

LLNL's Review & Release Assessment

How to Change Behavior

May 4, 2011



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STIP Meeting – Pleasanton, CA

This work performed under the auspices of the U.S. Department of Energy by
Lawrence Livermore National Laboratory under Contract DE-AC52-07NA27344.

LLNL-PRES-482489

Lawrence Livermore National Laboratory



Information Management (IM) Self Assessment

- Assessments are performed once a fiscal year
- Total of 100 documents are randomly selected that go through the IM system
- Subject Matter Experts (SMEs) perform the reviews
 - OCEC – Office of Classification & Export Control
 - IPO – Industrial Partnership Office
 - OPSEC – Operational Security Office
- Results are provided to the IM POCs to distribute to their PAD management and departments
- Assessments are now being tracked in the Laboratories Institutional Tracking System (ITS) system *(new)*





Observations

- 1) Authors may not be clear on the meaning of DUSAs and UCI questions in the system
 - Results in incorrect classifications, document markings, and review routing
- 2) Directorate Reviewers may not be clear on the proper document markings and OPSEC concerns
 - Results in incorrect document being uploaded in the IM system

Directorate Reviewers are “Gate Keepers” to make sure the proper information is uploaded in the IM system



Directorate Reviewer Responsibilities from IM Policy



- Perform review of document to prevent disclosure of information to the scientific community or to the public that could cause misinterpretation or potential legal problems for the author, the author's program, the Laboratory, the LLNS, LLC, DOE, or NNSA. Notify author of any required changes.
- Perform review of document for national security OPSEC implications, for unclassified controlled information (UCI), and program-directed special handling (e.g., applied technology). Notify author of any required changes.
- Screen document for intellectual property and export control information.

Directorate Reviewers have the OPTION to forward to OCEC and/or IPO in the IM System for further confirmation regarding their review



IM Software Upgrade Released to Address Concerns



- Added new help text information
- Added additional guidance for documents that may contain programmatic information under the review criteria screen.
- Updated programming regarding DUSAs and documents containing UCI

A separate “briefing” will also be sent to all Directorate Reviewers to address concerns





Added New Help Text Information

The screenshot shows the 'information Management' web application interface. At the top, the logo and 'Tracking Number: 383280' are visible. The main heading is 'Review Screening Criteria' with a 'Next' button. The form contains several questions and options for document review. A help popup titled 'Programmatic Information' is open on the right, providing detailed definitions and examples. A blue question mark icon is highlighted next to one of the form options.

information Management Tracking Number: 383280

Review Screening Criteria Next

These questions are used to determine the types of review your document needs.

- This document was created under a Designated Unclassified Subject Area (DUSA). **Notes:** Administrative information is typically created under the Executive Order - Unclassified Information (EO-UI) DUSA category. *If your document has an explicit association with Homeland Security issues, do not choose a DUSA. Consult with your ADC before proceeding.*

Choose the widest audience for distribution of your information.

- Internal Audience (**LLNL and Livermore Site Office Only**)
- Restricted Audience (**Unclassified Controlled Information Required**) ?
- External Audience (**Unlimited**)

This document does NOT contain scientific and technical and/or programmatic information (e.g. it is an administrative document) **Note: if your document contains programmatic information it is incorrectly characterized as administrative. Do not check this box.** ?

For which principal directorate is this document being reviewed?
Choose one

- I have been working with a specific reviewer from the Office of Classification and Export Control (OCEC).
- I have been working with a specific reviewer from Industrial Partnerships and Commercialization (IPAC).

Next

Done

start | 2 Mi... | Meeti... | 3 Fi...

Programmatic Information - Programmatic Information contains information about programmatic- specific activities such as technical goals or progress. Programmatic information is a subset of Scientific and Technical Information (STI), especially for classified programs that requires a DC review. It is often incorrectly characterized as "administrative" because it does not appear to contain STI. **Example:** A listing of meeting dates and locations for the WXX LEP is administrative. The meetings, when described as, "Pantex component schedule review, Y12 processes", etc., are programmatic and not administrative even though those words do not contain STI. Travel is administrative.

Click on circle with blue question mark to retrieve more information. Also use the "show nav" menu for definitions



Upgraded Programming to DUSA and UCI Questions



im information Management Tracking Number: 383280

Review Screening Criteria Next

These questions are used to determine the types of review your document needs.

This document was created under a Designated Unclassified Subject Area (DUSA). **Notes:** Administrative information is typically created under the Executive Order - Unclassified Information (EO-UI) DUSA category. *If your document has an explicit association with Homeland Security issues, do not choose a DUSA. Consult with your ADC before proceeding.*

- Select the DUSA your document was created under from the list below.
 - Geophysics and Geochemistry of the Solid Earth

Choose the widest audience for distribution of your information.

