

HEADQUARTERS SECURITY OVERVIEW HANDBOOK



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UNITED STATES DEPARTMENT OF ENERGY

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MAKING A DIFFERENCE



The Department of Energy (DOE) is responsible for some of the nation's most sensitive programs. These programs are critical to our country's economic well being and national defense. Protecting the national security of the United States is an integral requirement of our mission at DOE. Critical to this requirement is the protection of classified matter and controlled unclassified information. Both Federal and contractor employees must demonstrate sound security practices every day and management must create and foster a work environment that allows free and open expression of security concerns and timely corrective action. As such, security at DOE Headquarters (HQ) depends on the vigilance of everyone – from senior managers to individual employees.

INTRODUCTION

This HQ Handbook provides a general reference for conducting some of your security responsibilities. However, by no means does it describe the total extent of your obligations to identify and protect classified and unclassified controlled information. Your knowledge of the Department's security policies and procedures is only the first step in the continuing process of security awareness. Please take time to read and become familiar with the contents of this Handbook.

An additional resource for more in-depth understanding of your security responsibilities is the Headquarters Facilities Master Security Plan (HQFMSP). The "Master Plan" is a comprehensive security plan that implements Departmental security policy for all HQ organizations. This plan is available to you through your Element's Headquarters Security Officer (HSO).

RESPONSIBILITIES

As a Federal or contractor employee of DOE, you are personally responsible for the proper use, handling, storage and protection of classified matter in your care. Other HQ Offices also have a role in assisting you in your security responsibilities.

HEADQUARTERS PROTECTIVE FORCE (PF)

The PF contributes to the safety and security of DOE employees by providing security control and armed response at most DOE HQ facilities. They form an integral link in the security chain by protecting DOE classified matter from theft, diversion, sabotage, espionage, unauthorized access and control, and other acts that impact on national security. You are expected to comply with their security directives.

HEADQUARTERS SECURITY OFFICERS (HSOs)

Each HQ organization has designated HSOs who are the security representatives for their organizations. HSOs are responsible for all security-related activities within their organization and are conduits for the timely dissemination of security information throughout their organization. HSOs participate in the HSO program that is managed and directed by the Office of Security Operations.

HEADQUARTERS SECURITY PROCEDURES

HEADQUARTERS FACILITIES MASTER SECURITY PLAN (HQFMSP)

The Master Plan implements existing DOE security policies and procedures for all HQ facilities and Elements. The Master Plan provides an overview of Departmental security policies and procedures and describes the organizations designed to protect the property and national security interests of the HQ complexes in the Washington, D.C. metropolitan area. Your HSO has a copy of the Master Plan, including an Appendix that contains information unique to your organization.

PROHIBITED ARTICLES

A sign identifying prohibited articles is posted at the entrances to all HQ buildings. In short, weapons, explosives, or other dangerous instruments or materials that can injure people or damage the property are prohibited. Other prohibited items include alcoholic beverages and controlled substances (e.g., illegal drugs or paraphernalia, but not prescription medication).

CONTROLLED ARTICLES

DOE HQ policy allows, under certain conditions, controlled articles into Limited Areas that are authorized for storing, processing, and discussing classified information up to the Secret/Restricted Data (S/RD) level, and are not Tempest protected areas. Signs authorizing controlled articles are posted in the affected Limited Areas.

VISITOR ESCORT REQUIREMENTS

During normal operating hours, 6:00 a.m. to 8:30 p.m. Monday through Friday, escorts are not required for visitors entering HQ facilities unless specified by the office or person being visited. However, uncleared visitors must be escorted at all times and all days in Security Areas and during Security Hours (8:30 p.m. to 6:00 a.m.). The sponsoring office or person being visited is responsible for providing an escort if required.

When escorting visitors, escorts must be with the visitor at all times. If escort responsibilities are delegated to another person, that person must be made aware of their escort responsibilities. Escorts must ensure that the visitor(s):

- Is not afforded unauthorized access to classified matter or posted Security Areas.
- Wears his or her Headquarters visitor badge above the waist, in a clearly visible manner at all times.
- Does not introduce any prohibited or controlled articles into the facility or Security Area, as applicable.
- Does not remove Government property from the facility except in accordance with established property accountability procedures.
- Complies fully with all HQ security requirements.



SECURITY BADGES

Headquarters issues photo identification security badges to DOE Federal and contractor employees who require long-term routine access to the HQ buildings. These badges identify the individual and contain an Access Authorization indicator (“Q” or “L”) for those individuals who have been

granted a DOE security clearance also known as an access authorization. Individuals who require long-term access to the HQ buildings but do not require access to classified matter are issued Building Access Only (BAO) badges. HQ also issues temporary badges to visitors and employees who have lost or forgotten their badge.

