

**Management System: Safeguards and Security****Subject Area: Program Management and Support****Procedure: Conduct Security Self-Assessments****Issue Date and Revision Number:**

1/25/2016

1

**Lead Subject Matter Expert:**

Shaun Meadows

**Management System Owner:**

Ken Armstrong

**1.0 Applicability**

This procedure applies to EMCBC and small sites personnel responsible for conducting or reviewing security self-assessments. Typically, security self-assessments are conducted on an annual basis, approximately mid-way between security surveys. The DOE directive requirement for the conduct of security self-assessments is found in DOE O 470.4B, Safeguards and Security Program.

**2.0 Required Procedure**

Formal self-assessments are required of contractor facilities, but the EMCBC has elected to engage in the completion of an annual formal self-assessment at its facility in Lakewood, Colorado. Additionally, the EMCBC has routinely conducted less formal self-assessments of its Cincinnati, OH area facilities. Security self-assessments conducted for reasons other than satisfaction of the requirement imposed by DOE O 470.4B are generally undertaken in response to management direction.

<b>Step 1</b>	The person or persons assigned responsibility for the self-assessment activity identifies the scope of the self-assessment, to include the physical facilities to be included, and the elements/topics to be reviewed. Scheduling of the self-assessment must consider any pre-established deadline for completion, and other factors such as anticipated level of effort, availability of anticipated interviewees, sources of documentation, and performers of activities.
<b>Step 2</b>	Data collection is initiated, and documentation used, if not maintained in the supporting work file, is identified as to where it can be located. A working file identified with the self-assessment activity must be maintained in accordance with Records Management requirements.

<b>Step 3</b>	As warranted, findings should be issued to identify non-conforming or otherwise unacceptable circumstances or conditions. Noteworthy positive actions may be noted.
<b>Step 4</b>	A written report must be prepared which provides a narrative description of each element/topic that was reviewed, and which identifies specific findings. The identification of findings should be accompanied by citation of the written requirement to which it pertains. In the case of a formal self-assessment, such as that conducted at the Building 55 facility, Lakewood, CO, the survey report format for periodic surveys is used, along with the Survey/Inspection Report. Management directed reports will follow the format used by the site reviewed or the EMCBC format per its procedures.
<b>Step 5</b>	The written self-assessment report may be transmitted to the Cognizant Security Office (CSO). In the case of the BD 55 self-assessment, the report shall be submitted to the CSO.  <b>NOTE: The written report may require a classification review, and must be appropriately marked to convey any restrictions on dissemination.</b>
<b>Step 6</b>	Findings identified in reports submitted to the CSO may be entered into the Safeguards and Security Information Management System (SSIMS) at the discretion of the CSO. Findings in reports not submitted to the CSO will be tracked and closed out locally, utilizing EMCBC or small site management tracking systems and procedures.

### 3.0 References – Forms/Attachments/Exhibits

Forms:

- DOE F 470.8, Survey/Inspection Report Form

### 4.0 Records Generated

Records generated through implementation of this procedure are identified as follows and are maintained by the Office of Technical Support and Asset Management (OTSAM) in accordance with the EMCBC Organizational File Plan:

<b>Records Category Code</b>	<b>Records Title</b>	<b>Responsible Organization</b>	<b>Quality Records Classification (Lifetime or Non-Permanent)</b>
ADM 18-09	Survey and Inspection Files	OTSAM	N/A

\*The Records Category Code indicated above is used for Subject Area Document Control Management Procedures only. Any other Subject Area Procedure documents are to be assigned a Records Category Code based on the subject content contained within the document.

**EMCBC RECORD OF REVISION****DOCUMENT TITLE: Conduct Security Self-Assessments**

If there are changes to the controlled document before the two-year review cycle, the revision number stays the same; one of the following will indicate the change:

**I** Placing a vertical black line in the left margin adjacent to sentence or paragraph that was revised; or

**I** Placing the words GENERAL REVISION at the beginning of the text. This statement is used when entire sections of the document are revised.

If changes and updates occur at the two-year review cycle, the revision number increases by one.

---

<b>Rev. No.</b>	<b>Description of Changes</b>	<b>Revision on Pages</b>	<b>Date</b>
0	Initial Procedure		9/10/12
1	Minor revisions primarily to satisfy format changes.	All	1/25/2016