2009 State Liaison Officers Conference

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SGI Rule Information
Objectives

• Discuss the content of the Safeguards Information Final Rule 10 Code of Federal Regulations Parts 73.21, 22 and 23 (Protection of Safeguards Information) and address questions related to its implementation.

• Inform the audience of the existence of the NRC Safeguards Information Local Area Network (LAN) Electronic Safe System (SLES), its intended purpose and plans for its migration to other places of authorized use.
Purpose of Rule

• Regulation updated to:
  – Incorporate Security Orders issued to licensees who were not previously covered by 10 CFR 73.21
  – Incorporate Security Orders issued to non-licensees / applicants
  – Incorporate Energy Policy Act provision requiring fingerprinting
  – Standardize requirements for access to SGI
Milestones

• Proposed Rule issued: February 11, 2005

• Revised Proposed Rule issued: October 31, 2006

• Federal Register Notice issued: October 24, 2008
  – 120 day implementation period

• Rule Implementation date: February 23, 2009
Regulatory Guidance and Information

- Regulatory Information Summary
  - Public comment period ended April 13, 2009

- Regulatory Guide
  - Currently in concurrence with Staff

- Revised Inspection Procedure 81810
  - Currently in concurrence with Staff

- SGI Marking Guide
  - Posted on NRC internal and public webpage
Regulatory Requirements

Fingerprint requirements

• Submitted to NRC
  – Verification of identity
  – Criminal History Records Check

• Mandatory unless exempted by 73.59
Regulatory Requirements

Trustworthiness and Reliability (T&R) Determination required for access to SGI

T&R based upon a background check:

- Employment history
- Education history
- Personal references

- Sufficient to support the Trustworthiness & Reliability determination to both the Organization and the Commission
  - Acceptable documentation from other authorized holders of SGI
  - National Security Clearances acceptable
Regulatory Requirements Addressed

- Information that must be protected
- Conditions for Access
- Storage requirements
- Marking of documents and other SGI matter
- External transmission of documents and matter
Regulatory Requirements Addressed

• Processing SGI on electronic systems
• Removal from SGI category
• Reproduction of SGI
• Destruction of SGI
SLES Objective

- Provide a secure network for authorized users to access Safeguards information (SGI) documents electronically, and provide a knowledge management repository for SGI.

- Implement a secure SGI records repository in compliance with National Archives and Records Administration (NARA) requirements.

- Enable the management and collaboration (e.g. adding, storing, searching, and retrieving) of SGI documents in a centralized electronic document management system.
Vision

Enterprise WAN
(Verizon MPLS cloud)

- SGI-LAN Servers & E-Safe Application
- Secure VPN

Regions I, II, III, IV

On-site Inspectors

OWFN & TWFN

SGI-LAN Servers & E-Safe Application

COOP Site

Licensees, Federal, State, and Locals

SLES Users
**Project Time-Line**

<table>
<thead>
<tr>
<th>Year</th>
<th>Event</th>
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<tbody>
<tr>
<td>2009</td>
<td>Start NRC HQ Implementation</td>
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<tr>
<td></td>
<td>Start to Procure, Configure, and Harden Equipment for OWFN &amp; TWFN</td>
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<tr>
<td></td>
<td>Approval of the System Requirements and System Architectural Design</td>
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<td>Receive Approval to Expand to External Users</td>
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<td>Receive Approval to Operate for NRC HQ</td>
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<td>Complete Implementation of NRC HQ</td>
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<td>Start to Procure, Configure, and Harden Equipment for Regional Offices</td>
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<td>Start NRC Regional Offices Implementation</td>
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<td>Start NRC Regional Offices Implementation</td>
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<td>COOP Setup</td>
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<tr>
<td>2010</td>
<td>Receive Approval to Operate for Regional Offices</td>
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<td>Complete Implementation of NRC Regional Offices</td>
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<td>Start Federal, State, local and Licensee (FSLL) Implementation</td>
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<tr>
<td>2011</td>
<td>Receive Approval to Operate for FSLL</td>
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<td>Complete FSLL Implementation</td>
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* = Milestone Marker
NRC Intent

- Strike a balance between the public’s right to information so they can meaningfully participate in regulatory processes and the need to protect sensitive security information from inadvertent release or unauthorized disclosure.

- Continue to evaluate its requirements, policies and guidance concerning the protection and authorized disclosure of Safeguards Information.
SGI Rule Information

Questions and Answers
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