Internal Audience (LLNL and Livermore Site Office Only)

Restricted Audience (Unclassified Controlled Information Required)

External Audience (Unlimited)

This document does NOT contain scientific and technical and/or programmatic information (e.g. it is an administrative document) **Note: If your document contains programmatic information it is incorrectly characterized as administrative. Do not check this box.**

For which principal directorate is this document being reviewed?
 Science & Technology Principal Directorate

- Select a directorate/department/division/program:
 - Physical and Life Sciences Directorate
- Select a sub-dept/div/prgm:
 - No sub-dept/div/prgm

Done

im information Management Tracking Number: 383280

Distribution Next

Does your document contain any Unclassified Controlled Information (UCI)?

Yes No I don't know

If "yes", indicate the type(s) of UCI in your document and the cover and marking(s) you've included within your document.

Unclassified Controlled Nuclear Information (UCNI)

Official Use Only (OOU)

- Exemption 2, Circumvention of Statute
- Exemption 3, Statutory Exemption
- Exemption 4, Commercial/Proprietary
- Exemption 5, Privileged Information
- Exemption 6, Personal Privacy
- Exemption 7, Law Enforcement
- Exemption 8, Financial Institutions
- Exemption 9, Wells

Naval Nuclear Propulsion Information (NNPI)

Export Controlled Information (ECI)

Applied Technology (AT)

Reactor Safeguards Information (RSI)

Confidential Foreign Government Information - Modified Handling Required (CFGI-MOD)

Technical Information (OST):
Collects, preserves, and disseminates unclassified

The page at https://imreview-pre.llnl.gov says:

! You have selected that your document contains UCNI and/or CFGI-MOD information. Your document must be reviewed by a Derivative Classifier (DC) before entering into the IM system. Please return to the Review Criteria Screen and uncheck the first box referencing your document was created under a DUSA. If you have checked the box that your document falls under a "DUSA" or "UCI" audience by mistake, please correct in order to continue. Any questions please call ex. 2-4646.

OK

Done

If author chooses a DUSA and document contains an UCNI or CF-GI-MOD classification the document must be reviewed by a Designated Classifier (DC)





Statistics: Lab Wide Statistics for FY04

Information Management System
im-stats-report-v1.1
Oct 01, 2004 03:05:51 AM

Lawrence Livermore National Laboratory
IM Monthly Report
System Statistics

Administration / Reports
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Lab Wide

Month at a Glance: 1-SEP-2004 to 1-OCT-2004

FY to Date: 1-OCT-2003 to 1-OCT-2004

Workflow Step	# Complete	% of Total
ADC	374	58.99
NIF Technical Review	86	10.41
Directorate	634	100.00
OCEC	548	86.44
IPAC	524	82.65
Total Completed	634	

Workflow Step	# Complete	% of Total
ADC	3982	58.55
NIF Technical Review	396	5.82
Directorate	6801	100.00
OCEC	5601	82.36
IPAC	5218	76.72
Total Completed	6801	

Workflow Step	Avg. Bus. Days
Directorate Review	1.43
OCEC Review	1.01
IPAC Review	0.47
Average Cycle Time	2.44

Workflow Step	Avg. Bus. Days
Directorate Review	1.54
OCEC Review	1.05
IPAC Review	0.56
Average Cycle Time	2.59

Document Type	Qty.	% of Total
Abstract/Summary	96	15.14
Book	1	0.16
Brochure	10	1.58
Conference, Paper	38	5.99
Conference, Proceeding	31	4.89
Journal Preprint/Article	70	11.04
Manual, Administrative	9	1.42
Manual, Software	1	0.16
Manual, Technical	4	0.63
Miscellaneous	19	3.00
Photograph	2	0.32
Poster	47	7.41
Presentation/Viewgraphs	192	30.28
Proposal	10	1.58
Report, Administrative	20	3.15
Report, Subcontract	1	0.16
Report, Technical	49	7.73
Thesis	3	0.47
Video	3	0.47
Web Page	28	4.42

Document Type	Qty.	% of Total
Abstract/Summary	1291	18.98
Book	41	0.60
Brochure	51	0.75
Conference, Paper	471	6.93
Conference, Proceeding	241	3.54
Journal Preprint/Article	883	12.98
Manual, Administrative	82	1.21
Manual, Software	4	0.06
Manual, Technical	59	0.87
Miscellaneous	244	3.59
Photograph	44	0.65
Poster	586	8.62
Presentation/Viewgraphs	1821	26.78
Proposal	88	1.29
Report, Administrative	157	2.31
Report, Subcontract	18	0.26
Report, Technical	505	7.43
Thesis	13	0.19
Video	50	0.74
Web Page	149	2.19

Other Statistics	Qty.	% of Total
Contains UCI	56	8.83
Hand Carried	30	4.73
Draft	48	7.57
Contains NIF-derived Info	21	3.31
Controlled Distribution	13	2.05