In HQ buildings, employees and visitors must wear their badge above the waist, in plain view, with the photo showing. Employees should also remove their badge when outside the building or when departing the grounds. Security badges are not to be used for unofficial purposes such as cashing checks. Employees should notify the HQ badge office to obtain a new badge if they officially change their name, have a significant change in facial appearance, or have a damaged badge.

NOTE: *Immediately notify the badge office if your badge is ever lost or stolen.*

Forrestal Badge Office
(202) 586-5764
Germantown Badge Office
(301) 903-3330

INSPECTIONS

All hand-carried articles are subject to inspection by Security Officers upon entry into or exit from a HQ facility. Other inspections may be conducted of any employee, contractor or visitor and their hand-carried items, with probable cause, within the HQ facilities as directed by the Office of Headquarters Security Operations. HQ uses a random inspection process and various explosive detection methods to detect and deter vehicle-transported explosive devices.

SECURITY AREAS

HQ Program Offices have established Limited Areas (LA) and Vault Type Rooms (VTR) to protect classified matter. These areas have clearly defined boundaries and access control points. Access to Security Areas is limited to appropriately cleared and authorized individuals. All uncleared individuals requiring access to these areas must be escorted by a cleared and knowledgeable individual. In some security areas, sign-in registers are required.

Contact your HSO if you have questions about the Security Areas established for your organization. If you have any questions about prohibited or controlled articles, contact your HSO or the HQ Physical Protection Team at (202) 586-8075.

SECURITY INFRACTIONS

A Security Infraction is any knowing, willful, or negligent action contrary to regulatory requirements and DOE directives that does not constitute a “violation.” Committing a security infraction may result in administrative discipline, including loss of access authorization. The incidents listed below may be considered security infractions. Note that this list is not all-inclusive. If security personnel find these actions were intentional or caused by gross negligence, the action may constitute a “violation,” resulting in criminal prosecution or other administrative action.

- Leaving classified documents or material exposed and unattended or unsecured, to include leaving a classified repository open and unattended.
- Failure to properly safeguard classified documents or combinations to repositories.
- Changing a document's classification marking without proper authority.
- Destruction of classified documents in other than the prescribed manner.
- Improper transmission of classified documents or material.
- Failure to report known or suspected incidents of security concern.
- Failure to escort uncleared persons within Security Areas.
- Failure to comply with Cyber Security Policy.
- Unauthorized possession of prohibited articles in HQ facilities.

Contact your HSO or consult the Master Plan for additional information.

SECURITY VIOLATIONS

Any action or intent that constitutes a violation of U.S. law, Executive Orders or the implementing directives is a security violation. Suspected or known violations of U.S. criminal statutes, federal statutes, or federal laws pertaining to the unauthorized disclosure of classified matter are referred to federal law enforcement for further action.

CLASSIFIED MATTER PROTECTION AND CONTROL

TYPES OF INFORMATION

The Department originates and receives unclassified, controlled unclassified information and classified information/matter. Each type will be further discussed below, but the main emphasis of this Handbook is directed toward the protection of classified information.

UNCLASSIFIED INFORMATION

Information that is not classified and does not cause damage to the national security when disclosed is unclassified. A document may be marked to show that it is "unclassified" if it is essential to convey to any person who has access to the document that it is not classified. However, in most cases, unclassified markings are not applied when an entire document is unclassified.

NOTE: *The fact that a document is unclassified does not mean it is publicly releasable.*

CONTROLLED UNCLASSIFIED INFORMATION (CUI)

Controlled Unclassified Information is unclassified information that may be exempt from public release under the Freedom of Information Act (FOIA). Some examples of CUI subject to special handling restrictions include:

Official Use Only (OUO)

OUO is unclassified information that has not been given a classification pursuant to the criteria of a statute or Executive Order but that may be withheld from public disclosure under the criteria of the FOIA. OUO documents must be:

- Properly marked to include a FOIA exemption category.
- Be distributed only to individuals who need the information in the conduct of official business.
- Stored to preclude disclosure.

- Properly transmitted and properly destroyed.

Contact your HSO or consult the Master Plan to obtain additional information.

Unclassified Controlled Nuclear Information (UCNI)

UCNI is unclassified but sensitive information concerning nuclear material, weapons and components the distribution of which is controlled under Section 148 of the Atomic Energy Act. UCNI must be stored in a locked drawer, locked desk, locked repository or a key-locked room when not in use. Contact your HSO or consult the Master Plan to obtain additional information.

NOTE: Remember that OOU and UCNI are protective markings and not classification markings.

