Restricted Data (RD) and Formerly Restricted Data (FRD) are being implemented appropriately. Conduct quality assurance visits to ensure other Government agencies are complying with requirements mandated by P.L. 105-261 to prevent the inadvertent release of documents containing RD and FRD information.			

(dollars in thousands)

	FY 2001	FY 2002	FY 2003
# Document Declassification Technology Development	1,911	1,201	808
Implement and test state-of-the-art technology for document declassification to improve efficiency and effectiveness of declassification, and to protect classified information from inadvertent disclosure. This effort will be supported at a reduced level with more emphasis on Classification/Declassification Reviews.			
# Automation Programs	1,172	1,200	1,385
Develop and maintain automation programs, including programming, project management, action tracking, and computer security in support of classified and controlled information review.			
Total, Classification/Declassification	20,818	17,115	17,474

Explanation of Funding Changes

FY 2003 vs. FY 2002 (\$000)

#	Classification/Declassification Reviews	
	Funding increase supports the approved level of effort to meet statutory requirements for classification/declassification review of documents.	+445
#	Classification and Control Training	
	Provides escalation	+14
#	Classification and Control Guidance Program	
	Provides escalation	+66
#	Policy and Quality Management Program	
	Provides escalation	+42
#	Document Declassification Technology Development	
	Effort supported at a reduced level with more emphasis on Classification/ Declassification Reviews	-393
#	Automation Programs	
	Provides escalation	+185
	Total Funding Change, Classification/Declassification	+359

Capital Operating Expenses and Construction Summary

	FY 2001	FY 2002	FY 2003	\$ Change	% Change
Total, Capital Equipment	1,496	3,896	7,793	+3,897	+100.0

Security Investigations

Program Mission

The Security Investigations Program funds background investigations for all Department of Energy (DOE) Federal employees and contractors who, in the performance of their official duties, require access authorizations for Restricted Data, National Security Information, or certain quantities of special nuclear material.

Program Performance Goal

Reduce DOE's vulnerability to espionage, theft, diversion, loss, or unauthorized access or use of the Department's critical assets and information.

This will be accomplished by ensuring the proper allocation of security investigations funding to DOE program and operations offices. (This line-item budget's primary function is to distribute funding for security investigations Department-wide for the cost of FBI and OPM investigative services. A very small portion of the funding also supports related miscellaneous costs associated with maintaining the Security Investigations Program.)

Performance Indicator

- # Track DOE operations offices' monthly investigation requests, invoices, and costs to ensure security investigations funds are properly allocated between the field offices and are being used only to reimburse the FBI and OPM for services rendered.
- # Monitor annual case submissions and costs for accurate forecasting of future security investigations funding requirements.

Significant Accomplishments and Program Shifts

- # In FY 2001, for the first time since FY 1998, the security investigation costs for field non-federal employees' security investigations were directly funded in the Security Investigations budget, rather than from the program office budgets (excluding those from the Office of Naval Reactors).
- # The Security Investigations budget was appropriated at \$33 million in FY 2001. Prior-year carryover of \$8.2 million was available to supplement the appropriated funds which precluded major funding shortages for investigations in FY 2001.

- # In FY 2002, full funding was required for Federal Bureau of Investigation (FBI) investigations, as a result of the National Defense Authorization Act for Fiscal Year 2000 (S.1059, Section 3144), which requires that personnel in positions that are of such a critical nature that any compromise could gravely impact U.S. national security have background investigations conducted by the FBI. People in less sensitive positions will continue to have their investigations performed by the Office of Personnel Management (OPM). The FBI investigations are more expensive than OPM investigations, resulting in a significant budget increase.

- # In order to ensure that the number of access authorizations (personnel security clearances) is consistent with mission requirements, the number of “Q” access authorizations is expected to gradually increase in FY 2002 and FY 2003 due to heightened security requirements and Congressional add-ons to the Weapons Appropriation which will accommodate a larger work force for the Defense Programs mission.

- # In response to heightened security concerns following September 11, 2001, the DOE complex will be increasing the number of Security Police Officers, thereby creating a need for additional initial investigation funding.

- # After 5 years of little activity, “L” reinvestigations will resume in FY 2002, which will require increased funding. The reinvestigation interval for “L” access authorizations, which requires a National Agency Check (NAC), changed from 5 to 10 years in March 1997.