Other Statistics	Qty.	% of Total
Contains UCI	577	8.48
Hand Carried	221	3.25
Draft	315	4.63
Contains NIF-derived Info	170	2.50
Controlled Distribution	205	3.01

- Total Reviews - 6801
- Ave. Cycle Time - 2.59
- Contain UCI - 8.48 %





Statistics: Lab Wide Statistics for FY10

Information Management System
im-stats-report-v1.1
Oct 01, 2010 03:07:14 AM

Lawrence Livermore National Laboratory
IM Monthly Report
System Statistics

Administration / Reports
Page: 1 of 1

Lab Wide

Month at a Glance: 1-SEP-2010 to 1-OCT-2010

FY to Date: 1-OCT-2009 to 1-OCT-2010

Workflow Step	# Complete	% of Total
Directorate	656	100.00
IPAC New	525	80.03
NIF Technical Review	99	15.09
OCEC	579	88.26
ADC	435	66.31
Total Completed	656	

Workflow Step	Avg. Bus. Days
Directorate Review	1.30
OCEC Review	0.79
IPAC Review	0.53
Average Cycle Time	2.09

Document Type	Qty.	% of Total
Presentation/Viewgraphs	227	34.60
Abstract/Summary	57	8.69
Web Page	19	2.90
Report, Technical	58	8.84
Proposal	47	7.16
Manual, Software	8	1.22
Video	8	1.22
Brochure	3	0.46
Miscellaneous	33	5.03
Conference, Proceeding	22	3.35
Thesis	0	0.00
Conference, Paper	28	4.27
Photograph	3	0.46
Poster	47	7.16
Report, Subcontract	2	0.30
Manual, Administrative	6	0.91
Report, Administrative	29	4.42
Journal Preprint/Article	52	7.93
Manual, Technical	6	0.91
Book	1	0.15

Other Statistics	Qty.	% of Total
Contains UCI	91	13.87
Hand Carried	13	1.98
Draft	97	14.79
Contains NIF-derived Info	22	3.35
Controlled Distribution	2	0.30
Used LDRD Funding	104	15.85

Workflow Step	# Complete	% of Total
NIF Technical Review	1248	13.80
ADC	5784	63.94
OCEC	7762	85.81
Directorate	9046	100.00
IPAC	3950	43.67
IPAC New	3015	33.33
Total Completed	9046	

Workflow Step	Avg. Bus. Days
Directorate Review	1.00
OCEC Review	0.76
IPAC Review	0.70
Average Cycle Time	1.76

Document Type	Qty.	% of Total
Web Page	127	1.40
Thesis	10	0.11
Manual, Administrative	104	1.15
Report, Subcontract	13	0.14
Manual, Software	74	0.82
Poster	873	9.65
Conference, Proceeding	208	2.30
Abstract/Summary	1349	14.91
Proposal	362	4.00
Video	250	2.76
Conference, Paper	334	3.69
Report, Technical	708	7.83
Photograph	35	0.39
Manual, Technical	95	1.05
Miscellaneous	437	4.83
Report, Administrative	440	4.86
Brochure	58	0.62
Presentation/Viewgraphs	2946	32.57
Journal Preprint/Article	598	6.61
Book	27	0.30

Other Statistics	Qty.	% of Total
Contains UCI	1360	15.03
Hand Carried	284	3.14
Draft	781	8.63
Contains NIF-derived Info	373	4.12
Controlled Distribution	107	1.18
Used LDRD Funding	1174	12.98

- **Total Reviews - 9046**
- **Ave. Cycle Time - 1.76 days**
- **Contains UCI - 15.03%**





Statistics: Total Reviews by PAD for FY10

- Total number of documents reviewed in the IM system (excluding source code and classified)
 - Director's Office 481
 - Global Security 1491
 - NIF & Photon Science 1250
 - Operations & Business 773
 - Science & Technology 4410
 - Weapons & Complex Integration 641





How Has Behavior Changed?

- More reviews are being performed
 - FY04 6801 reviews
 - FY10 9046 reviews
- Less employees at the Lab
 - FY04 10,000 employees
 - FY10 5,000 employees
- Cycle time for reviews is faster
 - FY04 2.56 days
 - FY10 1.76 days
- Documents contain more sensitive information (UCI)
 - FY04 8.48%
 - FY10 15.03%





Why Do We Think Behavior Has Changed?

- Annual Assessment
- PAD Level Metrics
- New entries into ITS (Institutional Tracking Database)
 - Accountability
- More risks of not having documents reviewed
 - Could be detrimental for the Laboratory
- New contract requirements
- Cost of review has decreased dramatically
 - Prior to automated system FY02 \$148 to review
 - FY11 current automated system \$43 to review
- Makes good business sense!