IDENTIFYING CLASSIFIED INFORMATION

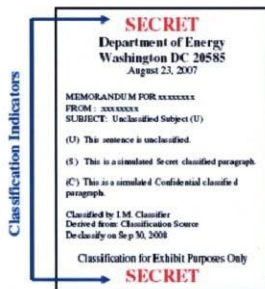
It is DOE policy that only cleared individuals be authorized to access and handle classified documents. This section is intended to provide information and guidance to unclassified employees on how to identify classified documents and what they should do if they are inadvertently exposed to them in the routine performance of their duties.

Some readily identifiable characteristics of classified documents are listed below:

- A Cover Sheet marked Top Secret, Secret or Confidential may be attached; or

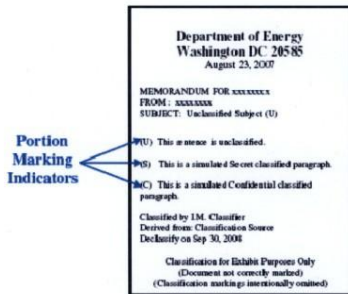


- Classification markings (Top Secret, Secret, Confidential, Restricted Data, Formerly Restricted Data, or National Security Information) at the top and/or bottom of the page; or



(C).

- A paragraph preceded by one of the following markings: (TS), (S) or



Should you encounter a situation as described above, you have the responsibility to protect the document by keeping it in your possession until it is turned over to one of the following individuals:

- Your Element’s HSO; or
- Cleared PF Personnel; or
- Any cleared DOE Federal or contractor employee. (A cleared employee is identified by a “Q” or “L” on their DOE badge.)

Finally, if you have a classification question concerning other documents that do not have classification markings, you have the responsibility to bring this concern to the attention of your HSO for his/her action.

ACCESS TO CLASSIFIED INFORMATION

Access to classified information is granted only to persons who possess the appropriate access authorization and who require access in the performance of official or contractual duties (need-to-know). If you disseminate classified matter, you must ensure the recipient has the appropriate security clearance and need-to-know. What is need-to-know?

Need-to-Know

Need-to-know is a determination made by an authorized holder of classified or unclassified controlled information that a prospective recipient requires access to the specific classified or unclassified controlled information in order to perform or assist in a lawful and authorized Governmental function. All employees have the duty to adhere to the "need-to-know" policy as part of their personal security responsibilities. Check with your supervisor if there is any doubt in your mind as to an individual's "need-to-know."

No person may have access to classified information unless he or she has been granted an access authorization equal to, or higher than, the classification level and category of the information, and the requisite "need-to-know". Additionally, no person is entitled to access classified information solely by virtue of their rank, office, position or security clearance.

Security Clearances

A security clearance is an administrative determination that an individual is eligible for access to classified matter when required by official duties or is eligible for access to, or control over, special nuclear material. The Department issues "Q" and "L" security clearances as well as Top Secret, Secret and Confidential [required for access to National Security Information (NSI)] clearances. Each security clearance authorizes an individual to access specific levels and categories of classified information. "Q" and "L" security clearance indicators are visible on Federal and contractor security badges.



A FINAL WORD

Security is everyone's responsibility. Just as a chain is only as strong as its weakest link, the Headquarters security program is subject to the strengths and weaknesses of our employees and contractors. Regardless of your status (DOE employee, consultant, contractor, subcontractor or individual permitted to access DOE facilities), DOE needs you and your dedication to ensure the success of its security program.

Emergency Telephone Numbers

In the Forrestal, Germantown, and 955 L'Enfant buildings,
dial extension 166 for emergencies

In the 270 Corporate, Cloverleaf, and 950 L'Enfant buildings,
dial 9-911

Non-DOE Emergency Numbers

Germantown, Cloverleaf, and the
270 Corporate Center - dial: **(301) 903-2403**;

Forrestal - dial: **(202) 586-6900**;

950 L'Enfant Plaza - dial: **(202) 863-7901**; and

955 L'Enfant Plaza - dial: **(202) 485-3350**

REMINDERS

Speed Limits: All drivers should be extremely attentive when entering DOE property to ensure that the active vehicle barrier is lowered prior to driving through and adhere to posted speed limits. At the Germantown facility, the posted speed limits are set at 15 mph for roadways, 10 mph in the parking lots, and 5 mph through the gates where the inspection process is occurring while both visitors and officers are in the roadway. At the Forrestal facility, the posted speed limit for the parking garage is 5 mph.

Hours of Operation: Business hours of operation are 6:00 a.m. to 8:30 p.m., Monday through Friday. Security hours are from 8:30 p.m. until 6:00 a.m. Monday through Friday and all day and night on weekends and holidays.