Funding Profile

(dollars in thousands)

	FY 2001 Comparable Appropriation	FY 2002 Original Appropriation	FY 2002 Adjustment s	FY 2002 Comparable Appropriation	FY 2003 Request
Estimated Appropriation Distribution					
National Nuclear Security Administration	17,358	26,122	0	26,122	26,396
Defense Environmental Management	8,485	9,288	0	9,288	9,280
Science	1,171	1,372	0	1,372	1,647
Security & Emergency Operations	5,913	8,145	0	8,145	8,547
Total, Security Investigations	32,927^a	44,927	0	44,927	45,870

Public Law Authorization:

Public Law 83-703, "Atomic Energy Act of 1954"

^aDoes not reflect the use of at least \$8.2 million in prior-year carryover. Reflects Omnibus rescission of \$73 thousand assigned to this program.

Funding by Site

(dollars in thousands)

	FY 2001	FY 2002	FY 2003	\$ Change	% Change
Albuquerque Operations Office	12,512	22,191	21,864	-327	-1.5
Chicago Operations Office	504	511	518	+7	+1.4
Idaho Operations Office	690	733	648	-85	-11.6
Nevada Operations Office	918	2,099	1,727	-372	-17.7
Oak Ridge Operations Office					
Oak Ridge Operations Office	4,583	2,188	2,467	+279	+12.8
Oak Ridge Institute of Science & Education.	150	175	175	0	0.0
Total, Oak Ridge Operations Office	4,733	2,363	2,642	+279	+11.8
Richland Operations Office	2,125	1,807	1,979	+172	+9.5
Oakland Operations Office	3,168	5,016	5,064	+48	+1.0
Savannah River Operations Office	3,264	3,252	4,116	+864	+26.6
Washington Headquarters	5,013	6,955	7,312	+357	+5.1
Total, Security Investigations	32,927 ^a	44,927	45,870	+943	+2.1

^aDoes not reflect the use of at least \$8.2 million in prior-year carryover. Reflects Omnibus rescission of \$73 thousand assigned to this program.

Site Description

Operations Offices

The Security Investigations budget provides funding to the personnel security offices to pay for background investigations conducted by the Federal Bureau of Investigation (FBI) and the Office of Personnel Management (OPM) for DOE Federal employees and contractors. Background investigations are required for personnel who, in the performance of their official duties, require access to classified information or certain quantities of special nuclear material. The investigation is one of the tools used by DOE security personnel to determine if an individual will receive a DOE access authorization (personnel security clearance).

Washington Headquarters

The Security Investigations budget provides funding for background investigations conducted by the FBI and OPM for DOE Headquarters Federal staff and contractors. This budget also supports programs under Related Security Investigations Activities required to assure a viable personnel security function. This includes enhancements to the Electronic Transfer Program and DOE Integrated Safeguards and Security (DISS) personnel security databases to support additional functionality and security features.

Oak Ridge Institute of Science and Education

The Oak Ridge Institute for Science and Education (ORISE), located in Oak Ridge, Tennessee, provides DOE with technical support for implementation, training, operation, and quality assurance of the personnel security process, and a variety of research and analysis activities in support of personnel security functions. ORISE conducts these programs for DOE through a management and operating contract with Oak Ridge Associated Universities (ORAU).

Albuquerque Operations Office

The Albuquerque Operations Office receives funding for background investigations and for costs to maintain the DOE Test Center/Accelerated Access Authorization Program (AAAP). Support through the Nonproliferation and National Security Institute (NNSI) is also provided to develop and distribute briefing materials as required by the refresher briefing provisions in DOE O 470.1, Chapter 4, "Safeguards and Security Awareness Program." Materials are posted on the NNSI web-site and made available to all DOE Federal and contractor sites required to provide refresher briefings to employees.

Security Investigations

Mission Supporting Goals and Objectives

The Security Investigations budget funds background investigations for DOE Federal employees and contractors who, in the performance of their official duties, require access authorizations for Restricted Data, National Security Information, or certain quantities of special nuclear material. Security Investigations are required in order to be in compliance with Section 145 of the Atomic Energy Act of 1954, as amended; Title 10, Code of Federal Regulations, Part 710; and Executive Order 12968. The Department primarily utilizes the services of the Office of Personnel Management (OPM) to conduct security investigations which serve as the basis for these access authorizations. FBI investigations are required for individuals in positions that are of such a critical nature that any compromise could gravely impact U.S. national security. The cost of security investigations depends on the type and level of investigation needed.

Funding Schedule

(dollars in thousands)

	FY 2001	FY 2002	FY 2003	\$ Change	% Change
Federal Bureau of Investigation					
Initial Background Investigations	960	1,942	3,103	+1,161	+59.8
Post-Initial Background Investigations (Reinvestigations)	1,969	7,945	6,899	-1,046	-13.2
Federal User Charges	71	75	75	0	0.0
Total, Federal Bureau of Investigation	3,000	9,962	10,077	+115	+1.2
Office of Personnel Management					
Initial Background Investigations	8,711	13,978	15,897	+1,919	+13.7
Reinvestigations	15,918	16,058	13,122	-2,936	-18.3
National Agency Checks	561	829	1,919	+1,090	+131.5
Personnel Security Review	927	0	0	0	0.0
Total, Office of Personnel Management	26,117	30,865	30,938	+73	+0.2
Related Security Investigations Activities	3,810	4,100	4,855	+755	+18.4
Total, Security Investigations	32,927	44,927	45,870	+943	+2.1

Case Projections

Category	FY 2001	FY 2002	FY 2003
Federal Bureau of Investigation (FBI)			
Initial Background Investigations	283	572	862
Post-Initial Background Investigations (Reinvestigations).	736	2,970	2,379
Subtotal, FBI Investigations	1,019	3,542	3,241
Office of Personnel Management (OPM)			
Initial Background Investigations	2,810	4,509	5,128
Reinvestigations	9,096	9,176	7,190
National Agency Checks	3,734	5,529	6,818
Subtotal, OPM Investigations	15,640	19,214	19,136
Total, Security Investigations	16,659	22,756	22,377

Detailed Program Justification

(dollars in thousands)

	FY 2001	FY 2002	FY 2003
Federal Bureau of Investigation (FBI)	3,000	9,962	10,077

As a result of the National Defense Authorization Act for FY 2000 (S.1059, Section 3144), there has been a change in policy requiring personnel in positions that are of such a critical nature that any compromise could gravely impact U.S. national security to have background investigations conducted by the FBI. The FBI product is higher in cost than the OPM background investigation product (16% higher for initial investigations and 37% higher for reinvestigations). People in less sensitive positions will continue to have their investigations performed by the Office of Personnel Management.

# Initial Investigations	960	1,942	3,103
Conduct up to 862 initial background investigations.			
# Post-Initial Background Investigations (Reinvestigations) . . .	1,969	7,945	6,899
# Perform 2,379 periodic reinvestigations.			
# Reimburse the FBI for fingerprint cards and name checks ..	71	75	75

Office of Personnel Management	26,117	30,865	30,938
---	---------------	---------------	---------------

Fund background investigations for DOE Federal personnel and contractors who do not require an FBI investigation, but require access authorizations for Restricted Data, National Security Information, or certain quantities of special nuclear material.

# Initial Investigations	8,711	13,978	15,897
Conduct 5,128 initial (Single Scope Background) investigations.			
# Reinvestigations	15,918	16,058	13,122
Perform 7,190 periodic reinvestigations (for Single Scope Background Investigations).			
# National Agency Checks (NAC's)	561	829	1,919
Conduct 6,818 NAC's (3,008 initials and 3,810 reinvestigations). The "L" reinvestigations resume with substantial increases in FY 2002 and FY 2003 after 5 years of little activity. The reinvestigation interval for "L" access authorizations changed from 5 to 10 years in March 1997.			
# Personnel Security Review	927	0	0
In FY 2001, conducted a one-time personnel security review to evaluate security investigations performed by the FBI and OPM to compare the products, in order to identify similarities and differences in the work completed by the two agencies.			

(dollars in thousands)

	FY 2001	FY 2002	FY 2003
Related Security Investigations Activities	3,810	4,100	4,855
Includes all costs incurred in implementing security investigations related programs and projects which may be developed in support of the Security Investigations Program.			
# Continue operation and maintenance of the Electronic Transfer Program throughout DOE	2,900	2,900	3,520
# Continue to support the Accelerated Access Authorization Program (AAP). A funding increase is necessary for expansion of the program to a site in Oak Ridge	600	865	1,000
# Provide support for miscellaneous costs involved in maintaining a viable personnel security program	310	335	335
Total, Security Investigations	32,927	44,927	45,870

**Explanation of Funding Changes
from FY 2002 to FY 2003**

FY 2003 vs. FY 2002 (\$000)

Federal Bureau of Investigation (FBI)

- Funding level reflects an increase of approximately 290 initial background investigations based on specific site and contractor needs +1,161
- Funding level reflects a decrease of approximately 591 post-initial background investigations (reinvestigations) from last fiscal year -1,046

Total, Federal Bureau of Investigation (FBI) +115

Office of Personnel Management (OPM)

- Initial background investigations will increase based on specific site and contractor needs. This increase is partially offset by a projection that “Q” reinvestigation requirements will be lower in FY 2003 and “Q” initial requirements will be higher +1,919
- “Q” Reinvestigation requirements are estimated to be 951 cases lower than in FY 2002. -2,936
- NAC funding is increasing due to the "L" reinvestigation workload resuming after 5 years of little activity. This is a result of the reinvestigation interval for “L” access authorization changing from 5 years to 10 years in March 1997. +1,090

Total, Office of Personnel Management +73

Related Security Investigations Activities

- A funding increase is necessary to cover licensing fees for software and hardware upgrades/replacements for Department-wide system users. +620
- A funding increase is necessary for the expected expansion of the AAAP to a site in Oak Ridge +135

Total, Related Security Investigations Activities +755

Total Funding Change, Security Investigations +943

Office of Security

Program Direction

Mission Supporting Goals and Objectives

Program Direction provides for and supports Federal personnel required to provide overall direction of activities carried out in the Office of Security (SO) under the following programs: Nuclear Safeguards and Security which includes the Nonproliferation and National Security Institute, Nuclear Materials Accountability Systems, Information Security, Security Education Briefings and Awareness Training, Personnel Security, Headquarters Security and Foreign Visits and Assignments; the Security Investigations program; as well as the Office of the Director in which direct support in the areas of budget, finance, procurement, and human and security resources is provided. SO also provides program-specific staffing resources at the New Brunswick Laboratory directly involved in executing SO's programs. These activities are carried out in a cost effective and efficient manner.

Consistent with the realignment of the Chief Information Officer as a direct report to the Secretary, the Chief Information Office's Program Direction account transferred in FY 2002.

Additionally in FY 2003, the Program Direction associated with the Safeguards and Security Systems Division of the Chicago Operations Office will be transferred to the Office of Science's Program Direction Appropriation. The funding will be appropriately aligned within the Office of Science as it is the Lead Program Secretarial Office for Chicago.

Program Goals

- # Fund Salaries and Benefits, Travel, Support Services, and Other Related Expenses for Federal personnel (the latter including the Working Capital Fund) associated with the overall management, direction, and administration for the Office of Security.

Program Objectives

- # To provide Salaries and Benefits for SO Federal employees, including overtime, awards, lump-sum leave payments, workers compensation, transit subsidies, contributions to employee benefits, benefits associated with permanent change of station, and associated cost-of-living increases. In FY 2003, SO will be responsible for funding its share of increased costs associated with pension and annuitant health care benefits.
- # To provide Travel funds that are required to carry out SO's mission while away from official duty stations. Ensure per diem allowances as well as local travel are in accordance with Federal Travel Regulations. Travel is an essential part of staff duties in order to conduct hands-on operations both

domestically and internationally, participate in highly technical agency and interagency committees, and to ensure appropriate Government representation in policy meetings.

- # To provide Support Services contracts to support Federal staff at Headquarters and at the New Brunswick Laboratory, Argonne, Illinois. These contracts provide technical, analytical, administrative, and operational support in multiple program areas of safeguards and security, Plutonium, Uranium, and Special Materials, and Resource Management. The daily operation and associated technical direction of the contracts remain with Federal program managers in each organization.
- # To provide funding for Other Related Expenses including the Working Capital Fund. Other Related Expenses support the administrative costs of maintaining Federal staff, such as information technology expenses, computer and office equipment, telecommunications, training, publications, and other miscellaneous services. The Working Capital Fund includes centrally provided goods and services at Headquarters, such as automated office support, payroll services, communication services, postage, printing and graphics, supplies, copiers, and building occupancy such as rent, space, and utilities.

Funding Schedule

(dollars in thousands, whole FTEs)

	FY 2001	FY 2002	FY 2003	\$ Change	% Change
Chicago					
Salaries and Benefits	3,047	3,135	3,267	+132	+4.2
Travel	70	70	71	+1	+1.4
Support Services	170	137	143	+6	+4.4
Other Related Expenses	1,255	1,967 ^{a/}	1,993 ^{a/}	+26	+1.3
Total, Chicago	4,542	5,309	5,474	+165	+3.1
Full Time Equivalents	40	40	40	0	0.0
Headquarters					
Salaries and Benefits	22,032 ^{b/c/}	24,254 ^{a/}	25,394 ^{a/}	+1,140	+4.7
Travel	1,729	1,525	1,557	+32	+2.1
Support Services	9,899	7,310	7,310	0	+0.0
Other Related Expenses	11,326	10,309	10,511	+202	+2.0
Total, Headquarters	44,986	43,398	44,772	+1,374	+3.2
Full Time Equivalents	204	204	215	+11	+5.4
Total Security					
Salaries and Benefits	25,079 ^{b/c/}	27,389 ^{a/}	28,661 ^{a/}	+1,272	+4.6
Travel	1,799	1,595	1,628	+33	+2.1
Support Services	10,069	7,447	7,453	+6	+0.1
Other Related Expenses	12,581	12,276	12,504	+228	+1.9
Total, Program Direction	49,528	48,707	50,246	+1,539	+3.2
Total, Excluding Full Funding for Retirements and Health Benefits	47,857	47,001	48,543	+1,542	+3.3
Full Time Equivalents	244	244	255	+11	+4.5

^aIncludes \$712,000 for reimbursable work adjustments for safeguards and security.

^bReflects decrease of \$1,000,000 for Reprogramming 01-R-18.

^cThe FY 2001 and FY 2002 column of the FY 2003 Congressional Request includes funding in the amount of \$1,671,000 and \$1,706,000 respectively, for the Government's share of increased costs associated with pension and annuitant health care benefits. These funds are comparable to FY 2003 funding of \$1,703,000. (Note: The data is presented on a comparable basis as if the legislation had been enacted and implemented in FY 2001.)

Detailed Program Justification

(dollars in thousands)

	FY 2001	FY 2002	FY 2003
Salaries and Benefits	25,079	27,389	28,661
<p># SO staff serves as the Headquarters operational element for activities such as safeguards and security; plutonium, uranium, and special materials; classification/declassification operations; enhanced foreign visits and assignments; executive protection; and provides staff for the Office of the Director and direct support in the areas of budget, finance, procurement, and human and security resources. Increase provides for five additional Executive Protection Security personnel to ensure safekeeping of the Secretary of Energy and six additional security specialists at Headquarters for enhanced security measures. Also provides for cost-of-living adjustments, promotions, within-grade increases, lump-sum payments, workers compensation, and SO's share of costs associated with pension and annuitant health care benefits. Performance will be measured by whether there is an adequate Federal staff to successfully perform SO's programmatic goals and objectives.</p> <p># SO is directly responsible for management of the New Brunswick Laboratory in Argonne, Illinois, and the Nonproliferation and National Security Institute in Albuquerque, New Mexico.</p>			
Travel	1,799	1,595	1,628
<p># Includes domestic and foreign trips necessary to conduct security activities. Domestic travel includes national security assistance and interface with field offices, laboratories and local governments. Additionally provides travel for the Executive Protection Security personnel for the Secretary of Energy. A nominal increase in travel reflects projected escalation of travel costs and per diem.</p> <p># Performance is measured by ensuring travel funding is adequate to allow the appropriate amount of on-site supervision by Federal staff of SO activities throughout the DOE complex.</p>			
Support Services	10,069	7,447	7,453
<p># Provides an invaluable resource of highly specialized and analytical expertise required to meet critical security operations issues. Provides technical and analytical expertise as well as management support essential to carry out the safeguards and security program. Performance will be measured by SO obtaining an adequate level of specialized contractors to ensure the successful performance of SO's programmatic goals and objectives.</p> <p># The New Brunswick Laboratory provides funding for monthly maintenance of the new Laboratory Information Management System. This system tracks all sensitive materials; i.e., chemicals, from the time of arrival to the site through to departing the site. Also provides for the general administrative and technical expertise for information technology. Finances day-to-day operations within New Brunswick Laboratory; e.g., mail room support, travel management, and infrastructure upgrades.</p>			

(dollars in thousands)

FY 2001	FY 2002	FY 2003
---------	---------	---------

Other Related Expenses **12,581** **12,276** **12,504**

Headquarters Other Related Expenses provides funding for administrative expenses that support the Federal workforce in training, computer hardware and software acquisitions, commercial time-sharing services, telecommunications, office supplies, publications and subscriptions, and other miscellaneous items necessary for day-to-day office operations. Funds increased due to upgrading the required equipment necessary for the protection and safekeeping of the Secretary of Energy.

Similar support is provided to the Federally staffed New Brunswick Laboratory in addition to fixed funding for building and ground maintenance; custodial services; environmental, safety, and health services; utility costs; and technical information services. Funding is also provided to fund its share towards health care services and the campus Fire Department.

Headquarters Working Capital Fund provides funding for mandatory administrative costs, such as automated office support, telephone services, postage, printing and graphics, supplies, copiers, building occupancy (rent, space, and utilities), and payroll services. Payments to this fund reflect usage of services which are priced and charged to users in accordance with policies established by the Working Capital Fund Board. Increase of funding for the Working Capital Fund will provide for escalation costs and support of 11 additional employees.

The performance measure for the support of the activities funded under the Working Capital Fund is to control costs associated with these activities where possible and to adequately fund them through the budget process. SO regularly monitors all expenditures in the Working Capital Fund and has reduced, to the extent possible, utilization of services provided through this fund. Further per capita reductions, in keeping with good business practices, is a performance measure SO sets for itself in this account.

Total, Program Direction **49,528** **48,707** **50,246**

Explanation of Funding Changes

FY 2003 vs. FY 2002 (\$000)

#	Salaries and Benefits	
	Salaries and Benefits increased slightly to help fund cost-of-living increases, promotions, within grade increases, lump sum payments, and overtime.	+429
	Funding for 11 additional Federal executive protection and security specialist personnel staff in order to meet the required security requirements in FY 2003.	+843
		+1,272
Total, Salaries and Benefits		
#	Travel	
	Travel increased slightly due to escalation.	+33
#	Support Services	
	Support Services increased due to escalation.	+6
#	Other Related Expenses	
	Other Related Expenses increased due to upgrading the required equipment necessary for the protection and safekeeping of the Secretary of Energy	+100
	Additional increases due to escalation for training (+ \$9,000) and other related items (+ \$19,000).	+28
	Working Capital Fund increased due to escalation costs (+ \$40,000) and support for 11 additional employees (+ \$60,000).	+100
		+228
Total, Other Related Expenses		
		+1,539

Support Services

(dollars in thousands)

	FY 2001 Comparable Appropriation	FY 2002 Comparable Request	FY 2003 Request	\$ Change	% Change
Technical Support Services					
System Review & Reliability Analysis	705	313	313	0	0.0
Technical Operation Reviews	5,971	4,800	4,800	0	0.0
Total Technical Support Services	6,676	5,113	5,113	0	0.0
Management Support Services					
Management Studies	114	130	130	0	+0.0
Training and Education	971	500	500	0	+0.0
ADP Support	969	804	810	+6	+0.7
Administrative Support Services	1,339	900	900	0	+0.0
Total, Management Support Services	3,393	2,334	2,340	+6	+0.3
Total Support Services	10,069	7,447	7,453	+6	+0.1

Other Related Expenses

(dollars in thousands)

	FY 2001 Comparable Appropriation	FY 2002 Comparable Request	FY 2003 Request	\$ Change	% Change
Working Capital Fund	4,246	4,057	4,157	+100	+2.5%
Training	722	460	469	+9	+2.0%
Other ^{a/}	7,613	7,759 ^{b/}	7,878 ^{b/}	+119	+1.5%
Total, Other Related Expenses	12,581	12,276	12,504	+228	+1.9%

^{a/}Other includes equipment and the operation and maintenance of equipment.

^{b/}Includes \$712,000 for reimbursable work adjustments for safeguards and security